



External Evaluation of the Instrument for Pre-accession Assistance (IPA II) (2014 – mid 2017)

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Neighbourhood
and Enlargement
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External Evaluation of the Instrument for Pre-accession Assistance (IPA II)

**This evaluation was commissioned by the Thematic expertise,
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External Evaluation of the Instrument for Pre-accession Assistance (IPA II) Final Report

The report consists of:

Volume I: Main report

Volume II: Annexes

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Executive summary (EN)

Résumé (FR)

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2. Methodology
3. Responses to the evaluation questions
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List of acronyms and abbreviations

AAP	Annual Action Programme
AD	Action Document
BS	Budget Support
CARDS	Community Assistance for Reconstruction, Development, and Stabilisation
CBC	Cross-Border Cooperation
CEB	Council of Europe Development Bank
CIR	Common Implementation Regulation
CoTE	Centre of Thematic Expertise
CSO	Civil Society Organisations
CSP	Country Strategy Paper
DCI	Development Cooperation Instrument
DG	Directorate-General
DG AGRI	Directorate-General for Agriculture and Rural Development
DG DEVCO	Directorate-General for International Cooperation and Development
DG EMPL	Directorate-General for Employment, Social Affairs & Inclusion
DG NEAR	Directorate-General for Neighbourhood and Enlargement Negotiations
DG REGIO	Directorate-General for Regional Policy
DIS	Decentralised Implementation System
EAMR	External Assistance Management Report
EBRD	European Bank for Reconstruction and Development
EC	European Commission
EDIF	Enterprise Development & Innovation Facility
EEAS	European External Action Service
EFI	External Financing Instrument
EIB	European Investment Bank
EIDHR	European Instrument for Democracy and Human Rights
ENI	European Neighbourhood Instrument
EQ	Evaluation Question
ERDF	European Regional Development Fund
EU	European Union
EUD	European Union Delegation
EUR	Euro
FPI	Service for Foreign Policy Instruments
FRONTEX	European Border and Coast Guard Agency
GGF	Green for Growth Fund
HQ	Headquarters
HRD	Human Resources Development
IB	Institution Building

IcSP	Instrument contributing to Stability and Peace
IFI	International Financial Institution
IL	Intervention Logic
IMBC	Indirect Management with the Beneficiary Country
INSC	Instrument for Nuclear Safety Cooperation
IOM	International Organisation for Migration
IPA	Instrument for Pre-Accession Assistance
IPARD	Rural Development component of the Instrument for Pre-accession Assistance
ISP	Indicative Strategy Paper
ISPA	Instrument for Structural Policy for Pre-Accession
IT	Information Technology
JC	Judgement Criterion
KPI	Key Performance Indicator
LA	Local Authority
LGBT	Lesbian, Gay, Bisexual, Transgender
MAAP	Multi-annual Action Plan
MADAD Fund	EU Regional Trust Fund in Response to the Syrian Crisis
MAP	Multi-annual Programme with split commitments
MBP	Multi-Beneficiary Programme
MCP	Multi-Country Programme
MCSP	Multi-country Strategy Paper
MFF	Multi-annual Financing Framework
MIS	Management Information System
MS	Member State
MTR	Mid-term Review
NAO	National Authorising Officer
NIPAC	National IPA Coordinator
OPC	Open Public Consultation
PAR	Public Administration Reform
PFM	Public Financial Management
PHARE	Poland and Hungary: Assistance for Restructuring their Economies
PI	Partnership Instrument
QC	Quality Control
QSG	Quality Support Group
RACER	Relevance, Acceptability, Clarity, Easiness, Robustness
ReSPA	Regional School of Public Administration
RHP	Regional Housing Programme
ROM	Results-oriented Monitoring
SAPARD	Special Accession Programme for Agriculture and Rural Development

SIGMA	Support for Improvement in Governance and Management
SLI	Sector Lead Institution
SMC	Sector Monitoring Committee
SMSC	Sector Monitoring Sub-Committee
SOP	Sector Operational Programme
SPD	Sector Planning Document
TA	Technical Assistance
TAIEX	Technical Assistance and Information Exchange instrument of the European Commission
TEN-T	Trans-European Transport Network
TEU	Treaty of the EU
WBIF	Western Balkans Investment Framework
WBT	Western Balkans and Turkey

1 Annex 1: Evaluation matrix

1.1 EQ 1 on relevance

To what extent do the overall objectives (IPA II Regulation, Article 1 and 2) and the design of the IPA II respond to:

- (i) EU priorities and beneficiary needs identified at the time the instrument was adopted (2014)?
- (ii) current EU priorities and beneficiary needs, given the evolving challenges and priorities in the international context (2017)?

1.1.1 JC11: Strategic congruence/divergence of IPA II objectives and design against the EU enlargement strategy

1.1.1.1 I-111 Evidence (nature and scope) of a clear link between the EU enlargement strategy and the indicative (country & multi-country) strategy papers

I-111	<i>Evidence (nature and scope) of a clear link between the EU enlargement strategy and the indicative (country & multi-country) strategy papers</i>
Indicator Summary	ISPs refer directly to the Enlargement strategy and the need to address “fundamentals first” by focusing on two (out of three) related pillars: governance and the rule of law; and competitiveness and growth. The priorities as presented in the ISPs fully match those identified in the EU Enlargement strategy. Strategic congruence of IPA II objectives and design against the EU Enlargement strategy is reported on in the EAMRs.
Review EAMRs	<p>“Clear strategic orientation of the national IPA programme 2015 was ensured, with the focus on three key sectors in line with the priorities of the enlargement strategy: public administration reform, justice and home affairs and transport (interconnectivity). The concentration of the budget on only three sectors and the clear reduction of the ensuing number of contracts compared to previous programmes will facilitate both the achievement of clear impact as well as increase the efficiency of implementation.”</p> <p><i>Source: EAMR Serbia, p. 3</i></p> <p>“In this context, the IPA II sector approach has been further promoted, including by regular engagement with the National IPA Coordinator (NIPAC) and the sector lead institutions which concentrated among other on setting SMART objectives and indicators for effective monitoring at programme level, in line with the IPA II Indicative Strategy Paper... As in previous years, priority sectors for IPA financial assistance remain in the fields of Rule of Law and Fundamental Rights as well as Democracy and Governance which is also reflected in the funds allocated during the programming exercises.”</p> <p><i>Source: EAMR Turkey, p. 3</i></p>
Review National ISPs	<p>IPA is planned in the context of the enlargement strategy and implements reforms within pre-set sectors, which are intertwined with the enlargements strategy</p> <p>The priorities in the ISPs fully match those identified in the EU enlargement strategy.</p> <p>In its enlargement strategy, the Commission has put particular emphasis on the three pillars of rule of law, economic governance and public administration reform.</p> <p>ISPs set out the priorities for EU financial assistance for the period 2014-2020 (except for Bosnia and Herzegovina: 2014-2017) to support each IPA beneficiary on its path to EU accession, based on two pillars: Democracy and Rule of Law, and Competitiveness and Growth. ISPs are key documents, which define national priorities for IPA II support. The selection of the specific sectors to be supported is based on the objectives included in ISPs.</p> <p><i>Source: 2015 Enlargement strategy and individual national ISPs</i></p>

I-111	<i>Evidence (nature and scope) of a clear link between the EU enlargement strategy and the indicative (country & multi-country) strategy papers</i>
Review multi-country ISP	<p>“Both the Western Balkans and Turkey face important challenges, which are common to all of them - although to a varying degree - and are reflected in the enlargement policy framework, notably the EU enlargement strategy.”</p> <p>“While the priorities for action towards meeting the objectives for each of the countries will be based on country-specific needs and capacities, in view of the common challenges for the enlargement countries a number of common priorities for pre-accession assistance in the period until 2020 can be set out. This relates in particular to the priority of IPA II assistance to support the enlargement countries in addressing the fundamentals first which can be grouped in two main areas of intervention: democracy and the rule of law, and competitiveness and growth.”</p> <p><i>Source: Multi-country ISP</i></p>

1.1.1.2 Other evidence

	<i>Other evidence</i>
Review National EAMRs	<p>Strategic congruence of IPA II objectives and design against the EU enlargement strategy is reported on in the EAMRs.</p> <p>E.g., the Serbia EAMR states that “Clear strategic orientation of the national IPA programme 2015 was ensured, with the focus on three key sectors in line with the priorities of the enlargement strategy: public administration reform, justice and home affairs and transport (interconnectivity)”.</p> <p><i>Source: EAMR Serbia</i></p>
Review IPA II Regulation	<p>“(7) Assistance under this Regulation should be provided in accordance with the enlargement policy framework defined by the European Council and the Council and taking due account of the Communication on the Enlargement Strategy and the Progress Reports comprised in the annual enlargement package of the Commission, as well as of the relevant resolutions of the European Parliament. Assistance should also be provided in compliance with the agreements concluded by the Union with the beneficiaries listed in Annex I, and in accordance with the European and Accession Partnerships. Assistance should mainly focus on a selected number of policy areas that will help the beneficiaries listed in Annex I to strengthen democratic institutions and the rule of law, reform the judiciary and public administration, respect fundamental rights and promote gender equality, tolerance, social inclusion and non-discrimination. Assistance should continue to support their efforts to advance regional, macro-regional and cross-border cooperation as well as territorial development, including through implementation of Union macro-regional strategies.</p> <p>(9) Strengthening the rule of law, including the fight against corruption and organised crime, and good governance, including public administration reform, remain key challenges in most of the beneficiaries listed in Annex I and are essential in order for those beneficiaries to come closer to the Union and later to fully assume the obligations of Union membership. In view of the longer-term nature of the reforms pursued in those areas and the need to build up track records, financial assistance under this Regulation should address the requirements placed on the beneficiaries listed in Annex I as early as possible.</p> <p>(13) The priorities for action towards meeting objectives in the relevant policy areas which will be supported under this Regulation should be defined in indicative strategy papers established by the Commission for the duration of the Union's multiannual financial framework for the period from 2014 to 2020 in partnership with the beneficiaries listed in Annex I, based on their specific needs and the enlargement agenda, in line with the general and specific objectives defined by this Regulation and taking relevant national strategies into due account. The strategy papers should also identify the policy areas to be supported through assistance and, without prejudice to the prerogatives of the European Parliament and of the Council, should lay down the indicative allocations of Union funds per policy area, broken down per year, including an estimate of climate-related expenditure. Sufficient flexibility should be built in to cater for emerging needs and to give incentives to</p>

	Other evidence
	<p>improve performance. The strategy papers should ensure coherence and consistency with the efforts of the beneficiaries listed in Annex I, as reflected in their national budgets, and should take into account the support provided by other donors. In order to take into account internal and external developments, the strategy papers should be reviewed and revised as appropriate.”</p> <p><i>Source: IPA II Regulation</i></p>
Turkey ISP	<p>“Agriculture and rural development</p> <p>The overall objective in this sector is to sustain Turkey’s efforts in the areas previously covered by IPA, relating to Turkey’s preparations to implement the Common Agricultural Policy (CAP) and align its legislation with the <i>acquis</i> in the areas of food safety, veterinary and phytosanitary policy and fisheries policy.</p> <p>Sub-sector 1: Rural development programme</p> <p>Interventions will be implemented through a rural development programme, modelled on EU rural development policies. Implementation of the current IPARD I programme (covering 2007-13 budget allocations) will continue in Turkey’s 42 accredited provinces. The new IPARD II programme will be prepared by the managing authority, which is based in the Ministry of Food, Agriculture and Livestock.</p> <p>Institution and Capacity Building</p> <p>Assistance in this subsector aims to ensure Turkey’s gradual alignment with the <i>acquis</i>, on food safety, veterinary and phytosanitary standards and agricultural and fisheries policy.</p> <p>Actions to be supported will focus on:</p> <p>In the area of agriculture and rural development, the activities will mainly aim at supporting Turkey’s alignment with and implementation of the Common Agricultural Policy; building capacity in the IPARD managing authority, the IPARD agency and supporting institutions such as advisory services, as far as is necessary for IPARD II. ...</p> <p>Types of financing</p> <p>For the rural development subsector a multi-annual support programme will continue to be the main method for funding, given the recently accredited IPARD institutions. Instead, the capacity and institution building subsector will follow a sector-oriented programming approach with annual actions, focusing particularly on the areas of food safety, veterinary and phytosanitary policy.”</p> <p><i>Source: Turkey ISP, p. 41-43</i></p>
2015 Annual Activity Report DG AGRI	<p>“IPARD II (2014-2020), prepared in partnership with the IPA II beneficiaries, sets a new framework for providing pre-accession assistance for the 2014-2020 period. The legislative framework has not substantially changed as regards the accreditation and compliance of the management and control systems.</p> <p>The most important novelty is its strategic focus. Country Strategy Papers... for the 7-year period... will provide for a stronger ownership by the IPA II beneficiaries through integrating their own reform and development agendas.</p> <p>All expenditure declared under IPARD 2007-2013 was managed under decentralised management according to the previous financial regulation... The budget allocation...for IPARD 2014-2020 will be managed under indirect management according to the new financial regulation. The "conferral of management powers" in IPARD 2007-2013 corresponds to the "Entrustment of budget implementation tasks" in IPARD 2014-2020.</p> <p>...it took some time for the beneficiary countries of IPARD to put in place an effective management and control system. As IPARD money can only flow after management powers have actually been conferred, the absorption rate has initially been low. However, as management for some measures has now been conferred for all of the three beneficiary countries, the overall uptake of IPARD funds is moving in an upward direction.”</p> <p><i>Source: 2015 Annual Activity Report DG AGRI</i></p>

	<i>Other evidence</i>
Neritan Totozani (2016): Challenges Of The Indirect Management Of EU Funds In Albania	<p>“The effective decentralization of IPA management... requires the establishment of new structures and designation of authorities responsible for implementation of IPA funds... The problems are mainly related to the lack of efficiency from state authorities. There are many legal and bureaucratic obstacles that could delay the implementation of projects. Regarding IPA II, there is the possibility that if the funds cannot be used on due time, they will be transferred to other sectors with the best performance, as well as to other countries of the region if the performance as a whole is not satisfactory. This is one more reason to prepare not only the state/public structures at central and local level, but also the private ones like businesses, organizations, etc...</p> <p>Some institutions have insufficient staff regarding their projects preparation and implementation. For example: in institutions which have had projects almost every year, it is crucial to increase the number of staff to manage these projects. This problem becomes more imperative especially after the decentralization process, when the Albanian institutions are managing EU fund themselves... management of EU funds from the Albanian authorities and structures requires a professional, efficient and sustainable national administration which must meet EU rules on procurement and as well as function as Member States in the light of Structural Funds. It also requires the fulfilment of a number of key conditions, such as setting up national specialized offices in charge of EU administrative and financial procedures, especially in the Ministry of Finance and Ministry of Integration.”</p> <p><i>Source: Neritan Totozani (2016): Challenges Of The Indirect Management Of EU Funds In Albania</i></p>
2015 Annual Activity Report DG NEAR	<p>“...DG NEAR has systematically examined the available control results and indicators, including those aimed to supervise entities to which it has entrusted budget implementation tasks, as well as the observations and recommendations issued by internal auditors and the European Court of Auditors. These elements have been assessed to determine their impact on the management's assurance as regards the achievement of control objectives... In conclusion, management has reasonable assurance that, overall, suitable controls are in place and working as intended; risks are being appropriately monitored and mitigated; and necessary improvements and reinforcements are being implemented.</p> <p>GDP per capita (current prices-PPS) as % of EU level for enlargement countries only Target 2020: Western Balkans 43%, Turkey 65%</p> <p>Baseline (2010): Western Balkans (excluding Kosovo^(*)¹): 32.5%; Turkey: 50%</p> <p>2014 value: Western Balkans 32.53%; Turkey 52%</p> <p>Though economic growth has been positive in 2014 (but for Serbia), it has slowed down compared to the previous year, and the catching up process is not progressing. Both for Western Balkans and Turkey the values remain very far from the 2020 targets.</p> <p>The foundations for sustained economic development and growth have not been established in the Western Balkans and none of the countries can yet be considered functioning market economy. Turkey differs from the WB in its size and development processes. GDP per capita (compared to the EU level) is some 20% higher in Turkey than in WB countries. While the WB suffered from fall in finance inflow, during the latest economic crisis, growth (although with decline) was noted in Turkey.</p> <p>Economic growth is in focus of IPA II and it is relevant for both WB and Turkey. IPA II recognises the differences, and specific priorities that individual countries define, but under the same framework of IPA II. Logically, current priorities of e.g. Montenegro and of Turkey in the same sector, are quite different and IPA manages to recognise this and adjust to it.”</p> <p><i>Source: 2015 Annual Activity Report DG NEAR</i></p>

¹ (*) This designation is without prejudice to positions on status, and is in line with UNSCR 1244/1999 and the ICJ Opinion on the Kosovo declaration of independence.

	Other evidence
EC website on IPARD	<p>“The objective of IPARD is two-fold: to provide assistance for the implementation of the acquis concerning the Common Agricultural Policy to contribute to the sustainable adaptation of the agricultural sector and rural areas in the candidate country.</p> <p>These objectives are to be met by implementation of 9 different measures under 3 priority axes:</p> <p>Axis 1 - Improving Market Efficiency and Implementing Community Standards Measures: Investments in agricultural holdings to restructure and upgrade to the EU standards Investments in processing and marketing of agriculture and fishery products to restructure and upgrade to the EU standards Supporting the setting up of producer groups</p> <p>Axis 2 - Preparatory actions for implementation of the agri-environmental measures and Leader Measures: Preparation for implementation of actions relating to environment and the countryside Preparation and implementation of local rural development strategies</p> <p>Axis 3 - Development of the Rural Economy Measures: Improvement and development of rural infrastructure Development and diversification of rural economic activities Training Technical assistance”</p> <p><i>Source: DG AGRI IPARD website, http://ec.europa.eu/agriculture/enlargement/assistance/ipard/index_en.htm</i></p>
Example Albania	<p>“Albanian government submitted Tuesday an application to the European Commission for a 71-million euro grant to support agricultural and rural development under the IPARD Programme for 2014-2020. The programme aims at supporting farmers, agricultural enterprises, food processing plants, micro-businesses and small non-agricultural enterprises to carry out investments for production and processing in the dairy sector, meat, fruit and vegetables, protected plants and vineyards. Also, the programme aims to support investments in aquaculture, natural and rural tourism and renewable energy production.</p> <p>This programme intends to support around 2055 investment projects and will create about new 800 jobs. Implementation of the program is projected to begin in 2017.”</p> <p><i>Source: Albanian Telegraphic Agency on 20 Sept 2016; Article on the IPARD Programme, https://www.ata.gov.al/en/albania-submits-application-for-71-million-euro-grant-under-ipard-programme/</i></p>
Review IPA II programming Guide	<p>“The regulatory framework consists of a main piece of specific legislation, the Instrument for Pre-accession Assistance Regulation (IPA II) along with two additional acts, the Common Rules and Procedures for the Implementation of the Union's Instruments for financing External Action (referred to below as Common Implementing Regulation - CIR) and the Financial Regulation (FR).</p> <p>Based on this legal framework, the European Commission and the Beneficiaries of pre-accession assistance shall conclude Framework Agreements, in order to set out and agree on the rules for co-operation concerning financial assistance. Planning of financial assistance is spelled out in the Strategy Papers, representing the European Commission's strategy for the use of EU funds in each IPA country.</p> <p>This comprehensive set of references fits into the broader context of the basic <i>Enlargement Policy</i> documents, namely, the European Partnerships and Accession Partnerships which present the Commission's overall enlargement policy, as well as the annual Progress Reports.”</p>

	<i>Other evidence</i>
	<p>“The Country Strategy Papers (CSP) and the Multi-Country Strategy Paper (MCSP) are the overarching strategic planning documents from which priorities and objectives of individual programmes derive. They are Implementing Acts (Art. 291 TFEU) adopted by the European Commission following the opinion of the IPA Committee.</p> <p>The role of the Country Strategy Papers is to set the frame for financial assistance over the period 2014-2020, to prepare the ground for Action Programmes, to identify priorities and sequencing for the reforms and investments and to ensure a coherent and consistent approach in line with the enlargement agenda.</p> <p>Similarly, a Multi-Country Strategy Paper defines priorities and conditions for achievement at regional level for multi-beneficiary programmes and for territorial cooperation programmes.</p> <p>Other important documents of reference include the countries’ national plans and sectorial strategies where they are compatible with the pre-accession objectives.”</p> <p>“The European Commission and each Beneficiary shall conclude a Framework Agreement (FA) for the entire programming period. The FA sets out specific provisions for the management, control, supervision, monitoring, evaluation, reporting and audit of IPA assistance. The FA also transposes into the legal order of the Beneficiary the relevant provisions of the Union's regulatory framework.</p> <p>IPA II assistance can only be granted to the Beneficiary after the Framework Agreement has entered into force.</p> <p>The Framework Agreement shall apply to all Financing Agreements.</p> <p>The European Commission and each Beneficiary shall conclude Financing Agreements. Financing agreements shall further detail, inter alia, the terms on which the IPA II assistance shall be managed, including the applicable methods of implementation, aid intensities, implementation deadlines, as well as rules on the eligibility of expenditure. Under indirect management by an IPA II beneficiary the financing agreement shall include the required provisions of Article 40 of Delegated Regulation (EU) No 1268/2012.”</p> <p><i>Source: IPA II Programming Guide</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is assessed as acceptable.

The degree of confidence assessed as satisfactory.

1.1.2 JC12: IPA II focus of programming reflects the recent shift of the enlargement strategy towards the three fundamental pillars (i.e. rule of law, economic governance and competitiveness and public administration reform), in terms of priorities and modalities of intervention and planning of reforms

1.1.2.1 I-121 Level of coherence of IPA II strategy and programming documents with the EU enlargement strategy and its focus on the rule of law, economic governance and competitiveness and public administration reform

<i>I-121</i>	<i>Level of coherence of IPA II strategy and programming documents with the EU enlargement strategy and its focus on the rule of law, economic governance and competitiveness and public administration reform</i>
Indicator Summary	IPA II and EU enlargement strategy documents are coherent. There is a clear focus on the rule of law, economic governance and competitiveness and public administration reform – both found in the enlargement strategy and in IPA II, in the country documents. All Country Action Programmes (CAP) for 2015 list the sectors selected (i.e. the priorities) and actions under these sectors. The identified actions as presented in the CAPs are in line with the enlargement strategy.

I-121	<i>Level of coherence of IPA II strategy and programming documents with the EU enlargement strategy and its focus on the rule of law, economic governance and competitiveness and public administration reform</i>
Review National ISPs	<p><u>Example Albania:</u> EU enlargement: Adoption of the judicial reform package; Adopting legislation on the exclusion of criminal offenders from parliament; A constructive cross-party political dialogue for the sustainability of the EU reform process; Further efforts are needed to sustain fiscal consolidation, improve the business environment and tackle the informal economy.</p> <p>ISP: “pre-accession assistance for the period 2014-2020 will focus on governance and the rule of law and competitiveness and growth... Governance and the rule of law have been identified in the Commission's progress reports on Albania as well as in Council conclusions as key challenges Albania will have to address on its way to accession. The global economic crisis has underlined the need for Albania to strengthen its economic governance in particular the policies towards competitiveness and growth. In this regard, several related sectors need to be supported: in the environment and climate action, transport, and energy sectors, Albania needs to build further capacities to manage these sectors in order to prepare and enforce policies in line with EU legislation and best practice... Economic growth needs strengthening in order to foster the competitiveness and innovation, through strengthening the innovation capacity; through the development of small and medium sized enterprises. Albania's integration in regional and EU markets needs to be enhanced, as well as the contribution of exports to the country's growth. IPA II funding is required to address these needs by supporting the accessibility and demand for business development services, access to finance for SMEs, market integration, and by further developing export markets, including niche markets and tourism...”</p> <p><i>Source: 2015 Enlargement strategy – Albania, compared to ISP Albania</i></p> <p><u>Example Serbia:</u> EU enlargement: Serbia has taken major steps that should lead to the first chapters of the EU accession negotiation being opened. It has finalised comprehensive action plans in the rule of law field... In the rule of law field, judicial reform and the fights against corruption and organised crime will be key. The process of economic reforms needs to continue, with particular emphasis on restructuring state owned enterprises and public utilities...</p> <p>ISP: “The EU assistance to Serbia for the period 2014-20 is designed to support Serbia in its specific path to the EU, in line with the enlargement strategy, which highlights the importance of addressing the fundamentals first in the accession process. The EU financial assistance will complement the national sector reform efforts and assistance by other donors and IFIs on two main pillars: Democracy and Rule of Law, and Competitiveness and Growth... Also, in line with the enlargement strategy specific focus will be put on supporting the reform of the public financial management system, which is both an integral part of the public administration reform efforts and the basis for economic governance and sustainable socio-economic reforms.. The reforms in the Rule of law and fundamental rights sector are a key priority for Serbia, in line with the accession negotiation framework, which incorporates the new approach to the accession negotiations and puts the Rule of Law chapters at the heart of the enlargement process.</p> <p>To support Serbia to achieve sustainable and inclusive growth in line with the Europe 2020 priorities, EU assistance will focus on supporting the key reform measures identified in the biennial Competitiveness and Growth programme as part of the economic governance dialogue.”</p> <p><i>Source: 2015 Enlargement strategy – Serbia, compared to ISP Serbia</i></p>
Review multi-country ISP	<p>IPA II and EU enlargement strategy documents are coherent. Clear focus is on the rule of law, economic governance and competitiveness and public administration reform – both found in the enlargement strategy and in multi-country IPS on IPA II.</p> <p>EU enlargement: “Core issues of the rule of law, fundamental rights, strengthening democratic institutions, including public administration reform, as well as economic development and competitiveness remain key priorities in the enlargement</p>

I-121	<p>Level of coherence of IPA II strategy and programming documents with the EU enlargement strategy and its focus on the rule of law, economic governance and competitiveness and public administration reform</p>
	<p>process... The political, economic and institutional fundamentals are both indivisible and mutually reinforcing. The rule of law and economic development can be seen as two sides of the same coin. Strengthening the rule of law increases legal certainty, encourages and protects investment and contributes significantly to supporting economic development and competitiveness. Conversely, economic reforms and integration have the capacity to stabilize countries in the longer term. It is imperative that the enlargement process facilitates these synergies..."</p> <p><i>Source: EU Enlargement strategy 2015</i></p> <p>ISP: "... the challenges in the area of democracy and the rule of law include the functioning and independence of institutions guaranteeing democracy, empowerment of civil society, fighting organised crime and corruption, ensuring independent, impartial, efficient and accountable judicial systems, as well as safeguarding fundamental rights... the need for all countries in the region to strengthen their governance, in particular economic governance and improving competitiveness in order to meet economic accession criteria. None of the Western Balkans enlargement countries enjoys the status of a functioning market economy, public financial management systems need strengthening and structural reforms need to be prioritised and competitiveness enhanced... As regards competitiveness and growth, significant challenges remain in all enlargement countries, in particular as regards job creation... in view of the common challenges for the enlargement countries a number of common priorities for pre-accession assistance in the period until 2020 can be set out. This relates in particular to the priority of IPA II assistance to support the enlargement countries in addressing the fundamentals first which can be grouped in two main areas of intervention: democracy and the rule of law, and competitiveness and growth."</p> <p><i>Source: Multi-country ISP</i></p>
Review of Annual Action Programmes	<p>All Country Action Programmes (CAP) for 2015 list the sectors selected (i.e. the priorities) and actions under these sectors. As presented in CAPs, all are in line with the enlargement strategy.</p> <p>The Enlargement strategy focus on the rule of law, economic governance and competitiveness and public administration reform. This is clearly translated into IPA II programming (examples below):</p> <p><i>Source: Country Action Programmes 2015</i></p> <p>For example, Montenegro 2015 CAP: "2015 Action Programme for Montenegro will focus on two of the eight priority sectors identified in the Indicative Strategy Paper 2014-2020 - Democracy and Governance and Rule of Law and Fundamental Rights.</p> <p>List of Actions foreseen under the selected Sectors/Priorities:</p> <p>Democracy and Governance:</p> <p>1 - EU Integration Facility,</p> <p>2 - Participation in Union Programmes and Agencies:</p> <p>Rule of Law and Fundamental Rights:</p> <p>3 - Support to implementation of IBM Strategy,</p> <p>4 - Protection of the rights of Roma, Egyptians."</p> <p><i>Source: Montenegro CAP 2015</i></p> <p>Besides coherent focus on "fundamentals first ", 2015 annual programmes also mention specific issues, e.g. floods (Bosnia and Herzegovina), refugees from the Syrian crisis (Turkey), the EU-facilitated Dialogue between Belgrade and Pristina (Serbia, Kosovo).</p> <p><i>Source: Country Action Programmes 2015</i></p>
Review of Country EAMRs	<p>An example of flexibility – Turkey programmes (EAMR):</p> <p>"Not foreseen in the EUD's Annual Management Plan (AMP) 2014, but having gained increasing importance over the year, in the reporting period a number of actions have been programmed and implementation advanced so as to support the</p>

I-121	Level of coherence of IPA II strategy and programming documents with the EU enlargement strategy and its focus on the rule of law, economic governance and competitiveness and public administration reform
	<p>response of the Turkish government to the Syrian crises and the refugees. For instance, a major intervention (total budget EUR 15.6 m) has been contracted supporting the registration capacity of the Directorate General for Migration Management as well as its service delivery capacity to Syrian under temporary protection in Turkey. Moreover, EUD Ankara supported the set-up of first contracts under the EU Trust Fund for Syrian refugees (MADAD Fund) with actions on food security through WFP and education and psycho-social support through UNICEF.”</p> <p><i>Source: EAMR Turkey</i></p>
Review of Enlargement strategy	<p>2015 enlargement strategy is very clear on focus on the rule of law, economic governance and competitiveness and public administration reform in which all IPA beneficiaries face challenges. The way these challenges are addressed corresponds to the stage and extent of the reform in a certain beneficiary/sector. Where basic strategies are missing, those are addressed first; where EU accession process is advanced, subsequent stages of relevant reforms are planned.</p> <p><i>Source: 2015 Enlargement strategy</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR.

Assessment of quality of evidence

The level of information of this indicator is assessed as acceptable.

The degree of confidence assessed as satisfactory.

1.1.2.2 I-122 % of the number of programmed actions on the three pillars to the total number of programmed actions

I-122	% of the number of programmed actions on the three pillars to the total number of programmed actions
Indicator Summary	100% i.e. 37 programmed beneficiary actions in 2015 fall under the following two pillars: Democracy and Rule of Law, Competitiveness and Growth.
Review of Annual Action Programmes	<p>100% i.e. 37 programmed beneficiary actions in 2015 fall under the following two pillars:</p> <p>Democracy and Rule of Law - This first pillar will cover two key sectors: democracy and governance, and rule of law and fundamental rights.</p> <p>Competitiveness and Growth - This second pillar will cover two key sectors, competitiveness and innovation, local development strategies and education, employment and social policies.</p> <p><u>Albania</u> 2015: 100% (5 actions) on the pillars: 4 in Democracy and Rule of Law and 1 in Competitiveness and Growth</p> <p><u>Bosnia and Herzegovina</u> 2015: 100% (6 actions) on the pillars: all 6 in Democracy and Rule of Law</p> <p><u>Kosovo</u> 2015: 100% (7 actions) on the pillars and: 4 in Democracy and Rule of Law, 3 in Competitiveness and Growth;</p> <p><u>Former Yugoslav Republic of Macedonia</u> 2015: 100% (3 actions) on the pillars: 2 in Democracy and Rule of Law and 1 in Competitiveness and Growth</p> <p><u>Montenegro</u> 2015: 100% (4 actions) on the pillars: all 4 in Democracy and Rule of Law (while 4 actions in Competitiveness and Growth are covered by multi-annual)</p> <p><u>Serbia</u> 2015: 100% (4 actions) on the pillars: 3 in Democracy and Rule of Law</p> <p><u>Turkey</u> 2015: 100% (8 actions) on the pillars: 6 in Democracy and Rule of Law (including 1 stand-alone) and 2 in in Competitiveness and Growth</p> <p><i>Source: Country Action Programmes 2015</i></p>

Sources of information used

Documentary analysis;
Interviews DG NEAR.

Assessment of quality of evidence

The level of information of this indicator is assessed as acceptable.
The degree of confidence assessed as satisfactory.

1.1.2.3 I-123 % of the overall IPA II budget (for all Beneficiary countries) dedicated to each of the three priority themes

I-123	% of the overall IPA II budget (for all Beneficiary countries) dedicated to each of the three priority themes																																													
Indicator Summary	<p>As presented in the CAPs, all beneficiary actions for 2015 (100%) are focusing on the 2 following pillars:</p> <p>1. Democracy and Rule of Law 66.56% (469.95 MEUR) and 2. Competitiveness and Growth 33.44% (236.11 MEUR).</p>																																													
Review CAPs 2015	<p>All actions, 37 in total, in IPA beneficiaries refer to the following two pillars: Democracy and Rule of Law and Competitiveness and Growth.</p> <p><u>37 actions of IPA 2015 Programme:</u></p> <p>Total value of EU contribution MEUR</p> <table border="0"> <tr> <td>Albania:</td> <td>89.9</td> <td>(1: 59.9; 2: 30)</td> </tr> <tr> <td>Bosnia and Herzegovina:</td> <td>37.2</td> <td>(1: 14.7; 2: 22.5)</td> </tr> <tr> <td>Kosovo:</td> <td>78</td> <td>(1: 31; 2: 47)</td> </tr> <tr> <td>Former Yugoslav Republic of Macedonia:</td> <td>24.125719</td> <td>(1: 10.825719; 2: 13.3)</td> </tr> <tr> <td>Montenegro:</td> <td>25.123235</td> <td>(1: 25.135235; 2: 0 multi-annual plan)</td> </tr> <tr> <td>Serbia:</td> <td>196.6</td> <td>(1: 131.79; 2: 64.81)</td> </tr> <tr> <td>Turkey:</td> <td>255.1</td> <td>(1: 196.6; 2: 58.5)</td> </tr> </table> <p>Total EU contribution: 706.06 (1: 469.95; 2:236.11)</p> <p>100% on the 2 pillars: 1: 59.9+14.7+31+10.825719+25.135235+131.79+196.6=469.95 2: 30+22.5+47+13.3+0+64.81+58.5=236.11</p> <p>Source: Country Action Programmes 2015</p>	Albania:	89.9	(1: 59.9; 2: 30)	Bosnia and Herzegovina:	37.2	(1: 14.7; 2: 22.5)	Kosovo:	78	(1: 31; 2: 47)	Former Yugoslav Republic of Macedonia:	24.125719	(1: 10.825719; 2: 13.3)	Montenegro:	25.123235	(1: 25.135235; 2: 0 multi-annual plan)	Serbia:	196.6	(1: 131.79; 2: 64.81)	Turkey:	255.1	(1: 196.6; 2: 58.5)																								
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Commitments MIP 2014-2020 by sector up to date (6 October 2016)	<p><i>Table 1 IPA II breakdown by sector (ISP allocations 2014-2017 and allocated, contracted and paid by 6 October 2016 (in million €)</i></p> <table border="1"> <thead> <tr> <th data-bbox="395 1525 730 1648">Sector</th> <th data-bbox="738 1525 906 1648">Sector allocations 2014-2017 (ISP)</th> <th data-bbox="914 1525 1058 1648">Already allocated (MIS*)</th> <th data-bbox="1066 1525 1225 1648">Already contracted (MIS*)</th> <th data-bbox="1233 1525 1377 1648">Already paid (MIS*)</th> </tr> </thead> <tbody> <tr> <td data-bbox="395 1659 730 1704">1. Democracy and governance</td> <td data-bbox="738 1659 906 1704">1065,80</td> <td data-bbox="914 1659 1058 1704">590,66</td> <td data-bbox="1066 1659 1225 1704">69,40</td> <td data-bbox="1233 1659 1377 1704">25,01</td> </tr> <tr> <td data-bbox="395 1715 730 1760">2. Rule of law & fundamental rights</td> <td data-bbox="738 1715 906 1760">784,60</td> <td data-bbox="914 1715 1058 1760">449,00</td> <td data-bbox="1066 1715 1225 1760">45,50</td> <td data-bbox="1233 1715 1377 1760">12,47</td> </tr> <tr> <td data-bbox="395 1771 730 1816">3. Environment and climate action</td> <td data-bbox="738 1771 906 1816">496,20</td> <td data-bbox="914 1771 1058 1816">332,09</td> <td data-bbox="1066 1771 1225 1816">47,62</td> <td data-bbox="1233 1771 1377 1816">26,66</td> </tr> <tr> <td data-bbox="395 1827 730 1872">4. Transport</td> <td data-bbox="738 1827 906 1872">570,60</td> <td data-bbox="914 1827 1058 1872">422,09</td> <td data-bbox="1066 1827 1225 1872">0,00</td> <td data-bbox="1233 1827 1377 1872">0,00</td> </tr> <tr> <td data-bbox="395 1883 730 1928">5. Energy</td> <td data-bbox="738 1883 906 1928">185,00</td> <td data-bbox="914 1883 1058 1928">64,24</td> <td data-bbox="1066 1883 1225 1928">3,44</td> <td data-bbox="1233 1883 1377 1928">0,92</td> </tr> <tr> <td data-bbox="395 1939 730 1984">6. Competitiveness and innovation</td> <td data-bbox="738 1939 906 1984">470,80</td> <td data-bbox="914 1939 1058 1984">190,30</td> <td data-bbox="1066 1939 1225 1984">36,32</td> <td data-bbox="1233 1939 1377 1984">8,23</td> </tr> <tr> <td data-bbox="395 1995 730 2040">7. Education, employment and social policies</td> <td data-bbox="738 1995 906 2040">484,60</td> <td data-bbox="914 1995 1058 2040">46,54</td> <td data-bbox="1066 1995 1225 2040">1,00</td> <td data-bbox="1233 1995 1377 2040">0,26</td> </tr> <tr> <td data-bbox="395 2051 730 2096">8. Agriculture and rural development</td> <td data-bbox="738 2051 906 2096">646,70</td> <td data-bbox="914 2051 1058 2096">75,57</td> <td data-bbox="1066 2051 1225 2096">1,39</td> <td data-bbox="1233 2051 1377 2096">0,59</td> </tr> </tbody> </table>	Sector	Sector allocations 2014-2017 (ISP)	Already allocated (MIS*)	Already contracted (MIS*)	Already paid (MIS*)	1. Democracy and governance	1065,80	590,66	69,40	25,01	2. Rule of law & fundamental rights	784,60	449,00	45,50	12,47	3. Environment and climate action	496,20	332,09	47,62	26,66	4. Transport	570,60	422,09	0,00	0,00	5. Energy	185,00	64,24	3,44	0,92	6. Competitiveness and innovation	470,80	190,30	36,32	8,23	7. Education, employment and social policies	484,60	46,54	1,00	0,26	8. Agriculture and rural development	646,70	75,57	1,39	0,59
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I-123	<i>% of the overall IPA II budget (for all Beneficiary countries) dedicated to each of the three priority themes</i>				
	9. Regional and territorial cooperation	0,00	777,53	392,35	94,12
	20. Support Measures	0,00	35,05	13,13	5,68
	30. Special Measures	0,00	720,00	715,89	30,89
	40. Other Support Activities	0,00	261,45	13,50	7,04
	Grand Total	4704,30	3964,53	1339,54	211,87
Source: Indicative Strategy Papers (ISP) and MIS. *Threshold date for MIS data is 6 October 2016.					

Sources of information used

Documentary analysis;

Data analysis.

Assessment of quality of evidence

The level of information of this indicator is assessed as acceptable.

The degree of confidence assessed as satisfactory.

1.1.2.4 I-124 Degree of use of different interventions' modalities successfully addressing the three fundamental pillars of the enlargement strategy

I-124	<i>Degree of use of different interventions' modalities successfully addressing the three fundamental pillars of the enlargement strategy</i>
Indicator Summary	<p>All IPA II beneficiary actions address the fundamental pillars of the enlargement strategy. The use of intervention modalities reflects the individual readiness/progress in managing funds under responsibility of the beneficiary.</p> <p>Bosnia and Herzegovina and Kosovo use direct management mode. Indirect management mode (by the beneficiary) is gradually and partially introduced in other IPA beneficiaries – in Serbia and Albania recently, so both modes of implementation co-exist while the direct mode still prevails. Indirect management was introduced earlier in Montenegro (since early 2015 for IPA I Components III and IV) and in the former Yugoslav Republic of Macedonia (IPA I Components I, III, IV and V in 2009-2010). In 2015, about 80% (highest rate of all IPA beneficiaries) of the funds were managed indirectly by Turkey.</p> <p>The first budget support programme was adopted in 2014. The use of budget support is expanding across the Western Balkans, focusing often on the “fundamentals” (PFM and PAR).</p>
Review of Country EAMRs 2015	<p>All IPA II beneficiary actions address the fundamental pillars of the enlargement strategy.</p> <p>Bosnia and Herzegovina and Kosovo use direct management mode. Indirect (by the beneficiary) management mode is gradually and partially introduced in other IPA beneficiaries – in Serbia and Albania recently so both modes of implementation co-exist while direct mode prevails. Indirect management was introduced earlier in Montenegro (since early 2015 for IPA I Components III and IV) and in the former Yugoslav Republic of Macedonia (IPA I Components I, III, IV and V in 2009-2010). In 2015 about 80% (highest rate of all IPA beneficiaries) of the funds were managed indirectly in Turkey.</p> <p><u>Albania</u>: Indirect management with the Central Finance and Contracting Unit (CFCU) is one of the modalities used in recent programming, next to direct management, indirect management with international organisations and, since 2014, Sector Budget Support.</p> <p>IPA 2014 National Programme Total value: EUR 66,746,389 Actions under indirect management with the CFCU: EUR 17,300,000 (25.92%) Action under indirect management with the UNDP: EUR 4,000,000 (5.99%) Actions under direct management: EUR 45,446,389 (68.08%) Of which Sector Budget Support - Sector Reform Contract for Public Finance Management: EUR 42,000,000</p> <p>IPA 2015 National Programme Total value: EUR 89,900,000 Actions under indirect</p>

I-124	<i>Degree of use of different interventions' modalities successfully addressing the three fundamental pillars of the enlargement strategy</i>
	<p>management with the CFCU: EUR 15,200,000 (16.91%) Action under indirect management with UN Women: EUR 1,700,000 (1.89%) Actions under direct management: EUR 73,000,000 (81.2%) Of which Sector Budget Support: EUR 59,500,000 - Sector reform contract for public administration reform: EUR 32,000,000 (incl.28,000,000 of budget support, EUR 500,000 of monitoring under direct management, and EUR 3,500,000 of complementary technical assistance under indirect management with the UNDP) - Sector reform contract for employment and skills: EUR 27,500,000 (incl. EUR 27,000,000 of budget support, and EUR 500,000 of monitoring under direct management)</p> <p><u>Bosnia and Herzegovina</u>: direct management mode</p> <p><u>Former Yugoslav Republic of Macedonia</u>: Under IPA I (2007-2013) conferral of management has been granted for Components I, III, IV and V in 2009-2010 while Component II remained under the management of the EU Delegation. In total about 75% of the IPA funds subject to financing agreement are managed under decentralized management where the management powers were conferred to the national authorities. Under TAIB IPA I Component about 53% of the IPA funds are managed by the national authorities, while the decentralization in Components III, IV and V is 100%.</p> <p>Under IPA II, no operations have started in 2015. 14% of the programmed IPA funds will be subject to direct management, 70% - under indirect management with beneficiary country (IMBC) and 16% - under indirect management with international organisations.</p> <p><u>Kosovo</u>: European Commission administers the pre-accession assistance in Kosovo in the direct management mode.</p> <p><u>Montenegro</u>: DIS - Decentralised Management /Indirect Management under IPA II. Currently underway since early 2015 for IPA I Components III and IV.</p> <p><u>Serbia</u>: It was planned that IPA would be implemented essentially under indirect management through the beneficiary country as of IPA 2013. However, the slow progress in the implementation of IPA 2013, combined with the new orientation of DG NEAR policy regarding the choice of modalities, led to the decision to only partially decentralize IPA funds under IPA 2014 and IPA 2015. Thus both modes of implementation will co-exist for the years ahead.</p> <p><u>Turkey</u>: 80% of the contracted funds in 2015 were managed through indirect management by the beneficiary country (IMBC). Sector budget support has so far not been applied as implementation modality in Turkey.</p> <p><i>Source: EAMRs 2015 of the different candidate countries and potential candidates</i></p>
Interviews with DG NEAR	<p>The first BS programme was adopted in 2014: Albania PFM programme.</p> <p>In 2015, two programmes were formulated in Albania (PAR - Public Administration Reform programme, and Employment programme); one programme in Serbia (PAR); one programme in Montenegro (Integrated Border Management - IBM).</p> <p>A number of new programmes will be emerging in 2016 e.g. Kosovo (PAR). Turkey does currently not consider the use of budget support.</p> <p>There are various reasons behind introducing BS under IPA II. One important reason was the desire to have more leverage for policy reforms in IPA II beneficiaries. This comes from the fact that the EU was supporting reforms (such as reforms on Public Finance Management - PFM) that have been delayed in some beneficiaries.</p> <p>The general idea has been to start with the "fundamentals" (PFM and PAR) and then check on a case by case basis whether sector strategies are in place and are credible.</p> <p>Specificities of IPA II BS:</p> <ul style="list-style-type: none"> • Focus on <u>sector</u> reform contract (no <u>general</u> budget support). • No emphasis on poverty reduction unlike at DEVCO. • Fundamental rights aspects are directly dealt with by the political dialogue related to enlargement negotiations. • In terms of variable tranches, they represent around 70% of the programme's

I-124	<i>Degree of use of different interventions' modalities successfully addressing the three fundamental pillars of the enlargement strategy</i>
	<p>budget (very different from DEVCO but very similar to ENI where they represent 72-82%) => idea of using BS for policy leverage (decision of senior management).</p> <ul style="list-style-type: none"> • In general, very ambitious targets are set. Very high expectations in terms of BS's policy leverage. Targets definition is driven by the enlargement process (chapter on negotiations). • Most programmes are 3-year programmes. The Serbia PAR is a 4-year programme because it is a rather big programme. In general, 4-year as time would be better to implement all the ambitious reforms envisaged. • Very strong focus on PFM so far with very detailed indicators (e.g. internal control targets for sector ministries). <p><i>Source: Interviews with DG NEAR</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR.

Assessment of quality of evidence

The level of information of this indicator is assessed as acceptable.

The degree of confidence assessed as satisfactory.

1.1.3 JC13: IPA II responds to the beneficiary needs and progress towards accession of the beneficiary countries

1.1.3.1 I-131 Degree to which the preparation, implementation and monitoring of IPA II actions' identification involves the competent national authorities, including civil society organisations and local authorities

I-131	<i>Degree to which the preparation, implementation and monitoring of IPA II actions' identification involves the competent national authorities, including civil society organisations and local authorities</i>
Indicator Summary	<p>Based on documentation and interviews, IPA II follows an inclusive process particularly in programming. All IPA beneficiaries report on consultations with the civil society organisations (CSOs), mainly in the programming process (making the process more participatory and inclusive). This has been confirmed by field visits. Programming guides also stress the importance of wider participation in programming and in monitoring, e.g. through sector working groups. The role of CSOs in the future monitoring of IPA II is less clear cut at the moment and still needs to be defined.</p>
Review of Country EAMRs	<p>IPA beneficiaries report on consultations with the CSOs, mainly in the programming process (in making it more participatory and inclusive).</p> <p>"Intensive consultations have been held with CSOs about both the need to improve the legal framework for their work and the possible strengthening of their participation in the policy-making process... Specific information and consultation sessions have been organised ... about sector budget support (SBS) in general and on specific sectors included in the SBS programming (Public Administration Reform and Education) in order to promote the participation of CSOs to the process."</p> <p><i>Source: EAMR 2015 Albania</i></p> <p>"Consulting with CSOs and Local authorities (LA) is a crucial component of IPA assistance programming. CSOs have been fully involved in the process of preparation of the first three Sector Planning Documents 2015-2017 under IPA II and subsequent programming exercise for 2015. Their participation in the relevant sub-WG and their feedback has helped the preparation of the sector Planning Documents... Ad hoc consultations have also taken place for the programming of the Civil Society Facility (CSF) 2016/2017. As concerns implementation of programmes, CSOs and LA are part of the consultative group LAG (Local Advisory Group) that meets four times a year. Both CSOs and LAs are also consulted during</p>

I-131	<i>Degree to which the preparation, implementation and monitoring of IPA II actions' identification involves the competent national authorities, including civil society organisations and local authorities</i>
	<p>the implementation of LOD (local democracy) project, which is implemented by UNDP.”</p> <p><i>Source: EAMR 2015 Bosnia and Herzegovina</i></p> <p>“The EU Delegation has established well working mechanisms for consultations with the CSOs on EU assistance. The main vectors of consultations include: - Consultations on EU assistance - In December 2014 an IPA Networking mechanism has been established by 94 CSOs with the objective to contribute to the IPA programming process and the policy dialogue in the 7 sectors, identified with the Indicative Country paper.”</p> <p><i>Source: EAMR 2015 Former Yugoslav Republic of Macedonia</i></p> <p>“The action taken by NIPAC and sector lead institutions so far is considered insufficient and the Delegation is planning further initiatives to push for a more participatory and inclusive approach.”</p> <p><i>Source: EAMR 2015 Turkey</i></p>
IPA quick guide, DG NEAR programming Guide	<p>Programming guides note the importance of wider participation in programming and in monitoring, e.g. in sector working groups.</p> <p>“For Country and Multi-Country Action Programmes in particular, formal and informal consultation shall be organised under the leadership of DG NEAR and/or the relevant EU Delegations. To this end, regular and timely communication with Beneficiaries to facilitate their involvement, and therefore improve their ownership, shall be ensured. Detailed programming plans, including timelines and draft documents shall be circulated and shared.”</p> <p>“The establishment of dedicated Sector Working Groups can also provide an effective operational mechanism for sector strategic planning and programming. They assist in structuring consultation with all institutions involved in sector management and provide an inclusive dialogue forum with all other relevant stakeholders.</p> <p>Consultation with other stakeholders in the relevant sectors must also be organised, as well as more generally with civil society organisations (engagement with civil society being an essential cross-cutting obligations of IPA II programming) and other non-state actors, as appropriate.”</p> <p>“Whatever the type of Action Programme, this initiation phase involves extensive consultation between the European Commission, EU Delegations, the IPA II Beneficiaries and the wider donor community (including Member States), as well as civil society and other non-state stakeholders. Early co-ordination with other donors is important to ensure consistency and co-financing, and to exclude possible double financing.”</p> <p><i>Source: 2014 Quick Guide to IPA programming</i></p>
ISP Serbia, p. 4	<p>Example – consultations on strategy paper – Serbia:</p> <p>“This Country Strategy Paper has been prepared in close partnership with Serbia. Several rounds of consultations were held with the Serbian European Integration Office (SEIO). Specific consultations were organised with the sector working groups composed of representatives of line ministries and other national stakeholders, a number of civil society organisations, EU Member States, other donors and international organisations... The civil society organisations (CSO) have been consulted more widely via SEIO, having in mind SEIO's national leadership in programming of IPA funds. SEIO has organised consultations with CSOs in cooperation with the Office for Cooperation with Civil Society, which is in charge of coordinating the processes with the wide range of CSOs, irrespective of their size, sector or area of work or geographic location. All the consulted stakeholders provided valuable input in their respective fields of expertise. Their comments have been reflected to the extent possible. They will be further taken into account during programming of IPA assistance... “</p> <p><i>Source: ISP Serbia</i></p>

I-131	<i>Degree to which the preparation, implementation and monitoring of IPA II actions' identification involves the competent national authorities, including civil society organisations and local authorities</i>
The tenth development plan Turkey, p. 3	<p>Example – consultations on the development plan – Turkey:</p> <p>“The Tenth Development Plan, coordinated by the Ministry of Development, was prepared with a participatory approach, by contributions of public institutions and organizations, in addition to many representatives from all segments of the society.</p> <p>Coordination of monitoring and evaluation of the progress of the Development Plan will be performed by the Development Plan Monitoring and Direction Committee, which will be directed by the Undersecretary of the Ministry of Development and comprised of high level administrators from related ministries.</p> <p>The principals and methods related to monitoring and evaluation of the Plan will be set by the Cabinet Decree about Application, Coordination and Monitoring of Annual Programs.”</p> <p><i>Source: Turkey Tenth Development Plan 2014-2018</i></p>
Interviews in IPA II beneficiaries	<p>IPA II puts more emphasis on an inclusive programming process, compared to its forerunner. Sector Working Groups (SWG) have been established in all beneficiaries and for all sectors.</p> <p>Their main role so far has been the preparation of Sector Planning Documents and Action Documents.</p> <p>Usually under coordination of a Sector Lead Institution, all institutions relevant for a given sector are present in the Working Group. Civil Society Organisations are part of the Working Groups. Where relevant also Local Authorities, Business Representations and other stakeholders can participate in the work of these Groups. In a number of cases also donors participate in the meetings of the SWGs.</p> <p>The role of SWGs in the future monitoring of IPA II is less clear cut at the moment and still needs to be defined. In some Monitoring Committees (for IPA I) also CSO representatives are present as observers.</p> <p><i>Source: Interviews in IPA II beneficiaries</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is assessed as acceptable.

The degree of confidence assessed as satisfactory.

1.1.3.2 I-132 Degree of alignment of the national or local strategies, policies and measures of the beneficiary countries with the IPA II strategy and programming documents (ISPs)

I-132	<i>Degree of alignment of the national or local strategies, policies and measures of the beneficiary countries with the IPA II strategy and programming documents (ISPs)</i>
Indicator Summary	<p>National strategies are in line with the IPA II strategy and with programming documents. Policies and measures are in line with the national strategies, particularly their more recent updates. Where disparities (e.g. in Bosnia and Herzegovina) have been identified these are addressed either by revising/developing the respective strategies or by freezing IPA assistance in the related area until satisfactory compatibility has been reached. SPDs are not official documents. By definition, SPDs are living documents until a fully fledged sector approach is in place. Their individual quality is variable.</p>
Review National ISPs	<p>ISP Albania, p. 7: “The Government of Albania is preparing a draft National Strategy for Development and Integration (NSDI) for the period 2014-2020. The NSDI provides the strategic framework for all sector and cross-sector strategies and is the backbone of the Integrated Planning System (IPS) – a set of operating principles to ensure that government policy planning, budgeting and monitoring are linked and</p>

I-132	<i>Degree of alignment of the national or local strategies, policies and measures of the beneficiary countries with the IPA II strategy and programming documents (ISPs)</i>
	<p>operate efficiently. The NSDI guides the Medium-Term Budget Programme (MTBP), as well as annual budget allocations, by providing policy objectives which are included in the Ministry of Finance's instructions for the budget preparation by all Ministries and agencies... Albania's national plans are envisaged to be aligned with several regional integration initiatives.”</p> <p>ISP <u>Bosnia and Herzegovina</u>, p. 7-8: “Strategies exist for most of the sectors mainly at the level of the Entities and Cantons, to a lesser extent at the State level. However, most strategies are not harmonised and do not provide for a countrywide implementation of the EU acquis. The few exceptions are the Public Administration Reform (PAR) Strategy, the Justice Sector Reform Strategy (JSRS), the National War Crime Strategy (NWCS), the Strategy for the Implementation of the annex VII of the Dayton Peace Agreement (Refugees and Internally Displaced Persons, including the Sarajevo Process), the Roma Strategy, and the Strategy for Development of Statistics of Bosnia and Herzegovina 2020. Some of the strategies expired or will expire before IPA II starts and need to be updated. Common to the most strategies is that they are not based on a country development strategy or European integration strategy, they are not budgeted, no medium term expenditure and performance management frameworks exist, and only limited sector and donor coordination is available... Former EU assistance delivered a number of draft strategies (e.g. the country development strategy, the SME development strategy); however, there is no political agreement to adopt and implement them.”</p> <p>ISP <u>Kosovo</u>, p. 10-11: “Kosovo does not currently have a comprehensive development strategy. However, a number of mid-term planning documents exist. The Strategy Paper takes into consideration Kosovo's Strategy for European Integration 2014 – 2020, the Declaration of Mid-Term Priority Policies 2014-2016, and the Mid-Term Expenditure Framework (MTEF) 2014-2016. The limitation of these documents is that important policy agendas such as European approximation and economic development are not yet integrated into the budget or MTEF... sector planning in Kosovo is at an early stage. One of the aims of IPA II will therefore be to support Kosovo's institutions in developing comprehensive sector strategies, including the systematic use of strategic planning... Kosovo has started developing multi-annual strategies in most sectors, but many are of limited scope or duration and are not accompanied by a budget. Nevertheless, in a few sectors, comprehensive and realistic sector strategies have been developed by the respective ministries, often assisted by donor partners...”</p> <p>ISP <u>Former Yugoslav Republic of Macedonia</u>, p. 6-7: “The Government has a four-year Programme (2014-2018), which sets out five strategic objectives... that largely coincide with the main objectives for IPA II assistance, namely improving socio-economic development, rule of law and good governance, and are reflected in the National Programme for the Adoption of the Acquis and the Pre-accession Economic Programme. In addition, IPA II will support environment protection and climate action... Important sector strategies that could guide reforms with respect to the main objectives for IPA II assistance are listed... the country currently lacks a national development plan which could provide overall strategic guidance on how it plans to meet its strategic development objectives... The Government is therefore considering developing a national development plan as a way of formulating a comprehensive development agenda that could overarch the country's sector strategies and guide its European integration process.”</p> <p>ISP <u>Montenegro</u>, p. 7-8: “As part of the preparations for the accession negotiations, the Government of Montenegro has engaged in the process of developing new strategies or updating existing ones in order to better focus and sequence the reform efforts of the country in the next period. This is also a requirement stemming from the opening benchmarks for certain negotiating chapters. The planning of IPAII assistance for the period 2014-2020 will seek to support the implementation of the national strategies of Montenegro in line with the priorities identified in this document, as well as in the annual Progress Reports prepared by the European Commission... Montenegro's main overarching strategies are as follows: The Accession Programme of Montenegro (2014-2018), The Montenegro Development</p>

I-132	<i>Degree of alignment of the national or local strategies, policies and measures of the beneficiary countries with the IPA II strategy and programming documents (ISPs)</i>
	<p>Directions (MDD) 2013-2016, The Pre-accession Economic Programme (PEP) 2014-2016. In addition to these overarching strategic documents, relevant strategies are in place to define more focused reform and development plans for each respective sector. In certain cases, detailed action plans have already been prepared for the implementation of such strategies.”</p> <p>ISP <u>Serbia</u>: “The strategic programming document National Priorities for International Assistance in the Republic of Serbia 2014-17 with projections until 2020 (NAD), prepared by SEIO in cooperation with the relevant national authorities following a wide consultation process with development partners and civil society, was adopted in November 2013. Serbia adopted its second Pre-accession Economic Programme (PEP) in December 2013. The PEP provides the overall economic policy framework and objectives for the period 2014-16. The PEPs will be replaced by the National Economic Reform Programmes, which are based on the new enlargement strategy. They will have an increased focus on assessing external sustainability and structural obstacles to growth. In February 2013, Serbia adopted a National Plan for the Adoption of the Acquis (NPAA) 2013-16, which ... establishes a plan for harmonisation with EU legislation and defines human resources required for implementation ... needs to be further complemented by identification of financial resources per measure. In December 2013, Serbia finalised a new national Strategy for Agriculture and Rural Development for the period 2014-2024. The Strategy, although still to be adopted, has been largely consulted with rural stakeholders, provides an overview on development of the agriculture sector, including policy, legal and institutional reforms. During 2014 Serbia is expected to adopt a single investment project pipeline, which should include the most strategic priority investment projects in the environment, transport, energy and competitiveness sectors for the coming years. A National Investment Committee is in the process of being established to monitor its implementation. IPA II funding should concentrate only on those priority investment projects included in the pipeline.”</p> <p>ISP <u>Turkey</u>: “At national level Turkey has a well-developed multi-annual planning process. The 10th National Development Plan (NDP), covering 2014-18 and prepared under the Ministry of Development’s lead, was adopted by the Turkish Grand National Assembly in July 2013. The NDP sets out the country’s development objectives and defines strategic priorities in all the areas relevant for IPA II support... In line with the 10th NDP, Turkey’s Supreme Regional Development Council also developed a new National Strategy for Regional Development (NSRD). This is intended to serve as the backdrop for regional development, help ensure coordination on regional development and regional competitiveness, increase harmonisation between spatial development and socio-economic development policies, and establish a general framework for regional and local level plans and strategies... serves as guidance for the next generation of regional development plans, coordinated by 26 NUTS II development agencies at regional level in line with the Nomenclature of Units for Territorial Statistics (NUTS II)... Turkey’s Public Financial Management and Control Law (PFMC Law) requires a Medium-Term Programme (MTP) to be prepared each year, covering the following three years. This must be linked to a Medium-Term Fiscal Plan (MTFP). The MTP is based on macroeconomic policies and principles, and economic targets and indicators... Turkey also has numerous strategies and action plans in different sectors. In several cases, these are specifically designed to bring Turkey into line with EU requirements. Relevant (macro-) regional strategies and initiatives.”</p> <p><i>Source: Individual national ISPs</i></p>
ISP multi-country	<p>“The Europe 2020 Strategy introduces five measurable EU headline targets for 2020, backed by seven flagship initiatives. While Turkey aims to align directly with the Europe 2020 Strategy, the Western Balkans countries adapted this strategy to their specific situation. The regional strategy South East Europe 2020 is modelled on the Europe 2020 strategy, and it seeks to promote a comprehensive approach to the economic development of the region by stimulating key long-term drivers of growth – innovation, skills and trade integration... The South East Europe Transport Observatory (SEETO) is the regional transport co-operation platform. It defines the</p>

I-132	<i>Degree of alignment of the national or local strategies, policies and measures of the beneficiary countries with the IPA II strategy and programming documents (ISPs)</i>
	<p>SEETO Comprehensive Network that interconnects the region and the neighbouring EU Member States... The Treaty establishing the Energy Community aims to create a stable regulatory and market framework capable of attracting investment in gas networks, power generation, and transmission and distribution networks. In October 2013, the Ministerial Council adopted an SEE Energy Strategy outlining the key objectives and actions needed to create a regional energy market, as well as the investment needs for energy efficiency and renewable energy. They also adopted a list of projects of interest for electricity and gas interconnections that would contribute to the Western Balkans economic development and further EU integration... In October 2013, Ministers from the six Western Balkan countries and Croatia endorsed the Regional R&D Strategy for Innovation. The overall aim of the Strategy is to stimulate growth, competitiveness and employment through four specific regional actions...In its conclusions of 22 October 2013, the Council recognised the added value of macro-regional strategies provided inter alia by strengthening integration of the Member States concerned and cooperation with third countries in the areas of common interest and in addressing common challenges of the respective macro-region, by promoting multi-level governance by encouraging cooperation between regional, national and local levels and by improving access to financing for development of project ideas. The Council emphasised the importance to align available financial sources with the objectives of macro-regional strategies and to prioritise operations deriving from these strategies. These considerations are equally valid for funding from IPA II. More specifically, the Council encouraged the Member States to strengthen cooperation with the countries of the enlargement zone under the EU Strategy for the Danube Region (EUSDR4) and the forthcoming EU Strategy for the Adriatic and Ionian Region (EUSAIR).”</p> <p><i>Source: Multi-country ISP</i></p>
Review National/local Development Strategy documents	<p><u>Draft National Strategy for Development and Integration (NSDI) for the period 2014-2020 Albania:</u></p> <p>p 16-17: “Good Governance and the Rule of Law Albania needs stronger institutions as the foundation for competitiveness and growth, including a strong legal and regulatory framework for businesses and individuals that is effectively implemented. Achieving EU standards in public administration, ensuring transparency in the public sector and expansion of decentralization and local democracy will always remain top priorities for good governance for Albania... Perceptions of the judiciary are crucial to Albanians” experience and view of social justice as well as to foreign and domestic investors” understanding of and confidence in Albania’s environment for doing business... issues: efficiency of the court system; vulnerability of judges to corrupt dealings; full independence of the judiciary; poor quality in some of legislation...”</p> <p>p. 29: “The strategy for adopting EU standards on the environment is more complex and resource intensive than in other sectors... national environmental priorities overall are consistent with EU requirements... environmental reform agenda will be driven by efficiency considerations aimed largely at the introduction of market mechanisms for pollution mitigation and inducing greater private sector participation...”</p> <p>p. 46: “Integrated border management Achieving high standards for border control and surveillance in line with the Schengen Code requirements, harmonization of legislation with EU standards, the strengthening of regional and cross-border cooperation, as well as upgrading of infrastructure at border crossing points (BCPs) were among the major prerequisites that enabled the visa-free travel regime in the EU in 2010. Modernization of border control and surveillance equipment through operationalisation of TIMS integrated information system resulted in improved crime detection rate to 97.1% (870 cases) in 2011, as well as reduced processing time for passengers and vehicles at all BCPs...”</p> <p><u>Kosovo's* Strategy for European Integration 2014 – 2020:</u></p> <p>p. 7, 9: “...the Task Force primarily paid attention to analyse the current state of affairs in Kosovo in all relevant sectors of European Integration... it analysed</p>

I-132	<i>Degree of alignment of the national or local strategies, policies and measures of the beneficiary countries with the IPA II strategy and programming documents (ISPs)</i>
	<p>relevant topics which included a comprehensive and detailed analysis of stakeholders involved in various areas and issues related to the European Integration process. It also entailed an analysis of the existing framework, efforts and practices related to the European Integration process and an analysis of best practices in various policy sectors and areas, with special regard to the successful European Integration experiences from other countries... Participatory discussions were organised in seven Thematic Round Tables (TRTs) matching the thematic division of the Stabilisation and Association Process Dialogue (SAPD): 1. Reform of Public Administration; 2. Justice, Freedom, Security; 3. Economic, Financial and Statistical issues; 4. Trade, Industry, Customs, Taxation, Internal Market, Competition, Consumer and Health Protection; 5. Innovation, Information Society and Social and Health Policies; 6. Transport, Environment, Energy and Regional Development; 7. Agriculture, Fisheries, Forestry, Food Safety and Rural Development... The main goal of this strategy is that by 2020 Kosovo will be better prepared for European Integration. In order to reach this goal, the strategy identifies five priority objectives to be reached: • Governance effectiveness; • Fight against corruption and organised crime; • Economic development; • Engagement of stakeholders; • Advanced (contractual) relations with the European Union. In general, meeting these objectives will not only bring our country closer to the EU but will also give an impetus to overall developments in Kosovo.”</p> <p><u>Montenegro development directions:</u></p> <p>p. 6, 7, 8, 15: “Following the concept of the Europe 2020 Strategy, the MDD are structured in three directions: smart growth, sustainable growth and inclusive growth. The principles of the three growth directions in the Europe 2020 Strategy were the guidelines for selection of development investments and measures of Montenegro in the coming four-year period... In view of meeting the Copenhagen economic criteria, Montenegro is to establish a functional market economy which can sustain the pressure of competition in EU market, increase productivity from domestic resources and strengthen competitiveness in the direction of establishing a sustainable external position... By becoming the candidate country for EU membership Montenegro committed to prepare a strategic development document. The aim of development of this document is primarily to direct funds through the so-called Instrument for Pre-Accession Assistance (IPA) for the Multiannual Financial Framework 2013-2020... The project “Montenegro Development Strategy and National Development Plan” was launched and implemented to this end... The objective of MDD is to establish a consolidated midterm investment and development plan, and thus launch the implementation of development priorities which would stimulate economic growth in the country. A special emphasis has been put on compliance with requirements and standards of EU policies, as well as, on further integration of IPA funds...the MDD are grounded on the following objectives: 1. Detailed assessment of the existing economic, social and environmental situation in Montenegro in the context of the strategy of EU development and specificity of Montenegro; 2. Formulation of strategic and operational development objectives; 3. Identification of key policy areas for accomplishment of strategic objectives; 4. Creation of a consistent matrix of measures and investments within financial possibilities harmonized with macroeconomic and fiscal scenarios. The Development Directions are basically grounded on the following: The concept of “green economy”; Development priorities: tourism, energy, agriculture and rural development and industry; Relevant sectoral strategies; and Macroeconomic and fiscal framework 2013-2016. Within this framework, the MDD identify 18 policy areas for investments and public sector reform. Within these policy areas, there were identified 72 specific and necessary investments/development measures.”</p> <p><u>National priorities for international assistance 2014-2017 with projections until 2020 Serbia:</u></p> <p>p. 21-24: “The start of negotiations will represent a major change in relations with the EU and will significantly shape the work of the public administration for the coming years... An important benchmark ... was the adoption by the Government</p>

I-132	<i>Degree of alignment of the national or local strategies, policies and measures of the beneficiary countries with the IPA II strategy and programming documents (ISPs)</i>
	<p>(Feb 2013) of a National Plan for Adoption of the Acquis (NPAA) for the period 2013-2016... a multiannual programme of all legislation to be adopted in order to implement obligations from the SAA22 and prepare for further alignment with the Acquis. ...establishes a detailed plan for the harmonisation of legislation and defines human and budget resources and other resources required for the implementation of the envisaged tasks... the Coordination Body for the European Union accession process has been established in order to examine all issues and coordinate the work of Ministries and government bodies related to EU accession. The Coordination Body is headed by Prime Minister. Expert group of the Coordination body – headed by the Director of the European Integration Office and comprising of heads of working groups for negotiations; it is the main body for horizontal coordination of the accession process. Accession negotiations will lead towards further harmonisation of domestic legislation with EU law and will mean further mobilisation of the existing structures; it will also require the involvement of highest possible spectrum of society in order to gain support to this most challenging national task. Experiences of other countries are showing that the composition of every negotiation group (and position) has to reflect the broadest possible interests in every area.”</p> <p>p. 63: “The Communication from the Commission on Europe 2020 sets out a strategy for smart, sustainable and inclusive growth. The flagship initiative European Platform against Poverty and Social Exclusion is stressing the need to closely integrate social inclusion and antidiscrimination, addressing among other issues, migration management, integration of migrants, upholding human rights and antidiscrimination policy... The aim of the European Union’s home affairs policy is to create an area without internal borders where people may enter, move, live and work freely, confident that their rights are fully respected and their security assured... contains several strategies and policies tackling individual safety and security issues.”</p> <p><u>The tenth development plan Turkey 2014-2018:</u></p> <p>p. 9-10: “... the EU, which is currently the largest trading partner, provides the largest amount of foreign direct investment and inhabits significant number of Turkish citizens... Besides economic relations, EU’s political experience based on reconciliation culture provides significant opportunities for advancement in institutionalization, improvement of life quality, adaptation of advanced standards and norms, and capacity development... The Customs Union, as a key stage in progress of commercial and economic relations between Turkey and the EU, is considered as a part of the process leading to membership for Turkey. On the other hand, the Customs Union limits Turkey from free determination of trade relations with third countries. It is essential that Turkey continues to improve recently intensified global economic and social cooperation activities, and relations with neighbours while pursuing the EU membership target...”</p> <p>p. 47: “In the Ninth Development Plan period, basic laws such as the Turkish Code of Obligations, the Code of Civil Procedure, the Turkish Commercial Code and the Law on Mediation in Civil Disputes have been promulgated... With these codes, most obligations required by EU acquis have been met and important steps to harmonize Turkish law with EU law have been taken.”</p> <p>p. 99: “...harmonization efforts with the EU acquis continued in agriculture in chapters; “Agriculture and Rural Development”, “Food Safety, Veterinary and Phytosanitary” and “Fisheries”. However, only “Food Safety, Veterinary and Phytosanitary” chapter has been opened for negotiation...”</p> <p>p. 136: “Rural development supports will be provided in a way that would improve competitiveness in agriculture. The commonality of objectives between the EU funds and national funds will be strengthened.”</p> <p><i>Source: National development strategies IPA countries</i></p>
	<p>“The Sector Planning Document aims at a) assessing the degree of readiness in relation to the sector approach as well as b) planning and sequencing IPA II Actions (it is an IPA II specific tool). The level at which this document is used is flexible, i.e.</p>

I-132	<i>Degree of alignment of the national or local strategies, policies and measures of the beneficiary countries with the IPA II strategy and programming documents (ISPs)</i>
	<p>at the level of an entire sector (CSP sector) of a 'sub-sector', depending on the purpose, size of the country, etc. Preparing this document is mandatory until the given sector has reached the required sector approach maturity to move towards fully-fledged sector support. However, the format/structure (apart for the section on sector approach assessment in Part I) and level of details are not prescriptive”</p> <p><i>Source: SPD template</i></p>
Interviews	<p>The ISPs are the highest level documents. Sector Planning Documents (SPDs) are not official documents which helps to keep them flexible (can be updated as needed without any formal approval process). By definition, SPDs are living documents until a fully fledge sector approach is in place. Their quality is variable. Indicators are not particularly strong in many SPDs. This remains a concern also for the ADs.</p> <p>The SPDs should also have as an annex a 'Sector Approach Road Map' which plans out the use of IPA II in terms of planned interventions and also expected results. These are under development in the IPA beneficiaries and the aim is to have them all ready by the end of the year.</p> <p>Sector Reform Contracts are also part of the SPDs and specifically lay out budget support objectives and implementation arrangements. The official documents for the sector approach are the Annual Action Programmes, which should conform to the sector priorities and objectives laid out in the SPDs.</p> <p><i>Source: Interviews with DG NEAR</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR.

Assessment of quality of evidence

The level of information of this indicator is assessed as acceptable.

The degree of confidence assessed as satisfactory.

1.1.3.3 I-133 Evidence (nature and scope) of a clear link between the status of the Beneficiary countries (towards their accession to EU) and IPA II indicative (country & multi-country) strategy papers

I-133	<i>Evidence (nature and scope) of a clear link between the status of the Beneficiary countries (towards their accession to EU) and IPA II indicative (country & multi-country) strategy papers</i>
Indicator Summary	<p>There is a clear link between the actual stage of EU accession and the IPA II strategy papers for a given beneficiary. Beneficiary-specific differences in terms of accession status are clearly spelled out in the related strategy papers. Depending on the beneficiary, references are made to the Stabilisation and Association Agreements and/ or the award of candidate status.</p> <p>Where sectoral operational programmes under IPA I were deployed (Turkey, the former Yugoslav Republic of Macedonia and since 2012 Montenegro) this often created a basis for the sectoral approach in these countries (in particular rural development in Turkey).</p>
Review National ISPs	<p><u>Albania</u>: “In June 2014, the European Council granted candidate status to Albania. The rule of law will remain at the heart of the enlargement process. The full and timely implementation of the relevant strategies and the action plans in the area of rule of law and fundamental rights will be essential in this regard...Albania's economic situation requires strengthening of economic governance to progress towards gradually becoming a functioning market economy. In line with the Commission's Enlargement Strategy of October 2013, enlargement countries including Albania are invited to enhance economic policy and its governance through the preparation of annual National Economic Reform Programmes and a Competitiveness and Growth Programme which will be submitted every second year. The National Economic Reform Programmes will lead to beneficiary-specific</p>

I-133	<i>Evidence (nature and scope) of a clear link between the status of the Beneficiary countries (towards their accession to EU) and IPA II indicative (country & multi-country) strategy papers</i>
	<p>policy guidance on reforms needed for achieving further progress in gradually meeting the economic accession criteria. An integral part of the EU enlargement strategy regarding Albania is public financial management... Albania has policies and strategies in place for reforms and investments which will facilitate its EU accession process. The EU's financial assistance will help to drive these reforms forward, facilitate investments relevant for the accession process and contribute to Albania's socio-economic development.”</p> <p><i>Source: ISP Albania</i></p> <p><u>Bosnia and Herzegovina</u>: “Bosnia and Herzegovina is a potential candidate for EU membership. The Stabilisation and Association Agreement (SAA) between the EU and Bosnia and Herzegovina was signed in June 2008... The SAA has not yet entered into force because Bosnia and Herzegovina does not meet the remaining requirements, notably a credible effort in implementing the European Court of Human Rights judgement in the Sejdić-Finci case.</p> <p>In order to benefit from support through a sector approach, existing strategies should be based on a budget, a medium term expenditure and performance management framework, should address sector and donor coordination and, in the particular case of Bosnia and Herzegovina, should facilitate a countrywide harmonised implementation of the EU acquis. None of the sectors envisaged for support by the new instrument appears at present suitable for support through a sector approach. However, the EU will continue to support the preparation and gradual implementation of suitable strategies. In particular, EU assistance aims to create the capacities for strategic planning and the preparation for sector support. Until sectors are mature for support through a sector approach, the assistance will be provided through standalone actions, prepared in line with valid strategies... IPA funds in Bosnia and Herzegovina will be managed mainly through direct management... Bosnia and Herzegovina has not made the necessary preparations for indirect management of EU assistance.”</p> <p><i>Source: ISP Bosnia and Herzegovina</i></p> <p><u>Kosovo</u>: “A Stabilisation and Association Agreement (SAA) between the European Union and Kosovo was signed in October 2015... To meet its obligations under an SAA, Kosovo will need in particular to: improve the rule of law, judiciary; increase the efficiency and transparency of its public administration; finalise the electoral reform; strengthen the functioning of the Assembly; strengthen the enforcement of human and fundamental rights; improve the protection of minorities; improve trade and internal market issues; progress in the alignment to the EU standards in the phytosanitary and veterinary field... Following a resolution by the UN General Assembly of September 2010, the European Union has been facilitating a technical dialogue between Kosovo and Serbia. This dialogue has resulted in a number of technical agreements... Kosovo does not currently have a comprehensive development strategy. However, a number of mid-term planning documents exist. The Strategy Paper takes into consideration Kosovo's Strategy for European Integration 2014 – 2020, the Declaration of Mid-Term Priority Policies 2014-2016, and the Mid-Term Expenditure Framework (MTEF) 2014-2016. The limitation of these documents is that important policy agendas such as European approximation and economic development are not yet integrated into the budget or MTEF... If the sector approach is to be applied in a particular area, certain criteria will have to be met. The Kosovo government will have to put in place policies and strategies, medium-term budget frameworks, coordination and monitoring mechanisms, and arrangements that allow for the evaluation of results and impact. Kosovo is at an early stage in this regard.”</p> <p><i>Source: ISP Kosovo</i></p> <p><u>Former Yugoslav Republic of Macedonia</u>: “The country was granted candidate status by the European Council in December 2005... The Commission has also recommended, since 2009, to move to the second stage of the association, in line with the relevant provisions of the SAA. No decision has been taken... The sustainability of EU financial assistance is linked to a credible EU perspective. The</p>

I-133	<p>Evidence (nature and scope) of a clear link between the status of the Beneficiary countries (towards their accession to EU) and IPA II indicative (country & multi-country) strategy papers</p>
	<p>High Level Accession Dialogue (HLAD), launched in March 2012 between the government and the Commission, injected new dynamism into the EU-related reform process but cannot replace the accession negotiations... The Government has a four-year Programme (2014-2018), which sets out five strategic objectives that largely coincide with the main objectives for IPA II assistance, namely improving socio-economic development, rule of law and good governance, and are reflected in the National Programme for the Adoption of the Acquis (NPAA) and the Pre-accession Economic Programme (PEP). In addition, IPA II will support environment protection and climate action... In 2009, the Commission conferred IPA management powers to the national administration for IPA Component V without ex ante controls. In the same year, the Commission also conferred management powers with ex ante control for IPA Components III and IV, and, in 2010, for IPA Component I. Management of funds is being ensured by the so-called Decentralised Implementation System (DIS) for which the administration is currently employing around 400 staff... The administrative capacities of the country's IPA structures have improved in recent years, but there are still shortcomings which have led to a backlog in procurement, a low rate of contracting and a risk of de-commitment of IPA funds... to increase the effectiveness of IPA II, all management modes will be considered for implementation of the assistance. In parallel, the national authorities, in partnership with the European Commission, must continue to take appropriate measures to lower the risk of de-commitments of IPA I funds.”</p> <p><i>Source: ISP Former Yugoslav Republic of Macedonia</i></p> <p><u>Montenegro</u>: “On 29 June 2012, following the endorsement by the European Council, the accession negotiations with Montenegro were opened... The Commission and Montenegro embarked on a screening process of all national legislation in the light of the EU acquis, which resulted in screening reports for 33 negotiations chapters outlining the state of Montenegro's preparations in each area and the conditions to be met for opening and closing the respective chapter... Montenegro's efforts in the context of accession negotiations will have to focus on fully meeting the political and economic Copenhagen criteria for EU membership, as well as the ability to assume the EU acquis... As regards the economic criteria, Montenegro is not yet a functioning market economy... The implementation of pre-accession assistance programmes is currently managed by the EU Delegation in Podgorica. Montenegro applied to the European Commission for the conferral of management for the implementation of the current IPA programmes under IPA components I-IV and the preparation of the necessary structures and administrative capacity is well advanced.”</p> <p><i>Source: ISP Montenegro</i></p> <p><u>Serbia</u>: “The European Council granted Serbia candidate country status in March 2012. In June 2013 the European Council decided on opening accession negotiations. The Commission was also asked to carry out an analytical examination of the EU acquis with Serbia, which started in September 2013. Also in September 2013, the Stabilisation and Association Agreement... entered into force. The Council adopted the framework for negotiations with Serbia in December 2013, and the first intergovernmental conference with Serbia took place in January 2014, signalling the formal start of the accession negotiations... Serbia adopted its second Pre-accession Economic Programme (PEP) in December 2013. The PEP provides the overall economic policy framework and objectives for the period 2014-16. The programme aims to reduce budget deficits, limit the increase of government debt and accelerate growth and structural reforms. To that effect, the adoption of all necessary system-related laws should be accelerated, and the implementation of the enacted laws and regulations ensured, geared to establishing a market economy, macroeconomic stability and the rule of law as well as curbing corruption and organised crime. The PEPs will be replaced by the National Economic Reform Programmes, which are based on the new enlargement strategy... Serbia is preparing its first Employment and Social Reform Programme (ESPRP) including inclusive growth issues and complementing other aspects of economic governance. This set up will be complemented by adoption of a Competitiveness and Growth</p>

I-133	<p>Evidence (nature and scope) of a clear link between the status of the Beneficiary countries (towards their accession to EU) and IPA II indicative (country & multi-country) strategy papers</p>
	<p>Programme in 2016... In February 2013, Serbia adopted a National Plan for the Adoption of the Acquis (NPAA) 2013-16, which is subject to annual revision. The NPAA establishes a plan for harmonisation with EU legislation and defines human resources required for implementation. It needs to be further complemented by identification of financial resources per measure... Serbia has gradually moved to sector approach since 2011. Serbia has also started recently to move towards a multi-annual perspective in planning of EU assistance. The minimum conditions are therefore now in place so that assistance can be addressed through sector approach and with a multi-annual planning perspective in all the sectors. Sector working groups are functioning, donor coordination mechanisms under the leadership of the SEIO have been set up and institutional setting with lead institutions for each sector has been identified with sufficient capacity for implementation... weaknesses that hinder the move to fully-fledged sector approach concern the lack of well-defined national sector strategies (due to too many overlapping strategies in each sector) and the lack of clear link between national strategies and the national budgetary process... IPA funds in Serbia will be managed mainly through indirect management. Serbia has made the necessary preparations for indirect management of EU assistance”</p> <p><i>Source: ISP Serbia</i></p> <p><u>Turkey:</u> “Turkey is the biggest of the candidate countries for EU accession... As regards the political criteria, the democratic transformation of the country needs to continue. The rule of law is at the heart of the accession process and is a key pillar of the Copenhagen political criteria. Social and political events in Turkey in 2013 and 2014 demonstrated the need to continue reforms in this crucial field... Good governance is also a key priority. This includes public administration reform, and improving economic governance and public financial management... Turkey also needs to address shortcomings in justice, freedom and security. Its capacity to manage irregular migration and its fight against terrorism and organised crime are priority areas which require substantial reform. Reforms to integrated border management are required, including Turkey’s adoption of necessary legislation, and Turkey’s institutional capacity must be improved... Given Turkey’s potential to become an energy hub and the common challenges it shares with the EU, the energy sector remains a priority for the EU. Continued efforts would allow Turkey to improve inter-connectivity and integration of gas and electricity... The minimum conditions are in place in most sectors to allow pre-accession assistance to Turkey to be implemented through sector-oriented actions with multi-annual planning, and gradually through sector approaches. The institutional setting and lead institutions for each sector have been agreed with the Turkish authorities, the relevant national strategies and action plans have been mapped, and sector working groups have been set up and have begun consultations for programming preparations... main weaknesses hindering the move to fully-fledged sector approaches include, the lack of well-defined national sector policies/strategies, due to too many overlapping strategies and — in some cases — outdated action plans, a lack of sequencing and timing for activities set out in action plans, the lack of a clear link between national strategies/action plans and the national budgetary process, and a lack of fully structured coordination with IFIs and other donors under the leadership of the Turkish authorities... In recent years pre-accession assistance to Turkey has been managed with indirect management... in fields such as environment, transport, regional competitiveness, human resource development and rural development... Turkey needs, however, to strengthen its capacity to absorb funds, achieve results and implement EU financial assistance in a timely manner... At national level Turkey has a well-developed multi-annual planning process. The 10th National Development Plan (NDP), covers 2014-18...”</p> <p><i>Source: ISP Turkey</i></p>
Review 2015 reports Accompanying the EU	<p><u>Albania:</u> “The European Council of June 2014 endorsed the decision of the General Affairs Council granting Albania candidate status...The indirect management modality has been introduced with a pilot approach for the IPA 2013 national programme. Under IPA II, Albania will continue to benefit from pre-accession</p>

I-133	<i>Evidence (nature and scope) of a clear link between the status of the Beneficiary countries (towards their accession to EU) and IPA II indicative (country & multi-country) strategy papers</i>
Enlargement Strategy	<p>assistance for 2014-2020 in line with the priorities set out in the indicative strategy paper, with a total indicative allocation of € 649.4 million. The 2014 action programme for Albania provides approximately € 67 million to promote reforms in key sectors such as democracy and governance and rule of law and fundamental rights. It includes a budget support operation for public finance management and a set of actions for support to public administration reform, participation in union programmes and economic and social empowerment of minority groups, as well as an EU integration facility.”</p> <p><u>Bosnia and Herzegovina</u> “participates to the Stabilisation and Association Process and is a potential candidate for EU membership. Meaningful progress in the implementation of the Reform Agenda adopted in July 2015 by the country authorities is necessary for the EU to consider an EU membership application from Bosnia and Herzegovina... The EU Delegation to Bosnia and Herzegovina is responsible for implementing financial assistance as well as ensuring coordination of assistance with the Member States. The country’s authorities have yet to establish the structure necessary for indirect management of EU funds. A new framework programme under IPA II, covering for 2014-2017 period and providing for some €160 million as well as over €40 million for further flood recovery measures was adopted in December 2014. In the absence of countrywide strategies in many sectors, the IPA II Country Strategy Paper is restricted to the period 2014-17, as compared to the full period for IPA II 2014-20 and the following sectors: democracy and governance; rule of law and fundamental rights; competitiveness and innovation, local development strategies; education, employment and social policies. The establishment of a coordination mechanism on EU matters and countrywide sector strategies remain key requirements for Bosnia and Herzegovina to benefit fully from IPA funding.”</p> <p><u>Kosovo</u>: “On 27 October 2015, the European Union signed a Stabilisation and Association Agreement (SAA) with Kosovo. The SAA constitutes the first contractual relationship between the EU and Kosovo. The SAA is a comprehensive agreement that provides a framework for political dialogue and covers co-operation in a wide variety of sectors, including justice and home affairs, trade, education, employment, energy, environment and a range of other policy areas... The IPA 2014 programme was approved by the IPA Committee on 27 November 2014 with an EU contribution of EUR 66.05 million, complemented with co-financing from Kosovo for an overall budget of EUR 75.38 million...”</p> <p><u>Former Yugoslav Republic of Macedonia</u>: “Over the period 2007-13, the EU provided financial assistance to the country under the Instrument for Pre-accession Assistance (IPA). It has allocated a total of EUR 610 million to the country, complemented by IPA multi-beneficiary programmes. Of this overall amount, the national authorities are directly responsible for managing about EUR 470 million under the decentralised implementation system (DIS). The delays in procurement under the DIS led to a situation in which the country was unable to implement EUR 70 million of IPA funds by the end of 2014, which were returned to the EU budget. Due to the limited national capacity to programme and to absorb IPA funds, there is a risk that further funds will be unused... IPA II National Programme for 2014... addresses the sectors of democracy and governance, rule of law and fundamental rights, competitiveness and innovation, agriculture, transport and environment. The government adopted sector operational programmes on transport 2014-2020, as well as on environment and climate action, 2014-2020. The Framework Agreement between the country and the Commission on IPA II was ratified by the government on 10 June 2015, enabling the implementation of IPA II funds.”</p> <p><u>Montenegro</u>: “Within the framework of the accession negotiations, by September 2015, 20 chapters, including chapters 23 and 24 on the rule of law, had been opened, two of which, i.e. science and research, and education and culture, have been provisionally closed... Under IPA II, Montenegro will continue to benefit from pre-accession assistance for 2014-2020 in line with the priorities set out in the Indicative Strategy Paper, with a total indicative allocation of € 270.5 million...The 2014 action programme for Montenegro provides € 35.7 million to support efforts on</p>

I-133	<i>Evidence (nature and scope) of a clear link between the status of the Beneficiary countries (towards their accession to EU) and IPA II indicative (country & multi-country) strategy papers</i>
	<p>rule of law and public financial management, and to address key requirements of the accession negotiations over a broad number of chapters (and to improve safety in the transport sector.”</p> <p><u>Serbia</u>: “Within the framework of the accession negotiations, the analytical examination of the EU <i>acquis</i>, was successfully completed in March 2015. So far, 14 screening reports have been tabled in the Council. The action plans for chapters 23 and 24 have been finalised, sketching out a comprehensive reform agenda in the area of the rule of law... Under IPA II, Serbia continues to benefit from pre-accession assistance with a total indicative allocation of € 1.5 billion for the period 2014-2020. The IPA National Programme 2014 amounts to € 115 million overall, with most of the funding supporting public administration reform, justice and home affairs, competitiveness, education and energy... Urgent action is needed from Serbia to strengthen the Audit Authority, which remains critically weak. This led to the suspension of assistance and the freezing of payments to Serbia related to the implementation of IPA 2013 National Programme under decentralised management...”</p> <p><u>Turkey</u>: “Within the framework of accession negotiations, 14 chapters have been opened so far and one of these was provisionally closed... Regarding financial assistance Turkey is an important recipient of EU funds. The Commission and Turkey continued preparations under the new Instrument for Pre-accession Assistance (IPA II), in line with the Indicative Strategy Paper for Turkey for the period 2014- 2020 which earmarked EUR 4.45 billion of funding. In December 2014, the Commission adopted the annual programme for 2014, with a budget of EUR 366 million focusing primarily on democracy and governance, rule of law and fundamental rights. It also adopted four sectoral multi-annual programmes for the period 2014-2016, for an amount of EUR 793 million, in the areas of environment and climate change, transport, competitiveness, employment and social inclusion...”</p> <p><i>Source: 2015 Country Reports accompanying the EU Enlargement Strategy</i></p>
Interviews in the IPA II beneficiary countries	<p>Stakeholders in the candidate countries and potential candidates in general confirmed that the individual strategy papers suit the stage of their EU accession/European path.</p> <p>Where sectoral operational programmes under IPA I components III, IV and V were deployed (Turkey, the former Yugoslav Republic of Macedonia and since 2012 Montenegro) this often created a basis for the sectoral approach in these countries. Where the managing authorities and operating structures have acquired experience of programming, implementing and monitoring IPA support at a sector level using multi-annual funding, these skills are being deployed for IPA II. This mostly evident in Turkey, where IPARD has demonstrated strong strategic alignment between national and IPA policy, with IPARD also influencing the national policy approach towards regional development in Turkey.</p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is assessed as acceptable.

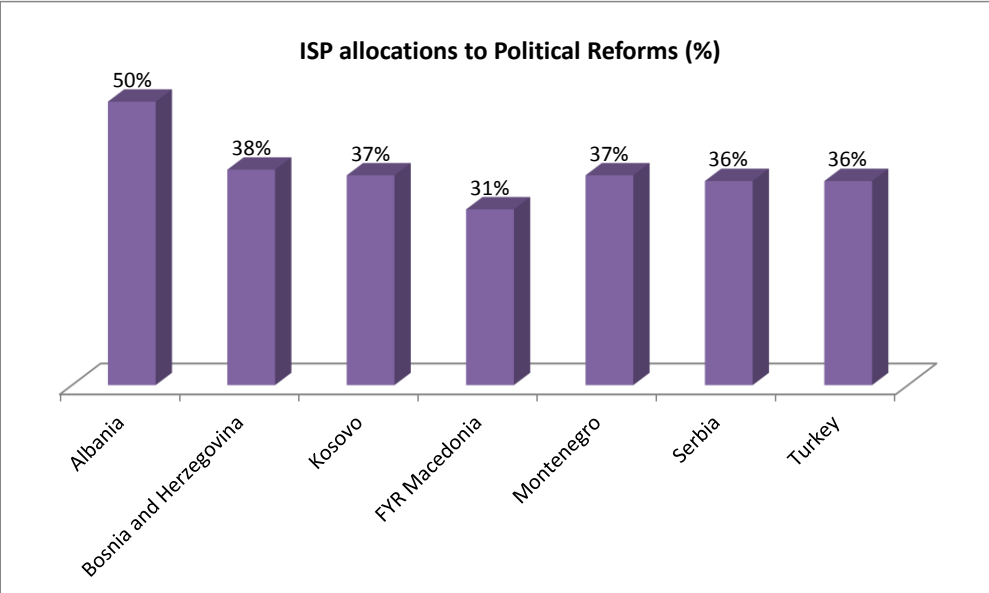
The degree of confidence assessed as satisfactory.

1.2 EQ 2 on effectiveness, impact, sustainability

To what extent does IPA deliver results as compared to the instrument's objectives, and specific EU priorities?

1.2.1 JC21.1: IPA actions contribute towards actual political reforms

1.2.1.1 I-211.1 Number of IPA II programmes which include actions supporting political reforms

I-211.1	<i>Number of IPA II programmes which include actions supporting political reforms</i>																
Indicator Summary	<p>All ISPs and AAPs prominently feature issues linked to political reforms as defined by the IPA II regulation (referred to as 'reforms in preparation for Union membership' in programming documents). These are programmed under two sectors – Democracy & Governance (D&G); and Rule of Law and Fundamental Rights (RoL/FR). This prominence in the programming documents highlights the importance placed on this issue by the EC and IPA beneficiaries. This importance is reflected in the financial allocations to these sectors. The percentage allocated from the overall allocations in the ISPs varies between 50% (Albania) and 31% (Former Yugoslav Republic of Macedonia). This pattern is largely comparable in the AAPs. In some years, the allocations consume all or a major percentage of the allocated annual funds (e.g. Bosnia and Herzegovina 2014 AAP and Turkey 2015 AAP). These allocations finance actions covering a range of key issues such as PAR, police reform, anti-corruption, border management, PFM etc.</p> <p><i>Figure 1</i> <i>ISP allocations to Political Reforms, in %</i></p>  <table border="1" data-bbox="395 994 1388 1585"> <caption>ISP allocations to Political Reforms (%)</caption> <thead> <tr> <th>Country</th> <th>Allocation (%)</th> </tr> </thead> <tbody> <tr> <td>Albania</td> <td>50%</td> </tr> <tr> <td>Bosnia and Herzegovina</td> <td>38%</td> </tr> <tr> <td>Kosovo</td> <td>37%</td> </tr> <tr> <td>FYR Macedonia</td> <td>31%</td> </tr> <tr> <td>Montenegro</td> <td>37%</td> </tr> <tr> <td>Serbia</td> <td>36%</td> </tr> <tr> <td>Turkey</td> <td>36%</td> </tr> </tbody> </table> <p><i>Source: ISPs 2014-2020 for all candidate countries and potential candidates</i></p> <p>The indicative annual amounts in the ISPs and the actual allocations in the AAPs for political reform-linked actions are broadly aligned. These are mostly front-loaded in the first programming years.</p>	Country	Allocation (%)	Albania	50%	Bosnia and Herzegovina	38%	Kosovo	37%	FYR Macedonia	31%	Montenegro	37%	Serbia	36%	Turkey	36%
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	<p>Figure 2 <i>IPA funds targeting political reforms in AAPs, in %</i></p> <p style="text-align: center;">IPA funds targeting political reforms in AAPs (% of total allocation)</p> <table border="1" style="margin-left: auto; margin-right: auto;"> <thead> <tr> <th>Country</th> <th>AAP 2014 (%)</th> <th>AAP 2015 (%)</th> </tr> </thead> <tbody> <tr> <td>Albania</td> <td>100</td> <td>63</td> </tr> <tr> <td>Bosnia</td> <td>33</td> <td>100</td> </tr> <tr> <td>Kosovo</td> <td>57</td> <td>0</td> </tr> <tr> <td>FYR Macedonia</td> <td>65</td> <td>45</td> </tr> <tr> <td>Montenegro</td> <td>35</td> <td>100</td> </tr> <tr> <td>Serbia</td> <td>75</td> <td>67</td> </tr> <tr> <td>Turkey</td> <td>57</td> <td>77</td> </tr> <tr> <td>MCP</td> <td>38</td> <td>23</td> </tr> </tbody> </table> <p><i>Source: AAP 2014 & AAP 2015 for all IPA beneficiaries</i></p>	Country	AAP 2014 (%)	AAP 2015 (%)	Albania	100	63	Bosnia	33	100	Kosovo	57	0	FYR Macedonia	65	45	Montenegro	35	100	Serbia	75	67	Turkey	57	77	MCP	38	23
Country	AAP 2014 (%)	AAP 2015 (%)																										
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MCP	38	23																										
Albania ISP 2014-20	<p>The ISP 2014-20 explicitly states political reforms as an expected result “Democratic institutions conform to legal framework and allowing for consensus building to support EU-related reforms”; just under 50% of indicative budget allocated to measures that broadly support political reforms (Democracy & Governance, RoL and Fundamental Rights).</p> <p><i>Source: Albania ISP 2014-20</i></p>																											
AAP 2014	<p>The AAP 2014 allocates all funds to sectors linked to political reforms. Support to the 'democracy and governance' sector is: action 1 (€40M) specifically public finance management (PFM) and public administration reform (PAR) to be delivered through BS. Also it contains one action for fight against organised crime. Action 3 (EU integration facility - €M10.3) aims to Increase capacity of the Parliament to adopt EU-compliant legislation, supervise the executive power and inform the public opinion on parliamentary works. Action 6 covers the RoL/FR sector, with M€4.0 allocated to Roma/Egyptian communities.</p> <p><i>Source: Albania AAP 2014</i></p>																											
AAP 2015	<p>The AAP 2015 also prioritises political reforms. Sectors 1 & 2 (D&G/RoL & FR) has €M59.9 allocated to it (63% of total funding), primarily on PAR and police reform.</p> <p><i>Source: Albania AAP 2015</i></p>																											
Bosnia and Herzegovina ISP 2014-17	<p>The ISP 2014-17 prioritises democracy and RoL (D&G) as one of the two main pillars of support (M€64 or 38% of funds). The funding perspective for the whole ISP is till 2017, not 2020 as elsewhere.</p> <p><i>Source: Bosnia and Herzegovina ISP 2014-17</i></p>																											
AAPs	<p>The 2014 AAP has for Sector 1 (D&G/RoL & FR) a modest allocation (€M7.58 or 33%). By contrast the AAP 2015 allocates the whole amount of funding to political reform related areas. D&G has €M14.7 and RoL/FR M€22.5 (€37.2/100%).</p> <p><i>Source: Bosnia and Herzegovina AAPs 2014 & 2015</i></p>																											
Kosovo ISP 2014-20	<p>The ISP 2014-20 focuses support on both main sectors. For D&G the main focus of assistance is PAR. Support to RoL & FR also prominent. Total amount allocated to support linked to political reforms is indicatively €M236.6 (37%).</p> <p><i>Source: Kosovo ISP 2014-20</i></p>																											
AAP 2015, 2014	<p>Funding for actions linked to political reforms are contained within the D&G sector (M€17.3) and RoL/FR sector (M€20.6). In total this constitutes 57% of annual allocation. Information for allocations from the 2015 AAP is not known yet.</p> <p><i>Source: Kosovo AAP 2014 & 2015</i></p>																											

I-211.1	<i>Number of IPA II programmes which include actions supporting political reforms</i>
Former Yugoslav Republic of Macedonia ISP 2014-20	Support related to political reform (sectors D&G & RoL/FR) feature prominently, albeit with slightly lower than average allocations for other IPA beneficiaries. The total indicative amount is M€205.9 (31%). <i>Source: Former Yugoslav Republic of Macedonia ISP 2014-20</i>
AAP 2014	IPA allocation to Former Yugoslav Republic of Macedonia in the 2014 AAP is less than anticipated in the ISP. This affects the sectors dealing with political reform, although the percentages remain consistent with the allocations in the ISP. The AAP for 2014 allocated the D&G & RoL/FR sectors M€34.7 (65% of annual budget excl. climate change) <i>Source: Former Yugoslav Republic of Macedonia AAP 2014</i>
AAP 2015,	D&G & RoL/FR sectors receive M€10.8 (45%) of the 2015 AAP funding. This is only 60% of the planned allocation in the ISP (M€17.9). References to failure of political dialogue and normal functioning of democratic institutions are prominent in the AAP. <i>Source: Former Yugoslav Republic of Macedonia AAP 2015</i>
Interviews	This was underscored by feedback from interviews with DG NEAR country team who stated that these problems had directly impacted on the allocation of this tranche of funding, with this trend likely to continue unless improvements in key elements of democracy and RoL are forthcoming. <i>Source: Interviews with DG NEAR Former Yugoslav Republic of Macedonia country team</i>
Montenegro ISP 2014-20	The ISP allocates 37% of funding to sectors covering political reforms (D&G and RoL/FR) i.e. M€99.2 out of €270.5. <i>Source: Montenegro ISP 2014-20</i>
AAP 2014 –	In the 2014 AAP, D&G receives M€9.8 whilst the RoL/FR M€5.0. This is from a M€35.7 total allocation and constitutes 41% of the total programme allocation. <i>Source: Montenegro AAP 2014</i>
AAP 2015	M€25.1 is targeted towards political reform-linked sectors (D&G M€4.1, RoL/FR M€21), which is 100% of total allocation <i>Source: Montenegro AAP 2015</i>
Serbia ISP 2014-20	The Serbia ISP indicatively allocates M€543 from M€1508 (36%) to the two relevant sectors, D&G & RoL/FR. <i>Source: Serbia ISP 2014-20</i>
AAP 2014 –	The AAP devotes a significant percentage (75%) of its allocation to relevant sectors i.e. D&G – M€50.89, RoL/FR M€27.5. total M€78.4. <i>Source: Serbia AAP 2014</i>
AAP 2015	As in 2014, The AAP devotes a significant percentage (67%) of its allocation to relevant sectors i.e. D&G- M€111.2, RoL/FR – M€20.6, Total M€131.79 <i>Source: Serbia AAP 2015</i>
Turkey ISP 2014-20	The ISP allocates M€1581.4 to political reform-linked sectors (D&G M€956.5, RoL/FR M€624.9) from a total indicative budget M€4453.9 i.e. 36%. <i>Source: Turkey ISP 2014-20</i>
AAP 2014 –	57% of the 2014 allocation is provided to this area i.e. D&G – M€238.4, RoL/FR M€111.6, total M€349.9. <i>Source: Turkey AAP 2014</i>
AAP 2015	The 2015 programme allocates a larger percentage (77%) to actions supporting political reforms i.e. D&G – M€29.15, RoL/FR M€167.45, total M€196.6 <i>Source: Turkey AAP 2015</i>

I-211.1	<i>Number of IPA II programmes which include actions supporting political reforms</i>
Multi-country ISP 2014-20	Support to ReSPA is prioritised, regional organised crime, support via RCC. Funding allocations are not explicitly linked to sectors so assessing the amounts given towards political reforms is not easily discernible. <i>Source: Multi-country ISP 2014-20</i>
AAP 2014	9 actions to the value of M€59.14 (38% of total allocation) target areas that include political reform issues. Not all are explicitly focused on political reforms e.g. preparations for participation in European Agencies covers a wide range of sectors) but all have some political dimension to them. Many are explicitly related to political reforms e.g. SIGMA, migration, cybercrime, Roma. <i>Source: Multi-country AAP 2014</i>
AAP 2015	The 2015 AAP contains 3 actions comprising M€28.5 (23.5% of total allocation) that target issues linked to political reforms (Council of Europe facility, ReSPA and witness protection). <i>Source: Multi-country AAP 2015</i>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is assessed as acceptable.

The degree of confidence assessed as satisfactory.

1.2.1.2 I-211.2 Number of beneficiary countries where laws supporting political reforms are prepared/ promoted with the assistance of IPA II

I-211.2	<i>Number of beneficiary countries where laws supporting political reforms are prepared/ promoted with the assistance of IPA II</i>
Indicator Summary	All IPA beneficiaries in the scope of this Evaluation are committed to prepare/promote political reforms with the assistance of IPA II, although this varies from beneficiary to beneficiary. Budget support explicitly addresses key elements of political reforms and either requires often substantial changes to legislation for its introduction or implies changes in it for its successful delivery.
Turkey	<p>“Turkey remains committed to EU accession and to the necessary reforms for meeting the political criteria and acquis chapter 23. 10 Government institutions are fully committed to developing and implementing the policies and institutional changes required to deliver results. “</p> <p><i>Source: AAP for Turkey, 2015</i></p> <p>“For 2014-20, pre-accession assistance will fall under two pillars: democracy and the rule of law, and competitiveness and growth in Turkey.”</p> <p><i>Source: Strategy Paper for Turkey (2014-2020)</i></p> <p>Discussions with DG NEAR staff and other stakeholders indicated that delivery of assistance to political reforms under IPA I has been hampered by <i>inter alia</i> contracting difficulties and this remains the case under IPA II. Positive progress has been noted in the areas of home affairs and customs where IPA support coincides with Turkey’s own priorities. In other areas such as human rights and judiciary, differences in the EC and TR positions remain and these are likely to continue to influence IPA II programming and implementation for the foreseeable future.</p> <p><i>Source: Interviews with DG NEAR staff, Field visit to Turkey in the validation phase</i></p>
Albania	<p>“Considering the proposals for action submitted by Albania, the country action programme for the year 2015 aims at providing assistance for actions in the following sectors: (i) democracy and governance and (ii) rule of law and fundamental rights and (iii) education, employment and social policies.”</p> <p>“Strengthened political and policy dialogue with the Government on the areas</p>

I-211.2	Number of beneficiary countries where laws supporting political reforms are prepared/ promoted with the assistance of IPA II
	<p>reflected in the SCR objectives;” <i>Source: CAP for Albania, 2015</i></p> <p>The actions providing Budget Support are explicitly linked to political reforms, and their success dependent to a large extent on continued political support. National elections in 2017 will be the litmus test for this. DG NEAR is cautiously optimistic that BS will not be disrupted following the elections. EEAS staff are more sanguine: if the government remains in place, BS will probably continue. If there is a change of government, it will be at grave risk due to its conditionality (especially for PFM and PAR).</p> <p><i>Source: Interviews with DG NEAR staff, EEAS staff.</i></p> <p>Many decisions about the organisation of sectors (e.g. water management), public services (responsibilities, stable middle management in the Ministries, new structures like the IPMGs, et al) and approaches (Strategic planning, sectoral programming, monitoring arrangements, state financial management processes, et al) have been and are influenced by the agreed way of programming and implementation of IPA II actions. A characteristic example is the new law for recruiting public servants, which is expected not only to contribute to the recruitment of good employees but mainly to improve the widely existing in the CS lack of trust for the State and the Governments.</p> <p>The introduction of changes in the State structure and processes aims also to reduce the political influence on all functions/ operations of the State as well as the widely existing tight relations of the PA personnel to the political parties which are main impediments for the improvement of the Public Administration.</p> <p>Because of the still existing relations of the PA with the political parties, the elections in 2017 include a risk about the continuation of the BS programmes as agreed, depending on the result of the elections (same or different government); however also in the best case a lot of time (more than 6 months) will be lost, which will influence the intermediate assessments and the corresponding payments (tranches) of the ongoing BS programmes, as well as the finalisation/ agreement of the BS programmes under preparation; this is important for the country and the IPA II programme because most of IPA II budget/ interventions will be implemented through BS programmes.</p> <p><i>Source: Interviews with EUD officials, and National Authorities’ officials</i></p>
Montenegro	<p>“This action consists of a sector reform contract supporting the implementation of the Integrated Border Management (IBM) Strategy, which will improve the capacity of Montenegro to deal with the influx of refugees and irregular migrants and contribute to securing the future external EU border and reducing irregular migration and cross-border organised crime. An additional action will focus on the protection of human rights of Roma and other vulnerable groups, complementing the social inclusion measures supported through other IPA programmes.”</p> <p><i>Source: AAP for Montenegro 2015</i></p> <p>Political reforms are currently being driven strongly by accession negotiations. IPA II provides back-up to this by plugging gaps. In this respect, the quicker programming expected by DG NEAR senior management is crucial. BS does not leverage the political dialogue in MNE, except maybe in PAR.</p> <p><i>Source: Interviews with DG NEAR staff</i></p>
Former Yugoslav Republic of Macedonia	<p>“The key objective is to promote long term and strategic investment in further developing democratic institutions and strengthening their independence; empowering dialogue with non-state actors; the adoption, implementation and enforcement of the EU acquis and further developing the sector approach in selected sectors, preparing project pipelines, and financing studies and other short-term assistance.”</p> <p><i>Source: CAP for Former Yugoslav Republic of Macedonia 2015</i></p> <p>Interviews give a clear impression. The programming documents expect political changes, which IPA II should facilitate. If there is no sign of commitment of this, there will be financial implications. Thus far under-performance and political</p>

I-211.2	Number of beneficiary countries where laws supporting political reforms are prepared/ promoted with the assistance of IPA II
	<p>problems have led to this happening. For 2015 27M€ were cut, for 2016 21 M€; they also lost some WBIF railway funding, so the current cut is 70M€. A concerted and coordinated effort by the international actors incl. EU has produced some progress (elections), suggesting IPA II has some political leverage. EEAS nevertheless feels it would be naive to think that the reduction of IPA II funds could, on its own, push through political reforms in the country.</p> <p>Macedonia started to prepare BS for PFM in 2015 but has thus far not met the criteria for its introduction (e.g. lack of a credible PFM strategy in place). .</p> <p><i>Source: Interviews with DG NEAR staff, EEAS staff, IPA II beneficiary country.</i></p>
Serbia	<p>“New rules for evaluating judges and prosecutors were adopted in May. Most Court Presidents have now been appointed on a permanent basis.</p> <p>A new special law protecting the right to a trial within a reasonable time was adopted in May and will come into force in January 2016. Some steps have been taken to monitor and harmonise court practices. In May the Supreme Court of Cassation adopted an action plan to monitor and harmonise case law more effectively.</p> <p>Serbia is implementing the action plan for the National Judicial Reform Strategy (NJRS) 2013-2018, although there have been some delays.”</p> <p><i>Source: Enlargement Package, Serbia 2015 Report</i></p> <p>Interviews confirmed that there is now a strong link between IPA II assistance and political side. A first BS focusing on substantial reforms in the PAR sector has been concluded by the end of 2016.</p> <p><i>Source: Interviews with DG NEAR staff, IPA II beneficiary country</i></p>
Bosnia and Herzegovina	<p>“The proposed Actions in the governance sector will contribute to the ISP objective to improve Bosnia and Herzegovina's public sector management, in particular to strengthen public administration reform, including public service delivery and public financial management.”</p> <p><i>Source: CAP for Bosnia and Herzegovina 2015</i></p> <p>“Further support will target the development of care services to support the social inclusion of persons at risk, with a focus on the needs of the target groups (e.g. children, Roma, disabled, unemployed), including transition from institutional to family-based care for children deprived of parental care and children and adults with disabilities.</p> <p>IPA II will accompany IDP and refugee return by providing sustainable housing solutions and supporting measures. Bosnia and Herzegovina authorities will receive support for the implementation of the Roma action plans. IPA II will provide support for the demining of mine-contaminated areas and for the support of mine-victims and their families.”</p> <p><i>Source: ISP for Bosnia and Herzegovina, 2014-2017</i></p> <p>Some progress has been observed, although this is a result of sustained pressure by all international parties, not directly IPA or IPA II e.g. The creation of an ‘implementation mechanism on EU matters’. The potential success of IPA II in leveraging political change via introduction of legal measures is unclear, and in the hands of the Bosnia and Herzegovina institutions which remain largely fractured and lacking consensus. Evidence of this fragility is the rejection of conditions for IPARD II i.e. the failure of the Bosnia and Herzegovina authorities to agree on the establishment of single IPARD paying agency to manage rural development funds for the whole country rather than one agency for each entity.</p> <p>Due to the lack of country-wide sectoral strategies in most areas addressing political reforms, the increased deployment of IPA II programmes, including BS remains still a challenge.</p> <p><i>Source: Interviews with DG NEAR staff, EEAS staff, IPA II beneficiary country</i></p>
Kosovo	<p>“The main objective of the action is to support Kosovo institutions in implementing measures related to urgent political priorities in support of Kosovo's* European perspective, including those that may arise from the Pristina-Belgrade dialogue, the</p>

I-211.2	Number of beneficiary countries where laws supporting political reforms are prepared/ promoted with the assistance of IPA II
	<p>normalisation of relations with Serbia, the EULEX strategic review, visa liberalisation and any other political developments. Expected results include progress in the implementation of agreements reached within the framework of the Pristina-Belgrade dialogue, progress in the socio-economic development of northern Kosovo and increased mutual trust between communities and strengthened capacity of Kosovo authorities to assume their responsibilities following the phasing out of EULEX.</p> <p>Expected results include: the establishment and functionalisation of a National Centralised Criminal Record System (NCCR) under the Kosovo Judicial Council; the completion of Kosovo's Civil Code; improvement of correctional and probation systems, with particular attention on the implementation of alternative sentences; improvement of capacities of the Department of Forensic medicine (DFM) to manage cases in an independent way; increase of capacities of the National Agency for the Protection of Personal Data (NAPPD) and implementation of the Law on Protection of Personal Data.”</p> <p><i>Source: AAP for Kosovo, 2015</i></p> <p>Feedback from interviews indicates that the Kosovo government is at least formally committed to putting in place legislative measures that would underpin the political reforms required by IPA II. A major question mark hangs over the capacities of the Kosovo institutions to put these measures into practice on the ground. Also, any issues linked to normalisation of relations with Serbia remain politically contentious.</p> <p><i>Source: Interviews with DG NEAR staff, EEAS staff.</i></p> <p>As a recently established political entity, Kosovo is still developing its structures, approaches and systems/ means; the EU –and IPA II- is certainly affecting these, but within an existing wider context where many players (USAid, EU MS, other countries, International Organisations and IFIs) are acting in a non-coordinated way; under the existing situation a key issue for Kosovo is the lack of flexibility of the programming documents of IPA II, which are long-term but cannot address effectively and quickly urgent needs, which still appear under the non-well organised State or are needed for addressing special problems, as for example the needs of the Serbian minorities in northern Kosovo.</p> <p>As in all candidate countries and potential candidates, the EU with the IPA II is influencing the development of the central government structures and operations; for example IPA II programming urged the Government to introduce more coordination among the Ministries (which today are acting almost completely independently), to develop a long term National Development Strategy and sectoral strategies, to improve Public Administration and PFM, so that gradually can implement IPA II funded interventions under own management and to coordinate the work of the various donors. The first Budget Support programme (on Public Administration) was adopted in 2016 under which three (3) specific laws should be drafted and ratified); however there is some scepticism about its success.</p> <p><i>Source: Interviews with EUO officials, and National Authorities' officials</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is assessed as acceptable.

The degree of confidence assessed as satisfactory.

1.2.1.3 I-211.3 Evidence (nature and scope) of beneficiary countries' commitment to implement political reforms aligned with EU acquis)

I-211.3	Evidence (nature and scope) of beneficiary countries' commitment to implement political reforms aligned with EU acquis)
Indicator	All IPA beneficiaries are committed to implement political reforms with the assistance of IPA II. The extent to which this will be translated into changes on the

I-211.3	<i>Evidence (nature and scope) of beneficiary countries' commitment to implement political reforms aligned with EU acquis)</i>
Summary	ground is currently unclear due to minimal implementation of IPA II assistance and absence of any significant results at country level. Details from each beneficiary are given in the following sections.
Albania	<p>“The government established the National Agency for Implementation of the Territorial Reform. Instructions on amalgamation of local government units as a result of the territorial administrative reform were adopted and a EUR 13.2 million transitory fund for the implementation of the reform was distributed to the 61 newly established municipalities.</p> <p>The government adopted a roadmap setting out its policy towards a more enabling environment for civil society. Civil society representatives participated in meetings of the National Council on European Integration. While the new law on VAT provides CSOs with the possibility to obtain value added tax reimbursement on Instrument for Pre-Accession (IPA) funded grants, no such reimbursement as taken place so far. The new online tax system requires monthly declarations on all CSOs, even when no activities are ongoing, which creates an additional administrative burden, particularly for small organisations.”</p> <p><i>Source: Enlargement Package, Albania 2015 Report</i></p> <p>The commitment of the current government to implement political reforms is strong.</p> <p><i>Source: Interviews with DG NEAR staff, EEAS staff</i></p> <p>The commitment of the current government to implement political reforms is strong; evidences for this are: the elaboration and ratification of the NSDI, the creation and operation of the ISPs, the development of the OPSIS system, the new law on recruitment of public servants, the adoption of the sectoral approach, the agreement to implement many Budget Support programmes et al. There is a risk that this commitment may be weakened should a new government come to power in 2017</p> <p><i>Source: Interviews with EUD officials, and National Authorities' officials</i></p>
Bosnia and Herzegovina	<p>“Bosnia and Herzegovina has some level of preparation in the fight against corruption. A new anti-corruption strategy and action plan covering the years the 2015-2019 were adopted.</p> <p>The Joint Parliamentary Committee for Security and Defence was set up in April 2015. Mandated to scrutinise and shape Bosnia and Herzegovina's security and defence policy, the Joint Committee should play an important role in steering the defence reform process.</p> <p>An updated and country-wide justice sector reform strategy for the 2014-2018 period was adopted in September 2015. It now needs to be implemented</p> <p>Training for judges and prosecutors in Bosnia and Herzegovina is provided through the judicial and prosecutorial training centres in the Entities. The country has observer status in the European Judicial Training Network.”</p> <p><i>Source: Enlargement Package, Bosnia and Herzegovina, 2015 Report</i></p> <p>Overall commitment is judged as been very mixed. The entities have differing priorities and the lack of overall coordination has till recently undermined any real progress. The newly introduced EU coordination mechanism may address this, but there is no hard evidence as yet.</p> <p><i>Source: Interviews with DG NEAR staff, EEAS staff, IPA II beneficiary institutions</i></p>
Kosovo	<p>Overall Kosovo has demonstrated some commitment to political reform. A package of amendments to four core laws was adopted in 2015, taking a step towards the modernisation of the justice system.</p> <p>“The adoption of the human rights law package strengthened the institutional set-up and clarifies the roles of various institutions.”</p> <p><i>Source: Enlargement Package, Kosovo 2015 Report</i></p> <p>Kosovo is a special case due to the limited overall organisation/ coordination at central level; the EU orientation and commitment of the Kosovo Government is ostensibly strong; however the lack of coordination among the Ministries is not contributing to the promotion of this choice; the non-coordination and the antagonism of the many donors in Kosovo (including among them also the EU</p>

I-211.3	<i>Evidence (nature and scope) of beneficiary countries' commitment to implement political reforms aligned with EU acquis)</i>
	<p>member states) makes the situation more complex and the implementation of EU approaches/ measures/ practices leading more slow and difficult.</p> <p><i>Source: Interviews with EUD officials, and National Authorities' officials</i></p>
Former Yugoslav Republic of Macedonia	<p>Serious doubts exist over the commitment to political reform. In 2015 the Commission issued 'Urgent Reform Priorities' based partly on its previous recommendations and partly on recommendations provided by a group of independent senior rule of law experts brought in to analyse the situation. This was accepted by the main political parties but then undermined by the President's amnesty of the accused politicians under investigation in June 2016.</p> <p>"A number of judicial reforms were already carried out under the judicial reform strategy and its accompanying action plans from 2004 to 2010. A new strategy and action plan focusing on a number of specific areas, including alternative dispute resolution and access to justice was developed but not considered acceptable by the EC as a basis for sector support under IPA II. This remains to be redrafted. Without this no IPA II funding to the sector will be considered.</p> <p>"Some minor progress is noted. A newly adopted law on general administrative procedures, to enter into force in 2017, is a good step towards simplifying administrative procedures</p> <p>A number of criminal networks and routes have been destroyed in recent years thanks to cooperation with neighbouring countries and EU Member States through Eurojust.</p> <p>National strategies are in place to combat human trafficking and illegal migration (2013-16), drugs (2014-20), and terrorism (2011-15). Work continues on the new cyber-security strategy."</p> <p><i>Source: Enlargement Package, Former Yugoslav Republic of Macedonia 2015 Report, Interviews with DG NEAR staff, EEAS staff,</i></p> <p>"The deep political crisis continued in 2016, exacerbated by the attempt to pardon individuals charged or allegedly involved in the wiretaps. This decision was rescinded in the face of national and international protests. The Pržino agreement is partially implemented and limited progress was made in terms of concrete implementation of the 'Urgent Reform Priorities'."</p> <p><i>EU 2016 Progress report</i></p>
Montenegro	<p>Solid progress noted. "A judicial reform strategy (2014-2018) and an accompanying action plan are in place. The government adopted the 2015-2018 strategy for the professional development of local civil servants and state employees and its 2015-2016 action plan.</p> <p>A new anti-corruption agency is due to be in place on 1 January 2016.</p> <p>A new Government came into force in November 2016. There are expectations that this will also accelerate the pace of implementing substantial reforms, particularly in the area of PFM."</p> <p><i>Source: Enlargement Package, Montenegro 2015 Report, IPA II beneficiary institutions</i></p>
Serbia	<p>Progress in key areas is noted.</p> <p>"New rules for evaluating judges and prosecutors were adopted in May In 2013 Serbia adopted a new 5 years National Judicial Reform strategy (NJRS) and action plan. Serbia has ratified all major international instruments against corruption and is party to the UN Convention against Corruption, The anti-corruption strategy and action plan for 2013-2018 is being implemented. The 2014 media laws are a step towards clarifying the legal framework, particularly in relation to state financing and control of the media. The 2015-2019 national strategy for an enabling environment for CSOs was drafted with wide participation by civil society."</p> <p>Commitment to political reforms underscored by acceptance of IPA II BS.</p> <p><i>Source: Enlargement Package, Serbia 2015 Report, Interviews with DG NEAR staff, EEAS staff, IPA II beneficiary institutions</i></p>

I-211.3	<i>Evidence (nature and scope) of beneficiary countries' commitment to implement political reforms aligned with EU acquis)</i>
Turkey	<p>“The Ombudsman’s active approach in this area is a positive development. In 2014 the administration improved its follow-up of the Ombudsman’s recommendations. A revised judicial reform strategy was adopted in April 2015.</p> <p>An amendment to the internet law in March 2015 allowing the Telecommunications Communications Presidency to remove or block access to content within four hours without a court order is a matter of concern.</p> <p>The strategy and action plan on cyber security (2013-2014) are currently being updated, with the Ministry of Transport coordinating.</p> <p>Turkey continued to make considerable efforts to give shelter to Syrian refugees. Turkey is the country hosting the largest refugee population in the world, with about 2.2 million, of which close to 2 million from Syria. Sheltering and integrating such a large population of refugees is a major challenge for the country which has already spent about EUR 6.7 billion in this endeavour.”</p> <p><i>Source: Enlargement Package, Turkey 2015 Report</i></p> <p>“The Facility for Refugees in Turkey, managing a total of 3 billion EUR for 2016 and 2017, provides for a joint coordination mechanism, designed to ensure that the needs of refugees and host communities in Turkey are addressed in a comprehensive and coordinated manner. The Facility focuses on humanitarian assistance, education, migration management, health, municipal infrastructure, and socio-economic support.”</p> <p><i>Source: DG NEAR Website</i></p> <p>Very mixed progress was noted by stakeholders in terms of implementing political reforms linked to EU accession. The situation has been significantly affected by the failed coup and its aftermath. Uncertainty over the commitment of Turkey’s government to political reforms has been reinforced by its post coup reaction towards democratic institutions. Future developments are unpredictable. There is an impasse on the introduction of budget support, with little prospect of it being introduced in Turkey in the foreseeable future.</p> <p><i>Source: Interviews with DG NEAR staff, Country mission during validation phase</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is assessed as acceptable.

The degree of confidence assessed as satisfactory.

1.2.1.4 I-211.4 Evidence (nature and scope) of improved governance, democracy and the respect of human rights, to be measured by: state of ratification/ signature of selected human rights conventions; deep democracy indicators; other human rights indicators (gender inequality index, etc.)

I-211.4	<i>Evidence (nature and scope) of improved governance, democracy and the respect of human rights, to be measured by: state of ratification/ signature of selected human rights conventions; deep democracy indicators; other human rights indicators (gender inequality index, etc.)</i>
Indicator Summary	<p>In principle all IPA beneficiaries are committed to be a part of relevant conventions linked to governance and democracy. On the other hand, evidence shows that the gap in putting these commitments into practice is substantial in all beneficiaries. Serious problems are noted in governance and democracy in the Former Yugoslav Republic of Macedonia and also Turkey, where many fundamental rights are under pressure (see details below).</p>
Montenegro	<p>“Codes of ethics for judges and prosecutors are aligned with the relevant European and international standards. A judicial reform strategy (2014-2018) and an accompanying action plan are in place. In February 2015, new systems of</p>

I-211.4	<p><i>Evidence (nature and scope) of improved governance, democracy and the respect of human rights, to be measured by: state of ratification/ signature of selected human rights conventions; deep democracy indicators; other human rights indicators (gender inequality index, etc.)</i></p>
	<p>disciplinary accountability were introduced for judges and prosecutors.</p> <p>Montenegro is a party to the main international instruments against corruption, including the UN Convention against corruption and the relevant Council of Europe conventions.</p> <p>The country has amended its Criminal Code, criminalising the phenomenon of foreign terrorist fighters in line with the relevant UN Security Council Resolution.</p> <p>Montenegro has continued to cooperate closely with Bosnia and Herzegovina, Croatia and Serbia under the Sarajevo Declaration Process, which aims at sustainable solutions for some 74 000 people who became refugees and displaced persons as a result of the armed conflicts in ex-Yugoslavia during the 1990s.”</p> <p><i>Source: Enlargement Package, Montenegro 2015 Report</i></p>
Serbia	<p>“Regarding the normalisation of relations with Kosovo, Serbia remained committed to the implementation of the April 2013 'First agreement of principles governing the normalisation of relations' and other agreements reached in the EU-facilitated dialogue.</p> <p>A new special law protecting the right to a trial within a reasonable time was adopted in May.</p> <p>Concerning equality between women and men, a Coordination Body for Gender Equality was set up in October 2014, replacing the Gender Equality Directorate in the Ministry of Labour, Employment, Veteran and Social Affairs.</p> <p>The National Council on the Rights of the Child has restarted its work. Ensuring more effective coordination of children’s rights and child protection systems should be prioritised, including in national policies.</p> <p>Regarding integration of persons with disabilities, laws on the movement of persons with disabilities with guide dogs and on the use of sign language have been adopted.</p> <p>The legal framework for the protection of minorities and cultural rights is in place. Serbia is a party to the Framework Convention on National Minorities.</p> <p>The adoption of a new Roma strategy and action plan remains outstanding.”</p> <p><i>Source: Enlargement Package, Serbia 2015 Report</i></p>
Former Yugoslav Republic of Macedonia	<p>The commitment of the current government to improving democracy and governance has not been strong which has led to the political crisis in the country. This may be resolved following parliamentary elections in December 2016.</p> <p><i>Source: Interviews with DG NEAR staff, IPA II beneficiary institutions</i></p> <p>“Regarding international human rights instruments, action plans are being developed to implement the most recent recommendations under the UN Convention on the Elimination of all Forms of Discrimination against Women and those of the second Universal Periodic Review of the UN Human Rights Council.</p> <p>A new strategy and action plan for the prison system for 2015-19 were adopted in May.</p> <p>As regards equality between women and men, a gender equality strategy (2013-2020) and action plan (2013-2016) are in place and some ministries have earmarked a budget for implementation.</p> <p>Regarding rights of the child, the Law on Child Protection was amended to introduce early childhood development services and broaden the scope of child protection. Implementation of the new Law on Justice for Children started and mediation was successfully used as an alternative to criminal proceedings involving juveniles.</p> <p>The new Law on Criminal Procedure, applied since the end of 2013, guarantees the procedural rights of suspected and accused persons and victims of crime.</p> <p>Regarding the protection of minorities and cultural rights, the Ohrid Framework Agreement continues to provide a basis for inter-community relations.</p>

I-211.4	<p><i>Evidence (nature and scope) of improved governance, democracy and the respect of human rights, to be measured by: state of ratification/ signature of selected human rights conventions; deep democracy indicators; other human rights indicators (gender inequality index, etc.)</i></p>
	<p>The new Roma strategy for 2015-20 was adopted.”</p> <p><i>Source: Enlargement Package, EU Country 2015 Report</i></p> <p>“The publication of audio recordings revealed evidence of government corruption, but demonstrated widespread covert surveillance. The authorities failed to respect the rights of refugees and migrants, including by the use of unlawful detention and the excessive use of force.”</p> <p><i>Source: Amnesty International Website,</i> https://www.amnesty.org/en/countries/europe-and-central-asia/macedonia/report-macedonia/</p>
Turkey	<p>Although some steps linked to EU accession have been taken in this field, the situation in Turkey is generally considered to be deteriorating over recent years. Some basic foundations are in place to protect fundamental rights and freedoms.</p> <ul style="list-style-type: none"> • Turkey is party to a number of international human rights instruments, including the • European Convention on Human Rights (ECHR). • On promotion and enforcement of human rights, in March 2015 the parliament’s Human Rights Inquiry Committee set up a mechanism to follow the implementation of ECHR judgments. The legislative and institutional framework on equality between women and men is in place. • The gendarmerie has started to strengthen its capacity to combat violence against women. • Concerning the integration of persons with disabilities, the parliament adopted the Optional Protocol to the UN Convention on the Rights of Persons with Disabilities setting up an individual complaints mechanism. • As regards cultural rights, the 2013 legislation allowing campaigning in languages other than Turkish by political parties and candidates was implemented without impediment in the June and November general election. • A national Roma strategy was adopted in 2016 • The Action Plan on prevention of violations of European Convention of Human Rights was adopted in 2016 • Also, the Law on the Human Rights and Equality Institution of Turkey is considered a step in the right direction. <p><i>Source: Enlargement Package, Turkey, EU Progress Reports, 2015, 2016</i></p> <p>On the other hand, independent sources consider Turkey to be backsliding on its commitments in the area. For example, Freedom House found Turkey to be only ‘partly free’. It received a downward trend arrow due to “intense harassment of opposition members and media outlets by the government and its supporters ahead of November parliamentary elections.” Also, it shut down opposition media outlets in September 2016, part of a long term decline in freedom of speech.</p> <p><i>Source: Freedom House website</i></p> <p>Amnesty International found that in 2015/16 “The human rights situation deteriorated markedly” and noted “The right to freedom of peaceful assembly continued to be violated. Cases of excessive use of force by police and ill-treatment in detention increased. Impunity for human rights abuses persisted. The independence of the judiciary was further eroded.”</p> <p><i>Source: Amnesty International Website,</i> https://www.amnesty.org/en/countries/europe-and-central-asia/turkey/report-turkey/</p> <p>“The Turkish legal framework includes general guarantees of respect for human and fundamental rights, which need to be further improved. The enforcement of rights stemming from the European Convention on Human Rights (ECHR) and the case-law of the European Court of Human Rights (ECHR) is not yet ensured.”</p>

I-211.4	Evidence (nature and scope) of improved governance, democracy and the respect of human rights, to be measured by: state of ratification/ signature of selected human rights conventions; deep democracy indicators; other human rights indicators (gender inequality index, etc.)
	<p><i>EU Turkey Progress Report 2016</i></p> <p>“There has been serious backsliding in the past year in the area of freedom of expression. Selective and arbitrary application of the law, especially of the provisions on national security and the fight against terrorism, is having a negative impact on freedom of expression. Ongoing and new criminal cases against journalists, writers or social media users, withdrawal of accreditations, high numbers of arrests of journalists as well as closure of numerous media outlets in the aftermath of the July attempted coup are of serious concern. Freedom of assembly continues to be overly restricted, in law and practice.”</p> <p><i>EU Turkey Progress Report 2016</i></p>
Albania	<p>“Regarding international human rights instruments, Albania ratified Protocol 16 of the European Convention on Human Rights enabling the European Court of Human Rights to deliver advisory opinions in May. The first shelter for lesbian, gay, bisexual, transgender and intersex (LGBTI) persons opened in Tirana in December. A new anticorruption strategy and action plan were adopted. Albania conducted a number of law enforcement operations leading to the destruction of vast cultivations of cannabis. The legal framework for the protection of human rights is broadly in line with European standards.”</p> <p><i>Source: Enlargement Package, Albania 2015 Report</i></p> <p>It was widely observed during the country mission that corruption is still very high in the country, despite the efforts of the Government; much more effort and long term persistence to this goal are required even for minor positive results to be achieved, since corruption is related to well-founded interests and relations between political, economic and social actors. The new law on the recruitment of public servants is contributing to good governance but it will not alone solve the multiple existing problems.</p> <p><i>Source: Interviews with EUD officials, and National Authorities’ officials</i></p>
Bosnia and Herzegovina	<p>Some progress in sectors noted, but overall a decline has been the trend.</p> <p>“A Judicial Reform Sector Strategy was adopted. A new anti-corruption strategy and action plan covering the years the 2015-2019 were adopted.</p> <p>The migration and asylum strategy and action plan for 2012-2015 are being implemented.”</p> <p><i>Source: Enlargement Package, Bosnia and Herzegovina 2015 Report</i></p> <p>“Trends point toward a slow but steady erosion of democratic norms. Long-standing questions about the viability of state structures and crippling corruption in Bosnia and Herzegovina have gained prominence. Blocking of political decisions, urgently needed to tackle outstanding reforms, prevails in many sectors.”</p> <p><i>Source: Freedom House Website, Back Where We Started in the Balkans, https://freedomhouse.org/blog/back-where-we-started-balkans, interviews in IPA II beneficiaries</i></p>
Kosovo	<p>“Regarding the normalisation of relations with Serbia, Kosovo remained committed to the implementation of the April 2013 'First agreement of principles governing the normalisation of relations' and other agreements reached in the EU-facilitated dialogue.</p> <p>A package of amendments to four core laws was adopted, taking a step towards the modernisation of the justice system.</p> <p>The adoption of the human rights law package strengthened the institutional set-up and clarifies the roles of various institutions.</p> <p>A new strategy against trafficking in human beings (2014-2019) was adopted in May 2015. In September 2015 Kosovo adopted the 2015-2020 strategy and action plan on prevention of violent extremism and radicalisation that may lead to terrorism.”</p> <p><i>Source: Enlargement Strategy Paper, Kosovo, 2015 Report</i></p>

I-211.4	Evidence (nature and scope) of improved governance, democracy and the respect of human rights, to be measured by: state of ratification/ signature of selected human rights conventions; deep democracy indicators; other human rights indicators (gender inequality index, etc.)
	<p>Governance, democracy and human rights are policy areas attracting the support of many donors in Kosovo; despite the fact that these areas are over-aided still there is big antagonism among the donors (these areas are in the strategic goals of most of the donors); thus many such projects are implemented (sometime with overlaps) but which are not providing the expected results, sometimes not even the expected outputs)...</p> <p>Source: Interviews with EUD officials, and National Authorities' officials</p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is assessed as acceptable.

The degree of confidence assessed as satisfactory.

1.2.2 JC21.2: IPA actions contribute towards actual economic, social and territorial development

1.2.2.1 I-212.1 % of the overall IPA II budget engaged/ disbursed to economic, social and territorial development actions

I-212.1	% of the overall IPA II budget engaged/ disbursed to economic, social and territorial development actions																
<p>Indicator Summary</p>	<p>ISPs indicates that a substantial portion of the IPA II budget is devoted to economic, social and territorial development actions, varying from 45% in Former Yugoslav Republic of Macedonia to 26% in Albania (see graph). This indicates strong programming alignment with a central pillar of IPA II assistance. The ISPs and (M)AAPs also indicate that all candidate countries and potential candidates have relevant actions.</p> <p><i>Figure 3</i> <i>IPA II engaged to economic, social and territorial development actions, in %</i></p> <table border="1"> <caption>% of IPA II engaged to economic, social and territorial development actions</caption> <thead> <tr> <th>Country</th> <th>Percentage</th> </tr> </thead> <tbody> <tr> <td>Albania</td> <td>26%</td> </tr> <tr> <td>Bosnia and Herzegovina</td> <td>38%</td> </tr> <tr> <td>Kosovo</td> <td>36%</td> </tr> <tr> <td>FYR Macedonia</td> <td>45%</td> </tr> <tr> <td>Montenegro</td> <td>34%</td> </tr> <tr> <td>Serbia</td> <td>37%</td> </tr> <tr> <td>Turkey</td> <td>34%</td> </tr> </tbody> </table> <p>Source: ISPs 2014-2020 for all candidate countries and potential candidates</p> <p>Data for disbursement rates at programme level for these actions has not been able to be gathered across all countries. CRIS data indicates that under indirect management, no funds have been disbursed to date, and for direct management only 7% (CRIS Dashboard data, 01/11/2016).</p>	Country	Percentage	Albania	26%	Bosnia and Herzegovina	38%	Kosovo	36%	FYR Macedonia	45%	Montenegro	34%	Serbia	37%	Turkey	34%
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I-212.1	% of the overall IPA II budget engaged/ disbursed to economic, social and territorial development actions
Montenegro	Socio-economic and regional development policy area/ indicative allocations: 2014-2020: 34% (90.8M€ from a total 270.5M€) <i>Source: ISP for Montenegro, 2014-2020</i> Disbursement: NA
Albania	Socio-economic and regional development policy area/ indicative allocations: 2014-2020: 26% (168M€ from a total 649,4M€) <i>Source: ISP for Albania, 2014-2020</i> Disbursement: NA
Bosnia and Herzegovina	Socio-economic and regional development policy area/ indicative allocations: 2014-2017: 38% (63.8M€ from total 165,8M€) <i>Source: ISP for Bosnia and Herzegovina, 2014-2020</i> Disbursement: NA
Kosovo	Socio-economic and regional development policy area/ indicative allocations: 2014-2020: 36% (235M€ from a total 645.5M€) <i>Source: ISP for Kosovo, 2014-2020</i> Disbursement: NA
Former Yugoslav Republic of Macedonia	Socio-economic and regional development policy area/ indicative allocations: 2014-2020: 45% (298.8M€ from a total 664,2M€) <i>Source: ISP for Former Yugoslav Republic of Macedonia, 2014-2020</i> Disbursement: €0 (under Direct Management)
Serbia	Socio-economic and regional development policy area/ indicative allocations: 2014-2020: 37% (565 M€ from a total 1508M€) <i>Source: ISP for Serbia, 2014-2020</i> Disbursement: NA
Turkey	Socio-economic and regional development policy area/ indicative allocations: 2014-2020: 34% (1.525,3 M€ from a total 4.453,9M€) <i>Source: ISP for Turkey, 2014-2020</i> Disbursement: €0 (under Direct Management)

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is assessed as adequate.

The degree of confidence assessed as adequate.

1.2.2.2 I-212.2 Number of beneficiary countries seeking relevant results through IPA II national programmes addressing their economic, social and territorial development requirements

I-212.2	Number of beneficiary countries seeking relevant results through IPA II national programmes addressing their economic, social and territorial development requirements
Indicator Summary	All IPA beneficiaries have actions that aim to reach the economic, social and territorial development requirements of the IPA II. National variances are observable in terms of their level of preparedness (e.g. Turkey has strong experience from IPA I management of components III, IV & V) but in general all IPA beneficiaries aspire to improving their economic and social performance using IPA II. As implementation is currently ongoing for only some of the 2014 AAPs, results from these are not yet evident.
Turkey	“The EU approach to financial assistance for Turkey aims to provide support for economic, social and territorial development and encourage smart, sustainable and

I-212.2	<i>Number of beneficiary countries seeking relevant results through IPA II national programmes addressing their economic, social and territorial development requirements</i>
	<p>inclusive growth. The EU will take the different levels of socio-economic development across Turkey into account when planning support that involves physical capital, including improving infrastructure. Promoting environmental protection, resource efficiency and climate action are also key factors when drawing up priorities for financial assistance. Another key consideration will be the relevance of specific actions for improving exchange and interconnectivity with EU Member States and other states.</p> <p>“Existing multilateral surveillance mechanisms will address Turkey’s challenges relating to macroeconomic stability and the functioning market economy, leading to country-specific policy guidance.”</p> <p>Social development:</p> <p>IPA II will aim to further assist Turkey in the areas of: employment and labour market; education and human resources development; social policies and inclusion. IPA II will support the following strategies:</p> <ol style="list-style-type: none"> 1. 2014-23 National Employment Strategy; 2. the Gender Equality Action Plan (currently being updated); 3. the Ministry of National Education’s 2014-18 strategy document and action plan to improve the quality of Vocational Education and Training (VET)” <p><i>Source: Turkey ISP 2014-2020</i></p> <p>The current MAAP (2014-16) on Employment, Education and Social Policies (EESP) for Turkey builds closely on component IV of the IPA I programme. It has 4 Actions (Employment, Education and Training, Social Policies & Inclusion, plus TA) with a M€166.4 allocation. Feedback indicates that the structures developed in the previous programme have remained in place and this is reflected in the generally good quality of programming. The capacity of the operating structure needs to remain intact to ensure effective delivery of the MAAP.</p> <p><i>Source: Interviews with DG EMPL staff, DG NEAR staff</i></p> <p>The field mission confirmed the above findings. Both the EESP MAAP and the operational programme for IPARD II were in place (and also for other SOPs for competitiveness, environment and transport, although the latter lacked entrustment of operations). Capacity problems had been noted in the managing authorities/operation structures/SLIs as staff had been removed following the July 2016 coup but at the moment this was not a critical problem. Feedback from stakeholders nevertheless indicated that it would be difficult to replace the experienced staff that had been lost at such short notice and the potential knock on effect would be a performance gap in programming and implementation.</p> <p><i>Source: Field mission to Turkey 2016</i></p>
Serbia	<p>“EU assistance will focus on supporting the key reform measures identified in the biennial Competitiveness and Growth programme as part of the economic governance dialogue.</p> <p>In the competitiveness and innovation sector EU assistance will focus on improvements of the business environment, on structural reforms to reduce the state presence in the economy, on development of research and innovation capacity and on improving the business sector, especially small and medium-sized enterprises. Reforms will be designed on the basis of the annual National Economic Reform Programme, which will increasingly deal with external sustainability and structural obstacles to growth. The programme will lead to country-specific policy guidance on reforms needed for achieving further progress in gradually meeting the economic accession criteria.</p> <p>Social development:</p> <p>Support will be provided for harmonisation and implementation of legislation in line with the EU acquis, especially concerning labour market policy, work conditions, social dialogue/social partners, health and safety at work and consumer and health protection, as well as inter-institutional cooperation so that more 35 integrated policies, including employment and social reform programmes.</p>

I-212.2	<p><i>Number of beneficiary countries seeking relevant results through IPA II national programmes addressing their economic, social and territorial development requirements</i></p>
	<p>Improvement of the overall quality of education will be supported as well as implementation of the vocational education and training sector reforms increasing the relevance of education provision to better reflect labour market needs, capacity-building of local governments, social, health and education institutions in order to increase access to education. An important focus area is also the concept of life-long learning and development of the National Qualifications Framework (NQF) system. Increased participation of children in pre-school education will be targeted as key action for sustainable and long term social inclusion.</p> <p>To enhance social inclusion, IPA II will support for making social welfare more supportive to active inclusion and for further development of community-based solutions in education, health, housing and job creation for integration of the most vulnerable groups.</p> <p>Support will also be dedicated to the implementation of the strategy and action plan for the social inclusion of Roma in Serbia as well as to the implementation of the June 2013 "Roma social inclusion" seminar's conclusions. Specific actions include investments needed to find sustainable solutions to the informal settlements and providing permanent housing solutions for the most vulnerable people in need as well as to supporting measures on social and health care issues such as developing the network of health mediators and pedagogical assistants and ensuring better access to social protection. IPA II support will also aim at better inclusion of pupils from vulnerable groups, amongst which many are Roma, in the education system and improvement of their respective academic achievements.”</p> <p><i>Source: Serbia ISP 2014-2020</i></p>
Kosovo	<p>“IPA II will contribute to improving the capacity to design and implement competitiveness related policies, increasing the competitiveness of the Kosovo economy, including services, manufacturing as well as providing public services related to the needs of the private sector</p> <p>The EU will continue, where necessary, its financial and technical contribution to the implementation of agreements reached within the framework of Kosovo's dialogue with Serbia.</p> <p>Challenges related to macro-economic stability strengthening public finances and supporting private sector development will be addressed by country-specific policy guidance.</p> <p>Social development:</p> <p>The EU will support Kosovo in implementing the Employment and Welfare Strategy 2014- 2020 and in improving the institutional capacities to design and implement effective policies. It will also support specific and targeted policies aimed to raise the employability and social inclusion among particularly vulnerable groups such as long-term unemployed, marginalised communities, youth and women, with a view to promoting active inclusion. In order to design effective support measures, earlier policies and IPA assistance will be carefully evaluated before programming new support. IPA II will assist Kosovo in pursuing this objective by supporting educational reform, enhancing cooperation with private sector, expansion of apprenticeship and scholarship schemes and development of vocational skills according to labour market demands. Improving inclusiveness of both education sector and labour market, by ensuring access to education and training, reducing drop-out levels among the most vulnerable groups, especially girls, students from minority communities and students with disabilities, is another important objective for the sector until 2020. In the area of social welfare, a number of projects were initiated over the last few years that will require increasing support from the Kosovo authorities, both in terms of political commitment and budget allocation, and some further IPA assistance to become sustainable. In order to design effective support measures, earlier policies and IPA assistance will be carefully evaluated before programming new support.”</p> <p><i>Source: Kosovo ISP 2014-2020, corroborated by interviews with EUD officials, and National Authorities' officials.</i></p>

I-212.2	Number of beneficiary countries seeking relevant results through IPA II national programmes addressing their economic, social and territorial development requirements
Montenegro	<p>“IPA II will seek to improve the economic governance and competitiveness of the country. The upcoming economic reform and competitiveness programmes will outline the main reform needs of Montenegro needed for meeting the economic criterion for EU membership. These programmes will aim to improve policy-making and implementation of reforms in the area of economic governance, competitiveness and human resources development, and will reflect on the interventions in other sectors, such as transport, energy and rural development. This process will target improving the business environment for Small and Medium Enterprises (SMEs), addressing skills gaps and mismatches between the labour market and the education system, as well as strengthening social inclusion. These efforts will ultimately contribute to the increased competitiveness of the economy and the fulfilment of the second economic accession criterion.</p> <p>IPA II support will seek to strengthen the capacity of the national authorities to prepare national strategic documents, ensure sector coordination and monitor the implementation of such strategies and move towards multi-annual, performance-based budgeting.</p> <p>Social development:</p> <p>IPA II will address the reform to social policies (benefits and services), including health policy, so as to improve its efficiency and coverage, as well as the financial sustainability of the respective systems, as well that social and child protection systems and the implementation of the ESRP. Furthermore, IPA II will support acquis alignment and institutional capacity building for public health. These actions will also support social inclusion and improve the conditions of marginalised groups.”</p> <p><i>Source: Montenegro ISP 2014-2020</i></p> <p>Under the MAAP 2015 – 2017 for Employment, Education and Social Policies, 4 Actions (Employment, Education and Training, Social Policies & Inclusion, plus TA) with a M€15.3 allocation. Feedback indicates that the programme, which had started up in 2015 was progressing well. Exact details of the projects financed under the actions remain to be established.</p> <p><i>Source: Interviews with DG EMPL staff, DG NEAR staff, IPA II beneficiary country</i></p>
Bosnia and Herzegovina	<p>“IPA II will focus on the economic and social development at the local level, building on the ownership and partnership of local and regional stakeholders, including municipalities, private enterprises, in particular SMEs, and education, training and research institutions, cooperatives, development 20 agencies, non-governmental organisations and civil society.</p> <p>IPA II will provide support for the further development of a coordinated needs-based approach in the social protection system and for the reform of the financing of social services.</p> <p>IPA II will continue supporting sustainable housing, combined with durable social and economic integration measures in line with the principles and goals of the Sarajevo process.</p> <p>A further aim of EU assistance is to support local development through the improved cooperation between the private sector and education, training and research institutions in order to identify and close skill gaps in the labour market and support the transformation to a knowledge-based society.</p> <p>Social development:</p> <p>New tools and methodologies will improve the training of school principals and school teams in whole-school approaches, for inclusive education approaches and for adopting indices for inclusion. Support will be provided for the modernisation of school infrastructure. Pilot projects, including investment support will benefit schools who actively participate in programmes to end discrimination and segregation, to foster inclusive education and to promote access of vulnerable to education. Data collection and processing will be improved.</p> <p>IPA II will assist labour and employment institutes to strengthen their capacities and</p>

I-212.2	Number of beneficiary countries seeking relevant results through IPA II national programmes addressing their economic, social and territorial development requirements
	<p>to develop and implement active labour market measures and will support reforming labour legislation with the objective to increase labour mobility.</p> <p>IPA II will provide support for the further development of a coordinated needs-based approach in the social protection system and for the reform of the financing of social services. The targets are a countrywide harmonised and standardised needs-based approach to social services and social benefits, notwithstanding the place of residence, study or work and an integrated budgeting and financing system for social services. Further support will target the development of care services to support the social inclusion of persons at risk, with a focus on the needs of the target groups (e.g. children, Roma, disabled, unemployed), including transition from institutional to family-based care for children deprived of parental care and children and adults with disabilities. IPA II will accompany IDP and refugee return by providing sustainable housing solutions and supporting measures. Bosnia and Herzegovina authorities will receive support for the implementation of the Roma action plans. IPA II will provide support for the demining of mine-contaminated areas and for the support of mine-victims and their families.</p> <p>The migration and asylum strategy and action plan for 2012-2015 are being implemented.”</p> <p><i>Source: Enlargement Package, Bosnia and Herzegovina 2015 Report, Bosnia and Herzegovina ISP 2014-2020</i></p>
Former Yugoslav Republic of Macedonia	<p>The ISP anticipates support to these areas. The AAPs have targeted only competitiveness and innovation.</p> <p>“IPA II assistance will support this objective by improving the conditions for job creation by strengthening the educational system and the national employment agencies. In order to reflect the EU's focus on economic governance and competitiveness, IPA II will contribute to improving the business environment by supporting small and medium-sized enterprises (SMEs), reduce disparities between the different regions and link research & development institutions to the business and employment sector.</p> <p>As an additional cross cutting-issue, IPA II assistance will support the full implementation of the Ohrid Framework Agreement, in particular local governance and local economic development, in accordance with the principles of subsidiarity and participatory development, as well as social cohesion and good inter-community relations, based on the principle of mutual tolerance</p> <p>Social development:</p> <p>IPA II assistance will be programmed along the key national sectorial strategies, including the National Employment Strategy, and the National Programme for Development of Education (2005-2015), the VET strategy 2013-2020, and the National Strategy for Alleviation of 26 Poverty and Social Exclusion. The European Commission's "Employment and Social Reform Programme" will present policy reforms and measures covering three areas: labour market and employment policies, human capital and skills development policies and social protection and social inclusion.”</p> <p><i>Source: Former Yugoslav Republic of Macedonia ISP 2014-2020</i></p> <p>The performance of the HRD OP funded under IPA I (component IV) has not been good. There was a noted lack of capacity, unstable leadership and lack of political ownership. AAPs for 2014 & 2015 do not allocate any funds to Sector 7 (EDUCATION, EMPLOYMENT AND SOCIAL POLICIES).</p> <p><i>Source: Interviews with DG EMPL staff, DG NEAR staff</i></p> <p>Funding for economic development under Sector 6 (innovation and competitiveness) is programmed into both AAPs. There is a separate MAAP 2014-16 for transport (M€36.9) and climate change (M€44.3). Of this the transport element has reportedly been cancelled by the EC due to inadequacies in the national administration and failure to meet conditionalities.</p> <p><i>Source: Interviews with DG NEAR and IPA beneficiary staff, MAAP 2014-16</i></p>

I-212.2	Number of beneficiary countries seeking relevant results through IPA II national programmes addressing their economic, social and territorial development requirements
Albania	<p>A relatively small percentage of funding is allocated to actions in this area (25%) reflecting the strong programme focus on political reforms.</p> <p><i>Source: Data analysis from ISPs</i></p> <p>The challenges related to macroeconomic stability and the progress necessary to gradually become a functioning market economy will be dealt with through the existing bilateral surveillance and the resulting country specific policy guidance.</p> <p>Albania will prepare a competitiveness and growth programme, which will be submitted to the Commission in addition to the macroeconomic and fiscal programme.</p> <p>With respect to the conditions for sector support, a new Business and Investment Development Strategy will be part of the NSDI 2014-2020.</p> <p>Further strengthening of the taxation and customs administrations, in particular on implementation and enforcement of legislation, will be supported in particular on implementation and enforcement of legislation, together with the IT interconnectivity and interoperability with EU systems</p> <p>The EU will assist Albania with the objective to increase the impact of the employment and social inclusion policies in terms of the participation in the labour market and the opportunities for the socially and economically disadvantaged and vulnerable members of society.</p> <p>The government approved an ambitious PFM strategy for the period 2014-2020, supported by the Instrument for Pre-Accession Assistance (IPA). It contains plans to strengthen multi-year budgets, introduce rules to limit politically motivated ad hoc spending increases and eliminate systematic biases in budget forecasts. Fiscal credibility is to be reinforced by adopting a fiscal rule the details of which have yet to be worked out.</p> <p><i>Source: Albania ISP 2014-2020, corroborated by interviews with EUD officials, and National Authorities' officials.</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is assessed as acceptable.

The degree of confidence assessed as satisfactory.

1.2.2.3 I-212.3 Number of implemented/ under implementation of multi-country actions including interventions supporting economic, social and territorial development

I-212.3	Number of implemented/ under implementation of multi-country actions including interventions supporting economic, social and territorial development
Indicator Summary	<p>Most multi-country actions include interventions supporting economic, social and territorial development. This support targets areas that for the most part cannot be addressed by national IPA II programmes, which represents an adjustment in the programme's focus from IPA I. 98% of the 2014 MCAP and 63% of 2015 MCAP have been contracted, with 25 actions financed from the 2014 MCAP and 24 actions from 2015 (<i>source DG NEAR D5, 10/10/2016</i>)</p>
Kosovo	<p>"IPA II multi-country programmes may be used to ensure Kosovo's participation in regional cooperation initiatives in the areas of education, research and public health. On-going regional initiatives (such as SEE 2020 and the European Fund for Southeast Europe - EFSE) will be reviewed regarding their potential to add value and multiplier effects."</p> <p><i>Source: Kosovo ISP, 2014-2020</i></p>

I-212.3	Number of implemented/ under implementation of multi-country actions including interventions supporting economic, social and territorial development
Support to connectivity in the Western Balkans	<p>The action provides substantial funding for regional infrastructure interventions. It will also follow EU macro-regional strategies, such as the EU Strategy for the Danube Region (EUSDR) and the future EU Strategy for the Adriatic-Ionian Region (EUSAIR) which both identify better connections within the Western Balkans and between this region and neighbouring Member States as key priorities.</p> <p><i>Source: The Multi-country Indicative Strategy Paper 2014-2020, Interview with DG NEAR staff</i></p>
Statistical cooperation	<p>Multi-country Programme, IPA 2014/032-064</p> <p>“Statisticians have attended Eurostat working groups and training courses in a wide number of statistical fields. Beneficiaries receiving grants have started implementing the 19 different pilot projects.”</p> <p>EUR 8 million (of which 7.8 million contracted)</p> <p>Service contract 01/11/2015 – 30/09/2017 Grants 01/10/2015 – 31/08/2017</p> <p><i>Source: Multi-Country Programmes, Activity Report, July-December 2015</i></p>
Customs and Taxation	<p>Multi-beneficiary Programme IPA 2013/024-091</p> <p>“Support the Customs Administrations of the Beneficiaries to continue to use the SEED platform and INES+ software, by providing regional coordination, maintenance and slight improvement of the existing SEED/INES infrastructure and functionalities. Support the Customs Administrations of Serbia and Kosovo to maintain electronic data exchange via middle server located at the premises of Italian Customs Agency in Rome.”</p> <p>Service contract: 15/07/2014 – 14/07/2016</p> <p>EUR 0.77 million</p> <p><i>Source: Multi-Country Programmes, Activity Report, July-December 2015</i></p>
Economic Governance	<p>Multi-beneficiary Programme, IPA 2014 / 031-603</p> <p>“The purpose of this IMF-led project is to support the implementation of the relevant parts of the partners' Economic Reform Programmes and the preparation and implementation of their national PFM reform programmes.”</p> <p>09/06/2015 – 08/06/2018</p> <p>EUR 8,000,000</p> <p><i>Source: Multi-Country Programmes, Activity Report, July-December 2015</i></p>
Joint History Project Phase II	<p>2013 / 024-091 - Multi-beneficiary programme under the IPA Transition Assistance and Institution Building Component for the year 2013- part DG ELARG</p> <p>“Enhancing reconciliation and mutual understanding of the recent past in the Western Balkans and Turkey by means of multi-perspective research and analysis on the last 60 years of history in the Western Balkans.”</p> <p>EUR 0.6 million</p> <p>Grant Contract: 01/11/2014 – 31/10/2016</p> <p><i>Source: Multi-Country Programmes, Activity Report, July-December 2015</i></p>
Cultural heritage	<p>The action aims to raise awareness and encourage discussion about the recent history in the Western Balkans region that has divided and generated conflict over the past century.</p> <p>EUR 0.38 million</p> <p>Grant Contract: 07/11/2014 – 06/05/2017</p> <p><i>Source: Multi-Country Programmes, Activity Report, July-December 2015</i></p>
Development And Innovation Facility	<p>Multi-beneficiary Programmes for the years 2011-2013, IPA 2011/021-964; IPA 2012/022-966 and IPA 2013/024-091</p> <p>EUR 64.60 million</p> <p>05/12/2012 – 30/11/2025</p> <p>“EDIF promotes emergence and growth of innovative and high-potential companies</p>

I-212.3	Number of implemented/ under implementation of multi-country actions including interventions supporting economic, social and territorial development
	<p>and creation of a regional Venture Capital market. Coordinated by EIF, EDIF is implemented in close cooperation between the governments of the Western Balkans, the European Commission, the European Investment Bank (EIB) Group and the European Bank for Reconstruction and Development (EBRD).”</p> <p><i>Source: Multi-Country Programmes, Activity Report, July-December 2015</i></p>
Competitiveness/	<p>Multi-beneficiary Programme, IPA 2013/024-091 EUR 4.9 million 22/04/2013 – 31/12/2015</p> <p>“The Next Generation Competitiveness Initiative (NGCI) is aiming to improve the competitiveness of the Western Balkan economies by addressing structural economic challenges.”</p> <p><i>Source: Multi-Country Programmes, Activity Report, July-December 2015</i></p>
Employment and Social Inclusion	<p>Program for World Bank knowledge and advisory services in pursuit of the objectives of Europe 2020 Agenda, IPA MBP 2012/022-966</p> <p>“Support to the development of regional learning networks on employment and social inclusion, to the RCC and national administrations in strengthening the capacities of countries to achieve the headline targets for the inclusive growth pillar of the SEE 2020 Strategy.”</p> <p>EUR 1.0 million 16/10/2013 – 30/11/2015</p> <p><i>Source: Multi-Country Programmes, Activity Report, July-December 2015</i></p>
Entrepreneurship	<p>Multi-beneficiary Programme, IPA 2013/024-091</p> <p>“To further work on a systematic approach of the development of the entrepreneurially literate societies across the region and to support alignment of national policies with EU recommendations and policy essentials related to lifelong entrepreneurial learning, as well as to further develop the lifelong entrepreneurial learning system in line with the Human Capital Dimension of the SBA for Europe.”</p> <p>EUR 2.55 million and EUR 0.85 million 01/05/2013 – 30/04/2016; 01/01/2014 – 31/12/2016</p> <p><i>Source: Multi-Country Programmes, Activity Report, July-December 2015</i></p>
Trade	<p>Multi-beneficiary Programme, IPA 2014/031-603</p> <p>“The overall objective is to enhance economic development through supporting liberalisation and facilitation of intra-regional trade in the context of the Central European Free Trade Agreement (CEFTA).”</p> <p>EUR 282,623.00 01/04/2015 – 31/03/2016</p> <p><i>Source: Multi-Country Programmes, Activity Report, July-December 2015</i></p>

Sources of information used

Documentary analysis.

Assessment of quality of evidence

The level of information of this indicator is assessed as acceptable.

The degree of confidence assessed as satisfactory.

1.2.2.4 I-212.4 Evidence (nature and scope) of improved inclusive economic growth, smart and sustainable development, visible e.g. in: UNDP Human development index; WB Doing Business ranking; Global competitiveness index; Trade flows (with EU); other macroeconomic indicators (GINI index, etc.); adoption of Agreements on Common Standards (ACAA); as well as bilateral multilateral other agreements among the beneficiary countries et al.

I-212.4	<i>Evidence (nature and scope) of improved inclusive economic growth, smart and sustainable development, visible e.g. in: UNDP Human development index; WB Doing Business ranking; Global competitiveness index; Trade flows (with EU); other macroeconomic indicators (GINI index, etc.); adoption of Agreements on Common Standards (ACAA); as well as bilateral multilateral other agreements among the beneficiary countries et al.</i>
Indicator Summary	At this stage it is not possible to attribute any improvements in inclusive economic growth or smart sustainable development to IPA II. As implementation is currently ongoing for only some of the 2014 AAPs, impact level results such as these will only be manifest some years into the delivery of the instrument. Any changes in the impact/context indicators mentioned in this indicator would not in fact be attributable to IPA II support at this stage. This fact was confirmed both from documentary assessments and also feedback from interviews.

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is assessed as adequate.

The degree of confidence assessed as satisfactory.

1.2.2.5 I-212.5 Evidence (nature and scope) of regional integration and development

I-212.5	<i>Evidence (nature and scope) of regional integration and development (e.g. European integration index for eastern partnership countries)</i>
Indicator Summary	All IPA beneficiaries are engaged in various elements of IPA II from the perspective of regional integration and development initiatives. As mentioned elsewhere, implementation is currently ongoing for only some of the 2014 AAPs, results from these are not yet evident at regional or programme level.
ReSPA	Multi-beneficiary Programme, IPA 2013/024-091 EUR 3.5 million “The principal aim of ReSPA (Regional School of Public Administration) is to help improve regional cooperation in public administration among the Western Balkans; to strengthen administrative capacities as required by the European integration process; and to develop human resource capacities.” Duration: 14/11/2013 – 15/11/2015 <i>Source: Multi-country Programmes, Activity Report: July-December 2015</i> ReSPA’s recent restructuring has put it in a better position to address the needs of its clients (IPA beneficiaries) with a strong focus on services and themes of regional relevance. It will now need to push forward to deliver these benefits effectively, which it has not done so well in the past. <i>Source: Interviews with DG NEAR staff</i>
Inclusive Education	Multi-beneficiary Programme, IPA 2012/022-966 EUR 4.64 million “The project drives efforts to enhance social inclusion and social cohesion in the education sector within the region (Western Balkans). In order to achieve the objective, the project promotes the concept of inclusive education as a reform principle that respects and caters for diversity amongst all learners with a specific focus on those who are at a higher risk of marginalisation and exclusion.” Duration: 01/01/2013 – 28/11/2015

I-212.5	<i>Evidence (nature and scope) of regional integration and development (e.g. European integration index for eastern partnership countries)</i>
	<i>Source: Multi-country Programmes, Activity Report: July-December 2015</i>
RHP	<p>Multi-beneficiary Programmes, IPA 2011/023-537, IPA 2012/024-133 and 2013/024-134.</p> <p>Contributions to the RHP Fund: EUR 121.250 million Implementation costs: EUR 28.0 million</p> <p>“The Regional Housing Programme (RHP) addresses in a regional framework the housing needs of the most vulnerable refugees and internally displaced persons from the armed conflict in the 1990s in Bosnia and Herzegovina, Croatia, Montenegro and Serbia.”</p> <p>Duration: 30/11/2017 and 31/12/2018 (end dates)</p> <p><i>Source: Multi-country Programmes, Activity Report: July-December 2015</i></p>
EFSE	<p>CARDS 2006/018-264 and Multi-beneficiary Programme IPA 2007/019-344, IPA 2008/020-300, IPA 2009/021-373 and IPA 2013/024-091</p> <p>EUR 83.9 million</p> <p>“EFSE (European Fund for Southeast Europe) extends loans to selected financial institutions in the region of Southeast Europe (at present 44 in the IPA Region), including the European Eastern Neighbourhood Region, for on-lending to micro and small enterprises and low-income private households with limited access to financial services. EFSE's partner lending institutions include commercial banks, microfinance banks, microcredit organisations and non-bank financial institutions.”</p> <p>Duration: 04/08/2006 – 23/10/2017</p> <p><i>Source: Multi-country Programmes, Activity Report: July-December 2015</i></p>
RCC	<p>Multi-beneficiary Programme under IPA Transition Assistance and Institution Building Component for the year 2013, IPA 2013/024-091</p> <p>EUR 7.15 million</p> <p>“The purpose of this project is to provide financial assistance to the functioning of the RCC (Regional Cooperation Council) Secretariat and contribution to the activities of the RCC in 2015, as foreseen in its 2014 - 2016 Strategy and Work Programme, in particular implementing the SEE 2020 strategy.”</p> <p>Duration: 01/01/2015 – 31/12/2016</p> <p><i>Source: Multi-country Programmes, Activity Report: July-December 2015</i></p> <p>The RCC has been encouraged to take a more strategic and realistic view of what it can achieve. Its current workplan 2017-19 reflects this approach and potentially ensures better results (something which it has been accused of not delivering in the past).</p> <p><i>Source: Interviews with DG NEAR staff</i></p>
Berlin Process	<p>“The “Berlin Process”, launched with the Summit in Berlin on 28 August 2014 and the WB-6 Conference in Belgrade on 23 October 2014, and that led to the adoption of a Joint Statement, reflect the political commitment of the Western Balkans and their close neighbours to achieve progress on the connectivity agenda and to present more tangible results in the coming years. “</p> <p><i>Source: 2014 Annual Report on Financial Assistance for Enlargement</i></p>
Albania with Montenegro, Serbia, Bosnia and Herzegovina	<p>“It held a one-year chairmanship of the South-East European Cooperation Process (SEECP).</p> <p>In 2014, Albania concluded its one-year US-Adriatic Charter (A5) presidency. Albania has continued to participate in the EUFOR/ALTHEA mission in Bosnia and Herzegovina, and in all events related to the implementation of the Trans-Adriatic Pipeline and Ionian Adriatic Pipeline projects.</p> <p>Albania started negotiations with Montenegro and Serbia with regard to the bilateral convention on regional cooperation, under Article 13 of the Stabilisation and Association Agreement.”</p> <p><i>Source: Enlargement Package, Albania 2015 Report</i></p>

I-212.5	Evidence (nature and scope) of regional integration and development (e.g. European integration index for eastern partnership countries)
Bosnia and Herzegovina with Serbia, Albania	<p>“The implementation of the Dayton/Paris Peace Agreement continued. The government of the entity Republika Srpska continued to hold joint sessions with the Government of the Republic of Serbia under the framework of the Special and Parallel Relations agreement. The 27 two governments committed themselves to several joint infrastructural projects and planned to further strengthen their cooperation across all sectors.</p> <p>In March 2015, Bosnia and Herzegovina ratified an agreement on the exchange and mutual protection of classified information with Albania in July an agreement allowing their citizens to travel between the two countries with ID cards only was signed.”</p> <p><i>Source: Enlargement Package, Bosnia and Herzegovina 2015 Report</i></p>
Former Yugoslav Republic of Macedonia	<p>“The country has continued to participate actively in regional initiatives, including in the South-East European Cooperation Process, the Regional Cooperation Council, the Energy Community Treaty, the European Common Aviation Area Agreement and the Central European Free Trade Agreement.”</p> <p><i>Source: Enlargement Package, EU Progress Report 2015</i></p>
Montenegro	<p>“Montenegro has continued to actively participate in regional initiatives, including the South-East European Cooperation Process, the Regional Cooperation Council, the Central European Free Trade Agreement and the Energy Community Treaty. Montenegro continues to actively support the Coalition for Reconciliation Commission (RECOM) and the Igman Initiative on regional reconciliation.”</p> <p><i>Source: Enlargement Package, Montenegro 2015 Report</i></p>
Serbia	<p>“Serbia has also continued to participate actively in regional initiatives such as the South-East Europe Cooperation Process, the Brdo process, the Regional Cooperation Council and the Central European Free Trade Agreement. Serbia hosted a ‘16+1’ summit of the states of Central and Eastern Europe (SEE) and China in December, and a Black Sea Economic Cooperation Parliamentary Assembly in March. It continued to actively support the Coalition for Reconciliation Commission (RECOM) and Igman initiatives on regional reconciliation.”</p> <p><i>Source: Enlargement Package, Serbia 2015 Report</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries .

Assessment of quality of evidence

The level of information of this indicator is assessed as acceptable.

The degree of confidence assessed as satisfactory.

1.2.2.6 I-212.6 Evidence (nature and scope) of improved sustainable environmental management (number of new/revised regulations adopted related to the environment, at national and multi-country level

I-212.6	Evidence (nature and scope) of improved sustainable environmental management (number of new/revised regulations adopted related to the environment, at national and multi-country level
Indicator Summary	<p>There is evidence that IPA beneficiaries have undertaken measures to improve environmental management. This includes adoption of legislation and creation or reinforcement of appropriate institutions (see individual entries below). This is attributable in part to assistance under IPA I. Under IPA II (primarily Sector 3) financial allocations via MAAPs are in two countries (Turkey, Former Yugoslav Republic of Macedonia) and via AAPs in Serbia, Montenegro and Albania. Bosnia and Herzegovina and Kosovo have no dedicated allocations to this area, (although it is reported that for the revised ISP for Kosovo it is proposed to include Environment and Climate Change for IPA funding).</p> <p>Available documentation also indicates that in IPA beneficiaries more ambitious and</p>

I-212.6	<i>Evidence (nature and scope) of improved sustainable environmental management (number of new/ revised regulations adopted related to the environment, at national and multi-country level)</i>
	better coordinated environment and climate policies still need to be established and implemented.
Turkey	<p>“Turkey amended its environment horizontal legislation in November 2014 by introducing environmental impact assessment requirements for projects started after May 2013.</p> <p>Waste management implementing legislation aimed at aligning with the Waste Framework Directive was adopted in April. Implementing legislation aligning with the Mining Waste Directive was also adopted in July.</p> <p>A national recycling strategy and action plan were adopted by the Higher Planning Council in December 2014.</p> <p>On climate change, Turkey submitted in September 2015 its intended nationally determined contribution to the expected 2015 Paris climate agreement. Regarding alignment with the EU climate acquis, Turkey is preparing to set up and implement a monitoring, reporting and verification system, and build up its capacity on land use, forestry and fluorinated gases.”</p> <p><i>Source: Enlargement Package, Turkey 2015 Report</i></p> <p>Turkey has a MAAP 2014-16 for Climate Change and Environment covering water, waste and environmental management for sustainable development (M€ 182). The ISP for 2014-20 allocates an indicative M€644 to this sector.</p> <p><i>Sources: Turkey MAAP 2014-16 for Climate Change and Environment, ISP 2014-20</i></p>
Albania	<p>“As regards air quality, the national strategy for air quality and the law on ambient air quality were adopted and need to be enforced. The division of responsibilities between the National Environment Agency (NEA) and implementing bodies was clarified.</p> <p>A National Secretariat of the Water Council was created.</p> <p>On environmental noise, a joint order of the Ministers of Transport and of Environment was adopted, laying down the rules for protection from aircraft noise.”</p> <p><i>Source: Enlargement Package, Albania 2015 Report</i></p> <p>ISP allocates M€68 to environment and climate change</p> <p><i>Source: ISP 2014-20</i></p> <p>Environmental issues (mainly related to water supply, waste water management and river flooding management are focus policy areas and are supported by IPA II; nevertheless the structure of the relevant responsibility (mainly under the Local authorities) excludes this policy area from the implementation of a Budget Support programme.</p> <p><i>Source: Interviews with EUD officials, and National Authorities’ officials</i></p>
Bosnia and Herzegovina	<p>“On nature protection, initial steps have been taken to develop the Natura 2000 network in Bosnia and Herzegovina.</p> <p>An action plan for flood protection and river management in Bosnia and Herzegovina for 2014-2017 has been adopted.</p> <p>Bosnia and Herzegovina expressed its interest in becoming a member of the EU Civil Protection Mechanism in 2014 and concluded a protocol on cooperation and establishment of a point of contact with the mechanism.”</p> <p><i>Source: Enlargement Package, EU 2015 Progress Report</i></p> <p>There is no allocation in the ISP to environment and climate change</p> <p><i>Source: ISP 2014-17</i></p>
Kosovo	<p>On water management, an inter-ministerial water council chaired by the Prime Minister was set up in early 2015. Also, the government adopted a decision to establish the National Council on Climate Change in August 2015.”</p> <p><i>Source: EU Progress Report 2015</i></p> <p>No allocation for Sector 3 in the ISP. Funding potentially from WBIF. Investments</p>

I-212.6	<i>Evidence (nature and scope) of improved sustainable environmental management (number of new/ revised regulations adopted related to the environment, at national and multi-country level)</i>
	<p>into Energy Sector link to climate change improvements.</p> <p><i>Source: ISP 2014-20</i></p> <p>“The Government (NIPAC Office) considers that Environment should be one of the nine (9) focus sectors of IPA II, because there are many environmental problems in which need urgent and long-term interventions and solutions; it is also the opinion of many EU MS that bigger weight should be given to the policy areas of: (i) environment/ climate change/ clean energy, (ii) economic development and (iii) minorities issues.”</p> <p><i>Source: Interviews with EUD officials, and National Authorities’ officials</i></p>
Former Yugoslav Republic of Macedonia	<p>“The environment and climate change strategy was developed. Public communication and access to environmental information improved.</p> <p>Data reporting and dissemination of information on air quality improved.</p> <p>Regional waste management plans and strategic environmental assessments were developed for two regions, and are at a preparatory stage in the other four. The implementation of the legislation on special waste streams continued.</p> <p>The Fifth National Report to the Convention on Biological Diversity was adopted. Cross-border cooperation was improved with the designation of the Ohrid - Prespa region as a transboundary biosphere reserve.</p> <p>On industrial pollution control and risk management, the integrated pollution prevention and control permitting procedures are under way.</p> <p>The country submitted its First Biennial Update Report to the United Nations Framework Convention on Climate Change. The country submitted its intended nationally determined contribution (INDC) and adopted it as an input to the expected 2015 Paris Climate Agreement.”</p> <p><i>Source: Enlargement Package, EU Progress Report Report</i></p> <p>“The former Yugoslav Republic of Macedonia has a MAAP 2014-16 for Climate Change and Environment covering legal approximation, water & waste and support for sustainable development (M€44.36). The CSP for 2014-20 allocates an indicative M€112.9 to this sector.”</p> <p><i>Source: MAAP 2014-16 for Climate Change and Environment, ISP 2014-20</i></p>
Montenegro	<p>“Montenegro amended in July its law on air quality, to align more closely with the acquis. The national network of air quality monitoring was expanded in March with the opening of five pollen monitoring stations. In July, the government adopted the national strategy for waste management until 2030 and the national waste management plan 2015-2020.</p> <p>On water quality, amendments to the law on waters to further align with the acquis were adopted in July. The Ministry of Agriculture adopted the 2015 programme to encourage projects in the water sector. On nature protection, in February the government adopted the 2015 forest management programme. In April, Montenegro designated its first regional park: the ‘Piva’ regional park in the municipality of Plužine.</p> <p>On industrial pollution control and risk management, amendments to the law on integrated prevention and control of environment pollution were adopted in July. On chemicals, in January the government adopted the 2015-2018 national strategy for the management of chemicals. The amendments to the law on flammable liquids and gases were adopted in July. In March, parliament ratified the agreement between Montenegro and the EU on Montenegro’s participation in the EU Civil Protection Mechanism. On climate change, Montenegro made some progress on legislative alignment and on implementation, in particular on fuel quality, ozone-depleting substances and fluorinated gases through amendments to the law on air protection.</p> <p>Steps were taken to improve coordination and strengthen administrative capacity with the creation of two new Directorates-General within the Ministry of Sustainable Development and Tourism, and the recruitment of staff.”</p>

I-212.6	<i>Evidence (nature and scope) of improved sustainable environmental management (number of new/ revised regulations adopted related to the environment, at national and multi-country level)</i>
	<p><i>Source: Enlargement Package, Montenegro 2015 Report</i></p> <p>The ISP 2014-20 allocates M€37 to Environment and climate action sector.</p> <p><i>Source: ISP 2014-20</i></p>
Serbia	<p>“Serbia maintains a high level of timely and complete data delivery to the European Environment Agency in the European Environment Information and Observation Network (EIONET).</p> <p>On waste management, work started on the regional waste management centre for the Subotica district, which will serve approximately 280 000 people.</p> <p>A regulation on the plan for reducing packaging waste 2015-2019 was adopted in December.</p> <p>As regards nature protection, the implementing provisions of Annex VI of the Habitats Directive have been included in Serbian fisheries legislation in October 2014.</p> <p>On climate change, work on a comprehensive countrywide climate policy and strategy commenced.</p> <p>Serbia submitted its intended nationally determined contribution (INDC) to the expected 2015 Paris Climate Agreement in June.</p> <p>Activities pertaining to the establishment of a monitoring and reporting system for greenhouse gases emissions in line with EU Monitoring Mechanism legislation kicked off in May 2015. Serbia moreover implemented the first required measure of the Montreal Protocol, to freeze hydro-chloro-fluoro-carbons (HCFC) consumption at the baseline level in 2013. Serbia started the preparation of a National Adaptation Plan. The National Committee for Environment and Climate Change was established in November 2014.”</p> <p><i>Source: Enlargement Package, Serbia 2015 Report</i></p> <p>The ISP 2014-20 allocates M€160 to Sector 3.</p> <p><i>Source: ISP 2014-20</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is assessed as acceptable.

The degree of confidence assessed as satisfactory.

1.2.3 JC21.3: IPA actions contribute towards strengthening of beneficiary capacities at all levels to fulfil the obligations stemming from EU membership

1.2.3.1 I-213.1 Evidence (nature and scope) of extended cooperation with the beneficiary countries' Authorities in preparation, implementation and monitoring of IPA II actions

I-213.1	<i>Evidence (nature and scope) of extended cooperation with the beneficiary countries' Authorities in preparation, implementation and monitoring of IPA II actions</i>
Indicator Summary	<p>There is a mixed picture on the cooperation on preparation, implementation and monitoring of IPA II both internally and with the EUDs. Collaboration is best in Montenegro, Albania and Serbia, which have been able to develop sophisticated programming and implementation arrangements at sectoral and national level. Kosovo still lacks capacity but cooperation is progressing well. Bosnia and Herzegovina remains well behind due to its fragmented institutional setup and lack of political consensus, although there are currently signs of slight improvement (such as the establishment of an EU coordination mechanism). The former Yugoslav Republic of Macedonia remains hamstrung by weak capacity and the</p>

I-213.1	<i>Evidence (nature and scope) of extended cooperation with the beneficiary countries' Authorities in preparation, implementation and monitoring of IPA II actions</i>
	institutional paralysis caused by the long standing political crisis. Turkey cooperates well in some areas (transport, environment, rural development & agriculture, social policy/employment/education) but in other key ones (Governance and Democracy, and Rule of Law/Fundamental Rights), collaboration and wider progress is less smooth. .
Albania	<p>Under the IPA II framework, the specific strategic planning documents provide for a stronger ownership by the Albanian Government. The Delegation has successfully supported the GoA towards finalisation of the NSDI 2015-2020.</p> <p>The IPA II programming documents (notably Sector Planning documents and Action Documents for IPA 2014, 2015 and 2016) are prepared in line with the Albanian Government reforms, strategies and development agenda within the framework of predefined sectors. The EUD has periodically organised consultations and information meetings with EU Member States.</p> <p>The EUD has worked on supporting the government in the implementation of public financial management reform strategy, public administration reform strategy and employment and skills strategy through Sector Budget Support.</p> <p><i>Source: EAMR Albania, 2015</i></p> <p>The introduction of BS has made a big change to mentality of the institutions involved in IPA II. This is already an effect of the assistance. It has been a major challenge to prepare and implement but it promotes “deep change” unlike other types of assistance. However, a lack of administrative capacity may put BS at risk. The Sector approach in Albania still being understood and the SPD quality variable. Nevertheless, overall even here there is progress.</p> <p><i>Source: Interviews with DG NEAR staff</i></p> <p>In addition to the references in the EUD report, the extended cooperation of the EU with the National Authorities is being recognised by all interviewed officials during the field mission to Albania; all these officials consider as very positive and constructive this cooperation and certainly want it to be continued in a more systematised and intense way.</p> <p><i>Source: Interviews with EUD officials, and National Authorities' officials</i></p>
Kosovo	<p>“During the reporting period EUO continued to engage in the policy dialogue with the Ministry of European Integration as well as relevant line Ministries in programming pre-accession assistance. As a result of the structured dialogue with Kosovo institutions, Sector Planning Documents have been developed and consulted with other donors present in Kosovo as well as with civil society organizations to serve as a basis for specific actions in the priority areas.”</p> <p><i>Source: EAMR Kosovo, 2015</i></p> <p>DG NEAR and EUO have taken on more responsibility as the capacities within the Kosovo institutions are still weak. Nevertheless the political dialogue is more open-minded and collaboration with the EC good.</p> <p><i>Source: Interviews with DG NEAR staff</i></p> <p>The cooperation of the EU with the Government of Kosovo is quite developed but has a number of weaknesses resulting from the lack of coordination within the Government (Ministries), the weakness of the MEI (NIPAC Office) to exercise a basic coordination concerning the EU (and the IPAll) matters, the existence of many donors with own agendas and influence capacity.</p> <p>The IPA II actions/ programmes (as well as the strategic planning of the IPA II for Kosovo) have been/ are elaborated/ agreed in common between the EU and the National Authorities; however they were not based on multi-annual SPDs, because until early in 2016 (16/01/2016) they did not have a National Development Strategy and practically the whole programming of IPA II was based on ad hoc Annual programmes; now the MEI has a better basis to develop a multi-annual sectoral programming (in addition through an evaluation they have acquired a better view of the requirements of the IPA II and the EU).</p> <p>The recently organised SPO (Strategic Planning office, reporting directly to the</p>

I-213.1	<i>Evidence (nature and scope) of extended cooperation with the beneficiary countries' Authorities in preparation, implementation and monitoring of IPA II actions</i>
	<p>Prime Minister) has coordinated the elaboration of the National Development Strategy and the prioritisation of the development policy areas/ relevant actions; according to these, the three (3) priorities of IPA II are not considered to be very suitable for Kosovo; thus, for example, the economic reform programme has not been interrelated with IPA II.</p> <p><i>Source: Interviews with EUD officials, and National Authorities' officials</i></p>
Montenegro	<p>The national IPA structures are ready for implementation.</p> <p><i>Source: EAMR Montenegro, 2015</i></p> <ul style="list-style-type: none"> • Collaboration and progress in MNE has been good and the country is now well positioned to effectively use funds. • FA 2014 was signed by the end of 2015, first contracts to be launched; FA 2015 signed recently, multi-annual programme on employment/education/ social policies under final preparation • IPA I vs IPA II objectives are much better formulated in IPA II; Take up in IPA II is slow but not surprising in view of the enormous changes • DIS was a major Institution building objective in the past; MNE will mostly continue with indirect management (particular for infrastructure), except some direct management (e.g. civil society facility); Procurement takes a long time and any changes in the processes create further delays – first contracts will be awarded mid 2017 • First BS signed – integrated border management (IBM), next will be PAR; IBM had a reasonable national strategy (and SPD). Challenges in preparing the BS were indicators and definition of payment (tranches). BS does not leverage the political dialogue in MNE, except maybe in PAR; there is a very intense dialogue due to the negotiation talks • Indicative Strategy papers: was hard work but a basis for sector approach was achieved. Future assistance will focus on infrastructure (connectivity), and follow ups of IPA Components 1,3,4; important is the European integration facility as this is the speediest instrument in IPA. <p><i>Source: Interviews with DG NEAR staff and IPA II beneficiaries</i></p>
Bosnia and Herzegovina	<p>“The IPA II Framework Agreement was ratified with delay (Bosnia and Herzegovina being the last of the Western Balkan country to do so). The IPA 2014 Financing Agreements (with a specific focus on flood recovery efforts) were finally signed in November 2015. The delay in approval of these important documents has delayed the start of the preparations of the projects foreseen in these Financing Agreements (FA).</p> <p>With regard to programming, Sector Planning Documents (SPD) have been finalised for the areas of Rule and Law, and Democracy and Governance. Programming of IPA 2015 was timely: the projects planned are based on the priorities identified in these SPDs, as well as priorities from earlier allocations which were postponed because of the May 2014-floods.</p> <p>The IPA Monitoring Committee (taking stock of the whole IPA-portfolio) is in place and functioning</p> <p>In addition, the Commission engages in specific sector policy dialogue, primarily through the various interim committees, but as well through dedicated platforms such as the Structured Dialogue on Justice.</p> <p>The politicisation of IPA has continued, with Republika Srpska formally not engaging in IPA programming before a functional Coordination Mechanism is established and the delays in the approval of Sector Planning Documents due to the (alleged) non-consultation of Cantonal governments in the process. This had resulted in limited progress to develop country-wide strategies and has hampered the extending of IPA support to important sectors such as transport, energy, agriculture and environment.</p> <p>A willingness was expressed by the RS to re-engage and (reportedly) ratify a pending agreement on a EU Coordination Mechanism. This is an important</p>

I-213.1	<i>Evidence (nature and scope) of extended cooperation with the beneficiary countries' Authorities in preparation, implementation and monitoring of IPA II actions</i>
	<p>development, which would allow for a more inclusive programming process and an opportunity to also financially support the Reform Agenda (the main plan for socio-economic reform in Bosnia and Herzegovina).”</p> <p><i>Source: EAMR Bosnia and Herzegovina 2015</i></p> <p>Progress in all respects of cooperation remain problematic, both between the various institutions within Bosnia and Herzegovina and with the EU. One positive is that the EU Coordination Mechanism is in place although it remains to be seen how it will work in practice. SPD development is difficult due to lack of sector vision or institutions but in particular due to internal political difficulties which also result in disagreement on the development of country-wide sector strategies.</p> <p><i>Source: Interview with DG NEAR staff and stakeholders from IPA II beneficiaries</i></p>
Serbia	<p>“Clear strategic orientation of the national IPA programme 2015 was ensured, with the focus on three key sectors in line with the priorities of the enlargement strategy: public administration reform, justice and home affairs and transport (interconnectivity). The concentration of the budget on only three sectors and the clear reduction of the ensuing number of contracts compared to previous programmes will facilitate both the achievement of clear impact as well as increase the efficiency of implementation. The support to public administration reform was provided through an ambitious sector budget support programme, the first such support to Serbia. Strict requirements were placed on the maturity of programmed actions, in particular the foreseen investment projects. In recognition of both the strategic relevance and maturity of the national IPA programme for Serbia, the budget allocation for Serbia was increased by 15 million EUR compared the maximum indicative envelope originally foreseen for the country.</p> <p>The establishment of the National Investment Council and the prioritization of investment planning based on the Single Project Pipeline, developed with the support of IPA, serves as an example of good practice for the countries of the region.</p> <p>In the PAR field, the Special group on PAR meets regularly to discuss the reform process. The work with the Serbian authorities on achieving these milestones as part of the policy dialogue produced very important and concrete results: Serbia expanded the Action Plan of the Public Administration Reform strategy by a year, and properly assessed its likely cost.</p> <p>The Serbian authorities were slow in taking the necessary measures to strengthen the decentralized implementation system. In response to serious weaknesses in the staffing and capacity of the Audit Authority, the payments under the on-going decentralized IPA 2013 programme and technical assistance were suspended. The presentation of an action plan for the strengthening of the audit authority, the reinforcement of staff and the launching of a procedure for the recruitment of a capable Head of the Audit Authority eventually allowed for the lifting of the IPA 2013 suspension and for the entrustment of the de-centralized parts of the IPA 2014 programme to proceed.”</p> <p><i>Source: EAMR, Serbia, 2015</i></p> <p>Budget support approved for PAR & Sector planning documents (SPD) are moving in the right direction (increased coherence with national strategies) but the quality is uneven and still requires improvement. Sector based programming: HQ, EUD and SEIO understand the process well in the meanwhile, but there are certain line ministries that still have difficulties (e.g. Ministry of Agriculture and Environment). There is now a strong link between assistance and political side.</p> <p>A change of mentality has been introduced to all stakeholders in the system.</p> <p><i>Source: Interview with DG NEAR staff and stakeholders from IPA II beneficiaries</i></p>
Turkey	<p>“The IPA II sector approach has been further promoted, including by regular engagement with the National IPA Coordinator (NIPAC) and the sector lead institutions which concentrated among other on setting SMART objectives and indicators for effective monitoring at programme level, in line with the IPA II Indicative Strategy Paper. Particular attention has been given to screening</p>

I-213.1	<i>Evidence (nature and scope) of extended cooperation with the beneficiary countries' Authorities in preparation, implementation and monitoring of IPA II actions</i>
	<p>relevance and maturity of the proposals, with those not meeting the necessary requirements being deferred to next programming years. EUD Ankara is of the opinion that this will further improve the delivery mechanism, thereby accomplishing the objectives set in the action documents.</p> <p>Under the IMBC system there continue to be shortcomings related to the quality of programming and the delays in procurement.</p> <p>While the sector approach has officially introduced, there remain limitations as some parts of the Turkish public administration as well as staff in the EU Delegation not acquainted with components III, IV and V of IPA I are still more used to a project-based approach. A strategic link to broader sector reforms of the national link needs to be further developed. So far IPA continues to be a somewhat separate system, at best complementing Turkey's own reform plans and spending.</p> <p>EUD Ankara also supported the final negotiations for the IPA II Framework Agreement (FWA) which entered into force in June 2015. In addition, the Entrustment of Budget Implementing Tasks (EBIT) process has been successfully completed for all the (7) Operating Structures in the system, except for the Transport OP, with several non-blocking conditions to be addressed within six months from the signature of the Financing Agreements (FAs). As a result, the FAs have been signed in time and EUD Ankara facilitated the ratification and entry into force procedure with the Turkish authorities.</p> <p>In terms of implementation, EUD followed-up closely with the Turkish institutions under the Indirect Implementation System (IMBC), in particular for the annual programmes IPA 2011 part 2 and IPA 2012 which had their contracting deadlines in December 2015 as well as for the multi-annual Operational Programmes with split commitments of IPA components 3, 4 and 5 (see DG REGIO, EMPL and AGRI reports for details)."</p> <p><i>Source: EAMR Turkey, 2015</i></p> <p>The quality of cooperation and collaboration varies significantly depending on the sector and the institutions involved. This is good in those sectors with established programmes inherited from IPA I (transport, environment, rural development & agriculture, social policy/employment/education), or where there is a clear shared interest in collaboration (border management, customs). Due to the heterogeneous nature of the sectors covering democracy and governance and rule of law and fundamental rights and the large number of institutions involved, collaboration is more challenging. Here the focus of the programming documents is much less clear and resemble a collection of diffuse projects reflecting the needs of individual ministries rather than an action with a clear sectoral focus (for example as evidenced by the draft action document for fundamental rights). Here the NIPAC faces significant challenges in reconciling these two sometimes competing interests, particularly when institutionally powerful ministries are involved.</p> <p><i>Source: Interview with DG NEAR staff, mission visit, IPA II 2014 programming documents</i></p>
Former Yugoslav Republic of Macedonia	<p>"The policy dialogue at country level is conducted through a complex set of frameworks: The Stabilisation and Association Agreement (SAA) - in 2015 a total of 10 meetings were held involving 7 sub-committees, the special group on public administration reform, the SA Committee and the SA Council. The EU Delegation was actively involved in all meetings; High Level Accession Dialogue (HLAD) - The EU Delegation was intensively involved in achieving political agreement following the political crisis in 2015 and focusing back on the Urgent Reform Priorities that are expected to significantly improve the functioning of the legislative and judiciary systems in the country; Economic governance - the policy dialogue on economic growth and competitiveness between the Commission and the country resulted in January 2015 with the adoption of 2015-2017 Economic Reform Programme (ERP) by the government, however, further work is needed in order to ensure addressing the joint recommendations of the MS and the country."</p> <p><i>Source: EAMR Former Yugoslav Republic of Macedonia, 2015</i></p>

I-213.1	<i>Evidence (nature and scope) of extended cooperation with the beneficiary countries' Authorities in preparation, implementation and monitoring of IPA II actions</i>
	<ul style="list-style-type: none"> • The main characteristics of IPA II here are under-performance and political problems – for 2015 27M€ were cut, for 2016 21 M€; they also lost some WBIF railway funding, so the current cut is 70M€ • Implementation is seriously delayed - IPA 2012 is still under final contracting (indirect management), for 2014 one contract has been signed. • The CoA identified the extensive problems with IPA in the country. • Sector programming and BS have not moved forward as planned. They can however work as driver for political reforms at early stages. e.g. In 2014 programming a SPD for Justice was prepared (of mixed quality), later the government released a national JUS Strategy which did not tackle the real issues; it was made clear to the government that the national strategy needs to be in line with SPD provisions, otherwise there would be no funding. • BS is currently unlikely due to government unwillingness to commit to open and transparent targets and reporting. <p><i>Source: Interview with DG NEAR staff and IPA II beneficiaries</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries..

Assessment of quality of evidence

The level of information of this indicator is assessed as acceptable.

The degree of confidence assessed as satisfactory.

1.2.3.2 I-213.2 Time required for the conclusion of the “entrustment” (ex. accreditation) process in each country awarded indirect management mode

I-213.2	<i>Time required for the conclusion of the “entrustment” (ex. accreditation) process in each country awarded indirect management mode</i>
Indicator Summary	<p>The progress towards entrustment for indirect management (IM) varies from beneficiary to beneficiary. The time required for its conclusion is not possible to ascertain clearly with the available data. Nevertheless, the implication of IM is that it is a milestone demonstrating readiness to manage cohesion funds upon accession (and is therefore linked to accession). In reality the picture is more complex. The Former Yugoslav Republic of Macedonia received DIS in 2009 under IPA I but under IPA II there are indications of a return to centralised management due to serious efficiency problems and the stalling of accession negotiations since 2011 (no accession perspective, no point in IM). Turkey has most of its IPA II assistance under IM but there is no evident relationship between entrustment of IM and Turkey's accession perspective(which is unclear at present). . Entrustment has taken over a year for some Turkish institutions (the Operating Structure at the Ministry of Transport doesn't even have this). This is paradoxical as they were accredited under DIS and de-facto have been handling decentralised funds since 2002. Montenegro has advanced well in accession but is only now working with IM. Serbia and Albania are in similar positions, albeit with less clear accession perspectives. In both Kosovo and Bosnia and Herzegovina, entrustment is not on the table, implying a realistic assessment of their institutional capacities to handle IM.</p>
Albania	<p>“It was initially decided to introduce on a pilot basis to a certain extend decentralised management under the IPA 2013 programme (21.7%). Subsequently, amendments to the 2012 Financing Agreements also resulted in the inclusion of projects under decentralised management into the 2012 programme (30.25%). The 2014 and 2015 programmes continue that trend (with resp. 25.92% and 16.91%) with a number of actions under indirect management with the CFCU. The intention is to continue to use indirect management in a limited manner in complementarity with other implementation methods, in particular Sector Budget Support.</p> <p>The 2014 Financing Agreement was signed, which entailed the entrustment of</p>

I-213.2	<i>Time required for the conclusion of the “entrustment” (ex. accreditation) process in each country awarded indirect management mode</i>
	<p>budget implementation tasks, was followed by an entrustment audit carried out by Unit D6 (Finance, Contracts & Audit (IPA) of DG NEAR. The audit identified deficiencies, of which the most problematic concerned the Albanian Audit Authority. The Delegation mobilised technical assistance to help address a number of these deficiencies; however, some of these required further action by the Albanian authorities. These conditions include the need to appoint a head of the Audit Authority possessing adequate competence, knowledge experience in the field of audit, based on a transparent and merit-based procedure in line with the Albanian Civil Service law and with the 2014-2020 IPA Framework Agreement. Another condition relates to the need to ensure the Audit Authority's financial and managerial/administrative autonomy, as well as the availability of appropriate human material and monetary resources. These are two high-priority conditions and their implementation deadline is 1 month after the entry into effect of the Financing Agreement.”</p> <p><i>Source: EAMR Albania, 2015</i></p> <p>The MoF confirmed that the management, monitoring and auditing system of the country to implement IPA II actions under the indirect management mode are complete; nevertheless the introduction of the Budget Support programmes have introduced more requirements which are dealt with quickly and successfully.</p> <p>At the beginning of the planning and programming period of IPA II the Albanian Authorities were requesting the widening of the indirect management mode in the country; with the introduction of the modality of Sector Budget Support (SBS) they have stopped requesting more indirect management, because the SBS under the sectoral approach provides more flexibility to the National Authorities to manage the EU funded interventions in a more coordinated way, servicing the National goals.</p> <p><i>Source: Interviews with EUD officials, and National Authorities’ officials</i></p>
The Former Yugoslav Republic of Macedonia	<p>“Regarding IPA II, during the reporting period the national authorities submitted a request for entrustment of budget implementation tasks for 2014 IPA National Programme. An audit mission was organized to assess the systems in September 2015. The audit procedure was concluded with no major findings except of the necessity of having fully effective set of procedures ensuring complete, accurate and transparent accounting following internationally accepted accounting principles. All medium and low risk findings that need to be addressed together with the appropriate deadlines of implementation in the Financing Agreement Country Action Programme for the year 2014. Furthermore, in order to be coherent with the capacity building approach, the Commission should also identify the sectors to be managed under indirect/direct management in IPA II and where possible not to dismantle the operating structures that concentrated investments in time, human resources and logistics to be able to manage the structural funds in the future. Under IPA II 2014 and 2015 allocations about 63% of all funds will be managed under indirect management.”</p> <p><i>Source: EAMR, The Former Yugoslav Republic of Macedonia, 2015</i></p>
Montenegro	<p>“The entrustment of budgetary implementation tasks with regard to IPA II 2014 Action Programme and Cross-Border-Cooperation (CBC) was finally granted by the EU at the end of 2015 after a lengthy decision-taking process and was formalized through the signature of the 2014 and 2015 Financing Agreements. As a novelty, for the Cross-Border Programmes Montenegro-Albania and Montenegro-Kosovo, Montenegro will act as a single contracting authority for countries on both side of the border. The implementation of both IPA II Programmes will start from 2016 on and for the time being no problems are envisaged. The entrusted government structures are prepared; mainly the office of the Head of Operating Structures (OS) located at the ministry of Foreign Affairs and European Integration prepared a detailed work plan for 2016 and established on 15th January 2016 the technical support office for both CBC Programmes (common Joint Technical Secretariat). The Central Finance and Contract Unit (CFCU) at the Ministry of Finance gained already experience in the management of Call for Proposals (CfPs) during the IPA I implementation period where for example the CFCU presided and participated at several CBC CfPs (under centralized management mode). However, the OS is actually experiencing several</p>

I-213.2	<i>Time required for the conclusion of the “entrustment” (ex. accreditation) process in each country awarded indirect management mode</i>
	<p>changes in the staff composition since some of them are rotating as a part of the diplomatic service. The OS is in the process of replacing the staff. It is expected that the implementation of both CBC Programmes will start smoothly as of the beginning of 2016. As regards EBIT in relation to the IPARD II programme, the request was sent by Montenegro on 14th August 2015. Although the Framework Agreement entered into force on 4th June 2015 and the IPARD II programme was adopted on 20th July 2015, the Sectoral Agreement was duly signed by both of the Contracting Parties on 3rd and on 10th November 2015, respectively. Such delay was a consequence of the willingness of Montenegro to get the Sectoral Agreement adopted as a law which was not a requirement from the Commission. Therefore the entrustment mission from DG AGRI auditors will only take place at the end of January 2016 instead of autumn 2015 as initially foreseen. Another reason which led to the postponement of the entrustment mission is that the new premises of the IPARD Agency are not available yet to date. The move of the IPARD Agency into its new premises should take place by the end of January 2016. The limited involvement of the NAO in the whole process should also be considered. It has to be noted that a new NAO has been appointed by the Minister of Finance end of 2015.”</p> <p><i>Source: EAMR, Montenegro, 2015</i></p>
Serbia	<p>“The main aim of the mission was to ascertain the preparedness of Serbian structures, authorities and bodies involved in the receipt, use, control and implementation of EC pre-accession assistance (namely IPA II) under indirect management. Administrative capacity of line institutions and staff retention policy was identified as an issue of concern. Regarding the Audit Authority, lack of legitimacy, credibility and capacity towards the Management and Control System was a high-risk finding in the audit report. The findings of audit mission led to delays for the budget entrustment procedure for IPA 2014 program and suspension of IPA 2013 pre-financing payment. Consequently, during the second half of 2015, presentation of an Action Plan for the strengthening of the Audit Authority, the reinforcement of staff and the launching of a procedure for the recruitment of a capable Head of the Audit Authority eventually allowed for the lifting of suspension of decentralized IPA 2013 payments and for the entrustment of the decentralized parts of the IPA 2014 programme to proceed. Subsequently the pre-financing payment under decentralized IPA 2013 program was paid in December 2015, and the IPA 2014 Financing Agreement was signed at the end of December 2015.”</p> <p><i>Source: EAMR, Serbia, 2015</i></p>
Turkey	<p>“Some problems persist in the Turkish IMBC system. These include the instability in staffing, including lack of formal appointment to vacant senior posts, (exacerbated by the aftermath of the July attempted coup), insufficient/lack of staffing in the quality control and audit units, critical weaknesses in the management verifications, lack of SPO capacity reviews and lack of ex-post controls or proper interventions to addressing identified issues. Therefore, NAO and NIPAC need to improve their overall leadership of the system, including supervision capacity and an approach to supervision, the quality of its review and analysis concerning functioning of the system, and developing responsive actions and effective solution to the problems identified. EUD expects that the measures indicated in the draft action plan will considerably address the systemic flaws if they are effectively implemented by the set deadlines. In addition, the Entrustment of Budget Implementing Tasks (EBIT) process has been successfully completed for all the (7) Operating Structures in the system, except for the Transport OP, with several non-blocking conditions to be addressed within six months from the signature of the Financing Agreements (FAs). As a result, the FAs have been signed in time.”</p> <p><i>Source: EAMR, Turkey, 2015</i></p> <p>Feedback from field visits indicated that the entrustment process held up the signature of the 2014 FA even though many of the institutions involved had already been managing IPA funds under DIS for several years (and in the case of CFCU, since 2002). This paradoxical situation was reportedly due to a critical EC Audit assessment of these institutions at the end of IPA I (with the OS at the Ministry of</p>

I-213.2	<i>Time required for the conclusion of the “entrustment” (ex. accreditation) process in each country awarded indirect management mode</i>
	<p>Transport highlighted as a problematic case). Whilst the basis of this issue can be understood (ensuring protection of EU funds), the decision to undertake a rigorous entrustment process in Turkey is, on face value, difficult to understand given that this process differs little from the accreditation process that the relevant Turkish institutions have already successfully completed for DIS. Irrespective of the reasons, this process also added an additional delay into the already chronically inefficient IMBC system.</p> <p><i>Source: Country mission feedback</i></p>
Bosnia and Herzegovina	<p>ID not under consideration</p> <p><i>Source: EAMR, Bosnia and Herzegovina, 2015, interviews in IPA II beneficiary country</i></p>
Kosovo	<p>IMBC not under consideration</p> <p><i>Source: EAMR, Kosovo, 2015</i></p> <p>The indirect management mode has not been implemented for IPA I or II actions in Kosovo. Only actions managed by the EUO have been implemented up to now; the introduction of the Sector Budget Support will require the strengthening of the PFM system of Kosovo; this is still under implementation.</p> <p><i>Source: Interviews with EUD officials, and National Authorities’ officials</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is assessed as acceptable.

The degree of confidence assessed as satisfactory.

1.2.3.3 I-213.3 Level of impartiality, effectiveness and timely implementation of the meetings of the Monitoring Committees in each beneficiary country

I-213.3	<i>Level of impartiality, effectiveness and timely implementation of the meetings of the Monitoring Committees in each beneficiary country</i>
Indicator Summary	<p>All NIPAC offices in all IPA II beneficiaries have considerable weaknesses with respect to their new role under IPA II and their monitoring systems. There is heterogeneity in the implemented processes in the IPA beneficiaries. An important feature in all beneficiaries is the setting up and functioning of the Monitoring Committees. A complete set of processes for checking the quality of the collected/produced information/data at all levels of the M&R system is missing, at least at the national level. Monitoring Committees at ISP level have been created as have Sectoral Monitoring Committees (SMC).. These appear to have only convened once or twice with the purpose of clarifying their role. SMCs are being constituted across the region but uncertainty prevails over their actual composition (based on SMSCs or SWGs, for example) as well as their specific role. As there is limited IPA II assistance currently under implementation, the prevailing view is that there is no rush to put the SMCs into full operation, despite obligations requiring their constitution within 6 months of the signing of the FA in the case of assistance under IMBC. Recent guidance issued by DG NEAR on programme and sectoral monitoring has gone some way to clarifying the specific details linked to sector monitoring, but there remains considerable scope for further development.</p>
Albania	<p>“The EU Delegation project managers have performed on-site visits as part of their projects’ internal monitoring process. This is based on the risk assessment from managers and the problems encountered during implementation. All the recommendations should be followed up through a work-plan. The follow up work-plan, which consist of lists of the various actions (including deadlines and actors) could be endorsed by relevant Head of Section and be implemented by relevant actors. Some of the projects could be considered to be included in the internal</p>

I-213.3	<i>Level of impartiality, effectiveness and timely implementation of the meetings of the Monitoring Committees in each beneficiary country</i>
	<p>monitoring plan of the EUD.”</p> <p><i>Source: EAMR, Albania, 2015</i></p> <p>Firstly, the two Monitoring Committees i.e. for IPA I and for IPA II have been merged into one (IPA II MC); this has increased the overall coordination of actions of IPA II to IPA I, the transparency and the efficiency of the MC.</p> <p>There are no major problems in the functioning of the MC (impartiality, effectiveness and timely implementation of meetings).</p> <p><i>Source: Interviews with EUD officials, and National Authorities' officials</i></p>
Bosnia and Herzegovina	<p>“Under the direct management mode the monitoring and reporting is implemented by the EUDs, while the competent national authorities operate a parallel own system for following up the implementation of the IPA actions. Since the management mode used is only the direct one, the existing coordination difficulties can be mitigated by the management activity of the EUD. Nevertheless, provided that the positive political will has been expressed by the new Government, effort should be made to set up at national and correspondingly at the entities' levels of a structure that could deal with the monitoring and reporting on the progress and results of the IPA interventions; this could provide the information/data on the real results of the existing structure. Having in mind that Bosnia and Herzegovina is still under the Centralized implementation (management) regime, the CFCU and NF are not performing any of the activities foreseen by the IPA implementation Regulation. The EUD does all.”</p> <p><i>Source: IPA II Monitoring, Reporting, Perf. Framework, Final Report January 2016</i></p> <p>“The new ROM contract with a new methodology had been signed in June 2015, with ROM missions operational only in Q4 2015. Therefore, a limited number of projects (7) were ROM-ed. The 7 undertaken ROM missions however included 29 recommendations.”</p> <p><i>Source: EAMR, Bosnia and Herzegovina, 2015</i></p>
Kosovo	<p>No specific information has been collected on this issue in Kosovo; the structure of the MC and the way/ effectiveness of its functioning remain as before (no major internal problems, but no real influence on the coordination of the implementation of the actions in the various sectors/ fields). the role of the NIPAC on monitoring has been reinforced under IPA II and is being reviewed at the occasion of the regular IPA Monitoring Committees</p> <p><i>Source: Interviews with EUD officials, and National Authorities' officials</i></p>
Montenegro	<p>“In 2015 only two projects have been monitored, as the ROM contract had expired and the new contract was signed by DG NEAR only at the end of the year. All projects selected were risk rated as 'problematic'. One project was in the Public Administration sector, while the other one was in the Human Rights area. In both areas, the ED and the EUD have stepped up their policy dialogue with a view to develop a robust Public Administration Reform Programme, as well as provide capacity to the authorities in charge of PAR and Human Rights. In 2016, 9 projects will be monitored by ROM. The monitoring will cover projects in various sectors: cross border cooperation, human rights, and rule of law. For each project, monitoring will be done from 5 to 7 days.”</p> <p><i>Source: EAMR, Montenegro, 2015</i></p> <p>“Regulations for the operation of both the IPA II Monitoring Committee and IPA II Sectoral Monitoring Committees for Montenegro were adopted in June 2016. These lay out the responsibilities of the main stakeholders and procedures for the functioning of these fora. These will be put into practice at the next meeting of the IMC and scheduled SMCs (late 2016).”</p> <p><i>Source: Regulations of the IPA II MC and SMC (provided by DG NEAR)</i></p>
Serbia	<p>“The accreditation of the IPA I M&R system was done in 2014; the corresponding system for IPA II is under development (based on sectoral approach). Under IPA I, the NIPAC is responsible for the development and implementation of the monitoring system as well as for the programming of the interventions; The Line Ministries/</p>

I-213.3	<i>Level of impartiality, effectiveness and timely implementation of the meetings of the Monitoring Committees in each beneficiary country</i>
	<p>SPOs are the basis for the functioning of the reporting system; CFCU is implementing monitoring at the level of Contracts (CFCU is managing the implementation of the projects, together with the competent Line Ministries/CSOs). a tender for the development of the IT tool is going to be launched soon.”</p> <p><i>Source: EAMR, Serbia, 2015</i></p>
Turkey	<p>“Started in October 2014, the second phase of the TR ROM contract is still considered to be the major tool used by the NIPAC to assume their monitoring role. The contract is planned as a measure to assist the MEUA to fulfil its monitoring obligations and agreed to not only cover ongoing contracts but also pay visits to contracts already finalized to ensure ex-post monitoring data is analyzed.</p> <p>Since 2013, project level Steering Committees have been organized with the leadership of NIPAC following the signature of the FA. This has proven to be an effective tool especially in the case of complex projects with several components and where harmonization of components is crucial for success of the overall project.”</p> <p><i>Source: EAMR, Turkey, 2015</i></p> <p>“The M&R systems used by a big number of Line Ministries (those which were implementing the IPA I components III, IV & V) should be modified to serve the needs of IPA II; nevertheless they could serve as good examples for the development of relevant systems in the Ministries that do not have (i.e. the Ministries whose projects were tendered and managed by the CFCU in the IPA I period). The capacity building part of the IPA II interventions in the Ministry of Food, Agriculture and Livestock should be under a new M&R system to be developed by the Ministry”</p> <p><i>Source: IPA II Monitoring, Reporting, Perf. Framework, Final Report January 2016</i></p> <p>The IPA II Monitoring Committee has been established and met in October 2016. SMCs from IPA I components III, IV & V will continue under IPA II. Other SMCs and these had just started operation in the second half of 2016. A view among some SLIs was that for IPA II there was nothing to monitor as no actions had started and a failure to appreciate that even this fact was worthy of the attention of the SMCs. Interestingly, feedback indicated that the extensive experience of the IPA I operating structures had not been systematically exploited by other SLIs setting up their sector monitoring arrangements for the first time or encouraged by the NIPAC.</p> <p><i>Source: Field Mission</i></p>
Former Yugoslav Republic of Macedonia	<p>NIPAC is responsible for overall coordination of assistance under the IPA I, annual programming for Component I at national level and coordinating the process of programming for Components III and IV. NIPAC jointly with EC chair, IPA Monitoring Committee for all IPA components that meets once a year. It is responsible for Sectoral Monitoring Committee for Component I that meets two times per annum. NIPAC prepares annual and final implementation report (NIPAC Report), which is submitted, to the EC (Brussels) and NAO. IPA II preparations for monitoring are only now taking shape. The National IPA II monitoring committee is constituted and some SMCs are functioning (where they follow on from IPA II components III & IV).</p> <p><i>Source: IPA I Monitoring, Reporting, Perf. Framework, Final Report January 2016, interviews in IPA II beneficiaries</i></p>
Interviews with DG NEAR staff	<p>The IPA II Performance Framework (PF) is gradually taking shape. The parameters are clear, but operational modalities are yet to be fully clarified. Dialogue with EUDs is being strengthened as they will play a key role in some of the components of the PF. Guidance has been provided on the PF by DG NEAR to Delegations outlining the main elements of the PF. These are generally understood but the practical application of their elements (such as the MIS) is only now starting.</p> <p><i>Source: Interviews with DG NEAR staff</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is assessed as acceptable.

The degree of confidence assessed as satisfactory.

1.2.3.4 I-213.4 Level of quality of the outputs of the actions financed by IPA II (incl. from ROM reports on IPA I projects)

I-213.4	<i>Level of quality of the outputs of the actions financed by IPA II (incl. from ROM reports on IPA I projects)</i>
Indicator Summary	There are a diverse range of problems in each IPA beneficiary regarding the quality of outputs from IPA I. The quality of outputs from IPA II cannot be judged at national or programme level due to an absence of aggregated data. This will be evident only once the MIS being currently created by DG NEAR as part of its Performance Framework becomes operational in 2017. Field visits confirmed the fact that there was little hard evidence available even at sector level on the quality of outputs.
Turkey	<p>“IPA I - Major problems detected during the on-the-spot (OSC) missions are: • For supply contracts, the monitoring capacity of the CFCU is rather weak. Some of the goods delivered do not comply with the technical specifications; • For grant contracts, financial controls of the CFCU, asking for excessive documentation, delays in processing addendums, exercising limited flexibility for the use of project budget and staffing problems; • For twinning contracts, communication problems between the RTA and beneficiary institution; • For works contracts delays in the implementation, problems in terms of process, quality of workmanship and staff qualifications not complying with the technical provisions of the contract, high staff turnover and weaknesses in management/supervisory services/monitoring. The consequence of it is the increase on the initial contract value.</p> <p>The following summarizes the major factors for shortcomings: • Narrowly focused design and implementation; • Management difficulties; insufficient attention to quality of outputs; poor guidance by TAT; weakened capacity of the beneficiary due to high staff turnover; • Lack of participation of co-beneficiaries and other stakeholders; • Delays due to procurement-related issues; slow implementation of activities, mainly related to bureaucracy and very cautious approaches by the beneficiary; • Disharmony in implementation schedules of the project components.”</p> <p><i>Source: EAMR, Turkey, 2015</i></p> <p>IPA II has yet to enter implementation so there are no outputs to report.</p> <p><i>Source: Field mission</i></p>
Kosovo	<p>“IPA I - The recommendations resulting from ROM have been very useful in contributing to address some of the shortcomings of the ongoing innovative or problematic projects as well as learning lessons for the projects to be implemented in the future. The ROMs carried out last year confirm that sustainability is the main concern. EUO will be increasingly looking at reinforcing the buy-in of the Kosovo authorities and putting more weight on this criterion at the early planning stages. Specific recommendations with regard to ongoing projects are addressed by responsible project managers in liaison with implementing partners and beneficiaries.”</p> <p><i>Source: EAMR, Kosovo, 2015</i></p> <p>The quality of the outputs of IPA II (and IPA I) actions was not possible to be assessed; as per the EUO the quality is good, in general. The CSOs are waiting for the implementation (through the necessary decrees/ decisions) of a law ratified in 2016 giving the right to the CSOs to participate in the public consultation on the development of laws, decisions on key issues etc. However the CSOs are not participating in the monitoring of the implementation of the EU funded actions in Kosovo.</p> <p><i>Source: Interviews with EUD officials, and National Authorities' officials</i></p>
Bosnia and Herzegovina	“IPA I - In short, the two recommendations for waste water treatment plant (WWTP) projects focused on the actions needed to retender the remaining works (Bosnia and Herzegovina) and to avoid project failure by urgently updating the project plans (Mostar). Several recommendations addressed the need for properly defined

I-213.4	<i>Level of quality of the outputs of the actions financed by IPA II (incl. from ROM reports on IPA I projects)</i>
	<p>outcome indicators with baselines and targets. There was one recommendation for an updated logframe. The more common recommendations called for actions by the government, including to appoint a Director to a key position (Judicial Reform) or to sign an MoU between two Ministries (Entrepreneurial Learning) or to agree an environmental strategy at state and entities' levels (WWTP Bosnia and Herzegovina). There were also recommendations for future projects which included a conditionality for adequate ICT Human Resources to be available (Parliamentary ICT), for a no cost extension (Judicial Reform) and the future involvement of Universities (Entrepreneurial Learning). The responses issued by the Programme Managers indicate that all the ROM recommendations were either fully or partially accepted but it is too soon to assess the actions subsequently taken as well as lessons learned.”</p> <p><i>Source: EAMR, Bosnia and Herzegovina, 2015</i></p>
Albania	<p>“IPA I - For the year 2015, 52 contracts of an amount of EUR 140.5 million have been monitored through 92 on-site visits and meetings. The main findings are reflected in mission reports and included in the monitoring table. The main findings and recommendations from ROM review missions in 2015 have been linked to mainly sustainability and relevance. Some of the findings are as follows: Projects related to CSOs capacity building (C-353791) have problems continuing similar activities in the future, due to the lack of financing capacities and their chronic dependability on donors' funds. CSO projects should focus more in strengthening activities rather than raising awareness (C-355174 NATURA 2000) through seminars and workshops. High staff turnover was another aspect highlighted in relation to Technical Assistance projects especially related to TA projects to Ministries. Monitors suggest that promotion and retraining of key staff is important in order to achieve the sustainability of the project (C-342071). The capacities of the beneficiary staff should be taken into account for IPA II future support. Logframe and inception reports in some of the projects need to be updated so as to enable progress tracking; in some cases some baseline indicators are missing; more Page18 specific and measurable Result indicators should be proposed to be reached by the end of the project and in all future interventions. ROM Status at 31 December 2015 Eight projects were selected to be monitored by ROM during September – December 2015. Five of the projects selected were risk rated as “problematic”, two were “innovative” and one was “not visited”. Four projects were in the public administration or public finance sector, two were in the environment sector one was in the education sector and the eighth project was from general budget support (establishing the rural credit guarantee fund). By 31 December 2015, seven ROM reports are uploaded in ROM Module, of which 4 are final reports and three are draft reports.”</p> <p><i>Source: EAMR, Albania, 2015</i></p> <p>The EUD considers that there are no major deficiencies concerning the quality of the IPA programmes (overall); specific cases of problematic actions are reported in the EUD reports (EAMRs).</p> <p><i>Source: Interviews with EUD officials, and National Authorities' officials</i></p>
Serbia	<p>“IPA I - The EU finance staff committed to performing 41 internal on-the-spot checks for 2015. Given the vast portfolio of 294 ongoing contracts (Portfolio 01/01/2015 with expiry date after 01/01/2015 as basic population), the projects that were selected for on-the-spot checks included supply contracts for which Provisional Acceptance was expected to have been done in 2015, and selected grants agreements with forecasted final payments to be received before year-end 2015. Out of those 294 contract population, 41 projects: 31 grants and 10 supply contracts, were selected for on-the-spot checks in 2015. 26 on-the-spot checks over the forecasted 41 relating to the 2015 plan were performed (63.41% of the planned number in 2015) in 2015. 17 on-the-spot checks were carried over from the 2014 plan and 2 were organized ad hoc. So an aggregate of 45 on-the-spot visits were performed by EU finance staff in 2015. As a result of the financial on the spot checks a total amount of 8,467,907.90EUR has been checked, leading to 38,495.97EUR as ineligible expenditure.”</p>

I-213.4	<i>Level of quality of the outputs of the actions financed by IPA II (incl. from ROM reports on IPA I projects)</i>
	<i>Source: EAMR, Serbia, 2015</i>
Former Yugoslav Republic of Macedonia	<p>“IPA I - Future programming of IPA II action documents should be based on realistic timeframes for the production of quality tender documents. Projects should be selected on the ground of maturity; thus actions which combine in one the preparation of tender documents and the tenders themselves should be avoided as the risk of not respecting the contracting deadline is significant.</p> <p>The internal monitoring and ROM findings outlined the need of strengthening the monitoring practice in the EU Delegation at transaction/project and component level and introducing common standards for monitoring across the different sections.</p> <p>Projects need to be started as planned especially if they are linked to other actions subject of financing in subsequent programmes; - Combining activities preparing a contract and the contract itself in one single action is to be avoided, particularly in the cases of infrastructure where the technical design, cost benefit analysis and other documents must be ready in advance thus becoming a subject of assessment of the maturity of the project during the programming exercise - Monitoring of each contract should be organized at least twice during the year - Importance to be given to the visibility of the contract and to the sustainability once the contract is finished - Following a risk assessment ex-post monitoring to be organized.”</p> <p><i>Source: EAMR Former Yugoslav Republic of Macedonia 2015</i></p>
Montenegro	<p>“IPA I - The EU Delegation addressed these issues by programming IPA II assistance that will address employment, education, health and social inclusion of both domicile and internally displaced/displaced Roma (who were in focus under IPA I) that will also cover three municipalities and different regions in the country. Education and health Roma mediators professions will be institutionalized during 2016, which will ensure sustainability of IPA I intervention. Affirmative measures for increasing the employment of Roma population have been incorporated in the Montenegrin Operational Programme 2015- 2017 for Education, Employment and Social Inclusion. Two direct awards of a grant contract with UNDP and the Council of Europe, related to anti-discrimination, will have focus on Roma as the most marginalized and discriminated against population in Montenegro. The overall ex-ante assessment of the SOP EESP as an IPA II programming document was positive.</p> <p>In 2015 only two projects have been monitored, as the ROM contract had expired and the new contract was signed by DG NEAR only at the end of the year. All projects selected were risk rated as 'problematic'. One project was in the Public Administration sector, while the other one was in the Human Rights area. In both areas, the ED and the EUD have stepped up their policy dialogue with a view to develop a robust Public Administration Reform Programme, as well as provide capacity to the authorities in charge of PAR and Human Rights. In 2016, 9 projects will be monitored by ROM. The monitoring will cover projects in various sectors: cross border cooperation, human rights, and rule of law. For each project, monitoring will be done from 5 to 7 days.”</p> <p><i>Source: EAMR, Montenegro, 2015</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is assessed as adequate.

The degree of confidence assessed as satisfactory.

1.2.4 JC21.4: IPA actions contribute towards strengthening regional integration and territorial cooperation (IPA II regulation Article 1 and 2)

1.2.4.1 I-214.1 % of the overall IPA II budget engaged/ disbursed to strengthening regional integration and territorial cooperation

I-214.1	% of the overall IPA II budget engaged/ disbursed to strengthening regional integration and territorial cooperation
Indicator Summary	<p>Through IPA II, the EU is providing €11.7 billion for the period 2014-2020 to support the IPA beneficiaries in their preparation for accession as well as regional and cross-border cooperation. IPA support will also fund measures promoting economic development and growth and assist the countries in dealing with the effects of the current refugee crisis.</p> <p><i>Source: Enlargement Strategy 2015</i></p> <p>The percentage of total allocation to strengthening regional integration and territorial cooperation is in overall terms small i.e. 529M€ from a total IPA budget of 11.7 €BN i.e. 4.56%. Regional structures and networks Indicative allocation for 2014-2020: 134.5M€; Territorial Cooperation: 395.2 M€.</p> <p><i>Source: Multi-country ISP 2014-2020</i></p>
Connectivity	<p>2015/038-055 for year 2015: EUR 119.254.000 2016/038-72: EUR 36.000.000</p> <p><i>Source: 2015 MCAP for Connectivity</i></p>
ReSPA	<p>EUR 3.5 million</p> <p><i>Source: 2015 MCAP</i></p>
SEETO	<p>EUR 0.755 million</p> <p><i>Source: 2015 MCAP</i></p>
Technology Transfer	<p>EUR 1.5 million</p> <p><i>Source: 2015 MCAP</i></p>
Employment Platform	<p>EUR 3million</p> <p><i>Source: 2015 MCAP</i></p>
WBIF	<p>EUR 30 million</p> <p><i>Source: 2015 MCAP</i></p>
JASPERS	<p>EUR 4million</p> <p><i>Source: 2015 MCAP</i></p>
WB EDIF	<p>EUR 5.10 million</p> <p><i>Source: 2015 MCAP</i></p>
Trusteeship Agreements for European Fund for SEE and Green for Growth and replenishment of the Green for Growth Fund TA Facility	<p>EUR 9 million</p> <p><i>Source: 2015 MCAP</i></p>

Sources of information used

Documentary analysis

Assessment of quality of evidence

The level of information of this indicator is assessed as acceptable.

The degree of confidence assessed as satisfactory.

1.2.4.2 I-214.2 Number of multi-country events (and attendance to these events), platforms, MoUs, agreements, joint projects, etc. supported by IPA II programmes

I-214.2	<i>Number of multi-country events (and attendance to these events), platforms, MoUs, agreements, joint projects, etc. supported by IPA II programmes</i>
Indicator Summary	The available data indicates the existence of several, often significant, multi-country agreements and initiatives. In terms of actual individual events, available documentary evidence is limited and their verification not feasible within the scope of an instrument level evaluation such as this.
WBIF	“The new approach under the Western Balkans Investment Framework (WBIF), which also considers the strategic framework of investment priorities put forward by the applicants, will make it feasible to have a complete coordination of regional and national IPA funding together with other donor interventions and financing by banks, based on the national budget planning.” <i>Source: EAMR, Albania, 2015</i>
Albania, Montenegro, Serbia	“Albania started negotiations with Montenegro and Serbia with regard to the bilateral convention on regional cooperation, under Article 13 of the Stabilisation and Association Agreement.” <i>Source: Enlargement Package, Albania 2015 Report</i>
Kosovo	“IPA II multi-country programmes may be used to ensure Kosovo's participation in regional cooperation initiatives in the areas of education, research and public health. On-going regional initiatives (such as SEE 2020 and the European Fund for Southeast Europe - EFSE) will be reviewed regarding their potential to add value and multiplier effects.” <i>Source: Kosovo ISP, 2014-2020</i>
Former Yugoslav Republic of Macedonia	“The country has continued to participate actively in regional initiatives, including in the South-East European Cooperation Process, the Regional Cooperation Council, the Energy Community Treaty, the European Common Aviation Area Agreement and the Central European Free Trade Agreement.” <i>Source: Enlargement Package, EU progress report 2015</i>
CEFTA	“The overall objective is to enhance economic development through supporting liberalisation and facilitation of intra-regional trade in the context of the Central European Free Trade Agreement (CEFTA).” <i>Source: Multi-Country Programmes, Activity Report, July-December 2015</i>

Sources of information used

Documentary analysis;

Interviews DG NEAR.

Assessment of quality of evidence

The level of information of this indicator is assessed as adequate.

The degree of confidence assessed as satisfactory.

1.2.4.3 I-214.3 Degree to which IPA II actions enhance WBT-wide collaboration (e.g. through the Western Balkans Investment Framework, and other “regional” organisations/ bodies)

I-214.3	<i>Degree to which IPA II actions enhance WBT-wide collaboration (e.g. through the Western Balkans Investment Framework, and other “regional” organisations/ bodies)</i>
Indicator Summary	The existence of key measures such as WBIF, EDIF, GGF provides the basis for WBT-wide collaboration. Funding agreements underpin their functioning. Also the Regional Cooperation Council continues its work under IPA II. Additionally, the MCAPs finance a range of actions that promote cooperation between IPA states.

I-214.3	<i>Degree to which IPA II actions enhance WBT-wide collaboration (e.g. through the Western Balkans Investment Framework, and other “regional” organisations/ bodies)</i>
	<p>There is a strong alignment with several of the main programme elements of the MBP under IPA I so continuity can be expected. In principle therefore IPA II is likely to have a positive influence on enhancing cooperation at a regional level.</p> <p>All IPA beneficiaries participate in these regional bodies in line with their membership i.e. RCC and WBIF has members from the W Balkans, ReSPA and SIGMA collaborate with them.. Their value is generally considered to be good by stakeholders.</p> <p>Feedback from DG NEAR and other stakeholders singled out the WBIF as being an effective instrument for supporting investments into the region.</p>
Multi-country ISP	<p>WBIF, EDIF, GGF and other blending instruments: 2014-2020 Indicative Allocation: 1406.9 M€ <i>Source: Multi-country ISP 2014-2020</i></p>
2014 MCAP	<p>A number of actions funded from this AP that support WBT wide collaboration</p> <ul style="list-style-type: none"> • Economic Governance (IMF - €8.0) • Migration management systems (€8.0) • Cooperation on Cybercrime (M€5.0) • Rural development Standing Working Group (€1.0) • CEFTA (M€3.42) • Regional Housing (M€11.5) <p><i>Source: 2014 MCAP</i></p>
2015 MCAP	<p>The following actions support region-wide collaboration:</p> <ul style="list-style-type: none"> • Economic Governance and Competitiveness (M€16.7) • ReSPA (M€3.5) • WBIF (TA, IFI coordination) - M€30) • WB EDIF (€M5.1) • GGF/EFSE facilities (M€9.0) <p><i>Source: 2015 MCAP</i></p>
WBIF evaluation 2015	<p>The external evaluation of the WBIF found that:</p> <ul style="list-style-type: none"> • “the WBIF is in general a rather effective mechanism”. • “Taking into account the complexity of WBIF operational and managerial requirements, particularly the high number and variety of stakeholders that require coordination and agreement, the WBIF is in general a rather effective mechanism”. • The WBIF blending approach, in particular, was seen as a good initiative, especially when considered in the light of an average ratio of WBIF financing to IFI lending of 16:1. • In terms of added value, it is clear that “The majority of projects in the evaluation sample would be difficult, or impossible, to finance solely from government funds”. • Finally, when considering the ENE and TRA sectors, it is clear that WBIF has certainly helped develop the TRA sector and, to a lesser extent, the ENE sector • The IPA II Regulation was adopted in March 2014 and is applicable retroactively from 1st January 2014. This, together with a steadily maturity of projects in the WBIF pipeline, and in all sectors, led to a change in the WBIF methodology with steps towards increased efficiency and effectiveness. <p><i>Source: Evaluation of Western Balkans Investment Framework, November 2015</i></p>
Interviews with stakeholders	<p>Feedback from DG NEAR and other stakeholders singled out the WBIF as being an effective instrument for supporting investments into the region. It confirmed the findings from the 2015 evaluation mentioned above and also highlighted several innovations that had been introduced for IPA II. Chief among these was the creation of a single project pipeline, establishment of national investment committees in beneficiaries, increased pooling of funds (EU, IFIs, MS). Also, WBIF was underpinned by the EU’s connectivity agenda for the region, which was seen as a</p>

I-214.3	<i>Degree to which IPA II actions enhance WBT-wide collaboration (e.g. through the Western Balkans Investment Framework, and other “regional” organisations/ bodies)</i>
	driving factor behind its successful deployment. <i>Source: Interviews DG NEAR and stakeholders in IPA II beneficiaries</i>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is assessed as acceptable.

The degree of confidence assessed as moderately satisfactory.

1.2.4.4 I-214.4.1 Number, nature and scope of TAIEX events and twinning projects financed by IPA II

I-214.4.1	<i>Number, nature and scope of TAIEX events and twinning projects financed by IPA II</i>
Indicator Summary	<p>TAIEX assistance has been mobilised both on multi-country and on bilateral levels through IPA II. Financing has been provided for support measures for the implementation, monitoring, audit and evaluation of IPA programmes, as well as for information and communication activities. Evidence to date indicates a wide range of actions have been delivered to date under TAIEX from 2014 and 2015 APs. According to DG NEAR staff, there has been no noticeable change in the instrument's use between IPA I and IPA II. As such its effectiveness is expected to be largely as under IPA I i.e. good. There are 22 TWINNING projects financed or to be financed by IPA II funds.</p> <p><i>Source: DG NEAR – Unit C3</i></p> <p>Both twinning and TAIEX are extensively used by IPA beneficiaries as tools for institution building efforts. Under IPA II TAIEX has been deployed in a number of ways (see next indicator). For twinning, some twinning projects are underway from IPA II but at this stage their effectiveness from a programme perspective cannot be assessed.</p> <p><i>Source: DG NEAR – Unit C3, Interviews with NIPACs</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is assessed as adequate.

The degree of confidence assessed as satisfactory.

1.2.4.5 I-214.4.2 Number of experts and participants mobilised by TAIEX events

I-214.4.2	<i>Number of experts and participants mobilised by TAIEX events</i>												
Indicator Summary	<p>The TAIEX and Statistics Indicative allocation for 2014-2020 is given as 141M€ <i>Source: Multi-country ISP 2014-2020</i></p> <p>The following TAIEX actions have been done under 2014 and 2015 allocations:</p> <p><i>Table 2 Number of experts and participants mobilised by TAIEX events, by year and event type</i></p> <table border="1"> <thead> <tr> <th>Year</th> <th>TAIEX Event Type</th> <th>Number of Participants</th> <th>Number of Experts</th> </tr> </thead> <tbody> <tr> <td>2015</td> <td>Expert Mission</td> <td>1969</td> <td>269</td> </tr> <tr> <td></td> <td>Study Visit</td> <td>523</td> <td>185</td> </tr> </tbody> </table>	Year	TAIEX Event Type	Number of Participants	Number of Experts	2015	Expert Mission	1969	269		Study Visit	523	185
Year	TAIEX Event Type	Number of Participants	Number of Experts										
2015	Expert Mission	1969	269										
	Study Visit	523	185										

I-214.4.2		Number of experts and participants mobilised by TAIEX events		
	Work from Home		0	16
	Workshop		6974	749
	2015 Total		9466	1219
2016	Expert Mission		2364	272
	Study Visit		364	121
	Work from Home		0	5
	Workshop		5650	704
	2016 Total		8378	1102
	Grand Total		17844	2321

Source: DG NEAR Unit C3

Sources of information used

Documentary analysis;

Interviews DG NEAR.

Assessment of quality of evidence

The level of information of this indicator is assessed as acceptable.

The degree of confidence assessed as satisfactory.

1.2.5 JC21.5: IPA actions contribute towards institution building (at national and regional –e.g. RESPA - levels)

1.2.5.1 I-215.1 % of the overall IPA II budget dedicated to institution building (at national and regional levels)

I-215.1	% of the overall IPA II budget dedicated to institution building (at national and regional levels)
Indicator Summary	Available documentation indicates that a substantial portion of the IPA II budget is devoted to institution building (IB). The exact percentage of funding as well as exact ratio of actions is not quantifiable as there is no specific MIS data disaggregating IB from non-IB funding allocations at programme or sector level. Indeed it may be the case that it won't be possible as AAPs make no distinction between IB and other types of support in their financing allocations. IB-type <i>actions</i> feature prominently in the AAPs for all the IPA beneficiaries and the region. However, there is no precise delineation between what would and wouldn't constitute an IB action within these documents.
AAPs	This AAP illustrates the lack of clarity in classification of IB/non-IB support. It contains 11 actions, all of which contain some components or elements that are evidently IB but also some which are not. For example action A7 energy (M€12.65) has 2 components, one of which has a result 'Regulatory policies, mechanisms and operational practices implemented in compliance with the EU 3rd Energy package' which has strong IB character. The other component's result is 'Implementation of emission reduction at the thermal power plant Nikola Tesla A4 for cleaner energy production' which implies primarily investment. The split of funding between these two components is not specified. In the case of Action 4 (EU Integration Facility €M24.3) one of the expected result is 'Further alignment with the EU acquis and implementation Capacities of the national structures further improved for accession negotiations', implying IB. The other is the 'implementation of a methodology for selection of investment projects and their preparation' which potentially could have IB but seems more linked to standard TA. The AAP provides no further information on this, nor does it specify the funding allocations for this component. Without a detailed analysis of individual Action Documents, this distinction cannot be made. This pattern prevails in all the IPA national programmes, especially under the D&G/ RoL&FR pillar. The Regional programme also has a clear IB element of its

I-215.1	% of the overall IPA II budget dedicated to institution building (at national and regional levels)
	assistance (support to statistical offices, improving economic governance and the Council of Europe Horizontal Facility which inter-alia provides capacity building to IPA beneficiaries and ReSPA). <i>Source: Serbia 2014 AAP</i>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is assessed as acceptable.

The degree of confidence assessed as satisfactory.

1.2.5.2 I-215.2 Ratio of specific actions (e.g. budget support) of IPA II dedicated to institution building to the total number of action in the same period.

I-215.2	Ratio of specific actions (e.g. budget support) of IPA II dedicated to institution building to the total number of action in the same period.
Indicator Summary	Available documentation indicates that a substantial number of IPA II actions is devoted to institution building (IB). However, due to the lack of clear delineation between IB and non IB actions in the programming documents, it is not possible to calculate a specific ratio.
	The analysis provided for the previous Indicator is also valid for this one.

Sources of information used

Documentary analysis;

Interviews DG NEAR.

Assessment of quality of evidence

The level of information of this indicator is assessed as adequate.

The degree of confidence assessed as moderately satisfactory.

1.2.5.3 I-215.3 Number of new institutions (nature and scope) created/ started functioning under the implemented/ under implementation actions of IPA II

I-215.3	Number of new institutions (nature and scope) created/ started functioning under the implemented/ under implementation actions of IPA II
Indicator Summary	IPA II has required the creation of new institutions and structures in order to properly programme and implement it, particularly related to indirect management of funds – CFCUs being the most obvious example of this, but also those structures linked to coordination for the delivery of budget support and the sector approach. These are now in place in IPA beneficiaries where they have been required. Feedback from field missions suggest that these institutions are still building their capacities and as such their effectiveness is evolving.
EAMR, AAPs	IPA II programming implies the creation of 'sector lead institutions'. These are not in themselves new institutions but represent a new structure for the delivery of IPA II sector level support. All IPA beneficiaries have introduced these sector lead institutions. It also has required the introduction of indirect management of IPA II. To this end CFCUs have been created in all those beneficiaries where decentralised management had not yet been in place with the exception of Bosnia and Herzegovina and Kosovo. National Investment Committees also have been created in some beneficiaries to facilitate IPA II investments from WBIF, for example (Serbia). <i>Source: EAMR, AAPs</i>

I-215.3	<i>Number of new institutions (nature and scope) created/ started functioning under the implemented/ under implementation actions of IPA II</i>
Field mission feedback	<p>All the SLIs for the delivery of the sector approach have been created in the IPA II beneficiaries. These facilitate the delivery of IPA II in their sectors. Sector Monitoring committees, where they did not exist previously, have also been constituted although these are in various stages of operation (see also JC 21.2).</p> <p>In Turkey the SLIs have varying capacities depending on their experience and capacities – Strong SLIs can be found in the social policy and rural development sectors. Elsewhere there are issues linked to their institutional positioning (fundamental rights sector led by the MEUA although the main beneficiaries are from other ministries/agencies), staff capacities (transport) etc.</p>
Albania Country Mission Feedback	<p>In order to promote the sectoral approach (coordination of programming/ follow up of implementation) in the country (initiated because of the relevant requirement of IPA II, but adopted and promoted at national level) the Albanian Government created the Integrated Policy Management Groups (IPMGs) one per main sector, reporting to the Prime Minister's Office (PMO); so far four IPMGs have been created; the consolidation of their operation is being studied by a consulting company; the intention is to have one IPMG for each main sector but not for all sectors (only where the internal coordination within the sector is needed- e.g. water management, social sector)</p> <p><i>Source: Interviews with EUD officials, and National Authorities' officials</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiary institutions.

Assessment of quality of evidence

The level of information of this indicator is assessed as acceptable.

The degree of confidence assessed as satisfactory.

1.2.5.4 I-215.4 Level of activation/ use of RESPA on regional actions for the promotion of institution building (in the Balkan region)

I-215.4	<i>Level of activation/ use of RESPA on regional actions for the promotion of institution building (in the Balkan region)</i>
Indicator Summary	<p>ReSPA funding from IPA II has been available since September 2015. There has been a fairly intense amount of IB support delivered by ReSPA since then, but the bulk of this was done in 2015, with relatively little activity conducted in 2016 (based on available data). This suggests that ReSPA continues to struggle to maximise its capacity to support IB in the IPA beneficiaries.</p>
ReSPA	<p>ReSPA received no funding from IPA II MCAAP 2014. Therefore its work till the reception of M€3.5 from the 2015 MCAAP (which was approved in July 2015) was financed from IPA I. Performance after that period can be attributed to IPA II. Funding from IPA II is assumed to have been available from September 2015 onwards.</p> <p>According to its website, ReSPA was used fairly extensively for IB linked activities in the period September to December 2015 (approximately 26 events). This dropped off notably in 2016, with only 7 IB-linked events recorded as having taken place between January and September. This suggests that ReSPA capacities have not been used to support IB in the IPA beneficiaries to the maximum extent. This weak effectiveness was noted in ROM report from late 2014 and appears to still be prevalent.</p> <p>More generally, it suggests that IPA II IB efforts will continue to be delivered through national programmes and other more general instruments such as the CoE horizontal facility.</p> <p>The evaluation would need recent data from ReSPA itself to validate this information</p> <p><i>Sources: Interviews with DG NEAR Staff (A3), ReSPA website, ROM report of 28/11/2014 on ReSPA</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is assessed as acceptable.

The degree of confidence assessed as satisfactory.

1.2.5.5 I-215.5 Evidence (nature and scope) of institution building in the beneficiary countries, contributing to the achievement of the objectives of the EU enlargement strategy

I-215.5	<i>Evidence (nature and scope) of institution building in the beneficiary countries, contributing to the achievement of the objectives of the EU enlargement strategy</i>
Indicator Summary	<p>Alignment between EU enlargement strategy and IB actions is very close. Based on the current status of the implementation of APs, there is no widespread evidence of institutional changes at this stage directly attributable to IPA II support (possibly only for those actions from the 2014 AAP that may be close to finishing). Feedback from stakeholders indicates that the preparations for the introduction of BS and the sectoral approach to programming have led to important shifts in the philosophy of using IPA in the responsible institutions, away from a project-based /input-outputs approach to one more strategic and results-focused.</p>
	<p>All IPA II ISPs/AAPs deploy IB in areas covered by the objectives of the Enlargement Strategy. This is particularly evident in the areas of Rule of Law, Fundamental Rights, Democracy & Governance (referred to as strengthening democratic institutions inc. PAR) as well as in supporting the regulatory dimension of economic development/competitiveness. There is little or no available documentary evidence to show that, at this early stage of implementation that this alignment has in practice contributed to changes leading to the achievement of the ES objectives. These are dependent inter alia on Efficiency factors (see EQ3)</p> <p><i>Sources: Enlargement Strategy 2014, 2015. ISP/AAPs</i></p> <p>Feedback from stakeholders confirmed that IPA II had not directly contributed to any institution building developments, as the first tranches of IPA II assistance are under implementation and results are not evident at programme or country level. However, the introduction of both the sector approach to programming IPA II and also budget support had indirectly contributed to improving the capacities of the relevant institutions in the IPA beneficiaries. This was evident in the gradual improvement in the quality of the sector planning documents and related AAPs. Indirect effects were also reported thanks to the process of preparing for the introduction of BS. In both cases stakeholders stated that these had triggered changes in mind-sets of staff both in IPA beneficiaries and also in DG NEAR, away from a project-based /input-outputs approach to a more strategic, results-focused programming.</p> <p><i>Source: DG NEAR Staff, Stakeholders in IPA II beneficiaries</i></p>

Sources of information used

Documentary analysis;

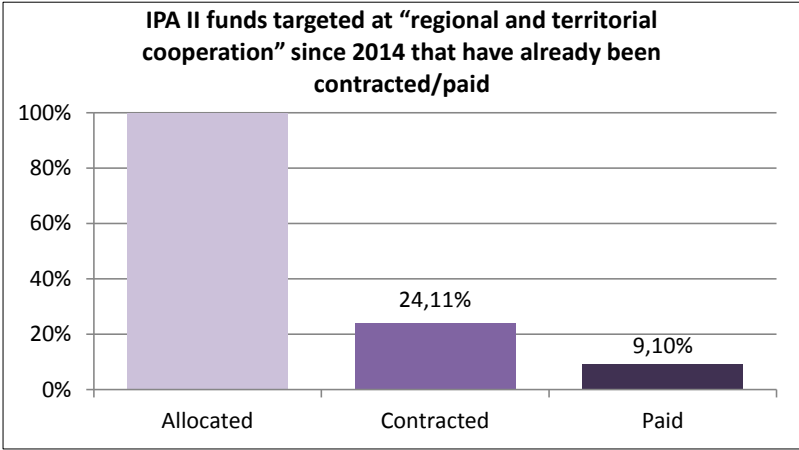
Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is assessed as acceptable.

The degree of confidence assessed as satisfactory.

1.2.5.6 I-216.1 % of the overall IPA II budget engaged/ disbursed to improving cooperation and good neighbourly relations among CBC partners

I-216.1	% of the overall IPA II budget engaged/ disbursed to improving cooperation and good neighbourly relations among CBC partners																																
Indicator Summary	<p>As the MIS data regarding the “regional and territorial cooperation” indicates, the allocated, contracted and paid amounts* for candidate countries and potential candidates are as follows:</p> <p><i>Table 3 IPA II funds targeted at “regional and territorial cooperation” since 2014</i></p> <table border="1" data-bbox="395 488 1380 965"> <thead> <tr> <th>Beneficiary</th> <th>Allocated</th> <th>Contracted</th> <th>Paid</th> </tr> </thead> <tbody> <tr> <td>Albania</td> <td>4.400.000</td> <td>2.360.000</td> <td>868.536</td> </tr> <tr> <td>Bosnia and Herzegovina</td> <td>18.200.000</td> <td>2.715.435</td> <td>564.631</td> </tr> <tr> <td>Former Yugoslav Republic of Macedonia</td> <td>16.050.000</td> <td>4.710.652</td> <td>2.165.822</td> </tr> <tr> <td>Kosovo</td> <td>1.060.000</td> <td>699.696</td> <td>448.798</td> </tr> <tr> <td>Montenegro</td> <td>8.050.000</td> <td>870.000</td> <td>237.431</td> </tr> <tr> <td>Serbia</td> <td>17.460.000</td> <td>3.124.907</td> <td>2.022.527</td> </tr> <tr> <td>Turkey</td> <td>15.000.000</td> <td>4.989.460</td> <td>997.892</td> </tr> </tbody> </table> <p><i>Source: MIS data. *Threshold date for MIS data is 6 October 2016</i></p> <p><i>Figure 4 Percentage of all IPA II funds targeted at “regional and territorial cooperation” since 2014 that have been contracted/paid to date</i></p>  <p><i>Source: MIS data. *Threshold date for MIS data is 6 October 2016</i></p> <p>The above table shows the amount of funds disbursed for regional and territorial cooperation since 2014. It is unclear if these funds include IPA I as well as IPA II amounts. In any case, it is evident that only 9% of the overall allocation has been paid, which in total terms reflects a small amount. This is largely due to the performance of implementation modalities in the IPA beneficiaries.</p> <p><i>Source: DG NEAR (CRIS Dashboard, November 2016), feedback from stakeholders.</i></p>	Beneficiary	Allocated	Contracted	Paid	Albania	4.400.000	2.360.000	868.536	Bosnia and Herzegovina	18.200.000	2.715.435	564.631	Former Yugoslav Republic of Macedonia	16.050.000	4.710.652	2.165.822	Kosovo	1.060.000	699.696	448.798	Montenegro	8.050.000	870.000	237.431	Serbia	17.460.000	3.124.907	2.022.527	Turkey	15.000.000	4.989.460	997.892
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1.2.5.7 I-216.2 Number of CBC programmes co-funded by IPA II

I-216.2	Number of CBC programmes co-funded by IPA II
Indicator Summary	As documents indicate, all IPA II beneficiaries are committed to involve into the CBC programmes. These include programmes with EU Member States under DG REGIO.

I-216.2	<i>Number of CBC programmes co-funded by IPA II</i>
Former Yugoslav Republic of Macedonia	<p>“The CBC/territorial cooperation programmes to be developed for the period 2014-2020 will focus on the socio-economic development of the border areas. The scope, objectives and thematic priorities of each CBC/territorial cooperation programme are laid down in a dedicated 7-year programming document, which is being drafted on the basis of extensive consultation of local stakeholders”</p> <p><i>Source: Former Yugoslav Republic of Macedonia ISP 2014-2020</i></p>
Monte-negro Albania Bosnia and Herzegovina	<p>“During the period 2014-2020 Montenegro is expected to participate in the following IPA II CBC programmes: CBC with Member States: Croatia - Bosnia and Herzegovina - Montenegro and Italy – Albania – Montenegro (trilateral) and CBC with IPA II beneficiaries: Serbia - Montenegro; Montenegro - Bosnia and Herzegovina; Montenegro – Albania and Montenegro – Kosovo.”</p> <p><i>Source: Montenegro ISP 2014-2020</i></p>
Kosovo	<p>Kosovo started programming cross-border cooperation CBC programmes with the former Yugoslav Republic of Macedonia and Albania in 2010 and Montenegro in 2011. During the period 2014-2020 the European Union will continue to support the cross border programmes Kosovo already established. In line with the objective of reconciliation and normalisation of relations with Serbia, IPA II assistance will be provided for the development of territorial cooperation with Serbia, in the medium term at the latest. Development of this cooperation will have to be agreed and prepared jointly, in line with the ongoing dialogue between Belgrade and Pristina facilitated by the EU.</p> <p><i>Source: DG NEAR</i></p>
Serbia	<p>“IPA assistance will continue to support Serbia’s already established cross-border cooperation with Member States (Hungary, Romania, Bulgaria and Croatia) and with IPA beneficiaries (Montenegro and Bosnia and Herzegovina).</p> <p>A programme with the former Republic of Macedonia should also be developed in the short-term. In line with the objective of reconciliation and normalisation of relations with Kosovo, IPA assistance will also be provided for development of territorial cooperation with Kosovo in the medium.</p> <p>The scope, objectives and thematic priorities of each CBC/territorial cooperation programme are laid down in a dedicated 7-year programming document, which will be drafted on the basis of extensive consultation of local stakeholders”</p> <p><i>Source: Serbia ISP 2014-2020</i></p>
Turkey	<p>3 different programmes will be implemented, of which the first (CBC) will be financed from IPA II:</p> <ol style="list-style-type: none"> 1. IPA II Cross-Border Cooperation programmes (CBC) with EU Member States 2. European Regional Development Fund (ERDF) Trans-national cooperation programmes 3. European Neighbourhood Instrument Programmes (ENI) <p><i>Source: Turkey ISP 2014-2020</i></p> <p>“Turkey is the only IPA beneficiary which is eligible to the ENI sea basins programmes, namely the Black Sea Basin programme and the Mediterranean Sea Basin programme. IPA II will continue to support the participation of Turkey in the Black Sea Basin aiming to achieve a stronger and sustainable socio-economic development of the Black Sea Basin region.”</p> <p><i>Source: Multi-Country Indicative Strategy Paper (2014-2020)</i></p> <p><u>Analysis from Field Mission</u></p> <p>Turkey will continue its bilateral cross-border cooperation with Bulgaria, to support economic, social and territorial development in the Turkey-Bulgaria border areas. During the first phase of the programme problems were encountered, largely as a result of the newly established collaboration between the relevant authorities, leading to sub-optimal procedures being put in place and a lack of risk analysis. These obstacles caused de-commitments while the programme was being implemented. Solutions have been found and, for the new period, the programme will benefit from structures with experience in collaborating, which should facilitate a smooth implementation.</p>

I-216.2	Number of CBC programmes co-funded by IPA II	
	<p>The conditions are not yet suitable for cross-border cooperation between Cyprus and Turkey, and it seems unlikely that a programme will be presented in the near future. Nevertheless, a budget allocation has been earmarked to implement a programme, in case the situation changes.</p> <p>The IPA II budget allows for funds to be allocated for territorial cooperation (under the multi-country envelope) at borders between Turkey and EU Member States. Current cooperation should be continued, as part of work towards the objective of fostering good relations and promoting social and economic integration in remote areas.</p> <p><u>The Interreg - IPA CBC Bulgaria – Turkey Programme</u></p> <p>It is designed in the framework of the European strategy for a smart, inclusive and sustainable growth and the relevant national strategic documents. The Programme is co-financed by the European Union through the Instrument for Pre-accession Assistance II and the two partnering countries Bulgaria and Turkey.</p> <p>Programme document was adopted by the European Commission with Decision № C (2015) 5280 of 22 July 2015. The Programme document was drafted jointly by the two countries through a large partnership with national, regional and local stakeholders.</p> <p>The total amount of funds under the programme amounts to € 29.642.896 of which € 25.196.460 are from IPA and € 4.446.436 - national public co-financing provided by the two partner states. The eligible area of the Programme covers NUTS III regions or equivalents, situated on the border between the both partnering countries and covers the following regions:</p> <p>In Bulgaria: District of Burgas (Aitos, Burgas, Kameno, Karnobat, Malko Tarnovo, Nesebar, Pomorie, Primorsko, Ruen, Sozopol, Sredets, Sungurlare, Tsarevo), District of Yambol (Bolyarovo, Elhovo, Straldzha, Toundzha, Yambol) and District of Haskovo (Dimitrovgrad, Harmanli, Haskovo, Ivaylovgrad, Lyubimets, Madzharovo, Mineralni bani, Simeonovgrad, Stambolovo, Svilengrad, Topolovgrad)</p> <p>In Turkey: Province of Edirne (Edirne, Enez, Havsa, İpsala, Keşan, Lalapaşa, Meriç, Süloğlu, Uzunköprü) and Province of Kırklareli (Babaeski, Demirköy, Kırklareli, Kofçaz, Lüleburgaz, Pehlivan köy, Pınarhisar, Vize)</p> <p>The Application package and the Guidelines for Applicants under the First Call for proposals, including all priority axis under the Programme (Priority Axis 1 – Environment, Priority Axis 2 - Sustainable tourism), was published in November 2015. The total amount of the Call for proposals' budget is € 11.028.255.</p> <p><u>The Black Sea Basin Programme 2014-2020</u></p> <p>It is part of European Union's Cross-Border Cooperation (CBC) under its European Neighbourhood Instrument (ENI). Cross-border cooperation (CBC) on the external borders of the EU is a key priority in the European Neighbourhood Policy. CBC under the European Neighbourhood Instrument (ENI) will build on CBC under its predecessor, the European Neighbourhood and Partnership Instrument (ENPI). CBC under ENI extends the principles of CBC among EU Member States via the European Territorial Co-operation programmes. ENI CBC receives funding from ENI as well as from the European Regional Development Fund and the Instrument for Pre-Accession which is pooled together. Turkey is the only IPA II country which is territorially eligible for the 2014–20 Black Sea Basin European Neighbourhood Instrument programme. The country currently participates in the Black Sea programme, and this will continue, with the intention of supporting stronger, sustainable economic and social development in the region, based on stronger regional partnerships and cooperation. The Black Sea Basin ENI CBC programme 2014-2020 builds upon the previous cooperation framework, the Black Sea Basin ENPI CBC programme 2007-2013 programme, under which 62 projects were awarded and implemented in 8 countries surrounding the Black Sea Basin.</p> <p>Indicative Financing Plan</p> <table border="1" data-bbox="395 1955 1396 2076"> <tr> <td data-bbox="395 1955 1396 2076">Indicative financing plan of the ENI CBC Black Sea Basin Programme, Providing the EU Contribution and the co-financing if known for the whole programming period for each thematic objective and for Technical Assistance Thematic objectives by source of funding (in Euros):</td> </tr> </table>	Indicative financing plan of the ENI CBC Black Sea Basin Programme, Providing the EU Contribution and the co-financing if known for the whole programming period for each thematic objective and for Technical Assistance Thematic objectives by source of funding (in Euros):
Indicative financing plan of the ENI CBC Black Sea Basin Programme, Providing the EU Contribution and the co-financing if known for the whole programming period for each thematic objective and for Technical Assistance Thematic objectives by source of funding (in Euros):		

I-216.2	Number of CBC programmes co-funded by IPA II				
	EC Funding (a)	Co-financing (b)	Co-financing rate (in %) (c) *	Total funding (d) = (a) + (b)	
Thematic Objective 1	25 337 752,68	2 027 020,21	8,00%	27 364 772,89	
Thematic Objective 2	18 796 984,62	1 503 758,77	8,00%	20 300 743,39	
Technical Assistance	4 903 859,70	1 373 080,72	28,00%	6 276 940,42	
Total ENI	49 038 597,00	4 903 859,70	10,00%	53 942 456,70	

The Turkish authorities also expressed their interest in launching discussions to set up a new cross-border cooperation programme with Georgia, to support economic, social and territorial development in the Turkey–Georgia border area.

Conclusion

All relevant sources of information (including the EUD) regarding the CBC, indicate that there is no major change of IPA II on CBC programme when compared to IPA I except EUD's strengthened role in monitoring and restricted role in tendering. CBC programmes have been carried out for a long time even before the IPA period. Hence, the relevant countries and parties have a tradition to work together for the same purpose for years. Despite the fact that the overall budget share for CBC is not very big, it has a very significant impact which includes providing a common working ground for historically sensitive groups. The huge number of applications is an indicator for the success of the programme. In the new IPA period, there is a strong will to add Greece to the Programme if the relevant/macro level problems are solved.

Source: Field Mission

1.2.5.8 Other evidence

	Other evidence
	<p data-bbox="387 1205 1396 1397">Feedback from stakeholders and ROM reports indicates that CBC will largely continue in the same way as under IPA I. There have been some adjustments to implementing structures (e.g. Montenegro) and to programmes with EU Member States, but the basis of CBC under IPA II will be as before. Stakeholders placed heavy emphasis on the needs for continuity to allow the complex structures and procedures to work as best possible.</p> <p data-bbox="387 1397 1222 1435"><i>Source: Interviews with staff of DG NEAR & DG REGIO, ROM reports</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is assessed as good.

The degree of confidence assessed as satisfactory.

1.2.6 JC22: IPA II mainstreams EU policy priorities (e.g. gender, climate change) and other issues highlighted for mainstreaming in the instrument Regulation (IPA II Regulation, preamble)

1.2.6.1 I-221 % of the overall IPA II budget engaged/ disbursed (individually and within other actions) to the EU's policy priorities: gender, climate change, environment

I-221	<i>% of the overall IPA II budget engaged/ disbursed (individually and within other actions) to the EU's policy priorities: gender, climate change, environment</i>												
Indicator Summary	<p>Overall IPA II budget allocates funds for the EU's policy priorities: gender, climate change, environment and Roma but the exact data is hard to assess in detail due to the difference at the beneficiary levels concerning the funding priorities.</p> <p>Nevertheless, the particular funds for those priorities are planned at the country and multi-country level and they are presented in detail in the table below.</p> <p>Overall, data for gender are very limited and mainly relate to the sector of Employment, social policies, education, promotion of gender equality, and human resources development. The explicit data per beneficiary can't be calculated based on the current sources of information.</p> <p>Data for Climate change are mainly calculated as part of the Environmental protection measures. Depending from beneficiary to beneficiary, the allocations vary from 10%-80% of the funds planned under the Environment and Climate actions. Also, the climate change funds are allocated within the sector of Agriculture as well. Therefore, the available information on the budget distribution for Environment and Climate Change are overlapping in many cases.</p> <p>The allocated budget for Roma related actions is planned at the multi-country level and in four IPA beneficiaries. The highest budget allocation for Roma is planned in Albania for the year 2014 in the value of M€4 under the Action 6: Economic and Social Empowerment of Roma and Egyptian Minorities.</p> <p>The following chart presents information on the inclusion of the EU's policy priorities (gender, climate change and environment) into the total IPA II commitments for the financial years 2014 and 2015.</p> <p><i>Figure 5 Percentage of policy objectives included as "Main Objective" or "Significant Objective" into IPA II programmes committed in 2014-2015</i></p> <table border="1"> <caption>Percentage of policy objectives included as "Main Objective" or "Significant Objective" into IPA II programmes committed in 2014-2015</caption> <thead> <tr> <th>Policy Objective</th> <th>Percentage</th> </tr> </thead> <tbody> <tr> <td>All IPA II programmes</td> <td>100%</td> </tr> <tr> <td>Gender</td> <td>29%</td> </tr> <tr> <td>Climate change adaptation</td> <td>13%</td> </tr> <tr> <td>Climate change mitigation</td> <td>22%</td> </tr> <tr> <td>Environment</td> <td>28%</td> </tr> </tbody> </table> <p><i>Source: Dashboard data IPA II for 2014 and 2015 (Policy Markers)</i></p> <p>According to the available data on committed funds for the financial years 2014 and 2015, it can be concluded that the inclusion of the mentioned policy areas into IPA II programmes as either "Main objective" or "Significant Objective" varies between 17% (average of both climate change markers), 28% (environment) and 29% (gender).</p>	Policy Objective	Percentage	All IPA II programmes	100%	Gender	29%	Climate change adaptation	13%	Climate change mitigation	22%	Environment	28%
Policy Objective	Percentage												
All IPA II programmes	100%												
Gender	29%												
Climate change adaptation	13%												
Climate change mitigation	22%												
Environment	28%												

I-221	% of the overall IPA II budget engaged/ disbursed (individually and within other actions) to the EU's policy priorities: gender, climate change, environment
Gender	<p>Albania ISP: M€69 for “<i>Employment, social policies, education, promotion of gender equality, and human resources development</i>” (nothing explicit for gender) AAP 2014 – Nothing for gender AAP 2015 – Action 2 specifically for gender mainstreaming: M€1.7 (1.8% of indicative budget)</p> <p>Bosnia and Herzegovina ISP: M€38 for <i>Employment, social policies, education, promotion of gender equality, and human resources development</i>” (nothing explicit for gender) AAP 2014: M€0 AAP 2015: M€0</p> <p>Kosovo ISP: M€94.2 for <i>Employment, social policies, education, promotion of gender equality, and human resources development</i>” (nothing explicitly for gender). It states that “the Gender Country Profile currently being established for Kosovo will serve as a reference document for the programming and implementation of assistance under the Instrument for Pre-Accession” AAP 2014: M€0 AAP 2015: Not specified. However, under the Action 1, EU Approximation Facility mainstreaming of gender in laws, policies, sectoral documents, IPA action documents, and IPA programs is envisaged.</p> <p>Former Yugoslav Republic of Macedonia ISP: M€53.2 for “<i>Employment, social policies, education, promotion of gender equality, and human resources development</i>” (nothing explicit for gender). AAP 2014: M€0 AAP 2015: M€0</p> <p>Montenegro ISP: M€28,1 for “<i>Employment, social policies, education, promotion of gender equality, and human resources development</i>” (nothing explicit for gender). AAP 2014: M€1,44 Action 8: Support to the anti-discrimination and gender equality policies AAP 2015: M€0</p> <p>Serbia ISP: M€190 for <i>Employment, social policies, education, promotion of gender equality, and human resources development</i>” (nothing explicit for gender) AAP 2014: M€0 AAP 2015: M€0</p> <p>Turkey ISP: M€435 for <i>Employment, social policies, education, promotion of gender equality, and human resources development</i>” (nothing explicit for gender) AAP 2014: M€5,4 for Assisted voluntary return and reintegration that includes gender sensitive reintegration measures. AAP 2015: M€0</p> <p>MC ISP: No specific information. AAP 2014: M€0 AAP 2015: M€0</p>
Climate Change	<p>Albania ISP: M€87.88 (13.5% of total allocation) AAP 2014: M€0 AAP 2015: M€0</p> <p>Bosnia and Herzegovina ISP: M€0; Climate relevant expenditure will be tracked across the range of IPA II interventions in line with the OECD-DAC's statistical markers on climate change mitigation. AAP 2014: M€0 AAP 2015: M€0</p>

I-221	% of the overall IPA II budget engaged/ disbursed (individually and within other actions) to the EU's policy priorities: gender, climate change, environment
	<p>Kosovo ISP: 14.9% (M€95.94, of which M€80 allocated under Energy, M€15.94 under Agriculture & rural development) AAP 2014: Action 17 states that eligible costs influenced by climate change focus. No specific allocations AAP 2015: Action 7 – same as above.</p> <p>Former Yugoslav Republic of Macedonia ISP: 28.8% M€112.9 for Programming priority b 'Environment and climate action' (100%) M€67.74 from Transport (60%) M€10.63 from Agriculture & RD (10%) AAP 2014: M€6,47 for Action 1: Approximation of environmental and climate change legislation in priorities areas (action 1) AAP 2015: M€0</p> <p>Montenegro ISP: Environment and climate action: M€37,5 out of which 80% relevant for climate change Transport: M€32,1 out of which 80% relevant for climate change Agriculture and rural development: M€52,4 out of which 10% for climate change AAP 2014: M€0 AAP 2015: M€0</p> <p>Serbia ISP Environment and climate change: M€160 out of which 80% relevant for climate change Energy: M€125 out of which 40% relevant for climate change Agriculture and rural development: M€210 out of which 40% relevant for climate change AAP 2014: M€0 AAP 2015: M€0</p> <p>Turkey ISP Environment and climate action: M€644,6 out of which 70% relevant for climate change Transport: M€442,8 out of which 60% relevant for climate change Energy: M€93,5 out of which 70% relevant for climate change Competitiveness and innovation: M€344,4 out of which 10% relevant for climate change Agriculture and rural development: M€912,2 out of which 10% relevant for climate change AAP 2014: M€0 AAP 2015: M€0</p> <p>MC ISP: No specific information. AAP 2014: M€0 AAP 2015: M€0</p>
Environment	<p>Albania ISP: M€68 (10.5%) AAP 2014: M€0 AAP 2015: M€0</p> <p>Bosnia and Herzegovina ISP: M€0 AAP 2014: M€0 AAP 2015: M€0</p> <p>Kosovo ISP: No allocation. "Kosovo will use the Western Balkans Investment Framework (WBIF) to address investment needs in the environmental sector. Kosovo will participate to the Environment and Climate Regional Accession Network (ECRAN), which will enable Kosovo to build its capacities in the environment field, as well as</p>

I-221	% of the overall IPA II budget engaged/ disbursed (individually and within other actions) to the EU's policy priorities: gender, climate change, environment
	<p>establishing good cooperation with the other countries in the region.”</p> <p>AAP 2014: M€0 AAP 2015: M€0</p> <p>Former Yugoslav Republic of Macedonia ISP: M€112.9 for Programming priority b 'Environment and climate action' (but 100% relevant for climate change). AAP 2014: M€ 44,37 for Environment and Climate Action (M€6,47 for Action 1: Approximation of environmental and climate change legislation in priorities areas (action 1); M€33,90 for Action 2: Investments in water and waste management); M€4 for Action 3: Sustainable development). AAP 2015: M€0</p> <p>Montenegro ISP: Environment and climate action: M€37,5 out of which 80% relevant for climate change Transport: M€32,1 out of which 80% relevant for climate change AAP 2014: M€0,94 for Action 9: Strengthening the capacities for air quality management in Montenegro; M€1,9 for Action 10 Implementation of the Water Framework Directive AAP 2015: M€0</p> <p>Serbia ISP: Environment and climate change: M€160 out of which 80% relevant for climate change AAP 2014: M€0 AAP 2015: M€0</p> <p>Turkey ISP Environment and climate action: M€644,6 out of which 70% relevant for climate change AAP 2014: Funds for participation in Union programmes are planned in the value of M€167, including European Environmental Agency. AAP 2015: M€0</p> <p>MC ISP: No specific information. AAP 2014: M€0 AAP 2015: M€0</p>
Roma	<p>Albania ISP: IPA II will support and encourage periodic seminars and follow-up activities with rigorous monitoring of implementation of operational conclusions through country monitoring committees. Furthermore, IPA II funding through a Roma 'facility' will finance support measures agreed in the national seminars, with improved cooperation with other international organisations. No explicit information about actual allocation. AAP 2014: M€4 under the Action 6: Economic and Social Empowerment of Roma and Egyptian Minorities AAP 2015: M€0</p> <p>Bosnia and Herzegovina ISP: No information. AAP 2014: M€0 AAP 2015: M€0</p> <p>Kosovo ISP: No information. DG NEAR: With regard to rights of persons belonging to minorities, IPA II will continue to support Kosovo in effectively implementing the strategy and action plan for the Roma, Ashkali and Egyptian communities. Efforts will focus on education, social services, civil registration of these communities, as well as their integration into the labour market. AAP 2014: M€1,3 Action 10 EU Support for the Implementation of the Roma,</p>

I-221	<i>% of the overall IPA II budget engaged/ disbursed (individually and within other actions) to the EU's policy priorities: gender, climate change, environment</i>
	<p>Ashkali and Egyptian Strategy AAP 2015: M€0 Former Yugoslav Republic of Macedonia ISP: No information. AAP 2014: M€0 AAP 2015: M€0 Montenegro ISP: No information. AAP 2014: M€1,44 Action 8: Support to the anti-discrimination and gender equality policies AAP 2015: M€1 for Action 4 - Protection of the rights of Roma, Egyptians Serbia ISP: M€190 for Employment, social policies, education, promotion of gender equality, and human resources development". Among the key priorities in this sector is also social inclusion of the most vulnerable groups, especially Roma. Sector budget support can be considered from 2015 onwards, especially for implementation of the Roma strategy, subject to Serbia meeting the pre-conditions for budget support. AAP 2014: M€9,8 for Action 9: Youth Employability and Active Inclusion (Component 2 relates to social inclusion of Roma). AAP 2015: M€0 Turkey ISP: No information. AAP 2014: M€0 AAP 2015: M€0 MC ISP: No information. AAP 2014: M€1,6 for Roma Decade actions AAP 2015: M€0</p>

1.2.6.2 I-222 Level of change in mainstreaming capacity induced among key actors in IPA II programming (EC H/Q, EUDs, competent national Authorities, other) achieving mainstreaming of the EU policies mentioned in the IPA II Regulation

I-222	<i>Level of change in mainstreaming capacity induced among key actors in IPA II programming (EC H/Q, EUDs, competent national Authorities, other) achieving mainstreaming of the EU policies mentioned in the IPA II Regulation</i>
Indicator Summary	<p>Within DG NEAR, the creation of Centres of Thematic Expertise in 2015 has put in place the basis for more effective mainstreaming of key horizontal themes in IPA programming. All have a formal role as part of the quality review process in programming to comment on the extent to which action documents (AD) have taken into account relevant cross-cutting issues. The extent to which they can play a more proactive role in programming IPA II (by for example promoting the inclusion of relevant themes early in the programming process) is conditioned by their capacities. The CoTEs have varying capacities, with some such as the PAR CoTE well-resourced and able to very actively participate in the preparation of BS actions, promote the SIGMA PAR principles as a basis for IPA II programming etc. Others, due to small staff numbers and relatively limited knowledge of the IPA programme, are confined to providing comments to ADs relatively late in the programming cycle. Other measures to promote mainstreaming are to be introduced in the near future e.g. an annex to ADs to ensuring gender issues are adequately integrated into its design. The value of this approach remains to be seen, although there is concern that this will only generate additional burden for programmers and not necessarily address the core problem of integrating horizontal issues early into the programming of actions. Awareness-raising among programmers in EUDs and beneficiary institutions on how to do this is seen as the optimal solution, but would be time-consuming for the CoTEs.</p> <p>As regards Roma, the recommendations from the 2015 evaluation of IPA I support to Roma are currently being followed up by DG NEAR internally. It was noted that</p>

I-222	Level of change in mainstreaming capacity induced among key actors in IPA II programming (EC H/Q, EUDs, competent national Authorities, other) achieving mainstreaming of the EU policies mentioned in the IPA II Regulation
	<p>the limited capacity within DG NEAR to do this, as well as within the EUDs, is acting as a constraint on mainstreaming Roma-specific issues into programming of IPA II measures.</p> <p>EUDs also have focal points for some horizontal issues e.g. gender. The extent to which they are able to influence programming processes in-country, particularly linked to the early phases of development of action documents is limited by their capacities and also the capacities and awareness of NIPACs and SLIs to deal with mainstreaming, which is generally low. Overall, there are still significant barriers to mainstreaming these issues into practice</p> <p><i>Source: Interviews with CoTEs, other DG NEAR staff, Stakeholder feedback from field missions</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is assessed as good.

The degree of confidence assessed as satisfactory.

1.2.7 JC23: IPA II promotes aid effectiveness through coordinating assistance, partnership and ownership (IPA II Regulation, Preamble and Article 5)

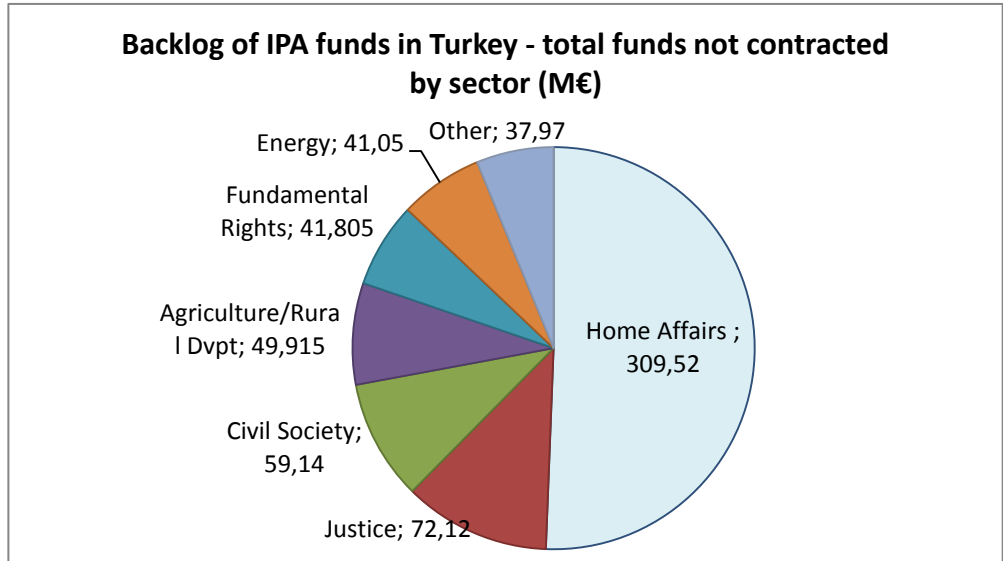
1.2.7.1 I-231 % of commitments/allocations for IPA II programmes to be implemented in indirect management

I-231	% of commitments/allocations for IPA II programmes to be implemented in indirect management
Indicator Summary	<p>Under indirect management, the European Commission entrusts budget implementation tasks to: partner countries (or to bodies designated by them), international organisations and development agencies of EU Member States or other bodies. Under the IPA I 2007 – 2013 process of introducing decentralised implementation system (the predecessor of IMBC) has started in Turkey, the Former Yugoslav Republic of Macedonia, Albania and Serbia requiring significant administrative capacities of the candidate countries. For Bosnia and Herzegovina and Kosovo IMBC has not yet been set up.</p> <p>According to the available data for 2014 and 2015, the % of commitments/allocations for IPA II programmes to be implemented in indirect management are significant for Turkey (97% for 2014 and 2015), while in other countries significant decrease is visible including Serbia 60% for 2014 and 43% for 2015, Montenegro 62,5% for 2014 and 12% for 2015 (except MAAP 2015 on Employment, Education and Social Policies which is planned 100% of the budget for indirect management). Albania has the lowest allocation in value of 25,92% for 2014 and 16,91 % for 2015 but preparations in that country started the latest, in 2013.</p> <p>According to the information available for the former Yugoslav Republic of Macedonia in the year 2014 the 32,5% was allocated for the indirect management under the Country Action Plan and 100% of the Multi-Annual Action Plan 2015 - 2018 for the sector of Environment and Transport.</p> <p>It also should be noted that i.e. Public Administration Reform in Serbia (2014) and Integrated Border Management (2015) in Montenegro will be 100% implemented under the direct management modality (budget support).</p> <p><i>Source: Country Action Programmes 2014 and 2015; Multi-Annual Country Action Programmes</i></p>
Albania	“Indirect management with the Central Finance and Contracting Unit (CFCU) is one of the modalities used in recent programming, next to direct management, indirect management with international organisations and, since 2014, Sector Budget

I-231	<i>% of commitments/allocations for IPA II programmes to be implemented in indirect management</i>
	<p>Support. It was initially decided to introduce on a pilot basis to a certain extent decentralised management under the IPA 2013 programme (21,7%). Subsequently, amendments to the 2012 Financing Agreements also resulted in the inclusion of projects under decentralised management into the 2012 programme (30,25%). The 2014 and 2015 programmes continue that trend (with resp. 25,92% and 16,91%) with a number of actions under indirect management with the CFCU. The intention is to continue to use indirect management in a limited manner in complementarity with other implementation methods, in particular Sector Budget Support.“</p> <p><i>Source: EAMR Albania 2015</i></p>
Montenegro	<p>“Montenegro received conferral of management for the IPA II 2014 action programme and IPA CBC programmes at the very end of 2015, together with the signature of the respective financing agreement. As a result, there has been no start of operations as yet under the programmes (except for some urgent actions under centralised management by the EU Delegation). The national IPA structures are ready for implementation, but limited human resources and rotation of staff in the management and in the operating structures will be a challenge.”</p> <p><i>Source: EAMR Montenegro 2015</i></p>
Serbia	<p>“It was planned that IPA would be implemented essentially under indirect management through the beneficiary country as of IPA 2013. However, the slow progress in the implementation of IPA 2013, combined with the new orientation of DG NEAR policy regarding the choice of modalities, led to the decision to only partially decentralize IPA funds under IPA 2014 and IPA 2015. Thus, both modes of implementation will co-exist for the years ahead.”</p> <p><i>Source: EAMR Serbia 2015</i></p>
Turkey	<p>“The rate of the contracted funds directly managed by the EUD is 6% (EUR 28 million) compared to the funds contracted by the Turkish IMBC authorities (EUR 378 million) and the funds managed through international organizations under PaGODA contracts (EUR 65 million). In other words, 80% of the contracted funds in 2015 were managed through indirect management by the beneficiary country (IMBC) – these include IPA I and IPA II funds. There is a complex management structure under IMBC in Turkey. The contracted funds under IMBC have been managed by the CFCU in coordination with 15 line ministries, headed by 25 Senior Programme Officers (SPOs).</p> <p>The system is monitored by the NIPAC and supervised by the NAO. It is extremely difficult to control the functioning of the system as well as to monitor the KPI data generated by it, especially considering that the current financial reporting system i-Persues does not report on project operations but on financial data and contract related information. It is expected that this complexity will be further exacerbated via the seven operating structure under the IPA II period. Therefore, it is of utmost importance to improve the current financial reporting system (i-Perseus) to cover operational progress so that EUD could closely monitor the actual implementation and develop effective and timely measures to address flaws in project implementation.”</p> <p><i>Source: EAMR Turkey 2015</i></p> <p>Figures from EUD indicate 96% of IPA II under IMBS. Severe backlogs have been reported in the system, with some 611M€ still in the contracting process.</p>

I-231 % of commitments/allocations for IPA II programmes to be implemented in indirect management

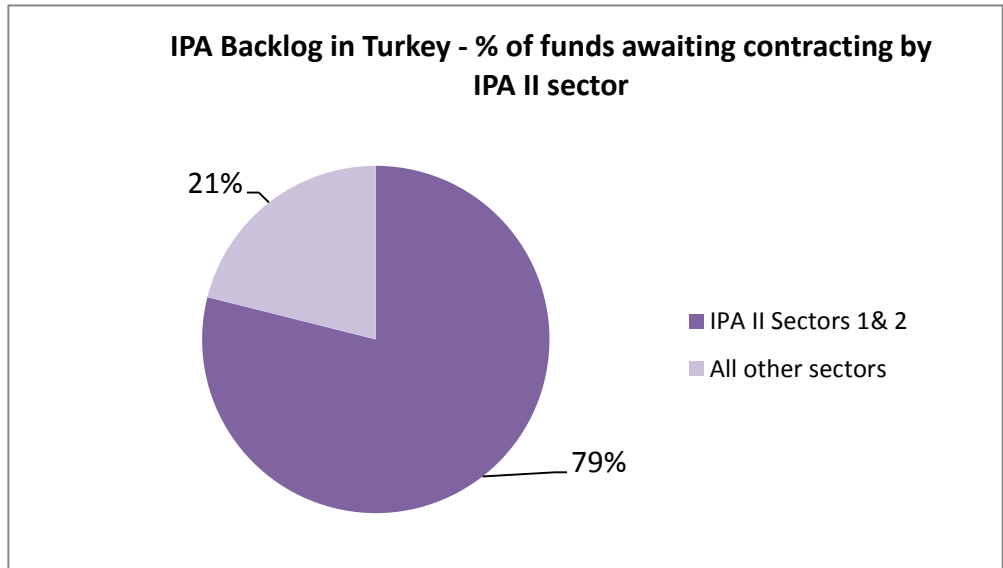
Figure 6 Backlog of IPA funds in Turkey



EUD Ankara (IPA Backlog Report as at 28/11/2016)

Of these, 79% of funds are in the sectors linked to political reforms i.e. Democracy & Governance and Fundamental Rights & Rule of Law (see below). This suggests that continued programming of funds into these sectors (along with other factors) is likely to exacerbate the backlog further.

Figure 7 IPA Backlog in Turkey – % of funds awaiting contracting



Source: EUD Ankara (IPA Backlog Report as at 28/11/2016)

Former Yugoslav Republic of Macedonia

“The former Yugoslav Republic of Macedonia asked the Commission to decentralise the management of IPA funds to the national authorities in 2008. By 2010, the country was responsible for contracting and implementing 470 million Euros (76 %) of its total IPA I financial envelope, subject to either *ex ante* or *ex post* checks by the Commission. The national authorities were required to set up operating structures to manage the decentralised IPA funds.

Soon after decentralisation began, the national authorities were unable to respect the deadlines for presenting contract dossiers for *ex ante* checks by the Commission. This was often because they submitted documents of insufficient quality which had to be returned. This was the case for one third of these documents in 2014. The rate of contracting slowed. By the end of 2014, the delays had led to the de-commitment of 70 million Euros of funds under IPA I (11 % of the IPA

I-231	% of commitments/allocations for IPA II programmes to be implemented in indirect management
	<p>funds allocated to the country), and 244 million Euros remained to be committed (about 40 % of the total). In many cases the de-commitments resulted in the loss of projects designed to fund key reforms. For example, 33 million Euros was allocated for 2010, but the cancellation of 12 out of 31 projects presented for funding meant that 10 million Euros (33 %) was effectively lost for funding reform in the country.”</p> <p><i>Source: EU CoA - 2016 Former Yugoslav Republic of Macedonia Special report</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is assessed as good.

The degree of confidence assessed as satisfactory.

1.2.7.2 I-232 Extent to which the beneficiary countries operate effective systems for the coordination of all donors' actions (including IPA II)

I-232	Extent to which the beneficiary countries operate effective systems for the coordination of all donors' actions (including IPA II)
Indicator Summary	<p>Effective donor coordination has been introduced as horizontal issue in the IPA region with a strong emphasis on the need for donor coordination structures to be established either within the donor community or, preferably, hosted within the central coordination structures of government.</p> <p>The need for coordination varies greatly between the IPA beneficiaries – small beneficiaries such as Montenegro have developed to a stage where the EU is the principle actor alongside the government and here donor coordination is minimal and informal. Whilst those still facing significant development challenges such as Bosnia and Herzegovina, Kosovo and to some extent Serbia have a larger – although generally declining – spectrum of donors present and here more formal structures are in place. Turkey represents a different case altogether due to its size and complex programme structure of IPA, as well as the limited presence of other donors.</p> <p>In recent years, the EC as well as other donors and the national authorities have spent considerable efforts in the development of management and control structures for coordinating donors. Five IPA beneficiaries have aid coordination databases maintained by national level coordination structures but funded principally by the IPA (or earlier pre-accession assistance) with support from various other actors – Kosovo, the former Yugoslav Republic of Macedonia, Bosnia and Herzegovina, Croatia (until accession) and Serbia. For example, in Albania, an Integrated Planning System (IPS) linking national budgetary planning with donor funding was established in 2009 with the support of seven donors but its aid coordination database has recently elapsed.</p> <p>In addition to databases, donor coordination consists of a series of meetings at either sector or national level that are in principle led by the national authorities, usually in collaboration with a key donor in each sector. The IPA does not generally fund these structures but many were established with some support from earlier pre-accession funds and they continue to be operationally supported by staff from the EUDs. The extent to which these meetings are effective and indeed function varies substantially between beneficiaries and over time. As such, meetings have to be duplicated bilaterally with the decision makers. This leads to the creation of informal parallel mechanisms of communication between donors and sector stakeholders and between different stakeholders. In many instances these informal structures provide a broadly effective approach to ensuring overlap and duplication is avoided.</p> <p>Donor coordination is becoming more effective over time with all donors keen to promote it as a core part of their business – with the caveat that individual donor policy priorities sometimes supersede the need to coordinate with all stakeholders, especially in politically sensitive locations such as Kosovo.</p>

I-232	<i>Extent to which the beneficiary countries operate effective systems for the coordination of all donors' actions (including IPA II)</i>
	<p>From the point of the multi-country approach, the Western Balkans Investment Framework (WBIF) has proven to be a successful forum for cooperation among all stakeholders. It is a unique platform where the Western Balkan beneficiaries alongside the EU, the International Financial Institutions (IFIs) and bilateral donors can identify, prepare and implement priority socio-economic investments through the pooling of expertise and financial resources. These investment projects are deemed to be important for national or regional strategies and the EU accession process and financially viable. The Regional Housing Programme provides a well-coordinated mechanism for channelling donor funds through a single implementation mechanism implemented by the CEB.</p> <p><i>Source: Multi-country Indicative Strategy Paper 2014 – 2020; Third Interim Evaluation of IPA Assistance, Final Report, April 2015</i></p> <p><i>Feedback from field missions</i></p>
Albania	<p>“Country’s development and EU integration efforts are supported by over 40 bilateral and multilateral donors. The overall donor coordination is under the responsibility of the Deputy Prime Minister with support from the Department of Development Programming, Financing and Foreign Aid (DDPFFA) of the Prime Minister's office. The implementation of strategic plans is intended through the medium-term budget programmes which include projections for domestic and donor funded resources to implement the strategies. The coordination of donor funds is therefore embedded in the systems of strategic planning and related budget programmes. The coordination of activities by the DDPFFA include the maintenance of a project database, the coordination of the meetings of the international donor community, Sector Working Groups (SWGs) and issuing a monthly donor dialogue newsletter. A high-level donor-government dialogue is taking place once per year as 'round table' to focus on aid harmonisation, followed by regular operational meetings. This work is supported by a Donor Technical Secretariat (DTS), composed of four multilateral donor organisations, including the EU and a rotating participation of two bilateral donors. The SWGs are supporting the coordination at sector level and include government, donor representatives and other stakeholders as required. The envisaged 33 groups exchange information focusing on policy coordination, prioritisation of assistance and monitoring of implementation.”</p> <p><i>Source: Indicative Strategy Paper 2014 – 2020</i></p> <p>The IT platform (IPSIS) through which the coordination of all donors and national programmes will be effected has been tendered and proposals are expected to be submitted before the end of the year.</p> <p><i>Source: Interviews with EUD officials, and National Authorities' officials</i></p>
Bosnia and Herzegovina	<p>The responsibility for donor coordination in Bosnia and Herzegovina is split between the Directorate of European Integration (DEI) for EU donors, and the Ministry of Finance and Treasury (MoFT) for other donors. Consultations with donors take place also at lower levels of government. The MoFT regularly organises Donor Coordination Forum meetings and publishes annually donor-mapping reports showing the donors active in Bosnia and Herzegovina and setting out their contribution by sector.</p> <p>Moreover, the EU Delegation holds regular coordination meetings with EU Member States (MS) to exchange policy views and to streamline the EU and MS assistances for Bosnia and Herzegovina to be coherent and complementary. The EU Delegation cooperates with other donors through its regular participation in the Donor Coordination Forum meetings, which are organised two to three times a year by the MoFT. In addition, in the sectors justice and anti-corruption, where the EU is a lead donor, it organises more frequently donor sector coordination meetings, and it closely cooperates with the United Nations (UN) family organisations on joint projects in Bosnia and Herzegovina.</p> <p><i>Source: Indicative Strategy Paper 2014 – 2017; IPA II Monitoring, Reporting and Performance Framework, Final Report, January 2016, , interviews in IPA II beneficiary institutions</i></p>

I-232	<i>Extent to which the beneficiary countries operate effective systems for the coordination of all donors' actions (including IPA II)</i>
Kosovo	<p>“Within the government, the Ministry of European Integration is responsible for coordinating donor assistance. The Aid Management Platform, established with EU support, is used as a main tool for monitoring of donor activities. Sector working groups, established with the aim to coordinate donor activities, are not yet fully functional and lack substantial involvement from donors and line institutions.</p> <p>However, progress has been achieved in some sectors, such as public administration reform, and agriculture and rural development where some monitoring and implementation structures have been set up. The EU Office hosts bi-monthly coordination meetings with EU Member States and other bilateral and multilateral donors (US, UN agencies etc.). Close cooperation has been developed with EULEX on EU assistance provided to the rule of law sector.”</p> <p><i>Source: Indicative Strategy Paper 2014 – 2020</i></p> <p>The Aid Management Platform has not been updated with the contribution of the line Ministries. This is done by donors, not central institutions nominally responsible for the platform.</p> <p><i>Source: Interviews with EUD officials, and National Authorities' officials</i></p>
	<p>Government donor coordination is led by the Secretariat for European Affairs, which oversees a general and sector donor coordination mechanism, on the basis of the beneficiary's Programme Based Approach. Regular donor coordination meetings take place in the context of the annual IPA programming exercise, as well as ad hoc donor coordination meetings involving EU Member States, international organisations, other donor organisations, civil society and other relevant stakeholders.</p> <p><i>Source: Indicative Strategy Paper 2014 – 2020, interviews in IPA II beneficiary institutions</i></p>
Montenegro	<p>There is limited formal or structured overall donor coordination either at sector or sub-sector level managed by the national authorities. Overall donor coordination is organised in an informal way principally by the Ministry of Foreign Affairs and European Integration, or among donors themselves. There are also coordination groups organised by line ministries at sector level whose role should be further enhanced to reflect the sector approach. The donor landscape in Montenegro is clearly laid due to the small number of donors still active in the country.</p> <p><i>Source: Indicative Strategy Paper 2014 – 2020, interviews in IPA II beneficiary institutions</i></p>
Serbia	<p>Donor coordination in Serbia is significantly improved over the years. It is ensured by the National IPA Coordinator (NIPAC). The previous informal and mostly donor-led coordination groups have been rearranged following the NIPAC's increased leadership for programming of assistance. The NIPAC's Technical Secretariat, SEIO, guides the work of nine sector working groups for programming and monitoring of external assistance, comprising of representatives of relevant national institutions responsible for policy making, implementation and monitoring in their respective sectors. They are responsible for sector and donor coordination, co-financing, analysis of project implementation and monitoring of implementation. The sector working groups are a forum for consultation with the civil society and development partners, and they also serve as IPA sector monitoring sub-committees. A lead donor has been agreed and associated to each sector working group.</p> <p>This reform on donor coordination is progressing well but is not yet fully effective in all the sectors. Once completed, this reform will be a major step towards better coordination and ownership. In addition, the EU holds regular consultations with the EIB, EBRD and the World Bank in order to explore synergies for cooperation, including blending of EU grants with loans.</p> <p><i>Source: Indicative Strategy Paper 2014 – 2020, interviews in IPA II beneficiary institutions</i></p>
Turkey	<p>“The Ministry for EU Affairs made initial coordination efforts when it was preparing the grounds for a sector approach in the 2012-13 IPA programming period. Sector</p>

I-232	<i>Extent to which the beneficiary countries operate effective systems for the coordination of all donors' actions (including IPA II)</i>
	<p>working groups were established and are expected to be revived to prepare multi-annual sector programmes. In parallel, for investment-related loans, the Turkish Treasury has played a key role. For the future pre-accession assistance stronger coordination should be supported by respective Turkish lead institutions on a sector basis.</p> <p>To make best use of IPA II funds and to achieve a stronger overall impact, cooperation with IFIs have to be increased and further systematised during the programming stages, in close partnership with the Turkish authorities, with a view to blending IPA II grants with IFI loans. Discussions on the possibility of setting up a Turkey-specific Investment Programme (TIP) gained momentum while the Indicative Strategy Paper was being drawn up.”</p> <p><i>Source: Indicative Strategy Paper 2014 – 2020</i></p> <p>In practice, coordination with other donors is not an issue as there are so few present in Turkey.</p> <p><i>Source Field mission</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is assessed as good.

The degree of confidence assessed as satisfactory.

1.2.7.3 I-233 Nature and scope of measures included in the programming and implementation guidance documents of IPA II by which the participation and ownership of the national authorities and other stakeholders (CSOs, LAs) are enhanced

I-233	<i>Nature and scope of measures included in the programming and implementation guidance documents of IPA II by which the participation and ownership of the national authorities and other stakeholders (CSOs, LAs) are enhanced</i>
Indicator Summary	<p>The principle of 'local ownership', has always taken a central position in IPA funding and the Commission has routinely insisted that the beneficiary's administrations and national stakeholders take an active part in the identification process for new projects. The principle of 'sector-based approach' consists of taking national development plans as a template for programming EU assistance. Therefore, this approach is likely to result in projects that enjoy a higher degree of ownership.</p> <p>The sector approach groups EU assistance under strategic sectors that are identified jointly by the EU and the beneficiary, with national sector strategies as a basis for programming. Indicative Strategy Papers (ISP) are made for each beneficiary (as well as a Multi-Country Indicative Strategy Paper) for the seven-year period. For Bosnia and Herzegovina, the ISP covers the period 2014-2017 only. Stronger ownership by the beneficiaries is intended by integrating their own reform and development agendas in these papers. The annual programming (predominant under Component I of IPA I though multiannual programming was possible in particular for Components III, IV, V) is complemented by the possibility of multi-annual programming in IPA II. The priorities determined in the ISPs are not supposed to change over the programming period 2014-2020, though a mid-term review is foreseen in 2017.</p> <p>Some of examples of participation and building ownership by national authorities and other stakeholders include self-assessment by the national authorities using the sector approach assessment criteria, donor coordination meetings in almost all candidate countries and potential candidates, involvement of civil society at the national and local level and in different stages of the process, sector working groups composed of different stakeholders including different size CSOs etc. The high level of CSOs involvement is in part the result of the Technical Assistance to Civil Society</p>

I-233	<i>Nature and scope of measures included in the programming and implementation guidance documents of IPA II by which the participation and ownership of the national authorities and other stakeholders (CSOs, LAs) are enhanced</i>
	<p>Organisations (TACSO) which provided expert and financial support to involvement of the civil society in programming process (i.e. supporting CSO events, support in managing the work of Local Advisory Groups – LAGs). Also, Civil Society Facility programme at the national and multi-beneficiary level supported CSOs in the monitoring of the EU integration process in candidate countries and potential candidates.</p> <p>Some specific country-based examples are presented in text below and these findings were validated in the field missions.</p> <p><i>Sources: Multi-country Activity Report July – December 2015; Indicative Strategy Papers 2014 – 2020; Working Paper: The New Instrument for Pre-Accession Assistance (IPA II): Less Accession, More Assistance?, Wolfgang Koeth, European Institute of Public Administration</i></p>
Albania	<p>The Indicative Strategy Paper 2014 - 2020 “has been developed in close cooperation and partnership with the Albanian government. Furthermore, consultations took place with relevant institutions such as the judiciary, local government, civil society, international financial institutions, international organisations and other donors.</p> <p>The consultation process included a self-assessment by the Albanian authorities using the sector approach assessment criteria, i.e. the state of play of sector policies and strategies, medium term budgeting, coordination, monitoring and performance assessments. Priorities relevant for the EU integration process were identified on the basis of the progress reports and the EU enlargement strategy. A strategic dialogue with the European parliament has also been conducted.”</p> <p>“Donor coordination is in place through sector working groups coordinated directly by the Deputy Prime Minister's office.”</p> <p><i>Source: Indicative Strategy Paper 2014 – 2020</i></p> <p>Civil society representatives participated in meetings of the National Council on European Integration, but are yet to take an active role. Ministry of Finance had launched a civil society consultation process, and the first meeting in November 2014 provided for a fruitful exchange of views. In parallel, technical assistance is foreseen under the Commission's Sector Budget Support programme to train the civil society on PFM issues so as to provide valid expertise and input during future stakeholder consultations.</p> <p><i>Source: Minutes of the 6th meeting on the IPA II Committee (Regulation 231/2014) 9 December 2014, Indicative Strategy Paper 2014 – 2020</i></p>
Bosnia and Herzegovina	<p>In Bosnia and Herzegovina, the strategy paper for period 2014 – 2020 was prepared in partnership with the State level and Entity Prime Ministers, the National IPA Coordinator (NIPAC), line Ministers at State and Entity level and representatives of the civil society. Specific consultations on the strategic orientation of the strategy paper were organised with the joint EU-Bosnia and Herzegovina working group, a number of civil society organisations, EU Member States, other donors and international organisations operating in the country.</p> <p>The EU Delegation is also supporting the establishment of a web-based platform for the systematic consultation of civil society that will be available for public administration services at all levels. A specific module is planned to be developed for the consultations to be carried out by the Directorate of European Integration (DEI) about EU financial assistance.</p> <p><i>Source: Indicative Strategy Paper 2014 – 2017; EAMR Bosnia and Herzegovina 2015</i></p>
Kosovo	<p>“Between December 2012 and December 2013 various consultation meetings were organised by the Ministry of European Integration (MEI) on development of the Indicative Strategy Paper 2014 - 2020. The MEI organised consultations with line ministries and provided significant inputs for the Strategy Paper at different stages of the drafting process. Consultations with the European Union Rule of Law Mission</p>

I-233	<i>Nature and scope of measures included in the programming and implementation guidance documents of IPA II by which the participation and ownership of the national authorities and other stakeholders (CSOs, LAs) are enhanced</i>
	<p>(EULEX) were launched in March 2013 and continued throughout the drafting process. EULEX and the European External Action Service (EEAS) provided relevant input on the needs for IPA II assistance in the rule of law area. In June 2013, a first consultation meeting with civil society was organised jointly by the EU Office in Kosovo and the MEI, followed by others organised with the help of a facilitator. At the Stabilisation and Association Process Dialogue (SAPD) Plenary with civil society organisations (CSOs) held in June 2013, CSOs had another opportunity to comment on the initial draft. CSOs also provided written input and were again consulted at local level. Consultations with EU Member States and other bilateral and multilateral donors took place in the context of the bi-monthly donor coordination meetings ("MS+ meeting") hosted by the EU Office in Kosovo."</p> <p><i>Source: Indicative Strategy Paper 2014 – 2020</i></p>
Serbia	<p>"Programming of IPA II in Serbia has been organised in several rounds of consultations, which were organised by the Serbian European Integration Office (SEIO). Specific consultations were organised with the sector working groups composed of representatives of line ministries and other national stakeholders, a number of civil society organisations, EU Member States, other donors and international organisations in Belgrade in July 2013 and November 2013. International Financial Institutions (IFIs) and international organisations have also been consulted and a strategic dialogue with the European parliament has been conducted.</p> <p>The civil society organisations (CSO) have been consulted more widely via SEIO, having in mind SEIO's national leadership in programming of IPA funds. SEIO has organised consultations with CSOs in cooperation with the Office for Cooperation with Civil Society, which is in charge of coordinating the processes with the wide range of CSOs, irrespective of their size, sector or area of work or geographic location.</p> <p>All the consulted stakeholders provided valuable input in their respective fields of expertise. Their comments have been reflected to the extent possible. They will be further taken into account during implementation of IPA assistance since the mechanism put in place will have the monitoring role in the future."</p> <p><i>Source: Indicative Strategy Paper 2014 – 2020</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is assessed as good.

The degree of confidence assessed as satisfactory.

1.2.7.4 I-234 Level of difficulty/resistance in introducing/ implementing Budget Support programmes

I-234	<i>Level of difficulty/resistance in introducing/ implementing Budget Support programmes</i>
Indicator Summary	<p>Budget support is an aid modality that involves dialogue, financial transfers to the national treasury account of the partner country, performance assessment and capacity development, based on partnership and mutual accountability. EU budget support involves the transfer of financial resources to the National Treasury of a partner country, following the respect by the latter of agreed conditions for payment. Transfers are made in EURO to a Government account held at the Central Bank and then converted into local currency to the National Treasury Account.</p> <p>In order to be capable for the efficient use of the budget support programmes, the</p>

I-234	<i>Level of difficulty/resistance in introducing/ implementing Budget Support programmes</i>
	<p>IPA II beneficiaries are implementing Public Finance Management reforms.</p> <p>Among the available documentation there are no findings/evidences relating with the extent of difficulty/resistance in introducing implementing Budget Support programmes. However, in majority of EAMRs requests for support from EU Delegations from HQ in regards to introduction and functioning of the Budget Support can be found. This implies that BS represents a new challenge for Delegations to effectively implement.</p> <p><i>Source: EuropeAid Website, Budget support and dialogue with partner countries, http://ec.europa.eu/europeaid/how/delivering-aid/budget-support/index_en.htm_en</i></p>
Albania	<p>The Government of Albania has “embraced” the implementation of the sectoral approach and the introduction of the Budget Support programmes as the main modality for the implementation of the IPA II; real capacity problems at the side of the Government and lack of relevant knowledge in the whole Public Administration have created delays and minor problems in the process of determination/ negotiation/ agreement of the BS content, timeframe, assessment criteria and other features; all these have been overcome due to the existing political will for their implementation; however following the agreement of the first BS programme there have been some complaints about the agreed flexible character of the following to the first payment tranches, while in Serbia the BS programmes have fixed all the payment tranches.</p> <p><i>Source: Interviews with EUD officials, and National Authorities’ officials</i></p>
Kosovo	<p>The first BS programme on Public Administration (25 mn € for 5 years) was adopted at the end of 2016. however it includes the introduction of three new laws for which it seems that there is no positive political will (from the competent Ministry) to be introduced now.</p> <p><i>Source: Interviews with EUD officials, and National Authorities’ officials</i></p>
Turkey	<p>The EC discussed the introduction of budget support at length with the main Turkish stakeholders, but ultimately the Turkish side concluded that it would not deploy it. The reasons for this are political as well as practical. It would make sense from an efficiency point of view (especially for SOPs where the sector performance framework is in place to manage it) but the conditionalities linked to BS (such as PFM reform programme) outweigh the amount of the budget available through it. For example, the national annual budget for areas covered by the EESP SOP is 700 YTL bn. In the view of the Operating Structure, for budget support to make sense in this sector, a minimum 5 % of this total would be needed from IPA II. This would be absorbed easily but would amount to €10 bn annually, which is almost equivalent to the whole IPA II allocation.</p> <p><i>Source: Field mission</i></p>
Other countries	<p>Despite initial preparations, the use of BS in the former Yugoslav Republic of Macedonia is currently not seen as a focal topic. Due to macro-economic problems and the political crisis initial preparations for BS in the area of PFM were brought to a standstill in 2016. New initiatives are being envisaged but still need to be developed.</p> <p>Bosnia and Herzegovina, still working under direct management mode, would provide a good example for the substantial deployment of BS in many sectors where political reforms are needed urgently. The permanent internal political problems however do adversely influence the programming preconditions for IPA II. There is a lack of agreed country-wide sectoral strategies. At the moment, preparations for BS in Bosnia and Herzegovina are focused on the areas of education, employment and social policies.</p> <p><i>Source: interviews in IPA II beneficiary institutions.</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is assessed as acceptable.

The degree of confidence assessed as moderately satisfactory.

1.2.8 JC24: IPA II programming and implementation processes are conducive to effective actions (IPA II Regulation, Article 6-15)

1.2.8.1 I-241 % of identified actions which had problems during tendering/ implementation and nature and scope of the reasons which have created these problems

I-241	% of identified actions which had problems during tendering/ implementation and nature and scope of the reasons which have created these problems
Indicator Summary	<p>The main documentary source for this indicator, the EAMRs, suggest that IPA II assistance has been affected by the same problems found in IPA I, i.e. the lack of administrative capacities and procedures within the beneficiary institutions charged with contracting and implementation. For example, EUD Albania has raised concern regarding the overall capacity of the Albanian Audit Agency including the capacity to work independently. According to the information provided this might have specific implications in implementation of the IPA II contracts and budget support programmes. The identical situation is reported by EUD Serbia.</p> <p>Some of examples notified include unresolved issues with the established accounting procedures, enforcement of accountability for compliance with internal control standards not properly followed, missing or delayed construction permits, non-budgeting of funds for operating and maintaining EU-funded investments, missing or delayed utility connections, missing or delayed re-imburement of value added tax to contractors and civil society organisations and a lack of coordination with other institutions, including local governments. The National Authorities also show lack of understanding the need for risk assessment in order to perform better operational and financial monitoring.</p> <p>Furthermore, the majority of EU Delegations in IPA II beneficiaries are expressing the need for the HQ support regarding introduction of the budget support programmes. The concerns regarding actual implementation of the budget support programmes are raised in all EAMR's for 2015 emphasising the need for further guidance and education by EUDs' staff.</p> <p>Specific percentages of assistance affected by such problems are at this stage difficult to assess due to limited documentary resources on this.</p> <p><i>Source: EAMRs 2015 for IPA II beneficiaries</i></p>
European Court of Auditors, Special report: Strengthening administrative capacity in the former Yugoslav Republic of Macedonia: limited progress in a difficult context	<p>"The former Yugoslav Republic of Macedonia asked the Commission to decentralise the management of IPA funds to the national authorities in 2008. By 2010, the country was responsible for contracting and implementing 470 million euros (76 %) of its total IPA I financial envelope, subject to <i>ex ante</i> and/ <i>ex post</i> checks by the Commission. The national authorities were required to set up operating structures to manage the decentralised IPA funds.</p> <p>Soon after decentralisation began, the national authorities were unable to respect the deadlines for presenting contract dossiers for <i>ex ante</i> checks by the Commission. This was often because they submitted documents of insufficient quality which had to be returned. This was the case for one third of these documents in 2014. The rate of contracting slowed. By the end of 2014, the delays had led to the de-commitment of 70 million Euros of funds under IPA I (11 % of the IPA funds allocated to the country), and 244 million Euros remained to be committed (about 40 % of the total). In many cases the de-commitments resulted in the loss of projects designed to fund key reforms. For example, 33 million Euros was allocated for 2010, but the cancellation of 12 out of 31 projects presented for funding meant that 10 million Euros (33 %) was effectively lost for funding reform in the country.</p>

I-241	<i>% of identified actions which had problems during tendering/ implementation and nature and scope of the reasons which have created these problems</i>
	<p>The Commission attributed the delays to a highly centralised decision-making process, which prevents timely decisions, as well as a lack of material resources and sufficient and sufficiently qualified staff, allegations of political interference in procurement and poor inter-institutional cooperation. Weaknesses of this type had already been highlighted by the Commission in the rest of the public administration before management had been decentralised. If the Commission had taken more account of weaknesses already identified in the public administration, it might have concluded that the decision to decentralise management should be delayed or that a smaller proportion of IPA funds should be decentralised within the constraints of the applicable regulations.</p> <p>Drawing on previous experience, the Commission expected the early years of decentralised management to be a period of learning and transfer of knowledge. It worked with the beneficiary to address the reasons for the delays in contracting and implementing IPA funds. However, significant further de-commitment of IPA I funds was expected in 2015, 2016 and 2017.”</p> <p><i>Source: CoA report Macedonia 2016</i></p>
Feedback from field missions	<p>Turkey</p> <p>Inefficiencies in the implementation system (DIS/IMBS) have generated chronic delays to tenders that have accumulated in the system. This is already affecting IPA II programmes. Grant schemes are particularly susceptible to this, IPA I HRM/EESP SOP being a good example. Despite the fact that sector planning, programming and monitoring capacities are in place, and there is a substantial absorption capacity in the sector, turning funding allocations into results on the ground via large grant schemes (which is the prevalent implementation modality and which the OS believes is the best method to deliver results) causes gridlock in the implementation system. For example, a IPA 2011 €M30 grant scheme generated over 2000 applications and the time between the launch of the call and signature of contract was over 2 years. As a result of this problem, programmers are now considering ways to overcome this by adjusting the schemes’ eligibility criteria to reduce the workload posed by them (e.g. by increasing the size of grants). This may partially address the efficiency problems but it may also lead to a reduction in the overall effectiveness of the programme, as smaller, specialised applicants (such as NGOs) become unable to participate in schemes even though they are able to deliver successful projects.</p> <p>The delays in implementation also reportedly erode the relevance of IPA interventions and there is every likelihood that this will be the case for IPA II as well (Home Affairs SLI pointed this out). Actions conceived in 2012 will probably only be delivering results in 2019. This poses programmers a major challenge to think 7 years ahead, especially in Turkey where the Programme environment is highly dynamic.</p> <p>Institutional capacity to efficiently deliver DIS/IM in Turkey is in nearly all cases sub-optimal across the board. This is unlikely to change for IPA II. Indeed, the transfer of components III & IV from DG REGIO and EMPL to NEAR is likely to place greater stress on the EUD capacities in those sectors. Operating Structures will have additional challenges of financial closure of their IPA I programmes which will divert resources away from IPA II programming and implementation. The IPARD agency a notable exception – but the reasons are obvious (1900 staff at central and regional level to implement the programme or support its implementation).</p> <p><i>Source: Field mission</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is assessed as acceptable.

The degree of confidence assessed as moderately satisfactory.

1.2.8.2 I-242 % of IPA II actions which require important contractual changes (budget, time, etc.) and nature and scope of the reasons which created the requirement for changes

I-242	<i>% of IPA II actions which require important contractual changes (budget, time, etc.) and nature and scope of the reasons which created the requirement for changes</i>
Indicator Summary	<p>The main documentary sources do not provide detailed information concerning the % of IPA II actions which require important contractual changes.</p> <p><i>Source: EAMRs 2015 for IPA II beneficiaries</i></p> <p>Field missions in the validation phase were unable to establish the volume of funding affected by important contractual changes as such data is not held by the contracting authorities in any centralised or consistent manner. Also, much of the assistance is still under tendering and any such changes will only be made once they are under implementation. Allegorical evidence suggests that the principal reason behind such changes is delays in the tendering process. Examples of their consequences include having required timeframes for delivery of assistance to be revised (either downwards due to lack of time or the completion date extended). Linked to these delays, key experts for TA and twinning are sometimes no longer available by the time the action starts and require replacements to be approved. Budget increases are uncommon, and where these occur (for example with infrastructure actions due to cost overruns) these additional costs are invariably borne by the beneficiary.</p> <p><i>Source: Field missions</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is assessed as acceptable.

The degree of confidence assessed as moderately satisfactory.

1.2.8.3 I-243 Degree of flexibility of programming and timely response mechanisms put in place

I-243	<i>Degree of flexibility of programming and timely response mechanisms put in place</i>
Indicator Summary	<p>IPA II provides good flexibility in programming. This flexibility is most clear in two elements of IPA II – sector focus and multi-annual programming. The extent to which these tools are effectively deployed varies throughout the region.</p> <p>The sector based approach has influenced positively the overall engagement of stakeholders, although feedback from DG NEAR and other stakeholders suggests this varies from sector to sector (depending on how homogeneous the IPA sector is). The sector approach in principle provides a clear focus on sector priorities within which beneficiaries can flexibly concentrate IPA II funds in line with their own policy priorities. The extent to which this is actually done is largely dependent on the capacities of the programmers to do this and the institutional positioning of the SLIs. There is no uniform picture on this, as evidence from the field suggests that these factors vary both within beneficiaries and among them. Overall, the impression is that programming capacity is strongest within institutions with a long track record of using IPA, and in the OSs from IPA components III, IV & V. The role of the NIPAC in general is more linked to coordination rather than the actual programming of actions and SPDs, although exceptions to this are also evident (Serbia being the prime example).</p> <p>Multi-annual programming (MAP) also offers flexibility to programmers to sequence actions over a longer time period, more quickly design actions to address emerging needs and to plan IPA II usage more strategically. Despite this, the evidence is that it has been deployed sparingly - indeed MAPs exist only for those sectors that were previously covered by component III, IV & V of IPA I, which themselves were multi</p>

I-243	<i>Degree of flexibility of programming and timely response mechanisms put in place</i>
	<p>annual programmes and so hardly represent an innovation. Otherwise, annual programming of actions remains the norm. Reasons for this reticence to use MAP in other sectors among IPA beneficiaries are not uniform, but seem to be rooted in established practice and concern over possible risks linked to it (such as the tendency to last-minute contract the bulk of IPA II assistance being amplified further). Evidence from the IPA I MAPs suggests that the benefits can outweigh the risks (HRD OP and IPARD I in Turkey are good examples) and if managed carefully, can deliver benefits over the usual annual approach.</p> <p><i>Source: ISPs 2014 – 20120, EAMRs 2015, Field missions</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is assessed as acceptable.

The degree of confidence assessed as satisfactory.

1.2.8.4 I-244 Degree of effective coordination of the key IPA II stakeholders in the programming and implementation processes

I-244	<i>Degree of effective coordination of the key IPA II stakeholders in the programming and implementation processes</i>
Indicator Summary	<p>Programming of the IPA II was organised under the high level of participation and coordination of stakeholders in all beneficiaries. Besides the intensive engagement and coordination actions organised, it seems that the sector based approach has contributed strongly to the involvement of so many actors.</p> <p>From the point of implementation level, the information about involvement of IPA II stakeholders is still limited. However, evidence shows that further involvement of stakeholders and their coordination at the implementation stage is planned. Besides the coordination of the national authorities as stakeholders, the further involvement and coordination by CSOs, international organisations and donor community is envisaged. The extent to which this happens in practice varies from beneficiary to beneficiary but overall, this level of consultation and coordination is satisfactory.</p> <p>Some specific country-based examples are presented in text below.</p> <p><i>Source: Multi-country Activity Report July – December 2015; Indicative Strategy Papers 2014 – 2020; EAMR's 2015 for IPA II beneficiaries</i></p>
Former Yugoslav Republic of Macedonia	<p>“In line with the requirements of IPA II, the country has embarked on introducing the sector approach in 7 priority sectors as identified by the indicative strategy paper. The introduction of the sector based approach is a slow process, and thus far has resulted into the establishment of sector working groups, the preparation of a sector coordination mechanism and sector working groups' operational procedures, drafting of sector roadmaps. Yet, the process has been developing unevenly across the established sectors with insufficient dynamics to back up the EU investments in the areas of environment, transport, competitiveness, PFM, agriculture and rural development. The finalisation of the Sector Roadmaps for all sectors (or sub-sectors where relevant) is expected by March 2016, which has been established as conditionality for the actual use of the IPA II funds. Further on, the development of sector strategies has been launched in all 7 sectors with the active involvement of the EU Delegation.</p> <p>EU Delegation has established well working mechanisms for consultations with the civil society organisations (CSOs) on EU assistance. The main vectors of consultations include: - Consultations on EU assistance - In December 2014 an IPA Networking mechanism has been established by 94 CSOs with the objective to contribute to the IPA programming process and the policy dialogue in the 7 sectors, identified with the Indicative Strategy Paper. The first consultative meetings focused on organizational issues, on representation, state financing and other topics crucial for the functioning of the civil society organisations in the country. In September</p>

I-244	<i>Degree of effective coordination of the key IPA II stakeholders in the programming and implementation processes</i>
	<p>2015 in relation to the political crisis and the urgent reform priorities, five thematic consultations on fundamental rights, media, public administration, judiciary & rule of law were organized and the conclusions were presented by the civil society to the Commissioner Hahn. This trend will be further extended in 2016. - Consultations on CSD Programmes - In addition to the online consultations through the TACSO webpage, in February 2015, four consultations on 2014 Call for proposals were organised in 4 locations (Skopje, Gostivar, Prilep and Shtip) involving about 45 organisations. - Consultations on the EU progress report - In March 2015, two consultation meeting were organised and a functional mail box was opened to provide a platform for the CSOs to share their opinion on progress of the country in the context of the EC Progress Report.”</p> <p><i>Source: EAMR 2015</i></p>
Kosovo	<p>Evaluations conducted show that the absorption capacities and ownership of the beneficiary institutions in Kosovo continued to be problematic in some sectors of the pre-accession assistance delivery and in particular the impact and sustainability of action. Therefore, during the programming phase and in the policy dialogue with Kosovo counterparts particular attention has been paid to ensure ownership and assess the absorption capacity. The latter has also been put on the agenda of the donor/partner coordination mechanism.</p> <p>Civil society has been consulted at several stages during the formulation of programming documents. Sectoral plans have been consulted with CSOs in dedicated meetings and the Action Document on Civil Society and Media Programme 2016-2017 has been first consulted with Local Advisory Groups following which the draft was widely circulated to CSOs which have been invited to provide feedback. EUO cooperates with CSOs and their networks (ex. CiviKos) regularly and the consultation process was just a confirmation of EUD commitment to engage with civil society. The capacity of CSOs to provide a contribution to the programming and implementation of assistance has been constantly increasing also thanks to the support EU has been providing in this area.</p> <p><i>Source: EAMR 2015</i></p> <p>The internal coordination of the Government (Ministries) is limited. Ministries (actually the Ministers) are acting independently in relation to the implementation of the IPA II (and other donors) actions/ programmes; this creates difficulties in the overall programming of the IPA II interventions under a multi-annual coordinated way, balanced/ coordinated also with the actions/ programmes of the other donors, so that complementarities are increased and overlaps are avoided.</p> <p><i>Source: Interviews with EUD officials, and National Authorities' officials</i></p>
Turkey	<p>Constant consultations with Civil Society and Human Rights Organisations and associations of CSOs to discussions in Turkey on EU assistance continued to be carried out by EUD. The priorities identified under directly managed civil society programmes are established by taking into account the feedback obtained from these consultations. As regards the IMBC system for IPA, EUD has continued to promote towards the NIPAC the introduction of more systematic civil society consultations during the programming process, in line with the provisions foreseen under the IPA II FWA art. 16 (3).</p> <p>The action taken by NIPAC and sector lead institutions so far is considered insufficient and the Delegation is planning further initiatives to push for a more participatory and inclusive approach.</p> <p>For promoting involvement of civil society involvement in general policy making at national level, the EU Delegation has engaged with Turkish authorities through IPA-financed interventions under the civil society sector which target specifically the enabling environment for CSOs as well as implementation of models (such as a code of conduct) for dialogue between CSOs – and public sector institutions.</p> <p>International organizations continued to be one of the main stakeholders consulted during programme design and implementation. This cooperation has been strong traditionally but has improved particularly so as to design joint response programmes to the humanitarian crises triggered by the conflict in Syria. UNHCR and IOM, traditional partners with which the EUD has worked together in the field of migration management and asylum, have become also key interlocutors in</p>

I-244	<i>Degree of effective coordination of the key IPA II stakeholders in the programming and implementation processes</i>
	<p>coordinating the response provided by the Turkish Government to the refugee influx e.g. a EUR 40 million individual measure with UNHCR was signed in August 2016 to support education services provided to Syrians under temporary protection; first contracts funded by the MADAD Fund have been signed with WFP and UNICEF; further contracts funded by FRIT but implemented through the MADAD fund have been signed with QUDRA, DAAD - Deutscher Akademischer Austauschdienst, Stichting SPARK, KfW and SFCG - Search for Common Ground).UNDP and IOM also continued to be key implementing partners in the area of border management. When it comes to financial assistance in the energy sector, good cooperation is established with IFIs (EBRD, World Bank and the EIB). This was particularly applicable for the leveraging their financial contributions, specifically on prompting renewable energy and energy efficiency.</p> <p>In the fields of Judiciary and Fundamental Rights close cooperation also continues with the Council of Europe (e.g. the activity on introducing curricular changes in the field of training future judges at the Justice Academy how to handle freedom of expression cases in line with European and International human rights principles is progressing well).</p> <p>Moreover, in the energy sector cooperation continues with the World Bank (under IPA 2013 and IPA 2014) as well as with the European Bank on Reconstruction and Development (EBRD) with regular consultation meetings.</p> <p>A main challenge in the programming and implementation processes with international organisations remains to avoid duplications and ensure fast contracting. Additional and new cooperation with international organizations and international financial institutions are expected to come up in the near future in the context of increased assistance for Syrian refugees in Turkey.</p> <p><i>Source: EAMR 2015, Field visits for validation of findings, DG NEAR.</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is assessed as acceptable.

The degree of confidence assessed as satisfactory.

1.2.8.5 I-245 Degree of implementation of the new performance monitoring and reporting system for IPA II

I-245	<i>Degree of implementation of the new performance monitoring and reporting system for IPA II</i>
Indicator Summary	<p>The IPA II performance framework provides the general context for improvement of the monitoring and reporting focus and priorities. It also aims at strengthening coherence between reporting on financial assistance with the wider SPP cycle. The priorities agreed for the IPA II performance framework are primarily aimed at supporting (and improving) follow-up on implementation of financial assistance (i.e. results need to be better integrated in reporting).</p> <p>The findings of the 2016 evaluation on the PF mainly point to the existence of the same or double structures for monitoring of IPA I and IPA II implementation and recommendations concerning further capacity building actions of institutions responsible for monitoring (mainly NIPAC structures), strengthening of the role of all the NIPACs and merging of the parallel structures visible in existence of separate monitoring committees for IPA I and IPA II.</p> <p>Findings from the field missions show that the IPA II performance monitoring and reporting system is still not operational in the IPA II beneficiaries, at least across the board. In those sectors that have inherited SMCs from IPA I components III, IV & V, the basis for sector performance monitoring and reporting is in place. Elsewhere the situation is far less developed. SMCs have only recently been set up for IPA II programmes. There remains some uncertainty around the proper composition of this forum and whether existing SMSCs can be used for this purpose, or whether others,</p>

I-245	<i>Degree of implementation of the new performance monitoring and reporting system for IPA II</i>
	<p>such as Sector Working Groups should be integrated into the SMC model. In addition, there are few if any other elements of a sector monitoring system in place to allow such monitoring happen in practice i.e. clearly defined responsibilities of institutions engaged in the collection, submission, analysis and presentation of monitoring data; the resources and tools needed to do these tasks; indicators that are fit for the purpose of sector level monitoring and; sector monitoring strategies that capture all these elements in one document. Although some guidance has been provided by DG NEAR on how to address these gaps, this alone is unlikely to prove sufficient.</p> <p><i>Source: Evaluation Report "IPA II Monitoring, Reporting and Performance Framework", January 2016; IPA II Performance Framework; Interviews with DG NEAR Staff; Field missions</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is assessed as acceptable.

The degree of confidence assessed as satisfactory.

1.2.9 JC25: The performance reward system introduced by IPA II allows improving the achievement of IPA II objectives

1.2.9.1 I-251 Appropriateness of the criteria intended to be used for the determination of a fair distribution of the reserved total reward amount

I-251	<i>Appropriateness of the criteria intended to be used for the determination of a fair distribution of the reserved total reward amount</i>
Indicator Summary	<p>One of the new provisions of the pre-accession assistance regulatory framework for the period 2014-2020 (IPA II) relates to the introduction of a performance reward, as defined in art. 14 of Reg. 231/2014. It aims to provide a financial incentive for the IPA II beneficiaries by rewarding particular progress made towards meeting the membership criteria and/or particularly good results achieved in efficient implementation of pre-accession assistance.</p> <p>Following Political criteria and European standards will be used for the determination of a fair distribution of the reserved total reward amount:</p> <p>Political criteria:</p> <ul style="list-style-type: none"> - Rule of law and fundamental rights: <ul style="list-style-type: none"> • Functioning of the judiciary • Fight against corruption • Fight against organized crime • Freedom of expression - Public administration reform <p>European standards (Chapters of the EU Acquis)</p> <p>Chapter 5: Public procurement</p> <p>Chapter 18: Statistics</p> <p>Chapter 32: Financial control.</p> <p><i>Source: Non-paper IPA II Performance Reward (art. 14 – Reg 231/2014)</i></p>
DG Guidance document "IPA II performance framework"	<p>The IPA II performance framework provides the general context for improvement of the monitoring and reporting focus and priorities, processes and tools for pre-accession assistance. It also aims at strengthening coherence between reporting on financial assistance with the wider SPP cycle of the Commission.</p> <p>The activities linked to the development of the performance framework (initiated in October 2014) were structured according to the following 4 objectives or areas of work.</p>

I-251	<i>Appropriateness of the criteria intended to be used for the determination of a fair distribution of the reserved total reward amount</i>
	<p>Objective 1: Priorities of performance measurement follow-up on sector programme design (i.e. sector approach uptake): follow-up on sector programme implementation (i.e. budget execution): follow-up on sector results (i.e. indicator tracking): Objective 2: Monitoring and reporting organisation Objective 3: IT support Objective 4: Performance reward</p> <p>The priorities agreed for the IPA II performance framework are primarily aimed at supporting (and improving) follow-up on implementation of financial assistance on a general level (i.e. results need to be better integrated in our reporting).</p> <p>Some of the elements of the performance framework will be used when considering the approach to be adopted for the performance reward as defined in Art. 14 of the IPA II regulation, i.e. a mix of criteria and parameters using several sources (including the internal monitoring systems) and also other considerations (at policy level in particular). The IPA II performance reward is to be considered not later than 2017 and 2020. For the reward to be agreed and allocated in 2017, a methodology has been defined.</p> <p><i>Source: DG Guidance document "IPA II performance framework"</i></p>
Interviews from desk and validation phase	<p>Feedback from interviews indicates that a variety of sources for assessing the Performance Award will be used. These will include an internal annex of the annual Progress Reports which includes a 5 point rating of performance from 'good progress made' to 'back-sliding'. It is unclear to which extent the beneficiary will be involved in the assessment process.</p> <p>An important consideration for the 2017 performance reward allocation will be how far the IPA II programmes will be under implementation, as performance implies programme delivery. At the current pace of implementation, only the 2014 programme actions will be near completion so there will be very little in terms of actual results upon which to base the performance assessment. This suggests the performance reward will be derived from other (non-IPA) source such as the progress reports.</p> <p><i>Source: Interviews with DG NEAR staff</i></p> <p>IPA beneficiary feedback suggested uncertainty over the transparency of the methodology to be used and the objectivity of the assessment, particularly for 2017 given the limited amount of actual performance results from IPA II that will be measurable by then.</p> <p><i>Source: Interviews with beneficiary representatives</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is assessed as acceptable.

The degree of confidence assessed as satisfactory.

1.2.9.2 I-252 Degree of contribution of the criteria used under the performance reward system to the improvement of the IPA II results (and of the IPA II actions' implementation progress)

I-252	<i>Degree of contribution of the criteria used under the performance reward system to the improvement of the IPA II results (and of the IPA II actions' implementation progress)</i>
Indicator Summary	The performance framework (including the performance reward) has not yet been introduced so no improvement in IPA II results is evident. Currently there is guidance emerging from DG NEAR on how it will be implemented in practice.

I-252	<i>Degree of contribution of the criteria used under the performance reward system to the improvement of the IPA II results (and of the IPA II actions' implementation progress)</i>
	<p>Feedback from stakeholders indicates a high level of uncertainty (particularly in the candidate countries and potential candidates) about how this will operate in practice. As regards the 2017 performance reward, only 2014 AP actions will have been completed and their performance evident. Therefore additional factors will be considered linked to political assessments.</p> <p>The extent to which it will be effective in incentivising effective use of IPA II is very unclear at present. The effect of an additional 50M€ as a reward is likely to be much greater in a country like Montenegro than in Turkey, given the obvious differences between them.</p> <p><i>Source: DG NEAR documentation (Performance Framework Guidance). Interviews with DG NEAR and Field mission visits.</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is assessed as acceptable.

The degree of confidence assessed as satisfactory.

1.2.10 JC26: IPA II has the flexibility to respond to changing needs (e.g. changed policy priorities, changed contexts)

1.2.10.1 I-261 Degree of use of phased programming and gradual engagement of available funds for the IPA II funds' engagement

I-261	<i>Degree of use of phased programming and gradual engagement of available funds for the IPA II funds' engagement</i>
Indicator Summary	The evaluation has not found any evidence of this usage of engaged funding. <i>Source: Document review and interviews as part of field missions.</i>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is assessed as adequate.

The degree of confidence assessed as adequate.

1.2.10.2 I-262 Degree of (easy, speedy, responding exactly to the needs) of processes for urgent engagement of funds for the implementation of urgently required actions

I-262	<i>Degree of (easy, speedy, responding exactly to the needs) of processes for urgent engagement of funds for the implementation of urgently required actions</i>
Indicator Summary	<p>In duly justified circumstances and in order to ensure the coherence and effectiveness of Union financing or to foster regional cooperation, the Commission may decide to extend the eligibility of programmes and measures to countries, territories and regions which would not otherwise be eligible for financing, where the programme or measure to be implemented is of a global, regional or cross-border nature.</p> <p>To date EU assistance has been effectively used for provision of emergency support to Serbia, Bosnia and Herzegovina and the Former Yugoslav Republic of Macedonia as response to natural disasters like floods in 2014 under <i>Special measure on flood recovery and flood risk management in Albania, Bosnia and</i></p>

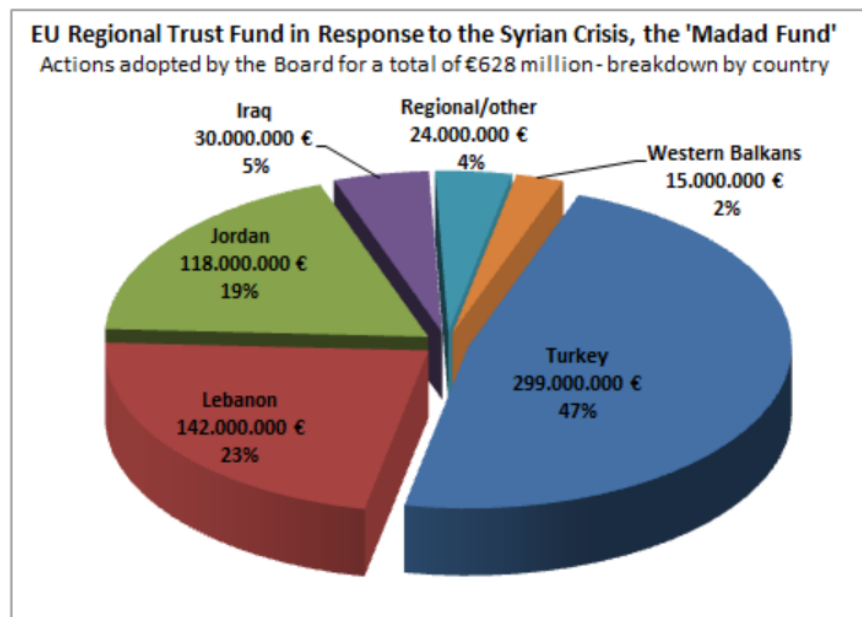
I-262	<i>Degree of (easy, speedy, responding exactly to the needs) of processes for urgent engagement of funds for the implementation of urgently required actions</i>
	<p><i>Herzegovina, the former Yugoslav Republic of Macedonia, Kosovo, Montenegro, the Republic of Serbia and Turkey. A total of 127M€ of IPA funding was allocated for this Special Measure was implemented via a mix of direct and indirect management.</i></p> <p><i>A smaller special measure using IPA II funding for addressing migration flows in the Western Balkans region (10M€) was also adopted in October 2015). This illustrates the flexibility that IPA II has in its design to respond to urgent needs.</i></p> <p><i>Substantial EC funding has been provided through the transfer of finances to the relevant trust funds (e.g. MADAD Fund) in response to refugee crisis in 2015. Concerning IPA II, information is available on the transfer of funds from IPA 2015 which has been programmed for transfer to the EU Regional Trust Fund in Response to the Syrian Crisis.</i></p> <p><i>Sources:</i></p> <p><i>2014 - EU - IPA II Regulation 2014-2020 REG 231-2014, EAMRs 2015,</i></p> <p><i>Commission Implementing Decision of 17.12.2014 adopting a special measure on flood recovery and flood risk management in Albania, Bosnia and Herzegovina, the former Yugoslav Republic of Macedonia, Kosovo, Montenegro, the Republic of Serbia and Turkey, Commission Implementing Decision of 07.10.2015 adopting a special measure on strengthening response capacity in Western Balkans to cope effectively with mixed migration flows under IPA II 2015</i></p>
Interviews with DG NEAR	<p>The creation of a specific Facility for Refugees in Turkey (FRT) for addressing the refugee crisis in Turkey has demonstrated that the institutions dealing with IPA II have been able to facilitate the speedy adjustment of programmes to address an urgent and unforeseen need. This was done in around 9 months and demonstrates that funds can be on the ground quickly, if the human resources are available to do this. It was noted that developing and implementing this facility can be considered a success, but required DG NEAR and Turkey EUD staff to be working 'morning, noon and night' on it to get it operational so rapidly.</p> <p><i>Source: Interviews with DG NEAR</i></p>
Findings from field Mission in Turkey	<p>Institutions and structures that deal with IPA II have been used to help programme and deliver funds under this Facility.</p> <p>Moreover, IPA is channelling some of its funds through the EU Regional Trust Fund in Response to the Syrian Crisis (MADAD Fund).</p> <p>Below is an analysis of the MADAD Fund and the FRT. One major difference between the two is that the MADAD Fund is an implementing tool outside the EU budget, whereas the FRT is a coordination mechanism within the EU budget.</p> <p><u>MADAD Fund</u></p> <p>Funding arrangements related to IPA II allocations to this fund are outlined in the 2015 AAP. Pursuant to Article 9(5) of Regulation (EU) No 231/2014, the IPA II may contribute to programmes and measures which are introduced as part of a macro-regional strategy, which involve IPA II beneficiaries. The Commission adopted a Decision for the establishment of the European Union Regional Trust Fund in response to the Syrian OJ L 77, 15.03.2014, p. 95. OJ L 298, 26.10.2012, p.I. Regulation (EU) No 231/2014 of the European Parliament and of the Council of 11 March 2014 establishing an Instrument for Pre-accession Assistance (OJ L 77,15.03.2014, p. 11). Commission Implementing decision c(2014)5998 adopting an Indicative Strategy Paper for Turkey for the period 2014-2020 EN 2 EN crisis (the "Trust Fund"), following a Union strategy based on the pooling of individual resources and the combination of all efforts to leverage the contribution of the Union and its Member States, with the objective to provide a coherent and reinforced aid response to the Syrian crisis on a regional scale.</p> <p>Given the convergence of the Fund's objectives with those of IPA II in Turkey, a contribution of IPA funds to the Trust Fund is foreseen to help mitigating better the spill over effects of the Syrian crisis on the country. The total IPA II allocation to the trust fund is 6.9M€.</p>

I-262	<i>Degree of (easy, speedy, responding exactly to the needs) of processes for urgent engagement of funds for the implementation of urgently required actions</i>
	<p>The Trust Fund shall implement the contribution either:</p> <ul style="list-style-type: none"> • directly (i) by the Commission's departments, including its staff in the Union Delegations under the authority of their respective Head of Delegation, (ii) or through executive agencies; • or indirectly with third countries or the bodies they have designated, international organisations and their agencies, public law bodies or bodies governed by private law with a public service mission to the extent that the latter provide adequate financial guarantees. <p>Bilateral cooperation with the Syrian government has been suspended since 2011, but vital humanitarian aid (EUR 41 million) was provided through the ENI during 2014 to support the beleaguered citizens of Syria. These funds supported actions in health, education, support to livelihoods and civil society capacity building. Support has also been provided in neighbouring countries, notably Jordan and Lebanon, to help these countries cope with the consequences of the crisis. A total of EUR 213 million was committed in 2014 through the ENI to the three countries. In Jordan, the aid is primarily used to defray the cost of providing education for Syrian refugee children. In Lebanon, the aid is used to deal with strains on the country's infrastructure, including schools, primary health care and waste water treatment. EUR 20 million was committed to establish the EU Regional Trust Fund in Response to the Syrian Crisis (MADAD Fund) with a further EUR three million contribution from Italy as the initial co-funding partner.</p> <p>The EU Regional Trust Fund in Response to the Syrian crisis provides for a more coherent, faster and integrated EU response to the crisis by merging various EU financial instruments and contributions from Member States into one single flexible and quick mechanism with a target volume of €1 billion expected to be reached by the end of 2016. The Trust Fund primarily addresses longer-term resilience needs of Syrian refugees and IDPs in neighbouring countries, as well as supporting host communities and their administrations. The Trust Fund focuses on non-humanitarian priority needs and may also be adapted to finance transition and reconstruction needs in a post-conflict Syria.</p> <p>Within this context, the Trust Fund in particular supports priority areas under the Resilience Pillar of the UN-led Regional Refugee & Resilience Plan ("3RP") in response to the Syria Crisis, which, for 2016, appeals for almost USD 2.5 billion in resilience support, an increase of 25% compared to 2015, as well as the priorities agreed on 4 February 2016 at the London conference on "Supporting Syria & the Region", and relevant areas of the EU-Turkey Joint Action Plan, where the Trust Fund is also one of the delivery instruments for the Facility for Refugees in Turkey.</p> <p>With recent pledges and contributions from 22 EU Member States (amounting to over €72 million), Turkey (€24 million co-financing for reoriented IPA I funds) and from various EU instruments (ENI €381 million, IPA €243 million, DCI €16 million), the Fund has now reached a total volume of €736 million. It is also open to all other international donors. The Trust Fund's scope has been expanded to also cover support to IDP's in Iraq fleeing from the interlinked Syria/Iraq/ Da'esh crisis, to provide flexibility to support affected countries also with hosting non-Syrian refugees, and to provide support in the Western Balkans to non-EU countries affected by the refugee crisis.</p>

I-262

Degree of (easy, speedy, responding exactly to the needs) of processes for urgent engagement of funds for the implementation of urgently required actions

Figure 8 MADAD Fund, breakdown by country



Source: EU Regional Trust Fund in Response to the Syrian Crisis, http://ec.europa.eu/enlargement/neighbourhood/countries/syria/madad/index_en.htm

While more than €125 million are disbursed and €210 million is already contracted, Fund management is currently finalizing project contracting for the remaining €418 million of the adopted actions. €165 million for actions in Turkey which will support education, including school construction and higher education for young Syrians, and extend water and waste-water facilities in southern Turkey. This will be implemented in partnership with UNICEF, UNHCR, the EIB and KfW, working closely with the Turkish authorities.

€232.7 million are being invested in education to provide a massive scale-up of support to the Ministries of Education in Turkey, Lebanon and Jordan enabling them to enrol more than 200,000 additional refugee children in school, while also providing for accelerated learning programmes, non-formal and early childhood education and child protection activities. €153 million have been allocated for resilience & local development projects responding to the urgent need of improving economic opportunities for refugees and vulnerable host communities beyond dependency on humanitarian relief. These are implemented through a mix of single-country and multi-country activities by European NGOs, EU Member States development agencies (GiZ, Expertise France, AECID, Italian Cooperation, AfD), and the Red Cross/Red Crescent movement. The projects target more than 200 communities and 400,000 people across the region and notably in Turkey, addressing basic financial needs of vulnerable families, engaging unemployed and disillusioned youth through work, skills development and community engagement in preparation of a future return to Syria, while also mitigating tensions between host and refugee communities.

A €55 million health programme aims to widen and enhance access of refugees across the region to primary, secondary and tertiary health care, psycho-social support, and protection from sexual and gender-based violence. It will reach and benefit at least 700,000 refugees with a focus on Turkey and Lebanon. In addition, specific healthcare support is foreseen in northern Iraq. €118 million are used for water, sanitation and hygiene programmes in Jordan and Lebanon and to extend water and waste-water facilities in southern Turkey. These actions are helping Syrian refugees and host communities, where the needs for supporting municipal water and wastewater services are biggest, benefitting more than 1.5 million people.

I-262	<i>Degree of (easy, speedy, responding exactly to the needs) of processes for urgent engagement of funds for the implementation of urgently required actions</i>
	<p>€49.4 million are targeting long-needed support for young Syrians to pursue higher education and TVET. While before the war, 20% of 18-25 year old Syrians were enrolled in higher and further education, this has dropped to less than 5% among the same age group today among the refugees. With partners such as DAAD, British Council, Campus France, EP-Nuffic, Stichting Spark, UNHCR and the German-Jordanian University, several thousand course placements and scholarships are made available in the region, focusing on Turkey, Jordan, Lebanon and northern Iraq.</p> <p><u>The Facility for Refugees in Turkey (FRT)</u></p> <p>The Facility for Refugees in Turkey is the answer to the EU Member States' call for significant additional funding to support refugees in the country. The Facility is designed to ensure that the needs of refugees and host communities are addressed in a comprehensive and coordinated manner. The Facility for Refugees in Turkey focuses on humanitarian assistance, education, migration management, health, municipal infrastructure, and socio-economic support. The Facility has a budget of €3 billion for 2016- 2017. This is made up of €1 billion from the EU budget, and €2 billion from the EU Member States. As of 4 January 2017, of the overall €3 billion, €2.2 billion have so far been allocated, for both humanitarian and non-humanitarian assistance. Of the €2.2 billion allocated, € 1.45 billion have been contracted. Of these € 1.45 billion contracted, € 748 million have been disbursed.</p> <p>Funding under the Facility for Refugees in Turkey supports refugees in the country - it is funding for refugees and not funding for Turkey. The support seeks to improve conditions for refugees in Turkey as part of the EU's comprehensive approach to addressing the refugee crisis inside and outside the EU.</p> <p>Humanitarian support under the Facility includes the largest ever humanitarian programme in EU history for a total amount of €348 million: the Emergency Social Safety Net (ESSN). The ESSN is using direct cash transfers through debit cards to cover the everyday needs of the most vulnerable refugee families in Turkey. It is the first social assistance scheme of its kind, combining international humanitarian know-how and government services to reach out to one million refugees across Turkey.</p> <p>The non-humanitarian support includes inter alia two major grants that will serve to reimburse the Ministries of Education and Health for real verifiable costs incurred in their efforts to integrate Syrian pupils and students into the Turkish education system, and to ensure Syrian refugees in Turkey have access to health care.</p> <p>The direct grant for education should enable around 500,000 Syrian students to receive education in the Turkish language and ensure comprehensive health care for refugees in Turkey.</p> <p><u>Analysis</u></p> <p>As reference documents indicate and stated during the interviews with the EUD and AFAD; FRT is a specific facility to provide support for refugees and host communities in the country implemented mainly by IPA and HUMA.</p> <p>EUD has a separate FRT Team with 7 employees since September 2016. There is a functioning system to secure the complementarity with IPA and FRT in the EUD and also with AFAD which is the coordinating institution for FRT. It has also a specific FRT Unit with 4 fulltime working staff.</p> <p>Other</p> <p>For non-humanitarian purposes, IPA II is less flexible. Programming documents can be revised, although this is backed up by a relatively complex approval process. If IPA II funds are subject to IMBC, assistance is unlikely to be delivered with any great speed (evidence from countries using IMBC suggests it could take up to 7 years from an action being programmed to it delivering any results).</p> <p><i>Sources:</i></p> <p><i>External Assistance Management Report, Period: 01/01/2015 – 31/12/2015 Turkey</i> <i>2015 EC Annual Report,</i></p>

I-262	<i>Degree of (easy, speedy, responding exactly to the needs) of processes for urgent engagement of funds for the implementation of urgently required actions</i>
	<i>http://ec.europa.eu/enlargement/neighbourhood/countries/syria/madad/index_en.htm, Interviews with FRT Team of the EUD and AFAD.</i>
Findings from flood relief measures	During the field missions, respondents generally praised the flood special measures as having been launched quite promptly and "less bureaucratic" (by IPA standards). In both Serbia and Bosnia and Herzegovina the feedback was clearly positive along these lines. In the case of Bosnia and Herzegovina, leftover IPA I funds were utilised, augmented by a first tranche from IPA 2014 and then integrated into a special flood relief package for 2014. Aside from helping the flood relief efforts, this approach also helped to reduce the financial backlog from IPA I. <i>Sources: Interviews with stakeholders in relevant IPA II beneficiaries</i>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is assessed as acceptable.

The degree of confidence assessed as satisfactory.

1.2.10.3 I-263 Percentage of engaged financing by IPA II of actions that do not fully align with the objectives of IPA II but are urgently needed to the total engaged IPA funds

I-263	<i>Percentage of engaged financing by IPA II of actions that do not fully align with the objectives of IPA II but are urgently needed to the total engaged IPA funds</i>
Indicator Summary	Article 9 of the IPA II regulation predicts such practice. <i>Source: 2014 - EU - IPA II Regulation 2014-2020 REG 231-2014</i> According to the financial information available to date, specific financial support is allocated for: <ul style="list-style-type: none"> • <u>Support Measures</u> (types of expenditure that represent support to the implementation of financial assistance, e.g. audit, monitoring, evaluation, communication): 35,049.901 EUR • <u>Special Measures</u> (which can be adopted in the event of unforeseen and duly justified cases): 720,000.00 EUR, and • <u>Other Support Activities</u> (note: <i>not clear what is include, information not available</i>): 261,447.228 EUR. <i>Source: Financial data as from 6 October 2016, IPA II programming guide, Regulation (EU) No 236/2014</i>
Findings from field missions	Interviews with stakeholders indicated that only a small amount of IPA II funds have been used directly as part of the emergency response in Turkey. Actions on flood recovery and flood risk management in Albania, Bosnia and Herzegovina, the former Yugoslav Republic of Macedonia, Kosovo, Montenegro, and Serbia were designed as special measures. (see I-264 below) <i>Source: Interviews with stakeholders in IPA II beneficiary institutions</i>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is assessed as acceptable.

The degree of confidence assessed as satisfactory.

1.2.10.4 I-264 Evidence (nature and scope) of revisions of IPA II programming documents linked to crises or emergency situations

I-264	<i>Evidence (nature and scope) of revisions of IPA II programming documents linked to crises or emergency situations</i>
Indicator Summary	<p>There is no information on such practice occurred to date.</p> <p>The Facility for Refugees in Turkey was developed as a specific facility. Actions on flood recovery and flood risk management in Albania, Bosnia and Herzegovina, the former Yugoslav Republic of Macedonia, Kosovo, Montenegro, and Serbia were designed as special measures.</p> <p>The focus of IPA II in Turkey and the MADAD Fund is fundamentally different so there has been no need to revise IPA programme documents as yet. Once the Fund moves from its 'humanitarian' to 'resilience' modes, there may be a risk of some overlap emerging in IPA II programmes (e.g. linked to employment, social policy or education). This is an issue for the future but one which programmers in Turkey are aware of.</p> <p><i>Source: Interviews with stakeholders in IPA II beneficiary institutions</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is assessed as acceptable.

The degree of confidence assessed as satisfactory.

1.2.10.5 I-265 % of IPA II budget allocated to actions which have resulted from ad hoc reviews of the existing programming documents, responding to changing requirements

I-265	<i>% of IPA II budget allocated to actions which have resulted from ad hoc reviews of the existing programming documents, responding to changing requirements</i>
Indicator Summary	<p>No documentary information was available at programme level to assess this ratio of budget II allocation. Feedback from stakeholders interviewed also indicated that such data wasn't systematically gathered or generally available. No such ad-hoc reviews of existing programming documents were reported from evaluation Field missions.</p> <p><i>Source: Document review and interviews with stakeholders.</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is assessed as adequate.

The degree of confidence assessed as satisfactory.

1.3 EQ 3 on efficiency

To what extent is IPA delivering efficiently?

1.3.1 JC31: IPA II management is administratively cost effective

1.3.1.1 I-311 Ratio of administrative costs to overall budget of IPA II (engaged, spent, programmed)

I-311	Ratio of administrative costs to overall budget of IPA II (engaged, spent, programmed)																																																																																																																									
Indicator Summary	40mEUR or 2.4% of the EU budget for IPA II was committed for administrative costs in 2015, and 49mEUR or 3.7% in 2014. The ratio of spent administrative costs to all IPA II costs spent is 2.8% for 2015 and 4.0% for 2014. IPA II is found in the middle range compared to other EFIs.																																																																																																																									
2016 Annual Report (2015 implementation) and 2015 Annual Report (2014 implementation)	<p>The table below uses figures from the financial data for the Annual Reports 2016 and 2015, covering the implementation years 2015 and 2014 respectively. It indicates that 40mEUR or 2.4% of the EU budget for IPA II was committed for administrative costs in 2015, and 49mEUR or 3.7% in 2014. Below is also a comparison with the other external financing instruments.</p> <p><i>Table 4 Administrative costs as percentage of overall budget (committed amounts)</i></p> <table border="1"> <thead> <tr> <th>Instrument</th> <th>IPA2</th> <th>ENI</th> <th>DCI</th> <th>EIDHR</th> <th>IcSP</th> <th>INSC</th> <th>CFSP</th> <th>HUMA</th> <th>EDF</th> <th>Other</th> </tr> </thead> <tbody> <tr> <td>Total 2015 (million €)</td> <td>1.647</td> <td>2.397</td> <td>2.478</td> <td>173</td> <td>240</td> <td>61</td> <td>260</td> <td>1.401</td> <td>4.893</td> <td>390</td> </tr> <tr> <td>Admin Costs 2015 (million €)</td> <td>40</td> <td>47</td> <td>79</td> <td>10</td> <td>7</td> <td>1</td> <td>12</td> <td>11</td> <td>127</td> <td>260</td> </tr> <tr> <td>Total 2014 (million €)</td> <td>1.340</td> <td>2.294</td> <td>2.295</td> <td>185</td> <td>194</td> <td>30</td> <td>294</td> <td>1.084</td> <td>836</td> <td>393</td> </tr> <tr> <td>Admin Costs 2014 (million €)</td> <td>49</td> <td>58</td> <td>98</td> <td>11</td> <td>8</td> <td>1</td> <td>1</td> <td>9</td> <td>104</td> <td>272</td> </tr> <tr> <td>% Admin of Total 2015</td> <td>2,4%</td> <td>2,0%</td> <td>3,2%</td> <td>5,8%</td> <td>3,0%</td> <td>2,3%</td> <td>4,5%</td> <td>0,8%</td> <td>2,6%</td> <td>66,8%</td> </tr> <tr> <td>% Admin of Total 2014</td> <td>3,7%</td> <td>2,5%</td> <td>4,3%</td> <td>5,9%</td> <td>4,1%</td> <td>3,3%</td> <td>0,3%</td> <td>0,8%</td> <td>12,4%</td> <td>69,2%</td> </tr> </tbody> </table> <p><i>Source: Financial annexes of upcoming 2016 Annual Report (Sheet 12A) and Financial annexes of 2015 Annual Report (Table 5.18).</i></p> <p>Respectively, as shown by the table below, the ratio of spent administrative costs to all IPA II costs spent is 2.8% for 2015 and 4.0% for 2014.</p> <p><i>Table 5 Administrative costs as percentage of overall budget (disbursed amounts)</i></p> <table border="1"> <thead> <tr> <th>Instrument</th> <th>IPA2</th> <th>ENI</th> <th>DCI</th> <th>EIDHR</th> <th>IcSP</th> <th>INSC</th> <th>CFSP</th> <th>HUMA</th> <th>EDF</th> <th>Other</th> </tr> </thead> <tbody> <tr> <td>Total 2015 (million €)</td> <td>1.364</td> <td>1.560</td> <td>2.198</td> <td>142</td> <td>233</td> <td>53</td> <td>277</td> <td>1.246</td> <td>2.900</td> <td>384</td> </tr> <tr> <td>Admin Costs 2015 (million €)</td> <td>38</td> <td>48</td> <td>78</td> <td>10</td> <td>6</td> <td>1</td> <td>10</td> <td>10</td> <td>111</td> <td>265</td> </tr> <tr> <td>Total 2014 (million €)</td> <td>1.213</td> <td>1.642</td> <td>1.751</td> <td>159</td> <td>250</td> <td>46</td> <td>255</td> <td>1.352</td> <td>3.180</td> <td>323</td> </tr> </tbody> </table>	Instrument	IPA2	ENI	DCI	EIDHR	IcSP	INSC	CFSP	HUMA	EDF	Other	Total 2015 (million €)	1.647	2.397	2.478	173	240	61	260	1.401	4.893	390	Admin Costs 2015 (million €)	40	47	79	10	7	1	12	11	127	260	Total 2014 (million €)	1.340	2.294	2.295	185	194	30	294	1.084	836	393	Admin Costs 2014 (million €)	49	58	98	11	8	1	1	9	104	272	% Admin of Total 2015	2,4%	2,0%	3,2%	5,8%	3,0%	2,3%	4,5%	0,8%	2,6%	66,8%	% Admin of Total 2014	3,7%	2,5%	4,3%	5,9%	4,1%	3,3%	0,3%	0,8%	12,4%	69,2%	Instrument	IPA2	ENI	DCI	EIDHR	IcSP	INSC	CFSP	HUMA	EDF	Other	Total 2015 (million €)	1.364	1.560	2.198	142	233	53	277	1.246	2.900	384	Admin Costs 2015 (million €)	38	48	78	10	6	1	10	10	111	265	Total 2014 (million €)	1.213	1.642	1.751	159	250	46	255	1.352	3.180	323
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I-311	Ratio of administrative costs to overall budget of IPA II (engaged, spent, programmed)											
	Admin Costs 2014 (million €)	48	57	96	10	8	1	1	10	107	276	
	% Admin of Total 2015	2,8%	3,1%	3,5%	7,0%	2,7%	2,1%	3,5%	0,8%	3,8%	69,0%	
	% Admin of Total 2014	4,0%	3,5%	5,5%	6,3%	3,2%	2,2%	0,4%	0,7%	3,4%	85,4%	
<i>Source: Financial annexes of upcoming 2016 Annual Report (Sheet 12B) and Financial annexes of 2015 Annual Report (Table 5.19).</i>												
Draft general EU Budgets 2013-2016	Table 6 Support expenditure for IPA in yearly EU draft budgets											
	2016	Appropriations 2016	Appropriations 2015	Outturn 2014	% 2014/2016							
	Support expenditure for Instrument for Pre-accession Assistance (IPA)	39.401.419,00 €	39.301.418,00 €	50.244.026,18 €	127,52%							
	2015	Appropriations 2015	Appropriations 2014	Outturn 2013	% 2013/2015							
	Support expenditure for Instrument for Pre-accession Assistance (IPA)	49.004.624,00 €	50.498.220,00 €	47.030.329,52 €	95,97%							
	2014	Budget 2014	Appropriations 2013	Outturn 2012	2012/2014							
	Support expenditure for Instrument for Pre-accession Assistance (IPA)	50.401.156,00 €	45.692.924,00 €	46.599.208,63 €	92,46%							
2013	Budget 2013	Appropriations 2012	Outturn 2011	2011/2013								
Pre-accession assistance — Expenditure on administrative management	40.430.024,00 €	40.237.500,00 €	41.058.601,65 €	101,55%								
<i>Source: Draft general EU Budgets 2013-2016, Chapter 22 01 Administrative Expenditure of the 'Enlargement' Policy Area</i>												

Sources of information used

Documentary analysis;
Data analysis;
Interviews DG NEAR.

Assessment of quality of evidence

The level of information of this indicator is sufficient.

The degree of confidence assessed is satisfactory.

1.3.1.2 I-312 Ratio of spent administrative costs (defined as “IPA II Support Expenditure” in the Draft General Budget of the EU25) to overall budget of IPA II engaged

I-312	<i>Ratio of spent administrative costs (defined as “IPA II Support Expenditure” in the Draft General Budget of the EU25) to overall budget of IPA II engaged</i>														
Indicator Summary	<p>38 mEUR or 2.3% of the committed EU budget for IPA II was spent for administrative costs in 2015, and 48 mEUR or 3.6% in 2014</p> <p><i>Table 7 Spent administrative costs as percentage of overall committed budget</i></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="background-color: #800040; color: white;">Years</th> <th style="background-color: #800040; color: white;">IPA2</th> </tr> </thead> <tbody> <tr> <td>Total committed 2015 (million €)</td> <td style="text-align: center;">1.647</td> </tr> <tr> <td>Admin Costs spent 2015 (million €)</td> <td style="text-align: center;">38</td> </tr> <tr> <td>Total committed 2014 (million €)</td> <td style="text-align: center;">1.34</td> </tr> <tr> <td>Admin Costs spent 2014 (million €)</td> <td style="text-align: center;">48</td> </tr> <tr> <td>% Admin spent of Total committed 2015</td> <td style="text-align: center;">2,3%</td> </tr> <tr> <td>% Admin spent of Total committed 2014</td> <td style="text-align: center;">3,6%</td> </tr> </tbody> </table> <p><i>Source: Financial annexes of upcoming 2016 Annual Report (Sheet 12B) and Financial annexes of 2015 Annual Report (Table 5.19).</i></p>	Years	IPA2	Total committed 2015 (million €)	1.647	Admin Costs spent 2015 (million €)	38	Total committed 2014 (million €)	1.34	Admin Costs spent 2014 (million €)	48	% Admin spent of Total committed 2015	2,3%	% Admin spent of Total committed 2014	3,6%
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Sources of information used

Documentary analysis;

Data analysis;

Interviews DG NEAR.

Assessment of quality of evidence

The level of information of this indicator is sufficient.

The degree of confidence assessed is satisfactory.

1.3.2 JC32: Budget execution is efficient

1.3.2.1 I-321 Time taken from commitments to payments (per management mode)

I-322	<i>Time taken from payment claims' submission to actual payment of the approved amounts (per management mode)</i>
Indicator Summary	<p>Extracting data for this indicator did not provide useful information as there are several payments noticed under each contract. Also, the time between commitment and payment depends also on the duration of the project. Thus, the given external factors do not allow a substantiated judgement on efficient budget execution, based on this indicator. Moreover, due to the limited number of payments directly attributable to IPA II, the given data might refer to IPA I in most cases. According to interviews, there is currently no significant difference in the time taken from commitments to payments, compared to the period before 2014. The procedural changes introduced by the IPA II regulation and the CIR did not change significantly the timelines for the payment of IPA funds.</p>
Management Plan 2016 DG NEAR	<p>“IPA I and II implementation/ budgetary execution</p> <p>Indicator: Benchmarks for KPIs on contract and payment are met</p> <p>Examples of initiatives to improve economy and efficiency of financial and non-financial activities of the DG.</p> <p>In 2016, DG NEAR will be looking to undertake a number of initiatives to improve and enhance the work of the Directorate-General. Such initiatives include notably:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Manual of procedures <p>In 2016, DG NEAR will develop a single procedural guidance manual "NEAR MAP" (manual of Procedures for financial implementation). This manual will provide a</p>

I-322	<i>Time taken from payment claims' submission to actual payment of the approved amounts (per management mode)</i>																																				
	<p>single entry point to procedures applying to the whole DG for activities implemented under IPA and ENI. The NEAR MAP will then be regularly updated. It is expected that this manual will become available in wiki format on DG NEAR's intranet in the course of 2017.</p> <p>Internal Control Strategy</p> <p>DG NEAR will develop and start implementing a DG wide Internal Control Strategy. This strategy will define the concept of Internal Control and refer to the control environment of the DG before describing its implementation in the 5 areas of internal control: effectiveness, efficiency, economy of operations; adequate management of the risk relating to the legality and regularity of underlying transactions; prevention, detection, correction and follow-up of fraud and irregularities; reliability of reporting; safeguarding of assets and information.</p> <p>.... Internal Control and Risk Management</p> <p>Objective 2: Effective and reliable internal control system in line with sound financial management.</p> <p>Main outputs in 2016:</p> <table border="0"> <thead> <tr> <th data-bbox="405 786 746 813">Description</th> <th data-bbox="772 786 1034 813">Indicator</th> <th data-bbox="1059 786 1145 813">Target</th> </tr> </thead> <tbody> <tr> <td data-bbox="405 822 746 902">-Execution of payments and commitments in DG NEAR are following forecasts.</td> <td data-bbox="772 822 1034 902">-1-Accuracy of initial annual financial forecast for payments.</td> <td data-bbox="1059 822 1385 902">1-Between 90% and 110% 2-Between 90% and 110%</td> </tr> <tr> <td data-bbox="405 911 746 992">-The RAL (RAC+RAP) is under control (indicator 3 and 6).</td> <td data-bbox="772 911 1034 992">-2- Accuracy of initial annual financial forecast for contracts.</td> <td data-bbox="1059 911 1385 992">3-Not more than 4 years 4-Decrease by 25% at least</td> </tr> <tr> <td data-bbox="405 1001 746 1081">-The pre-financings are cleared regularly on the basis of contractual landmarks.</td> <td data-bbox="772 1001 1034 1081">-3- RAL absorption period.</td> <td data-bbox="1059 1001 1385 1081">5-Not more than 15% 6-Decrease by 25% at least</td> </tr> <tr> <td data-bbox="405 1090 746 1171">-The expired contracts are closed.</td> <td data-bbox="772 1090 1034 1171">-4- Reduction of Old Pre-financing.</td> <td data-bbox="1059 1090 1385 1171">7-At least 66%</td> </tr> <tr> <td data-bbox="405 1180 746 1238">-The payments are made in time.</td> <td data-bbox="772 1180 1034 1238">-5- Expired Contracts as a % of the contract portfolio.</td> <td></td> </tr> <tr> <td></td> <td data-bbox="772 1247 1034 1305">-6- Reduction of Old RAL.</td> <td></td> </tr> <tr> <td></td> <td data-bbox="772 1314 1034 1440">-7- % of payments paid within the EC internal target of 30 days.</td> <td></td> </tr> <tr> <td data-bbox="405 1449 746 1529">The cost effectiveness of controls is assessed on a yearly basis.</td> <td data-bbox="772 1449 1034 1529">Cost effectiveness of Controls</td> <td data-bbox="1059 1449 1385 1529">Costs of controls are under 5% of the DG overall spending.</td> </tr> <tr> <td data-bbox="405 1538 746 1686">The Internal Control Standards are assessed on an annual basis in Delegations and at Headquarters.</td> <td data-bbox="772 1538 1034 1686">Assessment of Internal Control Standards. Internal Control Standards report.</td> <td data-bbox="1059 1538 1385 1686">The Internal Control Standards are assessed every year, through different means (KPIs in the EAMR, Survey or Desk review).</td> </tr> <tr> <td data-bbox="405 1695 746 1798">Internal Control weaknesses are detected and mitigating measures proposed.</td> <td></td> <td data-bbox="1059 1695 1385 1798">An Internal Control Standards report is drafted every year.</td> </tr> <tr> <td data-bbox="405 1807 746 2022">Safeguarding of information. Documents should be registered and filed according to the defined rules. Access to confidential documents should be restricted.</td> <td data-bbox="772 1807 1034 2022">Application of the rules as regards filing and archiving. Restricted access to confidential documents.</td> <td data-bbox="1059 1807 1385 2022">All documents are registered and filed according to the instructions. Confidentiality of documents is ensured."</td> </tr> </tbody> </table> <p><i>Source: Management Plan 2016 DG NEAR</i></p>	Description	Indicator	Target	-Execution of payments and commitments in DG NEAR are following forecasts.	-1-Accuracy of initial annual financial forecast for payments.	1-Between 90% and 110% 2-Between 90% and 110%	-The RAL (RAC+RAP) is under control (indicator 3 and 6).	-2- Accuracy of initial annual financial forecast for contracts.	3-Not more than 4 years 4-Decrease by 25% at least	-The pre-financings are cleared regularly on the basis of contractual landmarks.	-3- RAL absorption period.	5-Not more than 15% 6-Decrease by 25% at least	-The expired contracts are closed.	-4- Reduction of Old Pre-financing.	7-At least 66%	-The payments are made in time.	-5- Expired Contracts as a % of the contract portfolio.			-6- Reduction of Old RAL.			-7- % of payments paid within the EC internal target of 30 days.		The cost effectiveness of controls is assessed on a yearly basis.	Cost effectiveness of Controls	Costs of controls are under 5% of the DG overall spending.	The Internal Control Standards are assessed on an annual basis in Delegations and at Headquarters.	Assessment of Internal Control Standards. Internal Control Standards report.	The Internal Control Standards are assessed every year, through different means (KPIs in the EAMR, Survey or Desk review).	Internal Control weaknesses are detected and mitigating measures proposed.		An Internal Control Standards report is drafted every year.	Safeguarding of information. Documents should be registered and filed according to the defined rules. Access to confidential documents should be restricted.	Application of the rules as regards filing and archiving. Restricted access to confidential documents.	All documents are registered and filed according to the instructions. Confidentiality of documents is ensured."
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I-322	<i>Time taken from payment claims' submission to actual payment of the approved amounts (per management mode)</i>
IPA II Performance framework	<p>“follow-up on sector programme implementation: ...measure the level of commitments and payments, including actual contracting performance against forecasts as well as cost recognition. Improvements on ways in which these levels of information are reported on are essential... involves upgrades of IT systems, in particular i-Perseus (for indirect management) and MIS. Budget execution reports will be automated from DG NEAR's MIS to support follow-up on implementation.”</p> <p><i>Source: IPA II Performance framework</i></p>
Interviews in IPA II beneficiaries	<p>The procedural changes introduced by the IPA II regulation and the CIR did not change significantly the timelines for the regular payment of IPA funds. This finding is shared by all relevant interviewees.</p> <p>According to interviews (EUD Finance & Contracting Sections, NAOs, CFCUS), there is currently no significant difference in the time taken from commitments to payments, compared to the period before 2014. The procedural changes introduced by the IPA II regulation and the CIR did not change significantly the timelines for the payment of IPA funds.</p> <p><i>Source: Interviews in IPA II beneficiaries</i></p>

Sources of information used

Documentary analysis;

Data analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information available from the field visits in terms of time taken from commitments to payments under IPA II compared to IPA I is sufficient.

1.3.2.2 I-322 Time taken from payment claims' submission to actual payment of the approved amounts (per management mode)

I-322	<i>Time taken from payment claims' submission to actual payment of the approved amounts (per management mode)</i>																
Indicator Summary	<p>Based on the available statistical data, payments are made with similar efficiency for IPA II and IPA I and also for various management modes. Due to the limited number of payments directly attributable to IPA II, the given data might refer to IPA I in most cases. According to interviews, there is currently no significant difference in the time taken from claim submission to actual payment, compared to the period before 2014. As from the available data, the average duration of payments under direct management seems to have been shortened; however, this may also correspond with a decreasing amount of invoices administered under direct management since 2013.</p>																
Statistical data from CRIS	<p><i>Table 8 Total amount of invoices by management type, under decision years 2007-2013 and 2014-2016</i></p> <table border="1" data-bbox="395 1626 1137 1888"> <thead> <tr> <th data-bbox="395 1626 627 1697">Total amount of invoices</th> <th data-bbox="635 1626 799 1697">Direct management</th> <th data-bbox="807 1626 971 1697">Indirect management</th> <th data-bbox="979 1626 1137 1697">Total</th> </tr> </thead> <tbody> <tr> <td data-bbox="395 1709 627 1780">Decision years 2014-2016</td> <td data-bbox="635 1709 799 1780">354</td> <td data-bbox="807 1709 971 1780">0</td> <td data-bbox="979 1709 1137 1780">354</td> </tr> <tr> <td data-bbox="395 1787 627 1859">Decision years 2007-2013</td> <td data-bbox="635 1787 799 1859">8352</td> <td data-bbox="807 1787 971 1859">164</td> <td data-bbox="979 1787 1137 1859">8516</td> </tr> <tr> <td data-bbox="395 1865 627 1888">Total</td> <td data-bbox="635 1865 799 1888">8706</td> <td data-bbox="807 1865 971 1888">164</td> <td data-bbox="979 1865 1137 1888">8870</td> </tr> </tbody> </table> <p><i>Source: CRIS data for IPA II and IPA I, provided by DG NEAR FIT</i></p>	Total amount of invoices	Direct management	Indirect management	Total	Decision years 2014-2016	354	0	354	Decision years 2007-2013	8352	164	8516	Total	8706	164	8870
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Interviews in IPA II beneficiaries	<p data-bbox="395 1624 1380 1742">According to interviews (EUD Finance & Contracting Sections, NAOs, CFCUS), there is currently no significant difference in the time taken from claim submission to payment, compared to the period before 2014. Any likely changes might be attributable (also) to shifts in the management mode.</p> <p data-bbox="395 1749 874 1780"><i>Source: Interviews in IPA II beneficiaries</i></p>																																																																																																																							

Sources of information used

Documentary analysis;

Data analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is sufficient.

The degree of confidence assessed is satisfactory.

1.3.2.3 I-323 Number of countries operating under the indirect management mode and their level of entrustment

I-323	<i>Number of countries operating under the indirect management mode and their level of entrustment</i>
Indicator Summary	<p>Five countries (Albania, the former Yugoslav Republic of Macedonia, Montenegro, Serbia and Turkey) are operating partially under the indirect management mode. In 2015 in Turkey, 80% of the funds were indirectly managed, while in Albania this was 10%. Serbia gives an illustrative example of a country in which the indirect mode is being gradually and conditionally introduced. Kosovo and Bosnia and Herzegovina are operating under the direct management mode.</p> <p>Inefficiencies in the implementation system (indirect management) have generated chronic delays that have accumulated in the system. This is already adversely affecting IPA II programmes.</p> <p>Based on an analysis of EAMRs 2013, 2014 and 2015 the findings indicate that EUD performances are most often close to the benchmarks and are mostly dependent on the absorption capacity of beneficiaries. Overall, the EAMRs are evidencing that EC budget allocation and financial execution are sound.</p>
Former Yugoslav Republic of Macedonia EAMR 2015	<p>Former Yugoslav Republic of Macedonia: "The EU Delegation enhanced the monitoring and supervision over the national financial management and control systems established to manage the EU funds. Along with the meetings of the IPA monitoring and sectoral monitoring committees... the EU Delegation was actively involved in monitoring the implementation of the DIS Action plan... which listed 43 measures to improve the strategic planning, programming and implementation of the EU funds by the national authorities... There are 3 key groups of risks associated with the implementation of the programmes under the responsibility of the EU delegation: 1). Risks related to the capacity of the beneficiary country to manage the EU funds in an effective and efficient manner. The non-start of negotiations, the ongoing political crisis...The weaknesses in the management of the national Budget and the absence of multi-annual budget planning negatively influence the introduction of the sector approach. The lack of long term planning, disconnection of the strategies and the national budget, lack of strong consultative mechanisms... The late adoption and communications on IPA II regulation and the related guidelines and instructions... Serious delays were accumulated which resulted into under programming of the IPA 2014 and 2015 allocations, exclusion of a very key sector as the employment and social inclusion from the list of supported sectors for 2014-2016. Further on, there are some shortcomings identified in the established operating structures and financial management and control systems, which despite the fact that do not question the legal compliance, impact negatively on the decision-making at national level... Some examples include the separation between the political responsibility at sector level and the responsibility for the EU funds in the respective sectors and the inefficiency of the national monitoring procedures and systems... The on-the-spot verifications indicate that enforcement of accountability for compliance with internal control standards is not properly followed... the Government adopted an Action plan for addressing the identified shortcomings. The EU Delegation is monitoring the AP implementation together with the national authorities. 2). Risks related to the political situation. 3). Internal for the Commission risks - the reengineering of the Commission and particularly in DG NEAR resulted into numerous changes, notably assuming new responsibilities for the regional development and human resource development sectors (previous IPA Components III and IV) by DG NEAR, a shift of the responsibilities from the headquarters to the Delegations which are expected to assume new tasks, increasing the proportion of the funds managed under centralized management and consequently the workload..."</p> <p><i>Source: EAMR Former Yugoslav Republic of Macedonia 2015</i></p>
Montenegro EAMR 2015	<p>Montenegro: "Montenegro received conferral of management for the IPA II 2014 action programme and IPA CBC programmes at the very end of 2015... there has been no start of operations as yet under the programmes (except for some urgent actions under centralised management by the EU Delegation). The national IPA structures are ready for implementation, but limited human resources and rotation of staff in the management and in the operating structures will be a challenge..."</p>

I-323	<i>Number of countries operating under the indirect management mode and their level of entrustment</i>
	<p>Indirect Management under IPA II. Currently underway since early 2015 for IPA I Components III and IV. The EU Delegation performs ex-ante controls jointly between COOP and FCA sections. Initial problems encountered at the level of national authorities linked to capacity are progressively overcome. For Component III and IV monthly meetings take place with Operating Structure/CFCU/Department of Public Works and EU Delegation COOP and FCA section on a monthly basis, and additional meetings take place as needed....”</p> <p><i>Source: EAMR Montenegro 2015</i></p>
Serbia EAMR 2015	<p>Serbia: “The Serbian authorities were slow in taken necessary measures to strengthen the decentralized implementation system....serious weaknesses in the staffing and capacity of the Audit Authority, the payments under the on-going decentralized IPA 2013 programme and technical assistance were suspended... recruitment of a capable Head of the Audit Authority eventually allowed for the lifting of the IPA 2013 suspension and for the entrustment of the de-centralized parts of the IPA 2014 programme to proceed.</p> <p>The implementation of key sector reforms supported through IPA is dependent on the existence of sufficient support at the political level, which in some sectors proved ambiguous during the reporting year: (a) The draft budget established by the Ministry of Finance for 2016 was insufficient to allow for the implementation of key reform measures agreed as part of the sector budget support for public administration reform. A revision of the draft budget was ensured through the political intervention... preconditions were established... to reduce the risk to programme implementation. The EU Delegation will reinforce the dialogue with the Ministry of Finance at all levels in 2016 to mitigate the risk... It was planned that IPA would be implemented essentially under indirect management through the beneficiary country as of IPA 2013. However, the slow progress in the implementation of IPA 2013, combined with the new orientation of DG NEAR policy regarding the choice of modalities, led to the decision to only partially decentralize IPA funds under IPA 2014 and IPA 2015. The IPA 2015 programme allocation for Serbia is EUR 216,100,000. Out of this ... 4,500,000 to civil society under the IPA 2014 multi-country, 15,000,000 to IPARD... Consequently, 2015 Action Programme for Serbia amounts to EUR 196,600,000.... indirect management is 72,850,000.00 while for other implementation arrangements is 123,750,000.00.</p> <p>The Implementing and Operating Agreements, which regulate the rights and responsibilities and relations between the NAO, the PAO, the NIPAC and the SPO, were finalized and signed. The above agreements are based on the Government Decree adopted in December 2014 and they elaborate mutual rights and obligations in regards to preparation, coordination, implementation, monitoring, evaluation and reporting on implementation of programs and projects financed from IPA component I. In May 2015, a mission of the DG NEAR Auditors' team ... aim ... to ascertain the preparedness of Serbian structures, authorities and bodies involved in the receipt, use, control and implementation of EC pre-accession assistance (namely IPA II) under indirect management. Administrative capacity of line institutions and staff retention policy was identified as an issue of concern. Regarding the Audit Authority, lack of legitimacy, credibility and capacity towards the Management and Control System was a high-risk finding in the audit report... The Financing Agreement for 2014 was signed including conditions related to Indirect Management...Fulfillment of those conditions by the Serbian authorities needs to be closely monitored.”</p> <p><i>Source: EAMR Serbia 2015</i></p>
Turkey EAMR 2015	<p>Turkey: “The rate of the contracted funds directly managed by the EUD is 6% (EUR 28 million) compared to the funds contracted by the Turkish IMBC authorities (EUR 378 million) and the funds managed through international organizations under PaGODA contracts (EUR 65 million). In other words, 80% of the contracted funds in 2015 were managed through indirect management by the beneficiary country (IMBC).</p> <p>There is a complex management structure under IMBC in Turkey. The contracted funds under IMBC have been managed by the CFCU in coordination with 15 line ministries, headed by 25 Senior Programme Officers (SPOs). The system is</p>

I-323	<i>Number of countries operating under the indirect management mode and their level of entrustment</i>
	<p>monitored by the NIPAC and supervised by the NAO. It is extremely difficult to control the functioning of the system as well as to monitor the KPI data generated by it, especially considering that the current financial reporting system i-Persues does not report on project operations but on financial data and contract related information. It is expected that this complexity will be further exacerbated via the seven operating structure under the IPA II period. Therefore, it is of utmost importance to improve the current financial reporting system (i-Perseus) to cover operational progress so that EUD could closely monitor the actual implementation and develop effective and timely measures to address flaws in project implementation... the Entrustment of Budget Implementing Tasks (EBIT) process has been successfully completed for all the (7) Operating Structures in the system, except for the Transport OP, with several non-blocking conditions to be addressed within six months from the signature of the Financing Agreements (FAs)... EUD followed-up closely with the Turkish institutions under the Indirect Implementation System (IMBC), in particular for the annual programmes IPA 2011 part 2 and IPA 2012 which had their contracting deadlines in December 2015 as well as for the multi-annual Operational Programmes with split commitments of IPA components 3, 4 and 5. Under the IMBC system there continue to be shortcomings related to the quality of programming and the delays in procurement... the use of the Project Preparation Facility has been revived with the aim to support capacity building in particular at the level of beneficiary institutions... The risks continue that deficiencies in programming translate into problems and delays during implementation. Notably, sector-level programming documents (one AD covering a variety of activities...) provide for little detail in view of implementation preparations. Also, related capacity shortcomings at the level of NIPAC for coordination and quality control, new sector lead institutions under IPA II which are still working to fill their role... cause problems in effective programme development and a faster action towards implementation... while the sector approach is officially introduced, there remain limitations as the Turkish public administration as well as staff in the EU Delegation...</p> <p>... the main issues that persist in the Turkish IMBC system are the instability in staffing, including lack of formal appointment to vacant senior posts, insufficient/lack of staffing in the quality control and audit units, critical weaknesses in the management verifications, lack of SPO capacity reviews and lack of ex-post controls or proper interventions to addressing identified issues. Therefore, NAO and NIPAC need to improve their overall leadership of the system, including supervision capacity and an approach to supervision, the quality of its review and analysis concerning functioning of the system, and developing responsive actions and effective solution to the problems identified.</p> <p>Accuracy of initial annual financial forecast for payments</p> <p>96% of the EUR 2 billion of EU funds (annual and multi-annual programmes) are managed under IMBC by five Operating Structures... The Delegation contracted EUR 356.15 million in 2015 compared to the revised forecast of EUR 1.15 billion... the Delegation is not the contracting authority for the majority of the EU funds and the absorption capacity is directly linked to the performance of the National Authorities.”</p> <p><i>Source: EAMR Turkey 2015</i></p>
Albania CAP 2015	<p>Albania: “This programme shall be implemented by direct and indirect management. Direct management by the European Commission Indirect management with Albania. The operating structure responsible is the Central Finance and Contracting Unit (CFCU) within the Ministry of Finance for: Partially action 2: EU integration facility Fully action 3: Support to participation in Union Programmes and Agencies. Implementation will consist in the payment of the IPA part of the financial contribution to the programmes by the National Fund. Partially action 4: Consolidation of law enforcement agencies - Support to the Albanian State Police and Prosecutor’s Office Partially action 5: Sector reform contract for employment and skills Indirect management with UNDP partially for action 1: Sector reform contract for public administration reform Indirect management with UN Women partially for action 2: EU integration facility “</p>

I-323	Number of countries operating under the indirect management mode and their level of entrustment																																
	<p>Sector 1 - Democracy and Governance OTHER IMPLEMENTATION INDIRECT ARRANGEMENTS (EUR) MANAGEMENT WITH ALBANIA (EUR)</p> <table border="0"> <tr> <td>N.a.</td> <td>N.a.</td> <td>Sector reform contract for public administration reform (budget support and complementary technical assistance)</td> <td>32,000,000</td> </tr> <tr> <td>EU integration facility</td> <td>4,700,000</td> <td>EU integration facility</td> <td>9,200,000</td> </tr> <tr> <td>Support to participation in Union Programmes</td> <td>1,000,000</td> <td>N.a.</td> <td>N.a.</td> </tr> <tr> <td>TOTAL</td> <td>5,700,000</td> <td>TOTAL</td> <td>41,200,000</td> </tr> </table> <p>Sector 2 - Rule of law and fundamental rights OTHER IMPLEMENTATION INDIRECT ARRANGEMENTS (EUR) MANAGEMENT WITH ALBANIA (EUR)</p> <table border="0"> <tr> <td>Consolidation of law enforcement agencies - support to the Albanian State Police and Prosecutor's Office</td> <td>7,000,000</td> <td>Consolidation of law enforcement agencies - support to the Albanian State Police and Prosecutor's Office</td> <td>6,000,000</td> </tr> <tr> <td>TOTAL</td> <td>7,000,000</td> <td>TOTAL</td> <td>6,000,000</td> </tr> </table> <p>Sector 3 - Education, employment and social policies OTHER IMPLEMENTATION INDIRECT ARRANGEMENTS (EUR) MANAGEMENT WITH ALBANIA (EUR)</p> <table border="0"> <tr> <td>Sector reform contract for employment and skills (complementary technical assistance)</td> <td>3,000,000</td> <td>Sector reform contract for employment and skills (budget support)</td> <td>27,000,000</td> </tr> <tr> <td>TOTAL</td> <td>3,000,000</td> <td>TOTAL</td> <td>27,000,000</td> </tr> </table> <p>Source: CAP Albania 2015</p>	N.a.	N.a.	Sector reform contract for public administration reform (budget support and complementary technical assistance)	32,000,000	EU integration facility	4,700,000	EU integration facility	9,200,000	Support to participation in Union Programmes	1,000,000	N.a.	N.a.	TOTAL	5,700,000	TOTAL	41,200,000	Consolidation of law enforcement agencies - support to the Albanian State Police and Prosecutor's Office	7,000,000	Consolidation of law enforcement agencies - support to the Albanian State Police and Prosecutor's Office	6,000,000	TOTAL	7,000,000	TOTAL	6,000,000	Sector reform contract for employment and skills (complementary technical assistance)	3,000,000	Sector reform contract for employment and skills (budget support)	27,000,000	TOTAL	3,000,000	TOTAL	27,000,000
N.a.	N.a.	Sector reform contract for public administration reform (budget support and complementary technical assistance)	32,000,000																														
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TOTAL	3,000,000	TOTAL	27,000,000																														
FYI Macedonia CAP 2015	<p>Former Yugoslav Republic of Macedonia: "This programme shall be implemented by direct and indirect management.</p> <ol style="list-style-type: none"> 1. Direct management by the European Commission. 2. Indirect management with the former Yugoslav Republic of Macedonia for action Action 2 "Participation in Union Programmes", implementation will consist in the payment of the IPA part of the financial contribution to the programmes by the National Fund. 3. Indirect management by the entrusted entity Food and Agriculture Organisation of the United Nations (FAO) for the activity "Land consolidation" under the action 3 "Agriculture, Rural Development and Food Safety, Veterinary and Phytosanitary Policy". <p>Sector 1: Democracy and Governance Indirect management with the IPA II beneficiary Action 2 Participation in the Union Programmes EUR 6,825,719.10 TOTAL EUR 6,825,719.10</p> <p>Other implementation arrangements (direct management by EU delegation) Action 1 EU Integration Facility EUR 4,000,000.00 TOTAL EUR 4,000,000.00</p> <p>Sector 8: Agriculture and rural development (direct management by EU Delegation) Action 3 Agriculture, rural development and</p>																																

I-323	Number of countries operating under the indirect management mode and their level of entrustment
	<p>food safety, veterinary and phytosanitary policy EUR 10,800,000.00 (indirect management delegation agreement) Action 3 / activity: Land consolidation EUR 2,500,000.00 TOTAL EUR 13,300,000.00” <i>Source: CAP Former Yugoslav Republic of Macedonia 2015</i></p>
Montenegro CAP 2015	<p>Montenegro: “This programme shall be implemented by direct and indirect management. 1. Direct management by the European Commission for Actions 1, 3 and 4 2. Indirect management by Montenegro for Action 2 – Participation in Union Programmes and Agencies. The implementation of this will consist in the payment of the IPA part of the financial contribution to the programmes by the National Fund. Democracy and Governance Indirect management with the IPA II beneficiary Action 2 - Participation in Union Programmes and Agencies EUR 1,684,580.34 Other implementation arrangements (direct management by the EU delegation) Action 1 - EU Integration Facility EUR 2,450,654.66 Rule of Law and Fundamental Rights Other implementation arrangements (direct management by the EU delegation) Action 3 - Support to implementation of IBM Strategy EUR 20,000,000 Action 4 - Protection of the rights of Roma, Egyptians EUR 1,000,000 TOTAL EUR 21,000,000” <i>Source: CAP Montenegro 2015</i></p>
Serbia CAP 2015	<p>Serbia: “This programme shall be implemented by direct and indirect management. Total indirect management with the IPA II beneficiary 72,850,000.00 Total direct management EUD 123,750,000.00 Indirect Management with Serbia The operating structures responsible for the execution of the actions, are: Department for Contracting and Financing of EU Funded projects (CFCU) at the Ministry of Finance for all activities with the following exceptions: Action 1 "European Integration facility" will be directly managed by the Delegation of the EU to Serbia. Action 2 "EU Programmes", implementation will consist in the payment of the IPA part of the financial contribution to the programmes by the National Fund Action 3 "Negotiation and Communication facility" will be directly managed by the Delegation of the EU to Serbia. Action 4 "Sector budget support to Public administration reform", will be directly managed by the Delegation of the EU to Serbia. Action 5 "Support to the justice sector", will be directly managed by the Delegation of the EU to Serbia. Action 6 "Home Affairs" will be directly managed by the Delegation of the EU to Serbia. Action 7 "Transport" component 1 will be directly managed by the Delegation of the EU to Serbia. DEMOCRACY AND GOVERNANCE 1 – European Integration Facility – direct management EUD 11,000,000.00 2 – Support to participation to EU Programmes - indirect management with the IPA II beneficiary 12,090,000.00 3 – Negotiation and Communication Facility - direct management EUD 8,100,000.00 4 – Sector Budget Support to Public Administration Reform - direct management</p>

I-323	Number of countries operating under the indirect management mode and their level of entrustment
	<p>EUD 80,000,000.00</p> <p>TOTAL indirect management with the IPA II beneficiary 12,090,000.00</p> <p>TOTAL direct management EUD 99,100,000.00</p> <p>RULE OF LAW AND FUNDAMENTAL RIGHTS</p> <p>5 – Support to the justice sector - direct management EUD 12,100,000.00</p> <p>6 - Support Home affairs - direct management EUD 8,500,000.00</p> <p>TOTAL direct management EUD 20,600,000.00</p> <p>TRANSPORT</p> <p>7 -Support to the development of the Transport sector - indirect management with the IPA II beneficiary 60,760,000.00 + direct management EUD 4,050,000</p> <p>Total indirect management with the IPA II beneficiary 72,850,000.00</p> <p>Total direct management EUD 123,750,000.00"</p> <p><i>Source: CAP Serbia 2015</i></p>
Turkey CAP 2015	<p>Turkey: "This programme shall be implemented by direct and indirect management. Indirect management with Turkey: The operating structure responsible for the execution of the actions is the Central Finance and Contracts Unit (CFCU) at the Under-Secretariat of the Treasury.</p> <p>Direct management by the European Commission:</p> <ul style="list-style-type: none"> • under Action 1 (Civil society) the activity 'Strategic capacity building for local/grassroots CSOs: ad hoc support mechanism' • under Action 5 (Home affairs), the activity 'Support to refugees from the Syrian crisis in Turkey' <p>Democracy and governance (in million EUR)</p> <p>Action 1 — <i>Civil society</i> 20.7 indirect management with the IPA II beneficiary + Direct management for direct grant award to STGM 3</p> <p>Action 2 — <i>Local administration reform</i> 5.45 indirect management with the IPA II beneficiary</p> <p>TOTAL indirect management with the IPA II beneficiary 26.15</p> <p>TOTAL Direct management for direct grant award 3</p> <p>Rule of law and fundamental rights (in million EUR)</p> <p>Action 3 — <i>Judiciary</i> 17.9 indirect management with the IPA II beneficiary</p> <p>Action 4 — <i>Fundamental rights</i> 18.941489 indirect management with the IPA II beneficiary</p> <p>Action 5 — <i>Home affairs</i> 118.94 indirect management with the IPA II beneficiary + Direct management for contribution to EU Trust Fund for Syria 6.943961</p> <p>Stand-alone action 6 — Support to internally displaced persons in the Province of Van</p> <p>TOTAL indirect management with the IPA II beneficiary 160.506039</p> <p>TOTAL Direct management EUD 6.943961</p> <p>Energy (in million EUR)</p> <p>Action 7 — <i>Energy</i> 26.6 indirect management with the IPA II beneficiary</p> <p>TOTAL indirect management with the IPA II beneficiary 26.6</p> <p>Agriculture and rural development (in million EUR)</p> <p>Action 8 — Agriculture and rural development, food safety, veterinary and phytosanitary policy and fisheries 31.9 indirect management with the IPA II beneficiary</p> <p>TOTAL indirect management with the IPA II beneficiary 31.9"</p> <p><i>Source: CAP Turkey 2015</i></p>

1.3.2.4 Other evidence

	Other evidence
<p>European Court of Auditors Special report: Strengthening administrative capacity in the former Yugoslav Republic of Macedonia: limited progress in a difficult context</p>	<p>IPA II projects were not yet being implemented at the time of the audit.</p> <p>Former Yugoslav Republic of Macedonia: “When IPA I began in 2007, most funds were managed directly by the Commission. However, by 2010 the management of 76 % of the country’s IPA allocation had been decentralised. Under decentralised management the funds allocated are managed by dedicated structures within the public administration of the country. However, the Commission remains accountable for these funds so it carries out checks of the transactions.</p> <p>The importance of strong internal control has increased under IPA II because the Commission is working with the country to prepare a programme of sector budget support for public finance management for 2016.</p> <p>Under IPA II, the Commission reduced the country’s overall allocation by 4 million Euros because the national authorities declined to receive support for technical assistance and capacity-building in the transport sector. While these funds are lost for the country, if it undertakes to address administrative capacity-building needs and carry out horizontal reforms, funds may be reallocated within the existing programme.</p> <p>The country was not ready for the volume and complexity of IPA funds for which management was decentralised</p> <p>The former Yugoslav Republic of Macedonia asked the Commission to decentralise the management of IPA funds to the national authorities in 2008³⁴. By 2010, the country was responsible for contracting and implementing 470 million Euros (76 %) of its total IPA I financial envelope, subject to either <i>ex ante</i> or <i>ex post</i> checks by the Commission. The national authorities were required to set up operating structures to manage the decentralised IPA funds.</p> <p>The process of decentralisation was carried out in accordance with the regulations. However, the Commission was not required to assess whether the national authorities were ready to manage the volume and complexity of IPA funds to be decentralised. For the decentralised management mode to work effectively it is necessary for there to be sufficient capacity in the operating structures.</p> <p>Soon after decentralisation began, the national authorities were unable to respect the deadlines for presenting contract dossiers for <i>ex ante</i> checks by the Commission. This was often because they submitted documents of insufficient quality which had to be returned. This was the case for one third of these documents in 2014. The rate of contracting slowed. By the end of 2014, the delays had led to the de-commitment of 70 million Euros of funds under IPA I (11 % of the IPA funds allocated to the country), and 244 million Euros remained to be committed (about 40 % of the total). In many cases the de-commitments resulted in the loss of projects designed to fund key reforms. For example, 33 million Euros was allocated for 2010, but the cancellation of 12 out of 31 projects presented for funding meant that 10 million Euros (33 %) was effectively lost for funding reform in the country.”</p> <p>The Commission attributed the delays to a highly centralised decision-making process, which prevents timely decisions, as well as a lack of material resources and sufficient and sufficiently qualified staff, allegations of political interference in procurement and poor inter-institutional cooperation. Weaknesses of this type had already been highlighted by the Commission in the rest of the public administration before management had been decentralised. If the Commission had taken more account of weaknesses already identified in the public administration, it might have concluded that the decision to decentralise management should be delayed or that a smaller proportion of IPA funds should be decentralised within the constraints of the applicable regulations.</p> <p>The Commission has taken action but further de-commitment is probable</p> <p>Drawing on previous experience with other enlargement countries, the Commission expected the early years of decentralised management to be a period of learning and transfer of knowledge. It worked with the country to address the reasons for the delays in contracting and implementing IPA funds. However, significant further de-commitment of IPA I funds was expected in 2015, 2016 and 2017.</p> <p>In 2015 the Commission took measures to improve the situation for IPA I funds, for</p>

	Other evidence
	<p>example by re-centralising the management of some IPA projects and speeding up contracting procedures by reducing the number of <i>ex ante</i> checks. For IPA II, the Commission is currently assessing the optimum level of decentralisation and plans to be more selective regarding the kinds of project it will decentralise for management by the national authorities.</p> <p>Decentralising management could have been used more widely as a capacity-building tool for the public administration</p> <p>When management was decentralised in 2010, the main objective was to prepare the country for the future management of the EU's structural and agricultural funds. The focus was therefore on setting up structures to operate decentralised management and strengthening the capacity of administrative staff to operate these structures.</p> <p>Decentralising management required significant investment of resources by the country as well as the Commission. For example, the country assigned 436 administrative staff to work in the operating structures, at an annual salary cost of 4.7 million Euros (2014 figures). Both the Commission and the country provided training in setting up operating structures and in programming, contracting and implementing IPA projects.</p> <p>Decentralised management has strengthened capacity in the operating structures. Internal control is stronger and operational decisions are mostly taken at an appropriate level, with less political interference than in other parts of the public administration. Rigorous <i>ex ante</i> controls by the EU Delegation have provided further opportunity for 'learning by doing'³⁶. The operating structures have become 'centres of excellence' in terms of administrative capacity.</p> <p>While strengthening administrative capacity was not included as an objective of decentralising management, the Commission could have made more use of the experience gained to encourage the national authorities to transfer knowledge to the rest of the public administration, for example through 'learning by doing'. The operating structures for decentralised management were seen as organisations that were parallel to and even separate from the rest of the public administration. For example, they were not included in the country's 2010-2015 PAR strategy.</p> <p>Recommendation 4 Better targeted assistance</p> <p>IPA projects should be sequenced and part of a coherent approach. When planning projects, the Commission should: (i) better rank priorities in sequential steps and reflect this when programming and implementing IPA funds; (ii) use a larger part of the IPA allocation to provide fast-track, flexible and targeted support on urgent and sensitive issues of policy and <i>acquis</i>.</p> <p>Decentralised management of IPA funds has allowed for a valuable transfer of knowledge. However, there would have been fewer delays and de-commitments if decentralisation had been implemented more gradually. While strengthening administrative capacity was not included as an objective of decentralising management, the experience gained could have been used more effectively by the national authorities to contribute towards an overall improvement in administrative capacity in the public administration.</p> <p>Recommendation 5 More use of decentralised management to strengthen capacity</p> <p>The Commission should use the decentralised management mode more selectively with regard to the volume of funds and the complexity and sensitivity of projects to decentralise. Once examples of good practice have been established in the operating structures set up for decentralised management, the Commission should encourage the national authorities to extend these practices to other parts of the administration, for example, to encourage the delegation of decision-making to the appropriate level and to strengthen internal control systems.”</p> <p><i>Source: European Court of Auditors Special report 2016: Strengthening administrative capacity in the former Yugoslav Republic of Macedonia: limited progress in a difficult context</i></p>
European Court of Auditors	<p>Western Balkans</p> <p>“... since 2010, the Commission has moved from supporting mostly individual projects to a clearer and more measurable sector-based approach, under which</p>

	Other evidence
<p>Special report: EU pre-accession assistance for strengthening administrative capacity in the Western Balkans: A meta-audit</p>	<p>programmes and projects clearly fit into sector-based strategies. The Commission planned to fully apply the sector-based approach during the implementation of IPA II. During the programming of IPA II, at country level, indicative strategy papers (2014-2020) replaced the IPA I planning documents. They paid more attention to the beneficiaries' capacity to commit to sector reform at political level and manage IPA funding. In some Western Balkan countries, it was difficult to make payments on contracted amounts under IPA I, mainly due to weak administrative capacities.</p> <p>Based on an examination of different IPA operating structures in the Western Balkans, this can partly be explained by the fact that the Commission decentralised significant parts of IPA management to the national authorities. As we observed in the former Yugoslav Republic of Macedonia and Serbia as well as in Albania, this required a learning period and a more demanding management structure.</p> <p>Experience with decentralising management under IPA I</p> <p>The former Yugoslav Republic of Macedonia The Commission decentralised management in compliance with the Financial Regulation and the IPA I regulations, but these regulations did not require it to assess whether the national authorities were ready to manage the volume and complexity of the funds to be decentralised²⁰. Following decentralisation, the national administration struggled to keep deadlines and present contracting documents of adequate quality. In many cases, this resulted in the loss of projects designed to fund key reforms, and further losses are expected.</p> <p>Serbia The establishment of an audit authority and the operational body for managing IPA projects was affected by longstanding and serious weaknesses identified by the Commission's own audits. Decentralised management was not linked to a preliminary comprehensive assessment of public finance management at country level²², but was solely based on the compliance of Serbia's IPA structures with the internal control requirements set out in the Financial Regulation.</p> <p>Under IPA II (2014-2020), more focus is being put on improving the countries' public financial management systems as a whole. However, IPA II programmes were only adopted at the very end of 2014, due to delays in the new IPA legislative framework and procedures. Contracting and payments were further delayed by the beneficiary countries' ratification procedures.</p> <p>Strict conditionality at programme level, Justice in Bosnia and Herzegovina In 2013, the EU integration process in Bosnia and Herzegovina came to a halt. The country's political representatives appeared unable or unwilling to reach the consensus necessary to move forward on the pre-accession path. This was exemplified by the country's inability or lack of political will to enforce a European Court of Human Rights judgment. This led the Commission to apply conditionality by reducing the 2013 IPA I allocation by 45 million Euros and imposing further reductions of allocations under IPA II. When Bosnia and Herzegovina failed to adopt a new overall justice sector reform strategy endorsed by all four constitutional entities, including the Republika Srpska, the Commission suspended ongoing budget support in the field of justice.</p> <p>Strict conditionality not applied during IPA I</p> <p>Albania For seven out of the 15 projects audited, the Commission did not set strict conditions at the contracting stage and prior to effecting payments. This was not only the case for projects featuring complex objectives (such as strengthening anti-corruption measures), but also those aiming at relatively straightforward results, like the Tirana Justice Palace project... For this project, the necessary permits were not in place and alleged land ownership irregularities caused further difficulties. After negotiating with the Ministry of Justice for 4.5 years, the Commission cancelled the project and reallocated part of the funding to measures that were not related to the rule of law sector.</p> <p>Serbia The Commission paid inadequate attention to conditionality, sequencing in project design and legal inconsistencies. This often threatened the smooth and timely implementation of the projects³¹. After 2012, project proposals were sometimes postponed or downscaled due to missing permits or a failure to submit required feasibility studies.</p>

Other evidence	
	<p>Recommendation 1 Objectives. Indirect management</p> <p>Under IPA II, the Commission should set specific objectives based on ranked priorities and measurable targets.</p> <p>In order to simplify management requirements, when the Commission identifies a weak administrative capacity, it should apply indirect management selectively, taking into account the volume of the funds involved and the complexity and political sensitivity of projects to be decentralised.</p> <p>Recommendation 2 Conditions. Monitoring. Evaluation</p> <p>The Commission should apply relevant conditions at sector, programme and project level and follow up on them. For instance, it could apply, where appropriate, a net reduction in future IPA allocations, suspend payments, cancel projects not yet contracted and systematically monitor project compliance with predefined conditions. The Commission should systematically monitor sensitive programmes and projects and carry out external evaluations of interventions in priority sectors in the Western Balkans.”</p> <p><i>Source: European Court of Auditors Special report 2016: EU pre-accession assistance for strengthening administrative capacity in the Western Balkans: A meta-audit.</i></p>
<p>Deloitte (2016): Assessing and optimising DG NEAR’s workload distribution in all entities of HQ</p>	<p>“DG NEAR is concerned by improving its internal organisation, notably in order to optimise the structure, process and procedures after the merger (January 2015) of DG ELARG with DEVCO F. NEAR found resources to contract out (Deloitte) in 2015 in a workload analysis that issued recently (July 2016) recommendations regarding i) optimization of DG NEAR, ii) organisational redesign (as per their TOR), and iii) additional considerations (promote common corporate identity through cultural alignment).</p> <p>Key recommendations for optimizing DG NEAR are the following:</p> <ul style="list-style-type: none"> • Strengthen FTEs for specific processes where workload deficiencies were identified; • Policy cooperation, relations and interactions with external/internal stakeholders in Units B1 and C1 ; <ul style="list-style-type: none"> o Planning, implementation, management and assessment of the assistance” in Unit B1; o Supervision of Delegations, including organisation and processes, notably via supervisory missions to delegations. Exchanges of questions and consultations with delegations in Unit C1 • Apply efficiency gains, mainly in administrative and logistics functions; • Improve way of working to overcome silo mentalities by i) harmonizing tools, templates, methods and ways of working identifying and adopting best practices across Directorates; ii) effectively train people on specific processes; and, iii) documenting and/ or transferring identified untapped knowledge across Units, CoTEs, Delegations and other DGs. <p>Overall, DG NEAR’s organisational structure is found to be fit for purpose by Deloitte, implying that there’s no duplication. Proposed organisational changes are i) Merge and move staff on “Financial management of level 1, level 2 and on-going commitments, and related procedures, including procurement” under Directorate R; ii) Merge and move staff on “Accounting” under Directorate R; iii) Merge and move staff on “Budget & Auditing” under Directorate R, and iv) Create a separate Unit for “Manage EU Trust fund Madad” and other crises funds (Deloitte 2015, p.92).</p> <p>In parallel, DG NEAR developed a human resources strategy after the merger in January 2015, aiming at securing the best elements and using the attractiveness of the DG to recruit new talents. According to R1, a balance is been achieved between HR needs and recruitments (including contractual agents). This point is sustained by the Deloitte study. The process is perceived as relatively lengthy (three to four months to recruit a contract agent).”</p> <p><i>Source: Deloitte (2016): Assessing and optimising DG NEAR’s workload distribution in all entities of HQ</i></p>

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KPIs of EU Delegations according to EAMRs	<i>Albania</i>																																																
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<i>Source: EAMRs 2013, 2014, 2015 Albania</i>																																																	

Other evidence				
<i>Bosnia</i>				
<i>Table 1 Sound Financial Management and Efficient Use of EC Resources</i>				
<i>KPIs</i>	<i>2013</i>	<i>2014</i>	<i>2015</i>	
% of Projects with Red Traffic Lights for Achieving Objectives	0%	%	%	
% of Projects with Red Traffic Lights for Implementation Progress	0%	%	%	
Evolution of Old Pre-financing	0%	-3.31%	%	
Evolution of Old RAL	-5.82%	0.00%	%	
Execution of Financial Forecasts: Contracts	%	%	94.60%	
Execution of Financial Forecasts: Decisions	%	%	%	
Execution of Financial Forecasts: Payments	%	%	107.50%	
Expired Contracts in the Delegation's Portfolio	5.56%	8.33%	10.50%	
Payment Period	32.26%	79.31%	49.40%	
RAL Absorption Capacity	2.00		2.88	
Respect of DEVCO/EEAS Agreement on the Use of Staff in Delegations	%	%	%	
<i>Source: EAMRs</i>				
<i>Table 2 Efficiency of Internal Controls</i>				
<i>KPIs</i>	<i>2013</i>	<i>2014</i>	<i>2015</i>	
% of Projects Visited in the EAMR Period	100.00%	%	%	
Evaluation and Audit	%	%	100.00%	
Ex-ante Ineligible Amounts	0.01%	0.69%	0.20%	
Human Resources	%	%	100.00%	
Implementation of the Annual Evaluation Plan	%	%	%	
Information and Financial	%	%	100.00%	
Mission and Values	%	%	100.00%	
Operations and Control Activities	%	%	94.48%	
Planning and Risk Management Processes	%	%	100.00%	
<i>Source: EAMRs</i>				
<i>Table 3 Efficiency of Audit Systems</i>				
<i>KPIs</i>	<i>2013</i>	<i>2014</i>	<i>2015</i>	
Audit Ineligible Amounts	%	%	%	
Implementation of Annual Audit Plan: Year N – 1 (2012, 2013, 2014)	0%	100.00%	100.00%	
Implementation of Annual Audit Plan: Year N – 2 (2011, 2012, 2013)	100.00%	100.00%	58.30%	
Implementation of Annual Audit Plan: Year N (2013, 2014, 2015)	0%	100.00%	26.10%	
Recovery of Justification of Audit Ineligible Amounts	%	%	4.50%	
<i>Source: EAMRs 2013, 2014, 2015 Bosnia and Herzegovina</i>				

Other evidence				
<i>Macedonia</i>				
<i>Table 1 Sound Financial Management and Efficient Use of EC Resources</i>				
<i>KPIs</i>	<i>2013</i>	<i>2014</i>	<i>2015</i>	
% of Projects with Red Traffic Lights for Achieving Objectives	%	%	%	
% of Projects with Red Traffic Lights for Implementation Progress	%	%	%	
Evolution of Old Pre-financing	-46.97%	-100.00%	-62.4%	
Evolution of Old RAL	%	%	-17.60%	
Execution of Financial Forecasts: Contracts	%	%	94.00%	
Execution of Financial Forecasts: Decisions	%	%	%	
Execution of Financial Forecasts: Payments	%	%	152.60%	
Expired Contracts in the Delegation's Portfolio	4.55%	13.33%	13.10%	
Payment Period	10.00%	76.92%	61.7%	
RAL Absorption Capacity	1.50	0.40	5.76	
Respect of DEVCO/EEAS Agreement on the Use of Staff in Delegations	%	%	%	
<i>Source: EAMRs</i>				
<i>Table 2 Efficiency of Internal Controls</i>				
<i>KPIs</i>	<i>2013</i>	<i>2014</i>	<i>2015</i>	
% of Projects Visited in the EAMR Period	%	%	%	
Evaluation and Audit	%	100.00%	88.89%	
Ex-ante Ineligible Amounts	0.40%	0.60%	0.70%	
Human Resources	%	94.44%	100.00%	
Implementation of the Annual Evaluation Plan	%	%	%	
Information and Financial	%	100.00%	100.00%	
Mission and Values	%	100.00%	100.00%	
Operations and Control Activities	%	100.00%	98.48%	
Planning and Risk Management Processes	%	85.71%	76.19%	
<i>Source: EAMRs</i>				
<i>Table 3 Efficiency of Audit Systems</i>				
<i>KPIs</i>	<i>2013</i>	<i>2014</i>	<i>2015</i>	
Audit Ineligible Amounts	%	%	%	
Implementation of Annual Audit Plan: Year N – 1 (2012, 2013, 2014)	%	100.00%	100.00%	
Implementation of Annual Audit Plan: Year N – 2 (2011, 2012, 2013)	100.00%	%	100.00%	
Implementation of Annual Audit Plan: Year N (2013, 2014, 2015)	100.00%	100.00%	%	
Recovery of Justification of Audit Ineligible Amounts	100.00%	2.90%	0.20%	
<i>Source: EAMRs 2013, 2014, 2015 Former Yugoslav Republic of Macedonia</i>				

Other evidence				
<i>Montenegro</i>				
<i>Table 1 Sound Financial Management and Efficient Use of EC Resources</i>				
<i>KPIs</i>	<i>2013</i>	<i>2014</i>	<i>2015</i>	
% of Projects with Red Traffic Lights for Achieving Objectives	%	%	%	
% of Projects with Red Traffic Lights for Implementation Progress	%	%	%	
Evolution of Old Pre-financing	%	-100.00%	-51.70%	
Evolution of Old RAL	%	%	%	
Execution of Financial Forecasts: Contracts	%	%	102.10%	
Execution of Financial Forecasts: Decisions	%	%	%	
Execution of Financial Forecasts: Payments	%	%	122.70%	
Expired Contracts in the Delegation's Portfolio	10.53%	7.69%	15.50%	
Payment Period	30.77%	38.46%	73.80%	
RAL Absorption Capacity	0.9		4.46	
Respect of DEVCO/EEAS Agreement on the Use of Staff in Delegations	%	%	%	
<i>Source: EAMRs</i>				
<i>Table 2 Efficiency of Internal Controls</i>				
<i>KPIs</i>	<i>2013</i>	<i>2014</i>	<i>2015</i>	
% of Projects Visited in the EAMR Period	%	%	%	
Evaluation and Audit	%	%	100.00%	
Ex-ante Ineligible Amounts	0.02%	0.24%	0.20%	
Human Resources	%	%	100.00%	
Implementation of the Annual Evaluation Plan	%	%	%	
Information and Financial	%	%	100.00%	
Mission and Values	%	%	100.00%	
Operations and Control Activities	%	%	96.97%	
Planning and Risk Management Processes	%	%	95.24%	
<i>Source: EAMRs</i>				
<i>Table 3 Efficiency of Audit Systems</i>				
<i>KPIs</i>	<i>2013</i>	<i>2014</i>	<i>2015</i>	
Audit Ineligible Amounts	5.50%	%	0%	
Implementation of Annual Audit Plan: Year N – 1 (2012, 2013, 2014)	50.00%	%	100.00%	
Implementation of Annual Audit Plan: Year N – 2 (2011, 2012, 2013)	50.00%	100.00%	100.00%	
Implementation of Annual Audit Plan: Year N (2013, 2014, 2015)	%	%	100.00%	
Recovery of Justification of Audit Ineligible Amounts	3.12%	%	%	
<i>Source: EAMRs 2013, 2014, 2015 Montenegro</i>				

Other evidence				
<i>Kosovo*</i>				
<i>Table 1 Sound Financial Management and Efficient Use of EC Resources</i>				
<i>KPIs</i>	<i>2013</i>	<i>2014</i>	<i>2015</i>	
% of Projects with Red Traffic Lights for Achieving Objectives	%	%	%	
% of Projects with Red Traffic Lights for Implementation Progress	%	%	%	
Evolution of Old Pre-financing	-100.00%	0%	-22.90%	
Evolution of Old RAL	%	%	-56.70%	
Execution of Financial Forecasts: Contracts	%	%	71.20%	
Execution of Financial Forecasts: Decisions	%	%	%	
Execution of Financial Forecasts: Payments	%	%	89.70%	
Expired Contracts in the Delegation's Portfolio	5.26%	0%	7.80%	
Payment Period	72.22%	35.71%	72.60%	
RAL Absorption Capacity	1.6		4.23	
Respect of DEVCO/EEAS Agreement on the Use of Staff in Delegations	%	%	%	
<i>Source: EAMRs</i>				
<i>Table 2 Efficiency of Internal Controls</i>				
<i>KPIs</i>	<i>2013</i>	<i>2014</i>	<i>2015</i>	
% of Projects Visited in the EAMR Period	%	%	%	
Evaluation and Audit	%	%	100.00%	
Ex-ante Ineligible Amounts	0.51%	0.51%	0.30%	
Human Resources	%	%	100.00%	
Implementation of the Annual Evaluation Plan	%	%	%	
Information and Financial	%	%	100.00%	
Mission and Values	%	%	100.00%	
Operations and Control Activities	%	%	95.45%	
Planning and Risk Management Processes	%	%	95.24%	
<i>Source: EAMRs</i>				
<i>Table 3 Efficiency of Audit Systems</i>				
<i>KPIs</i>	<i>2013</i>	<i>2014</i>	<i>2015</i>	
Audit Ineligible Amounts	%	%	0.70%	
Implementation of Annual Audit Plan: Year N – 1 (2012, 2013, 2014)	100.00%	%	100.00%	
Implementation of Annual Audit Plan: Year N – 2 (2011, 2012, 2013)	33.33%	100.00%	20.00%	
Implementation of Annual Audit Plan: Year N (2013, 2014, 2015)	0%	100.00%	25.00%	
Recovery of Justification of Audit Ineligible Amounts	100.00%	%	%	
<i>Source: EAMRs 2013, 2014, 2015 Kosovo</i>				

Other evidence				
<i>Serbia</i>				
<i>Table 1 Sound Financial Management and Efficient Use of EC Resources</i>				
	KPIs	2013	2014	2015
	% of Projects with Red Traffic Lights for Achieving Objectives	%	%	%
	% of Projects with Red Traffic Lights for Implementation Progress	%	%	%
	Evolution of Old Pre-financing	-100.00%	-100.00%	-61.10%
	Evolution of Old RAL	-34.82%	-100.00%	-22.20%
	Execution of Financial Forecasts: Contracts	105.15%	%	73.90%
	Execution of Financial Forecasts: Decisions	%	%	%
	Execution of Financial Forecasts: Payments	%	%	88.40%
	Expired Contracts in the Delegation's Portfolio	6.67%	2.78%	14.50%
	Payment Period	75.00%	59.57%	36.90%
	RAL Absorption Capacity	0.8	0.3	5.75
	Respect of DEVCO/EEAS Agreement on the Use of Staff in Delegations	Y	%	%
<i>Source: EAMRs</i>				
<i>Table 2 Efficiency of Internal Controls</i>				
	KPIs	2013	2014	2015
	% of Projects Visited in the EAMR Period	%	%	%
	Evaluation and Audit	66.67%	100.00%	100.00%
	Ex-ante Ineligible Amounts	0.09%	0.16%	0.40%
	Human Resources	100.00%	66.67%	100.00%
	Implementation of the Annual Evaluation Plan	100.00%	%	%
	Information and Financial	%	100.00%	100.00%
	Mission and Values	100.00%	100.00%	100.00%
	Operations and Control Activities	100.00%	100.00%	100.00%
	Planning and Risk Management Processes	100.00%	100.00%	100.00%
<i>Source: EAMRs</i>				
<i>Table 3 Efficiency of Audit Systems</i>				
	KPIs	2013	2014	2015
	Audit Ineligible Amounts	3.03%	0.06%	4.40%
	Implementation of Annual Audit Plan: Year N – 1 (2012, 2013, 2014)	100.00%	50.00%	85.70%
	Implementation of Annual Audit Plan: Year N – 2 (2011, 2012, 2013)	100.00%	%	75.00%
	Implementation of Annual Audit Plan: Year N (2013, 2014, 2015)	%	66.67%	0%
	Recovery of Justification of Audit Ineligible Amounts	0%	%	%

Other evidence				
<i>Turkey</i>				
<i>Table 1 Sound Financial Management and Efficient Use of EC Resources</i>				
	KPIs	2013	2014	2015
	% of Projects with Red Traffic Lights for Achieving Objectives	0%	0%	%
	% of Projects with Red Traffic Lights for Implementation Progress	0%	0%	%
	Evolution of Old Pre-financing	-100.00%	0%	-6.20%
	Evolution of Old RAL	%	%	-18.80%
	Execution of Financial Forecasts: Contracts	%	%	29.90%
	Execution of Financial Forecasts: Decisions	%	%	%
	Execution of Financial Forecasts: Payments	%	%	99.90%
	Expired Contracts in the Delegation's Portfolio	0%	0%	7.30%
	Payment Period	44.68%	65.14%	47.30%
	RAL Absorption Capacity	1.5	0.7	6.79
	Respect of DEVCO/EEAS Agreement on the Use of Staff in Delegations	%	%	%
<i>Source: EAMRs</i>				
<i>Table 2 Efficiency of Internal Controls</i>				
	KPIs	2013	2014	2015
	% of Projects Visited in the EAMR Period	100.00%	100.00%	%
	Evaluation and Audit	%	%	100.00%
	Ex-ante Ineligible Amounts	0.11%	0.16%	0%
	Human Resources	%	%	83.33%
	Implementation of the Annual Evaluation Plan	%	%	%
	Information and Financial	%	%	100.00%
	Mission and Values	%	%	100.00%
	Operations and Control Activities	%	%	95.45%
	Planning and Risk Management Processes	%	%	100.00%
<i>Source: EAMRs</i>				
<i>Table 3 Efficiency of Audit Systems</i>				
	KPIs	2013	2014	2015
	Audit Ineligible Amounts	0.75%	%	0%
	Implementation of Annual Audit Plan: Year N – 1 (2012, 2013, 2014)	100.00%	%	40.00%
	Implementation of Annual Audit Plan: Year N – 2 (2011, 2012, 2013)	%	100.00%	100.00%
	Implementation of Annual Audit Plan: Year N (2013, 2014, 2015)	%	%	50.00%
	Recovery of Justification of Audit Ineligible Amounts	0%	%	%
<i>Source: EAMRs 2013, 2014, 2015 Turkey</i>				
It can be concluded from the analysis of EAMRs 2013, 2014 and 2015 that even if the number of KPIs met by EUDs varies, the explanations indicate that performances are most often close to the benchmarks and are mostly dependent on the absorption capacity of beneficiaries. Overall, the EAMRs are evidencing that budget allocation and execution are sound.				
2015 Annual Activity Report DG NEAR	<p>“DG NEAR was created on 1 January 2015 by merging DG Enlargement with the Neighbourhood services of DG DEVCO... This merger was the opportunity to look at the synergies and economies of scale in the organisation structure of the DG, in particular as regards thematic expertise... To allow for its smooth functioning and to take the best from ex DG ELARG and DEVCO, DG NEAR also revised a number of processes in 2015.</p>			

	<i>Other evidence</i>
	<p>Sources of Assurance as regards the IMEE management mode under IPA :</p> <p>The RER rate for IPA in 2015 does not cover the IMEE management mode... the source of assurance for the IMEE management mode in 2015, these are threefold: (1) Pillar assessments, (2) regular reporting by the entrusted entities concerned and on the spots checks (3) verification missions.</p> <p>In 2016, ENI for all management modes and IPA (Direct Management and Indirect Management by Entrusted Entities) will be covered by the same RER methodology. Only IPA IMBC will remain separate and be covered by a different RER methodology, due to the particularities of this management mode.</p> <p>The objective of effectiveness, efficiency and economy is reached through the constant effort of the DG staff (Delegations and Headquarters) at all levels of the project/programme cycle: planning/ programming (identification, formulation and adoption), award of contracts, execution of contracts, and evaluation of contracts.</p> <p>At the annual planning/programming stage: Guidelines are available on the preparation of programmes, which are updated annually as appropriate (steps leading to adoption of financing decisions, annotated templates and checklists). At an early stage, a dialogue is set up with the partner countries/ beneficiaries to discuss the objectives of the future actions and their related needs and capacities. During the identification/formulation stage, the staff of the DG/Delegations also ensures that objectives are clearly defined, take in due account past evidence and are achievable according to the logical framework approach (i.e. definition of the hierarchy of objectives: inputs, activities, results, specific objective and overall objective etc.). <u>The most adequate management mode and type of financing should also be identified during that phase.</u> Quality assurance is ensured at different stages, the cornerstone of the process being the Quality Review exercise (desk checks and meetings chaired at Director level) that provides peer reviews on programme proposals. Other quality checks are performed before the formal Quality Review (by Delegations and operational units in Headquarters) or after, in particular prior to the launch of inter-service consultations or committee meetings (by contract and finance units and other horizontal units).</p> <p>Budget support operations involve standard checklists for the quality review at the identification phase (where applicable) and the planning/programming phase.</p> <p>At the award and contracting stage: The DG staff ensures that the award goes to the most advantageous offer to guarantee the best use of resources, following established procedures. Also, at the contracting stage, the staff of the DG makes sure that the contract is compliant with established procedures.</p> <p>During the execution/implementing stage: the staff of the DG monitors closely the execution of the projects through on the spot missions, and regular reporting as per contract conditions. Payments are made on the basis of narrative reports, financial reports, and where required, expenditure verification reports. Any risks related to the running of contracts are also assessed annually. Both monitoring (including ROM) and evaluations are planned as appropriate, during the life cycle of the project, and after the end, to look after impact and sustainability aspects. Reporting...</p> <p>Under budget support, the transfer of funds may only be made after the agreed conditions for payment have been met. Budget support disbursement files involve a process of operational checks at headquarters, and a visa by the AOSD. Guidelines have been established to guide this process. All budget support disbursements in IPA countries are also subject to a review by the FAST committee.</p> <p>2015 also marked the emergence of new high political priorities, mainly related to the refugee crisis and very substantial financial envelopes that DG NEAR was entrusted to manage in this relation.</p> <p>the definition of control as per article 2 of the Financial Regulation: "<i>control</i>" means any measure taken to provide reasonable assurance regarding the effectiveness, efficiency and economy of operations, the reliability of reporting, the safeguarding of assets and information, the prevention and detection and correction of fraud and irregularities and their follow-up, and the adequate management of the risks relating to the legality and regularity of the underlying transactions, taking into account the multiannual character of programmes as well as the nature of the payments concerned. Controls may involve various checks, as well as the implementation of</p>

Other evidence																												
	<p>any policies and procedures to achieve the objectives described in the first sentence". This definition of "Control" and the activities in relation to it have also been detailed further in the Internal Control Strategy (Annex 9 to the Strategic Management Plan) and in this document.</p> <p>Cost of control by IPA management mode</p> <p>The results are shown in the table below. The <u>highest costs of control are obtained for the management modes 'Procurement in Direct Management' and 'Grants in Direct Management', due to a combination of a large amount of payments and a large amount of contracts, time consuming in terms of control of activities. The Management modes IMEE and IMBC present both more moderate cost of control, linked with a more limited number of contracts. At the end of the spectrum, Budget Support activities are the less consuming in terms of cost of control, in line with its mode of implementation."</u></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">IPA- Paid Amount by Management Mode</th> <th style="text-align: right;">(EUR)</th> <th style="text-align: right;">%</th> </tr> </thead> <tbody> <tr> <td>Indirect Management with Beneficiary countries</td> <td style="text-align: right;">302,938,970.35</td> <td style="text-align: right;">37.1%</td> </tr> <tr> <td>Procurement in Direct Management</td> <td style="text-align: right;">185,809,746.44</td> <td style="text-align: right;">22.7%</td> </tr> <tr> <td>Grants in Direct Management</td> <td style="text-align: right;">181,956,263.58</td> <td style="text-align: right;">22.3%</td> </tr> <tr> <td>Indirect Management Other than Beneficiary countries- IMEE</td> <td style="text-align: right;">126,043,356.02</td> <td style="text-align: right;">15.4%</td> </tr> <tr> <td>Cross-sub delegations given by NEAR to other DGs</td> <td style="text-align: right;">9,594,728.92</td> <td style="text-align: right;">1.2%</td> </tr> <tr> <td>Other in Direct Management</td> <td style="text-align: right;">8,312,690.07</td> <td style="text-align: right;">1.0%</td> </tr> <tr> <td>Budget Support</td> <td style="text-align: right;">2,975,200.00</td> <td style="text-align: right;">0.4%</td> </tr> <tr> <td>Total Payments:</td> <td style="text-align: right;">817,630,955.38</td> <td style="text-align: right;">100.0%</td> </tr> </tbody> </table> <p><i>Source: 2015 Annual Activity Report DG NEAR</i></p>	IPA- Paid Amount by Management Mode	(EUR)	%	Indirect Management with Beneficiary countries	302,938,970.35	37.1%	Procurement in Direct Management	185,809,746.44	22.7%	Grants in Direct Management	181,956,263.58	22.3%	Indirect Management Other than Beneficiary countries- IMEE	126,043,356.02	15.4%	Cross-sub delegations given by NEAR to other DGs	9,594,728.92	1.2%	Other in Direct Management	8,312,690.07	1.0%	Budget Support	2,975,200.00	0.4%	Total Payments:	817,630,955.38	100.0%
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Turkey ISP	<p>Sub-sector 1: Rural development programme</p> <p>"Interventions will be implemented through a rural development programme, modelled on EU rural development policies. Implementation of the current IPARD I programme (covering 2007-13 budget allocations) will continue in Turkey's 42 accredited provinces. The new IPARD II programme will be prepared by the managing authority, which is based in the Ministry of Food, Agriculture and Livestock."</p> <p><i>Source: Turkey ISP, p. 41-43</i></p>																											
2015 EAMR Former Yugoslav Republic of Macedonia on indirect management	<p>"With regards to the capacities of the national structures to correctly implement EU funds under indirect management, concerns continue to exist. The recent DG NEAR audit report reflects numerous shortcomings on the sides of all involved national structures. These concerns are partially addressed through the so called "DIS Action Plan" in which the national structures commit to a series of structural reforms of the system of indirect management. Up to now only limited progress in the implementation of these measures can be observed. Moreover it should be noted that the measures under the DIS Action plan could in no way be considered as sufficient for achieving full preparation for the waiver of ex-ante controls. More specifically, the quality of the procurement documents is still not adequate, leading to multiple rejections by the EUD (overall rejection rate for 2015 is 19,2 % against 21,7 % in 2014 showing a little improvement. The procurement is prepared and launched too late: in the past three TAIB programmes, around 50% of the allocations were committed in the last month of the contractual period (set in three years). The evaluation processes are not always well managed, with rushed evaluations and the end of the contracting period (risk partially mitigated through the delegation ex-ante controls), giving rise to complaints from the bidders (20 received by the contracting authority for component I in 2015). Programming of the assistance is not always addressing the needs with the most appropriate manner (and also long time before the actual launch of procurement), leading to numerous (but mostly needed) riders of the Financing decisions and additional delays in the start of procurement. The capacities of the DIS actors still remain weak both in terms of quantity and quality and progress is slow. All this leads to extremely lengthy procurement processes and significant de-commitment of funds. Strong commitment and decisive action is required from the side of the national authorities.</p>																											

	<i>Other evidence</i>
	<p>Progressive waiver of ex ante controls: In November 2015, the EU Delegation once again recommended that the ex-ante control be maintained for an additional period of 1 year until 31/12/2016. The delegation considered that the efficiency and effectiveness of the ex-ante controls have been steadily increasing in the Delegation and should not to be seen as a cumbersome procedure having an impact on the commitment rates: on the contrary, they are helping the contracting authority and operating structures to increase their capacity to manage the procedures independently and efficiently in the future, taking responsibilities for their own decisions in a more confident way. The risk of high recoveries that the contracting authority might face with ex-post controls should be analysed in-depth before dispensing the ex-ante controls. The government has been facing financial constraints to honor the IPA contracts signed under direct and indirect management entailing recurrent delays in returning unspent funds (CBC programme) and in payments to the contractors for alleged lack of liquidity. In case of unforeseen events during the implementation of the projects, additional funds cannot be timely allocated. Note that DG EMPL and DG REGIO have not taken the same decision and IPA I files in their sectors remain under 100 % ex ante controls. The EUD is expecting additional guidelines from DG NEAR consistent to the approach recommended by the EU Delegation, taking into account the ECA findings, the readiness of the country to embark on this exercise and the fragile political situation in the country. Regarding IPA II, during the reporting period the national authorities submitted a request for entrustment of budget implementation tasks for 2014 IPA National Programme (1-21014 annual and 2015-2017 multi-annual for environment and transport). An audit mission was organized to assess the systems in September 2015. The audit procedure was concluded with no major findings except of the necessity of having fully effective set of procedures ensuring complete, accurate and transparent accounting following internationally accepted accounting principles. All medium and low risk findings that need to be addressed together with the appropriate deadlines of implementation have been included as Annex VI to the Financing Agreement Country Action Programme for the year 2014. The above findings were relevant to the Control environment, the Monitoring of internal control framework, the Risk management and to the control activities. Furthermore, in order to be coherent with the capacity building approach, the Commission should also identify the sectors to be managed under indirect/direct management in IPA II and where possible not to dismantle the operating structures that concentrated investments in time, human resources and logistics to be able to manage the structural funds in the future. Under IPA II 2014 and 2015 allocations about 63% of all funds will be managed under indirect management.”</p> <p><i>Source: 2015 EAMR Former Yugoslav Republic of Macedonia</i></p>
2015 Annual Activity Report DG AGRI	<p>DG AGRI also contributes to the Instrument for Pre-accession assistance (IPA II) for the part related to rural development (IPARD).</p> <p>IPARD expenditure is managed by DG AGRI under the decentralised or indirect management mode.</p> <p>“In financial year 2014 all expenditure declared under IPARD 2007-2013 was managed under decentralised management according to the previous financial regulation (Council Regulation (EC,) No 1605/2002). The budget allocation made in 2014 for IPARD 2014-2020 will be managed under indirect management according to the new financial regulation. The "conferral of management powers" in IPARD 2007-2013 corresponds to the "Entrustment of budget implementation tasks" in IPARD 2014-2020. IPARD...continues to be operated under indirect management without ex-ante controls by the Commission...which would require a considerable number of additional staff in the EU delegations. This form of management is also considered to be the best preparation for acceding countries for the implementation of rural development funds after accession. Similar to the SAPARD experience, it took some time for the beneficiary countries of IPARD to put in place an effective management and control system. As IPARD money can only flow after management powers have actually been conferred, the absorption rate has initially been low. However, as management for some measures has now been conferred for all of the three beneficiary countries, the overall uptake of IPARD funds is moving in an upward direction and is expected to improve substantially as these countries</p>

	<i>Other evidence</i>										
	<p>continue to gain experience in the implementation of IPARD.</p> <p>IPARD I (2007-2013) (Instrument for Pre-Accession Assistance in Rural Development) is a pre-accession Programme of the EU for the period 2007-2013, the implementation of which is still on-going. It is an integral part of the IPA (Instrument for Pre-accession Assistance), of which the main objectives are to assist candidate countries and potential candidate countries in their harmonisation and implementation of the EU <i>acquis</i>, as well as preparation for the management of the future EU funds. The objectives of IPARD are to provide assistance for the implementation of the <i>acquis</i> concerning the Common Agricultural Policy and to contribute to the sustainable adaptation of the agricultural sector and rural areas in the candidate country.</p> <p>In 2015, the Commission has reimbursed EUR 5.8 million to Croatia, EUR 142 440 to the former Yugoslav Republic of Macedonia and EUR 195.9 million to Turkey.</p> <p>IPARD II (2014-2020), prepared in partnership with the IPA II (Instrument for Pre-accession Assistance II) beneficiaries, sets a new framework for providing pre-accession assistance for the 2014-2020 period... The legislative framework has not substantially changed as regards the accreditation and compliance of the management and control systems.</p> <p>The most important novelty is its strategic focus. Country Strategy Papers are the specific strategic planning documents made for each IPA II beneficiary for the 7-year period. These will provide for a stronger ownership by the IPA II beneficiaries through integrating their own reform and development agendas.</p> <p>Budget allocations</p> <p>For 2014 there were budget allocations to the former Yugoslav Republic of Macedonia (EUR 5 million) and Turkey (EUR 69 million), from 2015 onwards there will also be an annual allocation for Montenegro (ME) and Serbia (RS) (see table 2.4.1.6-1).”</p> <p>IPARD II budget allocation in 2015 in EUR</p> <table border="1" data-bbox="391 1115 1252 1182"> <thead> <tr> <th>ME</th> <th>MK*</th> <th>RS</th> <th>TR</th> <th>Total</th> </tr> </thead> <tbody> <tr> <td>5,000,000</td> <td>5,000,000</td> <td>15,000,000</td> <td>69,000,000</td> <td>94,000,000</td> </tr> </tbody> </table> <p><i>Source: 2015 Annual Activity Report DG AGRI</i></p>	ME	MK*	RS	TR	Total	5,000,000	5,000,000	15,000,000	69,000,000	94,000,000
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2015 EAMR FRY Macedonia	<p>“Internal for the Commission risks - the reengineering of the Commission and particularly in DG NEAR resulted into numerous changes, notably assuming new responsibilities for the regional development and human resource development sectors (previous IPA Components III and IV) by DG NEAR, a shift of the responsibilities from the headquarters to the Delegations which are expected to assume new tasks, increasing the proportion of the funds managed under centralized management and consequently the workload, with four programmes under simultaneous implementation in 2016 (2012-2013 in indirect management with 100% of ex-ante controls and 2014-2015 in mixed management modes). Further on, to mitigate the associated risks, the Delegation should be closer involved in taking key decisions on programming and implementation, receiving guidance and training...</p> <p>The EU Delegation proposes the following actions to mitigate the risks:</p> <ul style="list-style-type: none"> - A work load analysis should be carried out to assess if there are sufficient human resources to timely implement IPA II programmes, to be partly implemented under direct management while the accredited structure continue with indirect management and 100% ex-ante controls. It should be noted that in the past two years the number of decisions taken (VERSO) has increased by 45% (from 530 to 770, all IPA components included). The FCA can be particularly affected taking into account the number of procurement procedures to be launched in order to implement these programmes. The number of contracts signed in direct management and invoices to be processed will be significantly increased (currently in average 70 contracts are signed per year by the Delegation). - Launching an internal dialogue, followed by a dialogue with the national authorities on the implementation mode under each of the 7 sectors until at least 2020 to allow for smooth planning of the resources at Commission and national level. 										

	<i>Other evidence</i>
	<p>The programming of the 2016 allocations is progressing and the programming of the 2017 allocations has been launched in December 2015. 14% of the programmed IPA funds will be subject to direct management, 70% - under indirect management with beneficiary country and 16% - under indirect management with international organisations.</p> <p>Last year shows improving <u>synergy between the various EU financial instruments and improving coordination between the EU HQ, Delegations and national authorities</u> in all elements of the management cycle: from programming and identification of needs through implementation up to monitoring and evaluation. Good <u>examples in this aspect are the WBIF, EDIF and TAIEX</u>. The establishment of NIC (National Investment Committee) and the Single Project pipeline will better balance the national and regional needs and ambitions and address the financial challenges. The WBIF methodology is being <u>replicated at national level in the sector working groups established within the IPA II sector approach</u>. Under the EDIF the opening of a national window to support business competitiveness has been an issue of intense discussions under the 2016 programming exercise (still to be finalized). Under TAIEX, a joint programming mission in 2015, involving also the Delegation staff, along with the national authorities, turned to be very effective in ensuring complementarity between the national and regional instruments. Other examples, such as the programming of the regional actions on PFM, as well as the findings outlined in the 2015 performance audit of the ECA call for further strengthening of the coordination in order to avoid overlaps and improve the efficiency in the use of EU funds.</p> <p>Coordination with other donors:</p> <p>While the indirect management with international organisations envisages entrustment by the EU of certain tasks and shift of the responsibility towards the international organisations, it is still in the interest of the EU and the country to keep certain control over the action in order to ensure that the EU policy and, principles are respected and that the EU funds, for which the ultimate responsibility remains still with the Commission, are used effectively and efficiently. Yet, there is a clear tendency for minimizing the EU role and involvement in the decision-making at action level, which becomes a topic of long and tough negotiations.”</p> <p><i>Source: 2015 EAMR FRY Macedonia</i></p>
DG NEAR on Donor Coordination	<p>“Coordination with other donors and international financial institutions (IFIs) - is key to boost aid effectiveness and foster capacity building in the candidate countries and potential candidates.</p> <p>The International Financial Institutions Advisory Group (IFIs AG) is one of the mechanisms put in place by Directorate-General Enlargement to improve the coordination between the IFIs and the European Commission in the candidate countries and potential candidates.</p> <p>The objective of the Group is to facilitate the development and upgrading of regional infrastructure in South East Europe in key sectors such as energy, transport, environment, human development, employment and social protection which require large investments and are essential for the sustainable development of the region and the beneficiary countries.</p> <p><i>The Western Balkans Investment Framework</i></p> <p>The European Commission, as the leading provider of grants to the Western Balkan region, and the international financial institutions, as the leading providers of investment resources to the region, are committed to ensuring that their assistance is as effective as possible. The Western Balkans Investment Framework makes good on that commitment. It has two main objectives:</p> <ul style="list-style-type: none"> - to pool grants, loans and expertise together to prepare financing for a common pipeline of priority investment projects; - to strengthen coherence and synergies in donors' support to improve the positive impact and visibility of these priority investments in the beneficiary countries of the region.” <p><i>Source: DG NEAR Donor Coordination website, http://ec.europa.eu/enlargement/instruments/donor-coordination/index_en.htm</i></p>

	<i>Other evidence</i>
European Western Balkans website	<p>“European Commission cuts 27.1 million Euros from Macedonia’s IPA funds.”</p> <p>“The European Commission has informed the Government of the Republic of Macedonia, according to the information from this media outlet, and they are planning to cut 50 million Euros from the remaining IPA funds....”</p> <p><i>Source : European Western Balkans Website,</i> https://europeanwesternbalkans.com/2016/07/02/european-commission-cuts-27-1-million-euros-from-macedonias-ipa-funds/</p>
IPA Monitoring Committee Bosnia and Herzegovina	<p>“Bosnia and Herzegovina enquired about the possibility to introduce indirect management for the Cross Border Cooperation programme Bosnia and Herzegovina - Montenegro. Also considering the limited progress made by Bosnia and Herzegovina towards decentralised implementation under IPA I the Commission expressed some reluctance to advance further in this direction, but readiness to discuss this with the relevant colleagues.”</p> <p><i>Source: draft conclusions of the IPA Monitoring Committee (16/03/2016)</i></p>

Sources of information used

Documentary analysis;

Data analysis;

Interviews DG NEAR.

Assessment of quality of evidence

The level of information for indirect management/level of entrustment is assessed as acceptable.

1.3.3 JC33: The introduction of sector approach and new aid modalities bring about efficiency in delivery

1.3.3.1 I-331 Difference in time required for the elaboration and endorsement of Action programmes and reasons for this

<i>I-331</i>	<i>Difference in time required for the elaboration and endorsement of Action programmes and reasons for this</i>
Indicator Summary	<p>Taking into account the comparable period under IPA I, the elaboration and endorsement of action programmes is protracted. The main reason for this lies in the introduction of the sector-based programming approach, a signification deviation from the “traditional” project-based approach followed by IPA I and other previous pre-accession instruments. Other factors relate to ongoing political problems in the beneficiaries which significantly increase the time needed for developing and adopting action programmes. In some beneficiaries, the backlog of IPA I allocations requires still urgent settling, thus a lot emphasis and resources is often put on the reduction of IPA I allocations. According to stakeholders, the preparation of action programmes and actions documents is currently done under even greater time pressure compared to IPA I.</p>
Interviews with DG NEAR	<p><u>Sector approach</u></p> <p>A major shift in thinking for all concerned so it has taken time to get up to speed. Now we are seeing improvements in the programming documents and a better appreciation of what the sector approach looks like in practice.</p> <p>The ISPs are the highest level documents. Sector Planning Documents (SPDs) are not official documents to ensure they can be updated as needed without any formal approval process. Their quality is variable. Indicators are not particularly strong in many SPDs. This remains a concern also for the ADs.</p> <p>The SPDs should also have as an annex a ‘Sector Approach Road Map’ which plans out the use of IPA II in terms of planned interventions and also expected results. These are under development in the candidate countries and potential candidates and the aim is to have them all ready by the end of the year.</p>

I-331	<i>Difference in time required for the elaboration and endorsement of Action programmes and reasons for this</i>
	<p><u>Budget support</u></p> <p>Time (especially for the design process) is an important problem: DG NEAR staff works under a lot of pressure from management and other EU actors. It is always a challenge to squeeze in elements during the design process. In addition, there are difficulties related to the beneficiary's context (approval of strategies, etc.).</p> <p><i>Source: Interviews with DG NEAR</i></p>
EAMR 2015 Turkey	<p>“EUD has actively contributed to programming of the IPA 2015 Annual Action Programme (EUR 255 million) whose Financing Decision has been adopted before the end of the year. In this context, the IPA II sector approach has been further promoted, including by regular engagement with the National IPA Coordinator (NIPAC) and the sector lead institutions which concentrated among other on setting SMART objectives and indicators for effective monitoring at programme level, in line with the IPA II Indicative Strategy Paper. Particular attention has been given to screening relevance and maturity of the proposals, with those not meeting the necessary requirements being deferred to next programming years. EUD Ankara is of the opinion that this will further improve the delivery mechanism, thereby accomplishing the objectives set in the action documents. The resulting "left-over" funds from IPA 2015 have been programmed for transfer to the EU Regional Trust Fund in Response to the Syrian Crisis.</p> <p>... the 2014-2016 Multi-annual Action Programmes totalling EUR 793 million of EU funds which have not been committed yet. This critical delay was caused by the initiation and completion of the EBIT (Entrustment of Budget Implementation Task) process.</p> <p>On the challenge of managing in a short time-frame a massively increased volume of assistance to Turkey foreseen in the context of the refugee crisis, quick decisions for staff reinforcement are needed by HQ, including support on related logistical aspects. Moreover, to support the EUD's work to address deficiencies in the IMBC system, including on programming and slow implementation, HQ can give an important contribution by reinforcing EUD's messages towards the Turkish authorities, including in the context of follow-up of conditions in the EBIT process.”</p> <p><i>Source: EAMR Turkey 2015, p. 3-4, 6, 9</i></p>
EAMR 2015 Bosnia- Herzegovina	<p>“The IPA II Framework Agreement was ratified with delay (Bosnia and Herzegovina being the last of the Western Balkan country to do so). The IPA 2014 Financing Agreements (with a specific focus on flood recovery efforts) were finally signed in November 2015. The delay in approval of these important documents has delayed the start of the preparations of the projects foreseen in these Financing Agreements (FA).</p> <p>The politicisation of IPA has continued, with Republika Srpska formally not engaging in IPA-programming before a functional Coordination Mechanism is established and the delays in the approval of Sector Planning Documents due to the (alleged) non-consultation of Cantonal governments in the process. This has resulted in limited progress to develop country-wide strategies and thus allow for extending IPA support to important sectors such as transport, energy, agriculture and environment.”</p> <p><i>Source: EAMR Bosnia and Herzegovina 2015, p.3-4</i></p>
EAMR 2015 Former Yugoslav Republic of Macedonia	<p>“The political crises affected the EU assistance resulting into delays in programming and implementation, lower visibility of the EU assistance, weakened coordination within the operating structures, destabilized decision-making and slowdown in achieving the action objectives, lethargic application of the sector approach.</p> <p>Serious delays were accumulated which resulted into under programming of the IPA 2014 and 2015 allocations, exclusion of a very key sector as the employment and social inclusion from the list of supported sectors for 2014-2016.”</p> <p><i>Source: EAMR Former Yugoslav Republic of Macedonia, 2015, p. 6, 8</i></p>

I-331	<i>Difference in time required for the elaboration and endorsement of Action programmes and reasons for this</i>
Interviews in IPA II beneficiary countries.	<p>Stakeholders do not recognise any reduction in the time needed to approve Financing Decisions and Annual Action Programmes. On contrary, there have been complaints in many beneficiaries that the programming process became not only more demanding but that quality is also suffering due time pressure. In some cases, there is also hardly time to ensure a proper consultation process.</p> <p>As witnessed in IPA I, approval processes are just being completed at the very end of the respective deadlines (e.g. 31 December of the year).</p> <p>Lack of progress in the commitment of IPA I funds is a further bottleneck factor, apparent in particular in Turkey, Serbia and the former Yugoslav Republic of Macedonia. All these difficulties require considerable resources and capacities and often have an additional knock-on effect the time available for adoption and endorsement of action programmes.</p> <p><i>Source: Interviews in IPA II beneficiaries</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is sufficient.

The degree of confidence assessed is satisfactory.

1.3.3.2 I-332 Degree of representative coverage and actual roles of key stakeholders involved in the programming and implementation phases (overall cycle) of IPA II

I-332	<i>Degree of representative coverage and actual roles of key stakeholders involved in the programming and implementation phases (overall cycle) of IPA II</i>
Indicator Summary	<p>Interviews confirm that key stakeholders such as EC HQ, EUDs and NIPACs understand the process of sector based programming sufficiently well by now. Concerns remain with certain beneficiaries (such as line ministries) that still have significant difficulties to cope with the new approach, in particular to provide sector relevant planning documents of good quality. The role and functioning of sector working groups, together with the preparation of a sector coordination mechanism, remain challenging in many beneficiaries. Partnerships between EUDs and CSOs have been established in the context of the programming of IPA II assistance. Implementation is just about to start in most of the beneficiaries. In particular, the actual extent of involving CSOs in implementation and monitoring of IPA II remains to be seen.</p>
IPA quick guide, DG NEAR programming Guide	<p>“The Programming guides note the importance of wider participation in programming and in monitoring, e.g. in sector working groups.</p> <p>For Country and Multi-Country Action Programmes in particular, formal and informal consultation shall be organised under the leadership of DG NEAR and/or the relevant EU Delegations. To this end, regular and timely communication with Beneficiaries to facilitate their involvement, and therefore improve their ownership, shall be ensured. Detailed programming plans, including timelines and draft documents shall be circulated and shared.</p> <p>The establishment of dedicated Sector Working Groups can also provide an effective operational mechanism for sector strategic planning and programming. They assist in structuring consultation with all institutions involved in sector management and provide an inclusive dialogue forum with all other relevant stakeholders.</p> <p>Consultation with other stakeholders in the relevant sectors must also be organised, as well as more generally with civil society organisations (engagement with civil society being an essential cross-cutting obligations of IPA II programming) and other non-state actors, as appropriate.</p>

I-332	<i>Degree of representative coverage and actual roles of key stakeholders involved in the programming and implementation phases (overall cycle) of IPA II</i>
	<p>Whatever the type of Action Programme, this initiation phase involves extensive consultation between the European Commission, EU Delegations, the IPA II Beneficiaries and the wider donor community (including Member States), as well as civil society and other non-state stakeholders. Early co-ordination with other donors is important to ensure consistency and co-financing, and to exclude possible double financing.”</p> <p><i>Source: 2014 Quick Guide to IPA programming</i></p>
EAMR 2015 Turkey	<p>“International organizations continued to be one of the main stakeholders consulted during programme design and implementation. This cooperation has been strong traditionally but has improved over the reporting period particularly so as to design joint response programmes to the humanitarian crises triggered by the conflict in Syria. UNHCR and IOM, traditional partners with which the EUD has worked together in the field of migration management and asylum, have become also key interlocutors in coordinating the response provided by the Turkish Government to the refugee influx...”</p> <p>When it comes to financial assistance in the energy sector, we have established a good cooperation with IFIs (EBRD, World Bank and the EIB). This was particularly applicable for the leveraging their financial contributions, specifically on prompting renewable energy and energy efficiency”</p> <p><i>Source: EAMR 2015 Turkey, p.13-14</i></p>
EAMR 2015 Montenegro	<p>“The EUD upholds regular contacts with civil society organizations. Apart from formal consultations, participation in conferences and similar occasions, EUD representatives during 2015 always responded positively to requests for meetings, regardless of whether those came from on-going grant beneficiaries or not. Input from renowned CSOs in the form of recommendations, assessments or analyses are taken very seriously by the Delegation for the preparation of programme evaluations, political reporting etc. Last year saw a continuation, if not strengthening, of excellent relations between the Delegation and CSOs in general.</p> <p>The Government on the other hand has adopted decrees, which prescribe the consultation of civil society when it comes to drafting legal documents and strategies, but in practice these consultation mechanisms are not yet fully implemented and CSOs are often not consulted when new legislation is drafted, for instance.”</p> <p><i>Source: EAMR 2015 Montenegro, p. 10</i></p>
EAMR 2015 Serbia	<p>“The regular sector working groups organised under the auspices of SEIO for the programming of IPA and other assistance, which include members of the state administration, CSOs, other donors and international organisations, are the forum during which the latest information (on TAIEEX) is provided.”</p> <p><i>Source: EAMR 2015 Serbia, p. 22</i></p>
EAMR 2015 Former Yugoslav Republic of Macedonia	<p>“The introduction of the sector based approach is a slow process, and thus far has resulted into the establishment of sector working groups, the preparation of a sector coordination mechanism and sector working groups' operational procedures, drafting of sector roadmaps. Yet, the process has been developing unevenly across the established sectors with insufficient dynamics to back up the EU investments in the areas of environment, transport, competitiveness, PFM, agriculture and rural development.”</p> <p><i>Source: EAMR 2015 Former Yugoslav Republic of Macedonia, p. 5</i></p>
EAMR 2015 Bosnia and Herzegovina	<p>“Consulting with CSOs and local authorities is a crucial component of IPA assistance programming. CSOs have been fully involved in the process of preparation of the first three Sector Planning Documents 2015-2017 under IPA II and subsequent programming exercise for 2015. Their participation in the relevant sub-WG and their feedback has helped the preparation of the sector Planning Documents.”</p> <p><i>Source: EAMR 2015 Bosnia and Herzegovina, p. 8</i></p>

I-332	<i>Degree of representative coverage and actual roles of key stakeholders involved in the programming and implementation phases (overall cycle) of IPA II</i>
Interviews with DG NEAR	<p>As concerns sector based programming EC HQ, EUDs and NIPACS understand the process sufficiently well in the meanwhile. There are certain beneficiaries (such as line ministries) that still have difficulties.</p> <p>Whilst there is a good coverage of key stakeholders at central levels, some interviewees felt the need to find ways to discuss programming priorities more intense (and more efficient) with CSOs. There was also an impression that at least for certain countries (such as Bosnia and Herzegovina) a stronger involvement of local authorities would be beneficial to ensure a more representative coverage of country stakeholders in programming and implementation.</p> <p><i>Source: Interviews with DG NEAR</i></p>
IPA II Monitoring, Reporting and Performance Framework, Final Report	<p>“All NIPAC offices in all IPA II beneficiaries have considerable weaknesses with respect to their new role under IPA II and their capacity (systems).</p> <p>The successful introduction in each country of the (same for all countries) Monitoring, Reporting and Performance Framework will depend on the existence of the necessary relevant structures and capacity; thus it is proposed that a special analysis of the needs for improvements is implemented in each country and a specific time-plan for the implementation of the required activities/ measures is elaborated and promoted for implementation.</p> <p>Due to the foreseen pivotal role of the NIPAC it is important that they are vested with the proper power and develop their capacity at both the managerial/ coordination and technical levels. The status and role of the Sector Lead Institutions (SLI) should also be supported; the SLIs should have ownership of “their” sector and coordinate the implementation of all relevant IPA actions by all involved implementing authorities.</p> <p>There is heterogeneity in the implemented processes in the IPA recipient countries (mainly under the indirect management mode). An important feature in all countries is the setting up and functioning of the Monitoring Committees (at overall IPA level and at sector level). The IPA II Monitoring Committee (IMC) and the Sectoral Monitoring Committees (SMCs) in all countries should be supported by the NIPAC office (the IMC) and the corresponding Sector Lead Institutions (the SMCs) so that they are able to operate effectively.</p> <p>The implementation of the actions of the IPA II started with a considerable delay (due to the required introduction of new programming and implementation systems, stemming from the new requirements of the IPA II Regulation); therefore, very small implementation progress will have been achieved by the end of 2016.”</p> <p><i>Source: IPA II Monitoring, Reporting and Performance Framework, Final Report</i></p>
Interviews in IPA II beneficiaries	<p>The interviews conducted in the candidate countries and potential candidates confirm that the actual involvement of beneficiaries has been increased, particularly through the introduction of Sector Working Groups (SWGs). Capacities of these SWGs vary from sector to sector and from beneficiary to beneficiary. Involvement of CSOs in the programming process is much more evident but has also still room for improvement. The technical capacities of CSOs are often still insufficient to significantly contribute to the quality of the programming process. Moreover, all programming processes are currently characterised by shortage of time, leaving also only moderate space for involving the CSOs and other third parties more thoroughly.</p> <p><i>Source: Interviews in IPA II beneficiaries</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is sufficient.

The degree of confidence assessed is satisfactory.

1.3.3.3 I-333 Evidence (nature and scope) of greater efficiency resulting from the de-concentration of the programming and implementation processes to the national or EUD authorities

I-333	<i>Evidence (nature and scope) of greater efficiency resulting from the de-concentration of the programming and implementation processes to the national or EUD authorities</i>
Indicator Summary	No such evidence was found in the reports on implementation or during the interviews. Delays in programming and in commitment of the funds due to the introduction of “the new system” are still evident. The expected efficiency gains have still to materialise. Inefficiencies in the implementation system (indirect management) have generated chronic delays that have accumulated in the system. This is already affecting IPA II programmes.
EAMR 2015 Bosnia and Herzegovina	<p>“The IPA II Framework Agreement was ratified with delay (Bosnia and Herzegovina being the last Western Balkan country to do so). The IPA 2014 Financing Agreements (with a specific focus on flood recovery efforts) were finally signed in November 2015. The delay in approval of these important documents has delayed the start of the preparations of the projects foreseen in these Financing Agreements (FA).”</p> <p><i>Source: EAMR Bosnia and Herzegovina 2015, p. 3</i></p> <p>“Drawbacks related to contracts with IFIs and Member States Agencies include protracted approval procedures for their own related loan and grant agreements due to long decision making process of beneficiary institutions and consequently delays in project and contract implementation. The latter also occur to some extent due to delays in obtaining of required permits and limited local project related capacities; however this problem is not specific to delegated entities.”</p> <p><i>Source: EAMR Bosnia and Herzegovina 2015, p. 18</i></p>
EAMR 2015 Former Yugoslav Republic of Macedonia	<p>“The late adoption and communications on IPA II regulation and the related guidelines and instructions did not allow promoting of the sector approach earlier. Serious delays were accumulated which resulted into under programming of the IPA 2014 and 2015 allocations, exclusion of a very key sector as the employment and social inclusion from the list of supported sectors for 2014-2016.”</p> <p><i>Source: EAMR Former Yugoslav Republic of Macedonia 2015, p.8</i></p>
EAMR 2015 Montenegro	<p>“Montenegro received conferral of management for the IPA II 2014 action programme and IPA CBC programmes at the very end of 2015, together with the signature of the respective financing agreement. As a result, there has been no start of operations as yet under the programmes (except for some urgent actions under centralised management by the EU Delegation).”</p> <p><i>Source: EAMR Montenegro 2015, p.3</i></p>
EAMR 2015 Serbia	<p>“Regarding the Audit Authority, lack of legitimacy, credibility and capacity towards the Management and Control System was a high-risk finding in the audit report. The findings of audit mission led to delays for the budget entrustment procedure for IPA 2014 programme and suspension of IPA 2013 pre-financing payment.”</p> <p><i>Source: EAMR Serbia 2015, p.14</i></p>
EAMR 2015 Turkey	<p>“Under the IMBC system there continue to be shortcomings related to the quality of programming and the delays in procurement.”</p> <p><i>Source: EAMR Turkey 2015, p. 5</i></p> <p>“The risks continue that deficiencies in programming translate into problems and delays during implementation. Notably, sector-level programming documents (one AD covering a variety of activities, previously called projects) provide for little detail in view of implementation preparations. Also, related capacity shortcomings at the level of NIPAC for coordination and quality control, new sector lead institutions under IPA II which are still working to fill their role, and beneficiaries where understanding on project cycle management in some cases remains limited, cause problems in effective programme development and a faster action towards implementation. In addition, while the sector approach is officially introduced, there remain limitations as the Turkish public administration as well as staff in the EU</p>

I-333	<i>Evidence (nature and scope) of greater efficiency resulting from the de-concentration of the programming and implementation processes to the national or EUD authorities</i>
	<p>Delegation are still more used to a project-based approach.”</p> <p>Source: <i>EAMR Turkey 2015, p. 6</i></p> <p>“The 2014-2016 Multi-annual Action Programmes totalling EUR 793 million of EU funds....have not been committed yet. This critical delay was caused by the initiation and completion of the EBIT (Entrustment of Budget Implementation Task) process.”</p> <p>Source: <i>EAMR Turkey 2015, p. 9</i></p>

1.3.3.4 Other evidence

	<i>Other evidence</i>																																
Interviews with DG NEAR	<p>Management Modes of programmes implemented by DG NEAR: IPA assistance is implemented through a broad range of management modes which take the different levels of preparedness of the beneficiaries into account. Currently the management modes implemented are as follows: Direct management (DM), both centralised (in Brussels) and de-centralised to EUDs under the supervision of DG NEAR; DG NEAR also uses Indirect Management, including: Indirect Management by Beneficiary Countries (IMBC); Indirect Management by Entrusted Entities, notably International Organisations, International Financial Institutions as well as MS development assistance agencies (IM IO). DG NEAR uses shared management with MS for the management of cross-border cooperation programmes.</p> <p>Source: <i>interviews with DG NEAR</i></p>																																
Annual Action Programmes 2015	<p>Use of different management modes in candidate countries and potential candidates Extracted from 2014 Annual Action programmes</p> <p><i>Table 11 Use of different management modes in IPA II beneficiaries</i></p> <table border="1"> <thead> <tr> <th></th> <th><i>IMBC %</i></th> <th><i>DM %</i></th> <th><i>IM IO %</i></th> </tr> </thead> <tbody> <tr> <td>Albania</td> <td>26</td> <td>68</td> <td>6</td> </tr> <tr> <td>Bosnia and Herzegovina</td> <td>-</td> <td>38</td> <td>62</td> </tr> <tr> <td>Kosovo</td> <td>-</td> <td>88</td> <td>12</td> </tr> <tr> <td>Former Yugoslav Republic of Macedonia</td> <td>44</td> <td>17</td> <td>39</td> </tr> <tr> <td>Montenegro</td> <td>60</td> <td>40</td> <td>-</td> </tr> <tr> <td>Serbia</td> <td>57</td> <td>24</td> <td>19</td> </tr> <tr> <td>Turkey</td> <td>94</td> <td>2</td> <td>4</td> </tr> </tbody> </table> <p>Source: <i>2014 Annual action programmes, own calculations.</i></p>		<i>IMBC %</i>	<i>DM %</i>	<i>IM IO %</i>	Albania	26	68	6	Bosnia and Herzegovina	-	38	62	Kosovo	-	88	12	Former Yugoslav Republic of Macedonia	44	17	39	Montenegro	60	40	-	Serbia	57	24	19	Turkey	94	2	4
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Turkey ISP	<p>Sub-sector 1: Rural development programme</p> <p>“Interventions will be implemented through a rural development programme, modeled on EU rural development policies. Implementation of the current IPARD I programme (covering 2007-13 budget allocations) will continue in Turkey's 42 accredited provinces. The new IPARD II programme will be prepared by the managing authority, which is based in the Ministry of Food, Agriculture and Livestock.”</p> <p>Source: <i>Turkey ISP, p. 41-43</i></p>																																
Feedback from the Survey Evaluation of External Financing Instruments	<p>Question: How can procedural and managerial processes be further simplified and harmonized to increase the efficiency of the implementation of the [instrument]?</p> <p>“In Bosnia and Herzegovina there is a need to focus on a more limited number of contracts, as this would allow to liberate resources for following sectorial policies and content rather than administrative management. Additional efforts should be made to ensure a good complementarity between regional and national allocations.”</p> <p>“Monitoring and policy dialogue can be further streamlined by using the same platform and set up for the EU integration process (e.g. SAA), sector strategy working groups of the Government, IPA sub-monitoring committees.”</p>																																

	<i>Other evidence</i>
	<p>“Regular IPA activities and the Special Measures tool available under IPA instrument focus on different areas and therefore the procedures applicable to each of them are different. While the regular IPA activities may require long and detailed procedures, the Special Measure under the Facility for Refugees in Turkey is flexible and more pro-active to respond to unforeseen circumstances.”</p> <p>“Better use Multi-Annual Strategies as the basis for programming on a multi-annual basis, and avoid annual programmes. Intensify and accelerate the pace of indirect management by the beneficiary countries.”</p> <p>“Limit the use of parallel modes of implementation. Take a decision in principle on which mode of implementation should apply to all or parts of a programme and then apply this decision over the short and medium term. Take financing decisions earlier in the budget year and apply strict maturity criteria to programming, enabling an earlier start of implementation and thus reducing the need for redesigns, reallocations and problems in implementation. Further increase the focus and size of interventions with a view of increasing impact and reducing the number of contracts and procedures.”</p> <p><i>Source: Feedback from the survey for the evaluation of external financing instruments</i></p>
Interviews in IPA II beneficiary countries	<p>There has been widespread agreement among interviewees that it takes a long time to set up the programming, implementation and monitoring processes. The use of different implementation modes in parallel might increase efficiency in terms of contracting to some extent. Authorities in IPA II beneficiaries with already established indirect management modes are uncertain about the future development of their institutions (particularly CFCUs, paying agencies).</p> <p>Another problem for increased efficiency is seen in the annual programming cycles that still prevail. The current process is seen as even more time-consuming and resource-demanding, compared to IPA I.</p> <p>For stakeholders, too much is done in programming in a hasty manner, often weakening the design quality of individual programmes and actions.</p> <p><u>Turkey:</u></p> <p>The delays in implementation seem to erode the relevance of IPA interventions and there is every likelihood that this will be the case for IPA II as well. Actions conceived in 2012 will probably only be delivering results in 2019. This poses programmers a major challenge to think 7 years ahead, especially in Turkey where the programme environment is highly dynamic. Unless something radical happens, efficiency is unlikely to improve. Implications for this are clear (de-commitments, cancellation of programming years to reduce pressure on the system).</p> <p><u>Serbia:</u></p> <p>Serbia is currently developing a cost-benefit analysis for IPA in the context of retention policy:</p> <p>There are available IPA funds (commitments) of around 200 mEUR per year in pre-accession period plus national co-financing, out of which 271,3 mEUR are currently implemented under indirect management for IPA 2013, 2014 and 2015 programmes with 256 number of engaged staff throughout the public administration.</p> <p>Currently it is estimated that the total annual amount of gross salaries for staff engaged in EU funds management totals as of 2.504.168,787 EUR which is ca. 1% of the funds that are managed under indirect management. If the absorption rate of pre-accession funds falls by 1% due to the high fluctuation of staff the budget of Serbia will lose 2,5 mEUR of IPA II funds.</p> <p><i>Source: Interviews in IPA II beneficiaries</i></p>

Sources of information used

Documentary analysis;

Data analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is sufficient.

The degree of confidence assessed is satisfactory.

1.3.3.5 I-334 Degree of positive change in terms of efficiency of delivery brought by the introduction of sector approach, new aid modalities - e.g. budget support - and other improvements of the programming/ implementation processes

I-334	<i>Degree of positive change in terms of efficiency of delivery brought by the introduction of sector approach, new aid modalities - e.g. budget support - and other improvements of the programming/ implementation processes</i>
Indicator Summary	No such evidence of increased efficiency was found in the reports on implementation and during the field visits. The introduction of new aid modalities (budget support) appears to be demanding for the beneficiary institutions since structures, systems and resources are often insufficient compared to the demand for implementing budget support mechanisms. Efficiency gains from using budget support are seen in theory in the clear reduction of the number of contracts to manage compared to previous programmes, and in the reduction of transaction costs. All this has to be realised yet.
EAMR 2015 Serbia	<p>“The concentration of the budget on only three sectors and the clear reduction of the ensuing number of contracts compared to previous programmes will facilitate both the achievement of clear impact as well as increase the efficiency of implementation. The support to public administration reform was provided through an ambitious sector budget support programme, the first such support to Serbia. The draft budget established by the Ministry of Finance for 2016 was insufficient to allow for the implementation of key reform measures agreed as part of the sector budget support for public administration reform. A revision of the draft budget was ensured through the political intervention of the Head of Delegation, supported by the IMF. Furthermore, as part of the sector budget support for public administration reform, preconditions were established (adoption of PFM programme; establishment of medium term expenditure framework for PAR actions) to reduce the risk to programme implementation. The EU Delegation will reinforce the dialogue with the Ministry of Finance at all levels in 2016 to mitigate the risk of a lack of synergy between Serbia's EU policy and budget planning and implementation. There is good complementarity of the national, regional and thematic instruments. An example is the Western Balkans Investment Framework (WBIF) which is used to finance investment projects from the Interconnectivity agenda in the fields of transport, energy and environment. The investment projects in those fields, that have a dominant national focus, are funded through national IPA. The complementarity between the national and regional projects is secured through the sector working groups, which take place under the auspices of the National IPA Coordinator...</p> <p>The change towards new modalities of implementation (sector budget support; increased number of files under the DIS ex-ante control) has necessitated training and familiarization throughout the reporting year.”</p> <p><i>Source: EAMR 2015 Serbia, p. 3, 5, 11, 46</i></p>
EAMR 2015 Turkey	<p>“Under the IMBC system there continue to be shortcomings related to the quality of programming and the delays in procurement. For example, 60 % of the contracts under IPA 2011 part 2 and IPA 2012 were only concluded within the last month prior to the contracting deadline which is set for annual programmes at three years after the entry into force of the related Financing Agreement. The contracting of IPA 2013 stood at 5 % at the end of the reporting period with less than 1 ½ years left until the next contracting deadline. Therefore, EUD has actively engaged with the NIPAC, the CFCU, and NAO – among other through regular implementation review meetings – to identify most critical cases and develop a more systematic monitoring and follow-up. In this context also the use of the Project Preparation Facility has been revived with the aim to support capacity building in particular at the level of beneficiary institutions and for mobilising external support where necessary. The following reporting period will be crucial to advance on reducing the contracting backlog.</p> <p>The risks continue that deficiencies in programming translate into problems and</p>

I-334	<i>Degree of positive change in terms of efficiency of delivery brought by the introduction of sector approach, new aid modalities - e.g. budget support - and other improvements of the programming/ implementation processes</i>
	<p>delays during implementation. Notably, sector-level programming documents (one AD covering a variety of activities, previously called projects) provide for little detail in view of implementation preparations. Also, related capacity shortcomings at the level of NIPAC for coordination and quality control, new sector lead institutions under IPA II which are still working to fill their role, and beneficiaries where understanding on project cycle management in some cases remains limited, cause problems in effective programme development and a faster action towards implementation. In addition, while the sector approach is officially introduced, there remain limitations as the Turkish public administration as well as staff in the EU Delegation are still more used to a project-based approach. A strategic link to broader sector reforms of the national link needs to be further developed. So far IPA continues to be a somewhat separate system, at best complementing Turkey's own reform plans and spending.”</p> <p><i>Source: EAMR 2015 Turkey</i></p>
EAMR 2015 Bosnia and Herzegovina	<p>“Payment of the 2nd tranche of the extraordinary Budget Support for war crimes case processing (under IPA 2012 funding) was delayed due to the late adoption by the local authorities of the new Justice Sector Reform Strategy 2014-2018.</p> <p>The recurrent risks remain that there is no sufficient political will to agree on developing country-wide strategies on key sectors such agriculture, transport and energy. Unless such agreement is quickly reached it is premature to start planning for sector budget support and as such to be in a position to provide financial assistance in support of the implementation of the reform agenda and possibly mitigate the consequences of the implementation of the SAA adaption.”</p> <p><i>Source: EAMR 2015 Bosnia and Herzegovina, p. 4, 25</i></p>
EAMR 2015 Albania	<p>“The Government adopted a Public Finance Management Strategy 2014-2020 in December 2014 to address the current set of weaknesses, which paved the way for the approval of the IPA 2014 Sector Budget Support Program for PFM. The first High Level steering committee meeting for the implementation of the PFM reform took place in April 2015, which mandated the relevant coordinating structures for the implementation and presented the action plan for 2015-2017. The Ministry of Finance (MoF) has been following up on this implementation during 2015 however resources have been scarce and coordination with other institutions remain to be strengthened. A new organizational structure was approved for the MoF reinforcing its capacity by additional 45 staff however the filling of vacancies progress slowly. Functional review of the MoF has also been conducted. The capacity weaknesses at the Ministry of Finance with some 70 vacancies out of 250 still to be filled slowed down the efficiency for the implementation of the PFM strategy in 2015.</p> <p>Sector Budget Support is being introduced in a systematic way in key areas of financial support for the EU integration process as outlined in the Indicative Strategy Paper for IPA II 2014 - 2020... Problems are encountered at two levels. The first relates to inadequate staff resources in the EU Delegation reducing its capacity...The other problem is linked to the weak public administration on the Albanian side, which is the result of many years of politicisation and of the lack of merit-based recruitment and assessment systems... The EUD has addressed these shortcomings in its dialogue with the authorities. The move towards sector budget support is allowing for much clearer messages and signals in this respect.”</p> <p><i>Source: EAMR 2015 Albania, p. 30</i></p>
EAMR 2015 Montenegro	<p>“A Sector Budget Support on Integrated Border Management (20 MEUR) was approved in 2015. The signature of the corresponding Financing Agreement is expected in the first quarter of 2016 and the first payment in June 2016, provided the General Conditions of the programme are respected. Discussions on the preparation of a new Sector Budget Support on Public Administration Reforms are ongoing, depending on the approval of a Public Administration Reform Strategy by the national authorities.”</p> <p><i>Source: EAMR 2015 Montenegro, p. 27</i></p>

I-334	<i>Degree of positive change in terms of efficiency of delivery brought by the introduction of sector approach, new aid modalities - e.g. budget support - and other improvements of the programming/ implementation processes</i>
Interviews with DG NEAR	<p>There is widespread consensus, that the introduction of the sector based approach represents a completely new and time demanding exercise for all IPA stakeholders.</p> <p>The introduced performance framework and performance reward forces the EC to work more intensively with the candidate countries and potential candidates; this might also bring efficiency gains in the longer run.</p> <p>Flexibility is also ensured through the 10% performance reserve (of total IPA budget, not national allocations) which is considered to be a strong incentive instrument.</p> <p>The introduction of budget support has brought programmers and policy people in both the beneficiary and in DG NEAR together, which is a step forward. Budget support made a big change to mentality of programmers. There is a major challenge to prepare and implement budget support but it promotes “deep change” unlike other types of assistance. There are also concerns that budget support is resource intense and has much higher demands than the simple project approach (contrary to other views expressed about its potential efficiency).</p> <p><i>Source: Interviews with DG NEAR</i></p>
Interviews in IPA II beneficiaries	<p>According to stakeholders, in particular the preparation of the first generation of Sector Budget Support programmes has been initially underestimated, in terms of time and resources needed. Also, the fulfilment of necessary pre-conditions posed a problem on the quick deployment of this instrument.</p> <p>It took a lot of time to understand the principles of sector-based programming both on the side of the EC and the beneficiaries. Many stakeholders pointed out that the introduction of the sector based approach was done rather late (compared to the time needed to absorb the new principles). In particular, in previous years, guidance from the EC was not always coherent or even missing, which left beneficiaries in an uncomfortable situation. There have been clear improvements in the recent years however. Some beneficiaries still see the need for more technical assistance in order to fully develop the sector-based approach in their countries/ sectors.</p> <p><i>Source: Interviews in IPA II beneficiaries</i></p>

1.3.3.6 Other evidence

	<i>Other evidence</i>
Interviews with DG NEAR	<p>Introduction of the CIR:</p> <p>IPA I had one regulation and that was fine; except EIDHR (moderate) there is no other EFI in Montenegro.</p> <p>It is seen as a requirement that has to be addressed, as implementation has not started yet it is difficult to predict its likely effects; CIR might be opportune where several instruments need to be coordinated, this hardly the case in IPA beneficiaries.</p> <p>Not made a difference to implementation yet.</p> <p>No evidence that it makes a difference.</p> <p><i>Source: Interviews with DG NEAR</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is sufficient.

The degree of confidence assessed is satisfactory.

1.3.4 JC34: IPA II monitoring and evaluation system continuously and rigorously measures performances

1.3.4.1 I-341 Extent to which appropriate monitoring processes for measurement of the performance of the IPA II instrument are in place and functioning

I-341	<i>Extent to which appropriate monitoring processes for measurement of the performance of the IPA II instrument are in place and functioning</i>
Indicator Summary	<p>Monitoring processes for measurement of IPA II performance are not yet functioning as IPA II has not entered real action implementation. The new performance framework is being piloted in the former Yugoslav Republic of Macedonia. Performance implies implementation, so appropriateness of the performance measurement can be only judged once IPA II has entered into substantial implementation. Measuring sector performance should come from aggregating indicators to sector level. The operation managers should record data on performance of the actions and, if quality of the indicators allows, they should aggregate to sector level.</p> <p>The monitoring structures for IPA II are still in a transitional period. Where possible structures established under IPA I will be transferred into the new monitoring arrangements. In many candidate countries and potential candidates, core elements of a sector monitoring system are still not in place.</p>
CAPs 2015	<p>New monitoring modalities are introduced: a) IPA II Beneficiaries' own monitoring; b) joint monitoring by DG Enlargement and the IPA II Beneficiaries:</p> <p>“As part of its performance measurement framework, the Commission shall monitor and assess progress towards achievement of the specific objectives set out in the IPA II Regulation on the basis of pre-defined, clear, transparent measurable indicators. The progress reports referred to in Article 4 of the IPA II Regulation shall be taken as a point of reference in the assessment of the results of IPA II assistance.</p> <p>The Commission will collect performance data (process, output and outcome indicators) from all sources, which will be aggregated and analysed in terms of tracking the progress versus the targets and milestones established for each of the actions of this programme, as well as the Indicative Strategy Paper to Serbia.</p> <p>In the specific context of indirect management by IPA II beneficiaries, National IPA Coordinators (NIPACs) will collect information on the performance of the actions and programmes (process, output and outcome indicators) and coordinate the collection and production of indicators coming from national sources.</p> <p>The overall progress will be monitored through the following means: a) Result Orientated Monitoring (ROM) system; b) IPA II Beneficiaries' own monitoring; c) self-monitoring performed by the EU Delegations; d) joint monitoring by DG Enlargement and the IPA II Beneficiaries, whereby the compliance, coherence, effectiveness, efficiency and coordination in implementation of financial assistance will be regularly monitored by an IPA II Monitoring committee, supported by sectoral monitoring committees, which will ensure a monitoring process at sector level.”</p> <p><i>Source: CAPs all beneficiaries 2015</i></p>
EAMR 2015 Turkey	<p>EUDs report that new systems are not ready to properly monitor IPA II implementation and “old systems” will be complementing them (a) Result Orientated Monitoring (ROM) system; c) self-monitoring performed by the EU Delegations).</p> <p>“... the IPA II sector approach has been further promoted, including by regular engagement with the National IPA Coordinator (NIPAC) and the sector lead institutions which concentrated among other on setting SMART objectives and indicators for effective monitoring at programme level, in line with the IPA II Indicative Strategy Paper ...</p> <p>Several IPA funded activities are ongoing with institutions such as the Turkish Ombudsman or the National Human Rights Institution where EUD is involved in regular steering and monitoring activities...</p> <p>Therefore, EUD has actively engaged with the NIPAC, the CFCU, and NAO – among other through regular implementation review meetings – to identify most critical cases and develop a more systematic monitoring and follow-up. In this</p>

I-341	<i>Extent to which appropriate monitoring processes for measurement of the performance of the IPA II instrument are in place and functioning</i>
	<p>context also the use of the Project Preparation Facility has been revived with the aim to support capacity building in particular at the level of beneficiary institutions and for mobilising external support where necessary. The following reporting period will be crucial to advance on reducing the contracting backlog.</p> <p>Key findings of the "Study on IPA II Monitoring, Reporting and Performance Framework" focus on the needs for a new DG NEAR policy to place a central role on NIPACs (strengthening their offices, increasing their sense of responsibility and ownership over the system), improvement of the relations between the IPA stakeholders on technical and administrative coordination, involvement of national statistical services for more reliable information when drafting the indicators (NIPAC to coordinate the data), attention on consolidation during reporting, including Turkey in ReSPA capacity-building, and enhancing visibility for clearer understanding of IPA II by external audiences. These findings are consistent with the Delegations concerns. These outcomes may impact the new monitoring, reporting and evaluation structures under the IPA II. Therefore, a follow up on the realisation of the findings could be requested.</p> <p>Monitoring remains an area of weakness in spite of the improvements. Generally, there have been some problems in relation to the roles and responsibilities of key actors such as NAO, NIPAC and CFCU, and how they perceive and follow up their respective roles. The issue has also been addressed in the findings of a verification mission on the monitoring system conducted in 2012, which was conveyed to the NAO in June 2013. The verification mission also foresees that a memorandum of understanding/protocol should be elaborated jointly by the DIS (IMBC) authorities to outline the responsibilities of DIS actors. The draft version was submitted in November 2013; however, the document is still pending mainly due to the reason that the Turkish authorities would like to incorporate the main elements of the new IPA II structure into the document. The relevant arrangements identified during this verification was reflected to the new Prime Ministry Circular adopted in December 2015, so as to ensure effective coordination and structure within the relevant ministries in accordance with the basis laid under the IPA II regulations. Although it has been possible to observe some improvements with regard to the cooperation among the key actors and follow up decisions made under the monitoring reform, crucial monitoring findings are not shared among the CFCU, NIPAC, NAO and EUD and joint monitoring missions are very limited mainly due to the different approach of the parties. Major problems detected during the on-the-spot (OSC) missions are: • For supply contracts, the monitoring capacity of the CFCU is rather weak. Some of the goods delivered do not comply with the technical specifications; • For grant contracts, financial controls of the CFCU, asking for excessive documentation, delays in processing addendums, exercising limited flexibility for the use of project budget and staffing problems; • For twinning contracts, communication problems between the RTA and beneficiary institution; • For works contracts delays in the implementation, problems in terms of process, quality of workmanship and staff qualifications not complying with the technical provisions of the contract, high staff turnover and weaknesses in management/supervisory services/monitoring. The consequence of it is the increase on the initial contract value. Started in October 2014, the second phase of the TR ROM contract is still considered to be the major tool used by the NIPAC to assume their monitoring role. The contract is planned as a measure to assist the MEUA to fulfil its monitoring obligations and agreed to not only cover ongoing contracts but also pay visits to contracts already finalized to ensure ex-post monitoring data is analysed.”</p> <p><i>Source: EAMR 2015 Turkey, p. 3, 5, 17-18</i></p>
Interviews with DG NEAR	<p>Integrating horizontal themes into the programming remains a challenge. ADs and AAPs still do not systematically cover all the relevant themes – especially Gender. Rio Climate change markers are in the MIS so this can be registered.</p> <p>The performance Framework is being piloted in the former Yugoslav Republic of Macedonia. If it works properly it will provide a comprehensive assessment tool for the EC. It is a lot of work, apparently. It will be assessed and adjusted accordingly.</p>

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	<p>No date for this set.</p> <p>Performance implies implementation so we won't know if it works in practice for IPA II until programmes enters implementation. The performance reward is part of this. This will be judged against benchmarks in the ISPs, MIS data and progress reports.</p> <p>Source: Interviews with DG NEAR</p>
DG NEAR Performance Framework	<p>The activities linked to the development of the IPA II performance framework were structured according to the following 4 objectives or areas of work:</p> <p>“Objective 1: Priorities of performance measurement</p> <p>To clarify and refine the purpose and focus of our monitoring and reporting.</p> <p>... focus on the following priorities, which are based on the programme cycle from initiation to results:</p> <p>follow-up on sector programme design (i.e. sector approach uptake): ...measure the ability of enlargement countries to design sector support programmes... Tools have been set up to support the introduction of the sector approach ... include sector planning documents and also specific roadmaps highlighting steps and targets for each of the criteria defined for the sector approach...</p> <p>follow-up on sector programme implementation: ...measure the level of commitments and payments, including actual contracting performance against forecasts as well as cost recognition. Improvements on ways in which these levels of information are reported on are essential... involves upgrades of IT systems, in particular i-Perseus (for indirect management) and MIS. Budget execution reports will be automated from DG NEAR's MIS to support follow-up on implementation.</p> <p>follow-up on sector results (i.e. indicator tracking): ...progress towards objectives based on indicators set in indicative Strategy Papers (strategic indicators) and Action Programmes (operational indicators) will be the core of performance measurement and the main novelty in DG NEAR's systems. Reporting on indicators (indicator tracking) will be carried out annually... A dedicated module has been set up in MIS to track results based on operational indicators.</p> <p>Sector-based reporting:</p> <p>Although not linked to performance per se, the objective of this approach is to better embed the strong sector approach dimension of IPA II in a more dynamic and precise reporting system. Automated extraction of data will be enabled for all aspects of policy-related expenditure.</p> <p>This entails detailed sector classification (and coding) for IPA II Actions, based on the 9 primary sectors used to structure IPA II priorities in the indicative (country) Strategy Papers. These primary sectors are also broken down into secondary sectors (which are fixed for the entire IPA II period) to allow more precise classification at the level of Action Programmes.</p> <p>Sector classification has been integrated in DG NEAR's MIS; i.e. IPA II Actions must be encoded in the system according to primary and secondary sectors.</p> <p>Objective 2: Monitoring and reporting organisation</p> <p>To review and streamline the structure and articulation of monitoring and reporting</p> <p>Whilst DG NEAR already avails of a robust set-up for internal reporting, and procedures for processing information on financial assistance are clearly set out in the IPA II legal framework, improvements were needed to adapt the format of, and correlation between monitoring and reporting inputs and outputs.</p> <p>These include procedures for data collection and consolidation; consistency between reporting references so as to avoid task duplication; coherent sequencing of reporting milestones, in particular better connection in terms of timelines between IPA II specific and internal EC/NEAR reports; etc.</p> <p>In addition, new forms of monitoring and reporting are needed to integrate the specificities of IPA II performance at all the levels mentioned above; sector approach uptake and results based on indicators more particularly.</p> <p>Objective 3: IT support</p>

I-341	<i>Extent to which appropriate monitoring processes for measurement of the performance of the IPA II instrument are in place and functioning</i>
	<p>To create or update relevant underlying (IT) tools to support our monitoring and reporting.</p> <p>For a number of years, DG NEAR's MIS has allowed for dynamic reporting on budgetary execution (including follow-up of tender planning and grant award procedures) and risk assessment. With IPA II, improvements have been introduced to integrate sector classification (including detailed tagging) but also tracking of performance indicators.</p> <p>Such adjustments will also sustain the reporting chain through standardised methods (including for encoding) and automatic generation of outputs.”</p> <p><i>Source: DG NEAR Performance Framework</i></p>
Interviews in IPA II beneficiaries	<p>The monitoring structures for IPA II are still in a transitional period. Where possible structures established under IPA I will be transferred into the new monitoring arrangements.</p> <p>In many candidate countries and potential candidates, core elements of a sector monitoring system are still not in place. This includes: clearly defined responsibilities of institutions engaged in the collection, submission, analysis and presentation of monitoring data; the resources and tools needed to do these tasks; indicators that are fit for sector level monitoring and; sector monitoring strategies that capture all these elements in one document.</p> <p><i>Source: Interviews in IPA II beneficiaries</i></p>

1.3.4.2 Other evidence

	<i>Other evidence</i>
EU Enlargement Strategy 2015	<p>“With 2015 the Commission has made a number of changes to its country reports compared to previous years.</p> <p>The aim is to further increase the quality of the assessments in the reports as well as the reliability of the package as a source of information for all stakeholders. The new style of reporting provides greater transparency in the enlargement process. This should facilitate greater scrutiny of reforms by all stakeholders. The package should also be used to better measure the results of our policy and financial assistance, including <u>feeding into the IPA II performance monitoring</u>.</p> <p>Accordingly, the reports:</p> <ul style="list-style-type: none"> • increase the focus on the state of play to show more clearly where the countries stand in terms of their preparations for meeting the membership criteria. This should also allow the reader to put the progress being made into a clearer context; • provide more guidance on what the countries should focus on in the following year. This will then in turn allow the future reporting of progress to be more relevant and • targeted on the key issues and on the expectations from each country; • include more harmonised reporting and assessment scales, which will allow countries to be directly compared in the key areas. Our expectation is that direct comparability could provide an incentive to intensify reforms.” <p><i>Source: EU Enlargement Strategy 2015</i></p>
2015 Annual Activity Report DG NEAR	<p>“During the execution/implementing stage: the staff of the DG monitors closely the execution of the projects through on the spot missions, and regular reporting as per contract conditions. Payments are made on the basis of narrative reports, financial reports, and where required, expenditure verification reports. Any risks related to the running of contracts are also assessed annually. Both monitoring (including ROM) and evaluations are planned as appropriate, during the life cycle of the project, and after the end, to look after impact and sustainability aspects. Reporting, mostly focused on results, is also obtained through monitoring. Headquarter staff conducts regular supervision missions in Delegations to obtain additional assurance on the effectiveness and efficiency of the devolved tasks.</p> <p>DG Near is finalising Evaluation and Monitoring guidelines that should be concluded</p>

	Other evidence
	<p>mid-year. 13 specific training seminars covering indicators, monitoring and evaluation are planned during 2016.”</p> <p><i>Source: 2015 Annual Activity Report DG NEAR</i></p>
<p>DG NEAR website “How does it work?”</p>	<p>Monitoring and evaluation of assistance</p> <p>“Implementation of IPA II will include a comprehensive monitoring mechanism. It will contain a review of overall performance of the progress in achieving results at the strategic, sector and action levels (i.e. results-based performance), in addition to monitoring of financial execution. Performance measurement will be based on indicators set out in the indicative Strategy Papers and the Programmes.</p> <p>Joint monitoring committees (Commission and beneficiaries) will continue to monitor the implementation of financial assistance programmes, as was the case for the previous period of IPA.</p> <p>The Commission publishes an annual report on pre-accession assistance. This report covers the previous budget year.”</p> <p><i>Source: DG NEAR website “How does it work?”, http://ec.europa.eu/enlargement/instruments/how-does-it-work/index_en.htm</i></p>
<p>DG NEAR IPA II Performance Framework</p>	<p>“The IPA II performance framework provides the general context for improvement of the monitoring and reporting focus and priorities, processes and tools for pre-accession assistance... The activities linked to the development of the performance framework (initiated in October 2014) were structured according to the following 4 objectives or areas of work...</p> <p>Objective 1: Priorities of performance measurement</p> <p>→ <i>To clarify and refine the purpose and focus of our monitoring and reporting.</i></p> <p>Whilst the general objective of performance measurement is defined by the IPA II legal provisions, the level of detail and standards for the data to be collected and processed needed to be further discussed and agreed. This resulted in a decision to focus on the following priorities, which are based on the programme cycle from initiation to results:</p> <p>1) follow-up on sector programme design (i.e. sector approach uptake):</p> <p>This will measure the ability of enlargement countries to design sector support programmes. The sector approach is an overarching principle of IPA II and is therefore an important success factor for IPA II programming.</p> <p>Tools have been set up to support the introduction of the sector approach as a key element of performance measurement. These include sector planning documents and also specific roadmaps highlighting steps and targets for each of the criteria defined for the sector approach (existence of a sector strategy; institutional leadership and capacity for the sector; donor coordination at the level of the sector; mid-term budgetary perspectives for the sector; existence of a performance measurement framework ...).</p> <p>The sector approach uptake will be subject to an annual assessment of the state-of-play and progress in complying with the sector approach using the above-mentioned tools. Annual reports for the sector approach uptake (using a traffic light system) will be produced.</p> <p>2) follow-up on sector programme implementation (i.e. budget execution):</p> <p>This will measure the level of commitments and payments, including actual contracting performance against forecasts (as has been the case so far under "IPA I" but with some improvements in the context of indirect management), as well as cost recognition.</p> <p>Improvements on ways in which these levels of information are reported on are essential for a comprehensive and fully efficient performance framework. This involves upgrades of IT systems, in particular i-Perseus (for indirect management) and MIS.</p> <p>Budget execution reports will be automated from DG NEAR's MIS to support follow-up on implementation.</p> <p>3) follow-up on sector results (i.e. indicator tracking):</p>

	Other evidence
	<p>As is spelled out in the IPA II regulation, progress towards objectives based on indicators set in indicative Strategy Papers (strategic indicators) and Action Programmes (operational indicators) will be the core of performance measurement and the main novelty in DG NEAR's systems.</p> <p>Reporting on indicators (indicator tracking) will be carried out annually (and also beyond 2020) to follow up on progress up to 2017 and then on up to 2020 (i.e. movement calculation to indicate progress towards fulfilling the 2017 milestones and 2020 targets), providing indications on whether delivery is on track or not. A performance review in 2017 and 2020 (i.e. measurement of actual results against the milestone and target for each indicator) will more specifically inform the decision for a performance reward (see below).</p> <p>Annual indicator assessment reports (using a traffic light system) will be produced, based on aggregated data and categorised per references (strategy papers; programmes) and types of indicators (process, output, outcome, impact). A dedicated module has been set up in MIS to track results based on operational indicators.</p> <p>Sector-based reporting:</p> <p>Although not linked to performance per se, the objective of this approach is to <u>better embed the strong sector approach dimension of IPA II in a more dynamic and precise reporting system</u>. Automated extraction of data will be enabled for all aspects of policy-related expenditure.</p> <p>This entails detailed sector classification (and coding) for IPA II Actions, based on the 9 primary sectors used to structure IPA II priorities in the indicative (country) Strategy Papers. These primary sectors are also broken down into secondary sectors (which are fixed for the entire IPA II period) to allow more precise classification at the level of Action Programmes.</p> <p>Sector classification has been integrated in DG NEAR's MIS; i.e. IPA II Actions must be encoded in the system according to primary and secondary sectors.</p> <p>Objective 2: Monitoring and reporting organisation</p> <p>→ <i>To review and streamline the structure and articulation of monitoring and reporting</i></p> <p>Whilst DG NEAR already avails of a robust set-up for internal reporting, and procedures for processing information on financial assistance are clearly set out in the IPA II legal framework, improvements were needed to adapt the format of, and correlation between monitoring and reporting inputs and outputs.</p> <p>These include procedures for data collection and consolidation; consistency between reporting references so as to avoid task duplication; coherent sequencing of reporting milestones, in particular better connection in terms of timelines between IPA II specific and internal EC/NEAR reports; etc.</p> <p>In addition, new forms of monitoring and reporting are needed to integrate the specificities of IPA II performance at all the levels mentioned above; sector approach uptake and results based on indicators more particularly.”</p> <p><i>Source: DG NEAR IPA II Performance Framework</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is sufficient.

The degree of confidence assessed is satisfactory.

1.3.4.3 I-342 Degree of involvement of key stakeholders (EU services and beneficiary countries) in the definition of monitoring systems

I-342	<i>Degree of involvement of key stakeholders (EU services and beneficiary countries) in the definition of monitoring systems</i>
Indicator Summary	<p>IPA Monitoring structures are being revised in all beneficiaries in order to better serve the new orientation of IPA II. The setting up of IPA II monitoring systems in the beneficiaries involves national stakeholders to a varying extent, in line with the dominant implementation modalities in the particular beneficiary. For instance, in Albania (indirect mode) key responsibilities for setting up monitoring systems are shared between NIPAC and NAO. In Kosovo, the EUO is still fully in charge for monitoring.</p>
IPA II Monitoring, Reporting and Performance Framework, Final Report	<p>“Under the direct management mode (Kosovo, Bosnia and Herzegovina) the EUDs/ EUO are in charge of monitoring. National authorities follow IPA implementation in parallel.</p> <p>Under the indirect management mode, the national authorities are responsible for monitoring; they have to set up the flow of credible implementation information and data from the implementing authorities up to the NIPAC office. NIPAC then provides specific information/data to the EC (DG NEAR and EUD/ EUO).</p> <p>Credibility - “entrustment” of the involved authorities; operation checked and assessed by the Management Committees, the NAO (for the financial data) and the NIPAC Office.</p> <p>The provided yearly data are used by DG NEAR for its own reporting and other important recipients (e.g. annual report on financial assistance to the Council and Parliament).</p> <p>IPA II monitoring committee produces reports.”</p> <p><i>Source: IPA II Monitoring, Reporting and Performance Framework</i></p>
Republic of Albania Council of Ministers Decree on Designation of functions, responsibilities and relationships among the authorities and structures for the indirect management of the EU Instrument for Pre-Accession Assistance IPA II (2014-2020)	<p>“8. IPA Monitoring Committee</p> <p>a) The Commission and the Government of Albania shall set up an IPA monitoring committee no later than six months after the entry into force of the first Financing Agreement in accordance with Article 52 of FWA ratified by the Law no. 37, dated on 9/04/2015. This committee shall also fulfil the responsibilities of the IPA monitoring committee under EC Regulation no. 1085/2006 on the Establishment of an Instrument for a Pre-accession Assistance.</p> <p>b) The IPA Monitoring Committee shall review the overall effectiveness, efficiency, quality, coherence, coordination and compliance of the implementation of the actions towards meeting the objectives set out in the Financing agreements and country strategy paper. For this purpose, it shall, where relevant, base itself on the information provided by sectoral monitoring committees and make possible recommendations for corrective action if needed.</p> <p>c) The IPA monitoring committee may make proposals to the Commission, the NIPAC and the NAO for ensuring better coherence and coordination of IPA II assistance as provided for in the country strategy paper and, if relevant, the multi-country strategy paper or in the IPA II Regulation, and to enhance the overall efficiency, effectiveness, impact and sustainability of such assistance. It may also make recommendations for corrective actions to the relevant sectoral monitoring committee(s) in order to ensure the achievement of IPA II objectives and enhance the efficiency and effectiveness of the IPA II assistance. For this purpose, it shall, where relevant, take into account the conclusions and recommendations drawn in monitoring and evaluations launched by either the Commission and/or the Government of Albania.</p> <p>d) The IPA monitoring committee shall adopt its rules of procedure in agreement with the NIPAC, the NAO and the Commission.</p> <p>e) The IPA monitoring committee shall be composed of representatives of the Commission, the NIPAC and other relevant national authorities and bodies of the IPA II beneficiary and, where relevant, international organizations, including international financial institutions and other stakeholders, such as civil society and private sector organizations. The representatives of stakeholders shall be chosen according to rules and criteria defined in the rules of procedure of the IPA monitoring committee and in agreement with the Commission. A</p>

I-342	<i>Degree of involvement of key stakeholders (EU services and beneficiary countries) in the definition of monitoring systems</i>
	<p>representative of the Commission and the NIPAC shall co-chair the IPA monitoring committee meetings.</p> <p>f) The IPA monitoring committee shall meet at least once a year. Ad hoc meetings may also be convened at the initiative of the Commission or NIPAC, in particular on a thematic basis.</p> <p>g) Where under indirect management sectoral monitoring committees, as referred to in Article 53 of FWA ratified by the Law no. 37, dated on 9/04/2015 are not set up, the IPA monitoring committee shall fulfil the functions listed in paragraph 3 of that Article.</p> <p>9. Sectoral monitoring committees</p> <p>h) Sectoral Monitoring Committees shall be set up by the Albanian Administration (beneficiary of programme or action) by policy area or by programme no later than six months after the entry into force of the first financing agreement related to the respective policy area or programme. When appropriate, Sectoral monitoring committees may be set up on an ad hoc basis under other implementation methods.</p> <p>i) Each Sectoral Monitoring Committee shall review the effectiveness, efficiency, quality, coherence, coordination and compliance of the implementation of the actions in the policy area or programme and their consistency with the relevant sector strategies. It shall measure progress in relation to achieving the objectives of the actions and their expected outputs, results and impact by means of indicators related to a baseline situation, as well as progress with regard to financial execution. The sectoral monitoring committee shall report to the IPA monitoring committee and may make proposals on any corrective action to ensure the achievement of the objectives of the actions and enhance the efficiency, effectiveness, impact and sustainability of the assistance provided.</p> <p>j) The Sectoral monitoring committee shall be composed of representatives of relevant national authorities and bodies, other stakeholders such as economic, social and environmental partners and, where relevant, international organisations, including international financial institutions and civil society. The Commission shall participate in the work of the committees. A senior representative of the lead beneficiary institution shall chair the sectoral monitoring committee meetings. Depending on the policy area or programme, the Commission may co-chair the committee meetings.</p> <p>k) Each sectoral monitoring committee shall adopt its rules of procedure. The sectoral monitoring committees shall meet at least twice a year. Ad hoc meetings may also be convened.</p> <p>a) Supported by the reports provided by the operating structure(s), the sectoral monitoring committees shall in particular:</p> <ol style="list-style-type: none"> i. review the progress towards meeting the objectives, achieving the planned outputs and results, and assessing the impact and sustainability of the on-going programmes and actions while ensuring coherence with the on-going policy dialogue, the related national and regional sector strategies and multi-country and/or regional activities in the country; ii. review annual implementation reports, including financial execution of the actions; iii. examine relevant findings and conclusions as well as proposals for remedial follow-up actions stemming from the on-the-spot checks, monitoring and evaluations if available; iv. discuss any relevant aspects of the functioning of the management and control systems; v. discuss any problematic issues and actions; vi. if necessary, consider or make proposals to amend programmes and any other corrective action to ensure the achievement of the objectives of the actions and enhance the efficiency, effectiveness, impact and sustainability of IPA II assistance; vii. review information, publicity, transparency, visibility and communication measures taken, in accordance with Articles 23 and 24 of the FWA ratified by the Law no. 37, dated on 9/04/2015. <p>b) Operational conclusions, including any recommendations, will be drawn at the</p>

I-342	<i>Degree of involvement of key stakeholders (EU services and beneficiary countries) in the definition of monitoring systems</i>
	<p>end of the Sectoral Monitoring Committees meetings. These conclusions shall be subject to adequate follow-up and a review in the following committee meetings and shall be the basis for reporting to the IPA monitoring committee on progress made in accordance with Article 52(2) of FWA ratified by the Law no. 37, dated on 9/04/2015.”</p> <p><i>Source: Albania, Decree on Designation of functions, responsibilities and relationships among the authorities and structures for the indirect management of the EU Instrument for Pre-Accession Assistance IPA II (2014-2020), p. 12-14</i></p>
<p>IPA II Monitoring, Reporting and Performance Framework, Final Report</p>	<p>“... new structures are the new Sector Monitoring Committees (SMC) and (the re-organised) IPA Monitoring Committee (IMC)... they comprise members from all competent/interested IPA stakeholders</p> <p>The SMC and IMC have a greater role in the indirect management mode. Both these Committees should have a secretariat with the responsibility to prepare their meetings (6-monthly for the SMCs and annually for the IMC) and follow up the decisions and recommendations;</p> <p>... new sectoral approach introduces a new role for a number of Ministries: the Lead Institution (authority) for a sector (SLI); this role comprises a monitoring and coordination mandate for all subjects and on all involved implementing authorities within a sector; among other the SLI should care for the supply of correct and reliable information on the implementation of all IPA actions/projects in the sector, as well as for the “operation” of the results indicators at sector level.</p> <p>The NIPAC, the Monitoring Committees and the SLIs, on top of the classic monitoring of the implementation progress of IPA actions should closely monitor (based on the relevant system of indicators) the achievement of the intended results at sector level.</p> <p>...the national authorities should put in place the proper structures and processes to secure the quality of reported information/data. ... minimum requirements are secured and monitored under the “entrustment” process.”</p> <p><i>Source: IPA II Monitoring, Reporting and Performance Framework</i></p>
<p>Interviews in IPA II beneficiaries</p>	<p>The strong emphasis on the sector approach to programming also has implications for monitoring of IPA II, which should also take place at sector level.</p> <p>Although guidance on how to conduct sector level monitoring is now in place, it remains incomplete, with significant uncertainty in IPA countries (EUDs, NIPACS, other stakeholders) on how to transform this concept into practice.</p> <p><i>Source: Interviews in IPA II beneficiaries</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is sufficient.

The degree of confidence assessed is satisfactory.

1.3.4.4 I-343 Extent to which RACER indicators to measure results achieved by IPA II at corporate level are defined and reported on

I-343	<i>Extent to which RACER indicators to measure results achieved by IPA II at corporate level are defined and reported on</i>
<p>Indicator Summary</p>	<p>Strategic level indicators (corresponding to DEVCO’s level 1 indicators) have been included in country and multi-country indicative strategy papers. The given indicators offer information at corporate level about each beneficiary and the overall region (in case of multi-country support). In particular, international organisations and EUROSTAT are the main providers for these indicators. Regular reporting is being ensured through the MIS.</p>

I-343	<i>Extent to which RACER indicators to measure results achieved by IPA II at corporate level are defined and reported on</i>
IPA II Monitoring, Reporting and Performance Framework, Final Report	<p><i>“Indicators:</i> The performance indicators required by the MRPF on the Strategic level(context/corporate/country/sector) have been designed by DG NEAR and are common for all IPA II beneficiaries; the indicators on the Operational level (sector/programmes/action) are designed by the beneficiaries (and discussed by the EUDs/NEAR HQ) in the context of programming. The Strategic level indicators have been included in the Country (and Multi-country) Strategy Papers; most of them are indicators providing the developments in each country (and region) not directly related to the specific actions to be implemented. On the contrary, the Operational level indicators are directly related to the IPA II sectors and implemented actions; all IPA II beneficiaries have defined and introduced operational indicators in their action documents or their multi-annual action programmes, mainly in those referring to Environment and Climate Change, Transport, Competitiveness and Employment, Education and Social Policies; however, defining the proper Operational indicators and setting baseline and targeted values and effective processes for the assessment of the progress in a given sector is still a difficult exercise for many countries.</p> <p>MRPF Indicators – Recommendations</p> <p>The use of the strategic indicators is not expected to present problems. The operational indicators should be defined through the cooperation of the competent Sector Lead Institution (SLI) with the NIPAC office and the National Statistical Institution/ Agency (NSA). The National Statistical Agency (NSA) should be actively involved in the programming and implementation of the IPA (mainly but not only on the operational indicators). The full-fledged involvement of the NSA in the MRPF should be promoted by both the NIPAC and NAO; a relevant analysis of the requirements should be undertaken by the NIPAC. In parallel the NSA should be supported to strengthen its capacity and fully align its methods and operations to the instructions of the Eurostat.</p> <p>An inventory of well working (SMART) operational indicators should be gradually developed under the coordination of the NIPAC office; these indicators should be standardised and commonly used in the national programmes. A network for the exchange of information on good (SMART) indicators should be developed among the NIPAC Offices in the region.</p> <p>The tracking of the operational indicators should be implemented through the MRPF, under standardised relevant procedures; these have to be developed under the coordination of the EC (DG NEAR). Guidance and training should be provided to the national officials who are involved in the setting and tracking of the operational indicators”</p> <p><i>Source: IPA II Monitoring, Reporting and Performance Framework</i></p>
EU Better Regulation Guidelines	<p>“To the extent possible, all indicators should be ‘RACER’, i.e.:</p> <p>Relevant, i.e. closely linked to the objectives to be reached. They should not be overambitious and should measure the right thing (e.g. a target indicator for health care could be to reduce waiting times but without jeopardising the quality of care provided).</p> <p>Accepted (e.g. by staff, stakeholders). The role and responsibilities for the indicator need to be well defined (e.g. if the indicator is the handling time for a grant application and the administrative process is partly controlled by Member States and partly by the EU then both sides would assume only partial responsibility).</p> <p>Credible for non-experts, unambiguous and easy to interpret. Indicators should be simple and robust as possible. If necessary, composite indicators might need to be used instead – such as country ratings, well-being indicators, but also ratings of financial institutions and instruments. These often consist of aggregated data using predetermined fixed weight values. As they may be difficult to interpret, they should be used to assess broad context only.</p> <p>Easy to monitor (e.g. data collection should be possible at low cost).</p> <p>Robust against manipulation (e.g. administrative burden: If the target is to reduce administrative burdens to businesses, the burdens might not be reduced, but just shifted from businesses to public administration).”</p>

I-343	<i>Extent to which RACER indicators to measure results achieved by IPA II at corporate level are defined and reported on</i>
	Source: <i>EU Better Regulation, Monitoring Arrangements and Indicators</i> , http://ec.europa.eu/smart-regulation/guidelines/tool_35_en.htm
Review Indicative Strategy Papers	<p>Context indicators</p> <ul style="list-style-type: none"> • Public debt (% of GDP) • Real GDP growth rate (average last three years - %) • Unemployment Rate (%) • GDP per capita at current prices (EUR) • FDI per capita € <p>Outcome and impact indicators</p> <ul style="list-style-type: none"> • Composite indicator (average ranking provided by eight external sources: Corruption Barometer, Control of Corruption, Freedom of Press, Press Freedom, Rule of Law, Government Effectiveness, Voice and Accountability, and Regulatory Quality) • Progress made in reaching the political criteria provided • Progress made on implementation of <i>acquis</i> • Progress made in meeting economic criteria <p>Source: <i>Indicative Strategy Papers, all IPA II countries</i></p>
Interviews with DG NEAR	<p>For Turkey, the strategic level indicators have still to be agreed. Deviating from the common set of strategic indicators for all IPA II beneficiaries, Turkish authorities would like to put emphasis on indicators produced by Turkstat.</p> <p>Source: <i>Interviews with DG NEAR</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR.

Assessment of quality of evidence

The level of information of this indicator is sufficient.

The degree of confidence assessed is satisfactory.

1.3.4.5 I-344 Extent to which RACER indicators to measure results achieved by IPA II at action level are defined and reported on

I-344	<i>Extent to which RACER indicators to measure results achieved by IPA II at action level are defined and reported on</i>
Indicator Summary	<p>The indicators at action level are defined (through annual action programmes) and as such can be used at least partly in performance reporting. The link between the action and its subsector (and their related indicators) is not always easy to follow, hence determining the contribution of actions to accumulated results at (sub)sector level in a beneficiary seems to be a complex task. Annual Action Programmes and Action Documents demonstrate significant variations in the quality of indicators. Weaknesses in the quality of outcome indicators are evident, in particular.</p>
Former Yugoslav Republic of Macedonia ISP 2014-2020	<p>Sector indicators are common for certain sectors for all IPA II beneficiaries and are annexed to the indicative strategy papers. Action level indicators can be found in the logical framework matrix of action documents, set for overall objective, specific objective and for results. The indicators' values (baseline, milestone, target) for the results are specified in order to measure the performance.</p> <p>Example: Former Yugoslav Republic of Macedonia – (sub) sector and one action – related indicators</p> <p><i>Former Yugoslav Republic of Macedonia ISP 2014-2020</i></p> <p>“Sector - Agriculture and Rural Development</p> <p>Sector indicator/source – Progress made towards meeting accession criteria /DG ELARG – Progress report</p>

I-344	<i>Extent to which RACER indicators to measure results achieved by IPA II at action level are defined and reported on</i>
	<p>Sector indicator/source – Total investment generated via IPA in agri-food sector and rural development (EUR) / DG AGRI</p> <p>Action level: Former Yugoslav Republic of Macedonia - Agriculture, Rural Development and Food Safety, Veterinary and Phytosanitary Policy</p> <p>Expected results under the agriculture component include increased access to land consolidated areas; development of new, market-viable cooperatives, including a system for vocational training of cooperative managers; increased access to irrigated land through construction of small-scale and environment friendly irrigation systems with a view to mitigate the impact of climate change on agriculture; development of market quality standards for agriculture products in a number of sub-sectors (e.g. pork meat production, fruit and vegetable) with a view to create new marketing opportunities; improved interoperability and effectiveness of the integrated system for administration and controlling of the agricultural and rural development support policies.</p> <p>Key performance indicators under the agriculture component: number of land consolidation projects and total area; additional number of hectares irrigated; number of additional cooperatives with an economic objective and market performance created; new software for integrated administration and controlling system developed and interoperability secured; number of market quality standards implemented.</p> <p>Under the phytosanitary component, expected results include strengthened capacity of food and veterinary and phytosanitary services; vaccination of foxes against rabies and strengthened food safety, veterinary and phytosanitary border controls.</p> <p>Indicators under the phytosanitary component: percentage of EU legislation regarding Chapter 12 in place; percentage of sampled animals immunized against rabies; number of BIPs in compliance with EU requirements; Phytosanitary Information System established and operational; number of accredited methods; number of samples taken by the SAI (inland and on the border).”</p> <p><i>Source: Former Yugoslav Republic of Macedonia ISP 2014-2020</i></p>
Albania ISP 2014-2020	<p>Example: Albania – (sub) sector and one action – related indicators</p> <p>Albania ISP 2014-2020</p> <p>“Sector - Rule of law and fundamental rights</p> <p>Sub sector– Fight against corruption and organised crime</p> <p>Sub sector indicator/source - Composite indicator (average of Global Corruption and Control of Corruption) 1 (Worst) - 100 (Best)/ Transparency International, World Bank - 33.83 (2012)</p> <p>Sub sector – Border management</p> <p>Sub sector indicator/source - Progress made towards meeting accession criteria/ DG ELARG Progress report</p> <p>Action level: Albania - Consolidation of Law Enforcement Agencies - Support to the Albanian State police and prosecutor office</p> <p>Result 1: Improved performance and investigation capacity of Albanian state police and the General Prosecutor Office, as well as all other law enforcement bodies, supervisory authorities and reporting entities through the delivery of technical assistance.</p> <p>Indicators: Annual increase of final convictions as per article 333 (Criminal Organisations) of the Criminal Code Annual increase of final convictions and sanctions as per article 257 and 257/a (Conflict of Interest and Asset Declaration) of the Criminal Code Annual increase of final convictions on drug trafficking, as per article 283/a (Traffic of narcotics), and 284/a (Organizing and leading criminal organizations)</p> <p>Result 2: Improved performance and investigation capacity of ASP and GPO, as well as all other law enforcement bodies, supervisory authorities and reporting entities through the delivery of new equipment.</p>

I-344	<i>Extent to which RACER indicators to measure results achieved by IPA II at action level are defined and reported on</i>
	<p>Indicators: Number and quality of operations in the field of serious crime and drug cultivation and number and quality of response of police actions towards emergency needs and security Electronic communications interception equipment and network for 7 sub-stations operational</p> <p>Indicator measurement example</p> <p>Indicator: Annual increase of final convictions and sanctions as per article 257 and 257/a (Conflict of Interest and Asset Declaration) of the Criminal Code:</p> <ul style="list-style-type: none"> - baseline (2014) 7 convictions - milestone (2017) Positive track record increase from baseline - target (2020) Positive track record increase from baseline” <p><i>Source: Albania ISP 2014-2020</i></p>
Turkey ISP 2014-2020	<p>Example: Turkey – (sub) sector and one action – related indicators</p> <p>Turkey ISP 2014-2020</p> <p>“Sector - Democracy and governance</p> <p>Sub sector – Governance and Public Administration Reform</p> <p>Sub sector indicator/source - Progress made towards meeting accession criteria/ DG ELARG – Progress report</p> <p>Action level: Local administration reform</p> <p>Result 1: Enhanced administrative and operational capacities for efficient provision of local services</p> <p>Indicators: - Number of legislative packages for effective local service delivery submitted for the adoption of Mol - Standards and principles on human resources management at local authorities in place</p> <p>Result 2.1: Administrative and operational capacities of the local authorities for the implementation of new MM Model strengthened</p> <p>Indicators: - Level of implementation of the legislation on local authorities - Development of a software system for monitoring of the progress against the implementation of reforms in local administration - Realisation of the modelling for efficient implementation of new Metropolitan Municipality Law - Number of joint platforms among the MM - % relevant staff of selected MM benefitted from customized General Management and Job Skills Training - Development and adoption of local service delivery standards - Adoption of a model for participatory local governance for 14 new MM</p> <p>Result 2.2: Institutional capacity of the local authorities in terms of service delivery and adoption of the principles of democratic governance enhanced</p> <p>Indicators: - Development of legislative and policy measures for adoption of democratic governance principles</p> <p>Result 2.3 Public awareness on urbanization enhanced through institutional and individual capacity enhancement programmes</p> <p>Indicators: - % of social service experts in selected provinces those have MM benefitted from the trainings - %0 relevant staff of selected MM benefitted from the trainings</p> <p>Result 3.1 Efficiency of the local services enhanced through online managements systems</p> <p>Indicators: - % of local services can be monitored and evaluated through on-line management systems - % of increase in the application of the on-line management systems - % increase in citizen satisfaction due to enhanced efficiency”</p> <p><i>Source: Turkey ISP 2014-2020</i></p>
Interviews with DG NEAR	<p>The ISPs are the highest level documents. SPDs are not official documents to ensure they can be updated as needed without any formal approval process. Their quality is variable. As they are not official documents there is less emphasis on getting the quality right. Indicators are not particularly strong in many SPDs. This remains a concern also for the Action Documents.</p>

I-344	<i>Extent to which RACER indicators to measure results achieved by IPA II at action level are defined and reported on</i>
	<p>Quality of performance indicators for budget support: the ones proposed by beneficiaries and even sometimes by certain EU entities tend to be poor. They do not reflect a thinking focusing on results. Moreover, at the beneficiary level, there is sometimes a tendency to accept inserting indicators in the performance assessment framework which they do not really own.</p> <p>On the other hand, some interviewees confirm some progress in developing indicators – for instance how indicators were defined in indicative ISPs compared to the lots of effort put in defining recent budget support indicators.</p> <p><i>Source: Interviews with DG NEAR</i></p>
Interviews in IPA II beneficiaries	<p>Annual Action Programmes and Action Documents demonstrate significant variations in the quality of indicators. Output level indicators pose less of a challenge for definition and tend to be usable. Weaknesses in the quality of outcome indicators are evident, however. They often lack baselines, milestones and targets and thus fail to meet the basic quality criteria. Tracking sector level change using such indicators is likely to prove problematic and further weakens the robustness of the sector monitoring framework.</p> <p><i>Source: Interviews in IPA II beneficiaries</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is sufficient.

The degree of confidence assessed is satisfactory.

1.3.4.6 I-345 Level of standardisation of the operational indicators under each policy area/ sector

I-345	<i>Level of standardisation of the operational indicators under each policy area/ sector</i>
Indicator Summary	<p>Sector indicators are common for certain sectors for all IPA II beneficiaries. What varies in the ISPs are the sub-sectors, which are subordinated to a certain sector. As a consequence, also the operational indicators summarised under a particular sector may vary from beneficiary to beneficiary.</p>
Review national ISPs	<p>Performance indicators and sector indicators are annexed to the indicative strategy papers. Sector indicators are common for certain sectors for all IPA II beneficiaries. What varies in the ISPs are the sub-sectors, which are covered by the strategy. For example, in Serbia, under the Governance and Democracy sector, covered sub-sectors are: Governance and PAR, Public Financial Management and Statistics. In Turkey, under the same sector, besides these 4 sub sectors, Civil Society is also included.</p> <p>The indicators in the strategy papers show the level of progress of a beneficiary in certain sectors; they are not directly related to the (indicators of) the actions under the corresponding sectors (or sub sectors).</p> <p><i>Source: National Indicative Strategy Papers</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR.

Assessment of quality of evidence

The level of information of this indicator is sufficient.

The degree of confidence assessed is satisfactory.

1.4 EQ 4 on added value

To what extent do the IPA II actions add value compared to interventions by Member States or other key donors?

1.4.1 JC41: IPA II has offered added value, in terms of size of engagement, particular expertise, and/or particular weight in advocacy, when operating in the same field as EU Member States and other donors

1.4.1.1 I-411 % of EU financial engagement where IPA II operated together with other donors and MS

I-411	% of EU financial engagement where IPA II operated together with other donors and MS
Indicator Summary	The EU is by far the biggest donor in the IPA II beneficiaries. Aggregated and detailed financial data has not been available as the EU has no systematic collection of other donor's/ EU MS involvement. Interviews in the IPA beneficiaries confirm that the EU is in the meanwhile the most significant donor for grant funding. Besides the response to crises and emergencies, there are not many joint actions and also the financial engagement is strictly separated in most cases. Unless donors are also directly engaged as implementing bodies (under indirect management) most of them prefer to work separately or in parallel with EU funding.
EAMR 2015 Albania	<p><u>Albania</u> (but regional programmes) – compatibility + combined with <i>acquis</i> criterion: “Justice sector: The EU Delegation together with the project on Consolidation of Law Enforcement Capacities in Albania (PAMECA IV) ensured coordination and complementarity with the regional program on "Fight against organised crime: International Cooperation in Criminal Justice" and the regional program on International Cooperation in Criminal Justice. Both projects target a key tenet of Albania's accession priorities as outlined in the National Plan for Chapter 24 of the <i>Acquis</i>... The close collaboration with PAMECA ensures that there are no overlaps between with the two projects. As the Civil Society Facility is programmed and approved through a unique Decision including regional and national CS funds, there is direct coordination between the two levels. In some cases – as for the Local Democracy Programme included in the 2016/17 CSF Programme – funds are merged from the two sources for joint use... As for the EIDHR, there is an internal consultation in the Delegation, in order to ensure complementarity and avoid the risk of overlapping between the EIDHR and the CSF funds... The new approach under the Western Balkans Investment Framework (WBIF), which also considers the strategic framework of investment priorities put forward by the country, will make it feasible to have a complete coordination of regional and national IPA funding together with other donor interventions and financing by banks, based on the national budget planning.”</p> <p><i>Source: EAMR 2015 Albania, p. 10</i></p>
EAMR 2015 Bosnia and Herzegovina	<p><u>Bosnia and Herzegovina</u>: “Several sectors (e.g. rule of law, public administration reform, education, social inclusion, human rights and fundamental freedoms) benefit from a complementary approach between IPA national, multi-beneficiary and Cross Border Cooperation programmes, as well as between IPA, the EIDHR and Instrument for Stability. Examples: the support of EUROSTAT in relation to the population census; SIGMA in relation to Public Administration Reform; and the IMF in relation to Public Finance Management. Regardless whether allocated via the IPA II national or multi-country programmes (e.g. WBIF), investments in the sectors energy, environment and transport as well as technical assistance for their preparation and implementation and the inclusion of these sectors into the Indicative Strategy Paper for Bosnia and Herzegovina are conditional on comprehensive and concrete country-wide sector strategies. In addition, investments proposed for IPA II support, in particular via the WBIF, need to be endorsed by a National Investment Committee (or an equivalent national structure) on the basis of a single project pipeline at least in the relevant sector. The regional funds made available under the Connectivity-agenda allow for concrete projects and engagement in the transport sector at a time when there are no funds available from the national envelope.</p>

I-411	<i>% of EU financial engagement where IPA II operated together with other donors and MS</i>
	<p>Moreover, ongoing activities under IPA national funding to support competitiveness for SMEs in Bosnia and Herzegovina at the local level well complements broader financial instruments available at the regional level (e.g. EDIF).”</p> <p><i>Source: EAMR 2015 Bosnia and Herzegovina, p. 8</i></p>
EAMR 2015 Former Yugoslav Republic of Macedonia	<p><u>Former Yugoslav Republic of Macedonia</u>: “Last year shows improving synergy between the various EU financial instruments and improving coordination between the EU HQ, Delegations and national authorities in all elements of the management cycle: from programming and identification of needs through implementation up to monitoring and evaluation. Good examples in this aspect are the WBIF, EDIF and TAIEX. The establishment of NIC (National Investment Committee) and the Single Project pipeline will better balance the national and regional needs and ambitions and address the financial challenges. The WBIF methodology is being replicated at national level in the sector working groups established within the IPA II sector approach. Under the EDIF the opening of a national window to support business competitiveness has been an issue of intense discussions under the 2016 programming exercise (still to be finalized). Under TAIEX, a joint programming mission in 2015, involving also the Delegation staff, along with the national authorities, turned to be very effective in ensuring complementarity between the national and regional instruments. Other examples, such as the programming of the regional actions on PFM, as well as the findings outlined in the 2015 performance audit of the ECA call for further strengthening of the coordination in order to avoid overlaps and improve the efficiency in the use of EU funds. In addition, the 2015 external evaluation of the Multi-beneficiary programme recommended improving internal and external communication on the regional projects, an issue which the Delegation will address in 2016.”</p> <p><i>Source: EAMR 2015 Former Yugoslav Republic of Macedonia, p. 14-15</i></p>
EAMR 2015 Montenegro	<p><u>Montenegro</u>: “Montenegro benefits from assistance under the European Instrument for Democracy; Human Rights in the area of human rights and fundamental freedoms and strengthening the role of civil society and will continue to benefit from this complementary instrument during the period 2014-2020. Call for proposals are launched every 1-2 years. Call for proposals for 2012/2013 launched in 2015 was finalized and five contracts were signed.”</p> <p><i>Source: EAMR 2015 Montenegro, p. 9</i></p>
EAMR 2015 Serbia	<p><u>Serbia</u>: “There is good complementarity of the national, regional and thematic instruments. An example is the Western Balkans Investment Framework (WBIF) which is used to finance investment projects from the Interconnectivity agenda in the fields of transport, energy and environment. The investment projects in those fields, that have a dominant national focus, are funded through national IPA. The complementarity between the national and regional projects is secured through the sector working groups, which take place under the auspices of the National IPA Coordinator (NIPAC)... In 2015, particular cooperation was put into place with UN agencies in the framework of the migration/ refugees crisis. Thanks to their experience and expertise, the EU Delegation has been in close contact with UNHCR, UNOPS and IOM... During the programming of the Special Measure on migration (7MEUR committed for Serbia), UN agencies have always been involved during assessments missions from EUD or Headquarters. Their analysis has always been taken into account... The Delegation has closely cooperated with UNOPS, the World Bank and FAO in discussing negotiating and adopting several IPA 2012 and 2014 EC delegation agreements and grants under the Special Measures for the floods of May 2014: Under the 2014 Floods Measure UNOPS signed in October 2015 a 0.8 million EUR grant to implement measures to fight the impact of the floods and in December 2015 a 10.5 million EUR delegation agreement to revamp bridges and roads destroyed by the floods. This organization also adopted with the Delegation at the end of 2015 a 13 million EUR delegation agreement to build control points in the demarcation line between Serbia and Kosovo. UNOPS is also responsible for the implementation of an on-going regional development programme assisting the municipalities in South and South West Serbia (EU Progress and European Progress). FAO also signed with the Delegation in October 2015 under</p>

I-411	<i>% of EU financial engagement where IPA II operated together with other donors and MS</i>
	<p>the Floods Measure a grant agreement to flood-affected farmers... The World Bank adopted with the Delegation in late December 2015 a floods prevention delegation agreement that will be implemented during 2016.”</p> <p><i>Source: EAMR 2015 Serbia, p. 12-13</i></p>
EAMR 2015 Turkey	<p><u>Turkey:</u> “For Turkey IPA has been in terms of financial volumes by far the main external financial instrument in use, complemented by a minor envelope of the thematic EIDHR and singular interventions through the Instrument for Stability (IfS). Complementarity has been mainly achieved in support of civil society where parts of the IPA funds have been managed under IMBC, other parts of IPA under de-concentrated direct management as part of the regional ELARG/NEAR Civil Society Facility, and human rights focused CSO actions through EIDHR as well as peace building related actions through IfS. With the continuation of the Syrian refugee crisis and its impact on Turkey, increasingly also ECHO humanitarian assistance has come into the picture. Likewise, under the Instrument contributing to Stability and Peace (IcSP) refugee-related support has been programmed in the reporting period and implementation started both for national and regional (cross-border) actions while also under IPA in the fields of migration management and education relevant actions have been programmed and implemented. Moreover, with the establishment of the EU Trust Fund for Syrian refugees under direct management in DG NEAR first actions have been also programmed for Turkey with additional support in the programming pipeline. While the complementarity of the various instruments and interventions is ensured by coordination in the EU Delegation's, the picture is certainly getting more complex and requires additional resources for coordination.</p> <p>Lastly, in the energy sector the responsibility for funding nuclear safety related measures has been shifted from IPA (here so far only one Twinning on this topic under indirect management) to the Instrument for Nuclear Safety Cooperation (INSC) under direct management responsibility by DEVCO. Given the few interventions and relatively small amounts involved, coordination to ensure complementarity has not been identified as an issue so far.</p> <p>Considering the size and economic development status of Turkey, few other donors (besides banks for loans) are active in the country, and the EU is by far the biggest donor providing grant assistance. Both under IPA I and under IPA II the focus of assistance is on the priority sectors as defined in the MIPD 2011-2013 and in the IPA II Indicative Strategy Paper for Turkey...there are few other donors with significant grant amounts operating in Turkey and there are no multi-donor trust fund operations or similar in Turkey. An exception is the EC assistance managed through WFP and UNICEF under the EU Trust Fund for Syrian refugees, where also other donors are contributing to these UN agencies' programmes in the country. As part of the PAGoDA contracts EUD has agreed specific visibility plans in these cases whose implementation is being followed up by the EU Delegation. With more cooperation with international organisations likely to come up in the context of increased assistance for Syrian refugees, EUD Ankara has also started to further develop its guidelines for EU visibility enforcement.”</p> <p><i>Source: EAMR 2015 Turkey, p. 11-12, 27, 28-29</i></p>
Interviews in IPA II beneficiaries	<p>EU MS bilateral assistance often focus on financing pilot initiatives or on providing quick technical support were gaps in systems, structures and resources have to be immediately covered. IPA often builds on these achievements or continues to expand pilot initiatives. Besides the response to crises and emergencies, there are not many joint actions and also the financial engagement is strictly separated.</p> <p>Joint financial engagement in one action is also difficult to achieve both for EU MS and IPA II due to different budgetary cycles and rules. Predominantly, EU MS prefer to work separately or in parallel with IPA II funds. There has been an increased use of the indirect management mode with international organisations/ EU MS agencies. In the main, these bodies act as implementing agents, providing no or only very little own funds into the envisaged action.</p> <p><i>Source: Interviews in IPA II beneficiaries</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

Comprehensive information is missing on the % of EU financial engagement where IPA II operated together with other donors and MS. The available EC financial databases do not comprise other donors' financial engagement. Annual Action Programmes indicate beneficiary co-financing but do not indicate other donors' engagement. Some examples are given and have been analysed. Qualitative data, in particular feedback from field visits, have been used to inform the indicator.

The degree of confidence assessed is moderately satisfactory.

1.4.1.2 I-412 Degree of recognition by the EU Member States and non-EU donors of the EC's value added in given focus area/areas

I-412	<i>Degree of recognition by the EU Member States and non-EU donors of the EC's value added in given focus area/areas</i>
Indicator Summary	<p>IPA is particularly focusing on reform, institution building and capacity building in the context of EU accession, an area where the role and influence of the EC has been widely appreciated by MS. EU support is consistently aligned with actions by other donors, including MS and non-EU donors. The EU's unique supranational nature is the key for added value. Its political influence and leverage allows to engage national authorities or other donors with greater authority and legal certainty than individual MS.</p>
ISP Serbia	<p>"Types of financing: Assistance will be provided through twinning, technical assistance, supplies of equipment and investments, including through financial instruments, possibly also through calls for proposals and direct grants to relevant national authorities. Sector budget support can be considered, especially to support the ongoing structural reform process, provided that Serbia meets the relevant pre-conditions for sector budget support. Specific infrastructure projects in this sector may be also funded through <u>WBIF</u> and <u>EDIF</u>. IPA II may also co-finance Serbia's contribution for its participation in the following EU programmes: Horizon 2020 (research and innovation), COSME (competitiveness of enterprises and SMEs) and the Consumer programme. Under the Connecting Europe Facility (CEF), which is not open for Serbia as such, actions in the non-EU countries may be supported if they are necessary for the implementation of a project of EU common interest. The priorities of CEF with regard to telecommunications networks focus on deployment of fast and ultrafast broadband networks and their uptake, including by SMEs, and are therefore in line with the IPA II priorities for Serbia in this sector."</p> <p><i>Source: ISP Serbia, p. 32</i></p> <p>"Reforms will be supported through Twinning, service, supply, works and grant contracts, implemented under direct and/or indirect management. SIGMA and the Regional School for Public Administration (ReSPA) can also support reforms in this area. TAIEX can be used for ad hoc and short-term technical assistance. Support for non-state actors will also be provided through the Multi-country IPA programmes, notably the Civil Society Facility (CSF). The use of sector budget support for sector reforms can be considered, once the conditions have been met. Assistance can also be provided through co-financing the country's participation in relevant Union Programmes and Agencies in all sectors of this Strategy Paper."</p> <p><i>Source: ISP Former Yugoslav Republic of Macedonia, p. 11-12</i></p> <p>"Regional initiatives for networking and sharing knowledge (such as RESPA, SIGMA) could provide added value and will be considered during programming. Significant emphasis will be put on efforts to coordinate with other donors active in the sector, in particular <u>GIZ</u>, <u>USAID</u>, and with IFIs (<u>IB</u>, <u>EBRD</u>, <u>WB</u>) as concerns the improvement of municipal infrastructure. Given the type of interventions needed, twinning, TAIEX and other institution building instruments will be mobilised to help Kosovo align with EU standards. The civil society facility (CSF) will use an appropriate mix of funding instruments to respond to different types of CSOs, needs</p>

I-412	<i>Degree of recognition by the EU Member States and non-EU donors of the EC's value added in given focus area/areas</i>
	<p>and contexts.”</p> <p><i>Source: ISP Kosovo, p. 19-20</i></p>
Sector planning documents	<p>Template for sector planning: coordination and complementarity are required:</p> <p>“2.1.3. Sector and donor coordination: This section should provide a description of sector coordination; i.e. how coordination mechanisms between the government institutions themselves, and with non-government actors is organised, as well as the specific arrangements for the coordination of key donors within the sector.</p> <p>6. Complementarity with other financial assistance: This section will indicate any connection with other EU-funded programme or projects supported by other donors and, if relevant, highlight the added value of the planned IPA support.”</p> <p><i>Source: Sector planning document (template), p. 2 and 5</i></p> <p>Example – home affairs – <u>Serbia</u>:</p> <p>“2.1.3. Sector and donor coordination: Inter-institutional cooperation and coordination in different areas of the sector takes place on the basis of legal provisions. It is expected that in the light of fully flagged sector approach, the Ministry in charge of home affairs will bear main responsibilities for improvement and coordination of activities related to the preparation, management and monitoring of sector policies... ECPR 2014 emphasise weaknesses in terms of coordination throughout different fields of the sector. This is particularly stressed out in relation to coordination among institutions involved in irregular migration and asylum, while inter-agency cooperation between the bodies operating at the borders and in the field of organised crime and terrorism need to be enhanced... The ministry in charge of home affairs leads the Negotiation Group for Chapter 24 and is responsible for coordinating all other institutions participating in the Group in order to secure implementation of the activities related to participation in the screening; preparation of draft negotiating positions; development, review and monitoring of the implementation of the National Programme for the Adoption of the Acquis; responsibilities for the follow-up of European Union regulations; preparation of proposals for the planning of communication activities for the chapter 24.</p> <p>... the Sector Working Group (SWG) for Home Affairs has been established. The SWG is responsible for coordinating activities related to the programming and management of EU funds and other international assistance. Representatives of the donor community participate in the SWG meetings based on the needs and requirements of each SWG meeting and take part in consultation processes. The SWG also acts as the Sectorial Monitoring Subcommittee for IPA under the Indirect Management. NIPAC/NIPAC TS is responsible for coordination and ensuring the efficient functioning of all activities of the SWG. NIPAC TS established a consultation mechanism with the Civil Society Organisation (CSOs) ...</p> <p>6. Complementarity with other financial assistance: In the five annual IPA 2007 – 2011 programmes, IPA has financed projects in the Home Affairs section of the rule of law sector worth around €46 million (including social and economic rights within the political criteria of MIPD... As far as this MB IPA project is concerned, Serbia's priority area of interest is on organizing and financing voluntary return and reintegration as well as forced return of irregular migrants to long distance countries (i.e. countries outside the WB region). Besides that, Ministry in charge of home affairs has two on-going projects, one of which is IPA CBC Bulgaria-Serbia Strengthening the forensic capacities of the organized cross border crime prevention in the field of narcotics trafficking. Also the other one on Strengthening of Laboratory Examinations and Crime Scene Investigations in the Serbian Ministry of Interior's Criminal Technical Centre in Uzice which is financed by Norwegian Government... Many efficient projects have been implemented in Serbia with regards to human trafficking issues. The UN GIFT Joint Programme, ending in October 2012, aimed to operationalise the National Action Plan through its different components. One component aimed to enhance institutional cooperation and strengthen its sustainability. In January 2011, a project financed by <u>OSCE</u> Mission to Serbia, aimed at training professionals working in the field of human trafficking and enabling continuance of development in accordance with the highest standards of skills, knowledge and attitudes. The Police officers were provided ToT</p>

I-412	<i>Degree of recognition by the EU Member States and non-EU donors of the EC's value added in given focus area/areas</i>
	<p>programme in the field of trafficking in human beings. This SF project will not duplicate any training that will be achieved. Since 2010 the OSCE Mission in Serbia, with the support of the Government of <u>Sweden</u>, is assisting the Ministry of Interior in Promoting integrated emergency management mechanisms. The Norwegian Government is also supporting improvement of the delivery of justice and juvenile justice system, as well as institutionalization of victim witness support service network. The OSCE Mission in Serbia, with the support of the Government of Finland, is assisting the Ministry of Interior in enhancing core capacities for strategic planning and management... In complement to the IPA 2013 asylum project aiming at comprehensive improvement of the asylum system in Serbia, through improvement of legal framework, asylum procedures, accommodation capacities and capacity building of the relevant institutions dealing with asylum seekers, the SCR applied to the Government of <u>Swiss Confederation</u> (SDC), for the project "Support to the Asylum System in Serbia 2013-2015" which should provide psychosocial support to the asylum seekers through various occupational activities and promotion of tolerance in local communities. Also a surveillance system shall be supplied in order to improve security of accommodated asylum seekers. Whereas the IPA funded project are strategically programmed for improving the overall functioning of the asylum system in Serbia the SDC project will address the urgent needs of asylum seekers... In addition to the EU IPA projects... the public prosecution service has benefited from the assistance rendered in issue-based projects by the <u>OSCE, USDOJ and World Bank</u>, as well as the projects of the <u>foreign Embassies to Belgrade, such as the UK, French and German Embassy</u>. These projects address current issue-based needs."</p> <p><i>Source: Sector planning document, Republic of Serbia, Home Affairs, p. 10-11 and 28-30</i></p>
2015 Serbia CAP	<p>Example: Sub-sector Public Administration Reform</p> <p>"During the period 2007-2013, the Public Administration Reform (PAR) sector in Serbia, including tax and customs, received more than EUR 1 billion external assistance, with an estimated EUR 200 million being provided by the EU, through IPA I. In the seven annual programmes 2007-2013, the IPA Component I focused both on targeted technical assistance in the areas of financial control, revenue administration and financial supervision, statistics, etc. and horizontal support to the reform of the central and local public administration. EU support has been consistently aligned with interventions by other donors, most notably by the Swedish International Development Agency (<u>SIDA</u>) and the United States Agency for International Development (<u>USAID</u>).</p> <p>The public administration reform process will be supported in this programme through Sector Budget Support (SBS). The SBS programme has been designed taking into consideration the interventions and the steps undertaken in previous years, as well as on the assessments made in 2015 by the Support for Improvement in Governance and Management (SIGMA)."</p> <p><i>Source: 2015 Serbia CAP, p. 9</i></p>
Review EAMRs	<p>Alignment of IPA actions with other donors, including MS and non-EU donors:</p> <p>"The new approach under the Western Balkans Investment Framework (WBIF), which also considers the strategic framework of investment priorities put forward by the country, will make it feasible to have a complete coordination of regional and national IPA funding together with other donor interventions and financing by banks, based on the national budget planning."</p> <p><i>Source: EAMR Albania 2015, p. 11</i></p> <p>"The EUD holds the permanent chair of the Donor Technical Secretariat and contributed to a better coordination among development partners, with Civil Society Organizations and with private businesses, thus boosting the sector approaches and Government-led Integrated Policy Management Groups (IPMGs) and Sector Working Groups. Successful restructuring of the SWGs Structure and transformation into IPMGs (for 4 pilot sectors: Integrated Water Management, Employment, Competitiveness and Good Governance & PAR) have been supported</p>

I-412	<i>Degree of recognition by the EU Member States and non-EU donors of the EC's value added in given focus area/areas</i>
	<p>by the EUD. This process also included consultations with all key stakeholders. The IPMG mechanism (through an Order of the Prime Minister - PM Order No. 129, from 21.09.2015) is established to improve the planning, implementation and monitoring of national sectors reforms and to support effective mechanism for an integrated EU accession process in Albania.”</p> <p><i>Source: EAMR Albania 2015, p. 13</i></p> <p>“In September 2015, a Lead Donor arrangement in various sectors was agreed amongst EUD and development partners... The Lead Donor in the sector is committed to support the Government of Albania in (GoA) facilitating sector policy dialogue through IPMGs/SWGs and in facilitating aid coordination among development partners, and with the GoA in the framework of the Albanian National Strategy for Development and Integration (NSDI) 2015-2020 and relevant sector strategies, as well as the EU pre-accession agenda of Albania. EUD is the Lead Donor in the following sectors: (i) Good Governance and PAR (including Civil Service Reform and Anti-Corruption), (ii) Public Finance, (iii) Justice and Home Affairs; and (iv) Employability, Employment and Skills.”</p> <p><i>Source: EAMR Albania 2015, p. 27</i></p> <p>“There is limited formal or structured overall donor coordination either at sector or sub-sector level managed by the national authorities. Overall donor coordination is organised in an informal way principally by the Ministry of Foreign Affairs and European Integration, or among donors themselves particularly EUD as the largest donor. Donors coordinate closely amongst themselves and with other donors. There are also coordination groups organised by line ministries at sector level whose role should be further enhanced to reflect the sector approach. In addition, a number of important IFIs such as the European Investment Bank (EIB), the European Bank for Reconstruction and Development (EBRD) and the World Bank Group (WB) are active in Montenegro providing development targeted lending opportunities, which can complement IPA grant funds.”</p> <p><i>Source: EAMR Montenegro 2015, p.11</i></p> <p>“There are few other donors with significant grant amounts operating in Turkey and there are no multi-donor trust fund operations or similar in Turkey. An exception is the EC assistance managed through WFP and UNICEF under the EU Trust Fund for Syrian refugees, where also other donors are contributing to these UN agencies' programmes in the country.”</p> <p><i>Source: EAMR Turkey 2015, p.23</i></p>
DG NEAR Annual Activity Report 2015	<p>“Strengthening regional integration and territorial cooperation</p> <p>There was good progress on the connectivity agenda as illustrated by the successful Western Balkan summit in Vienna in August 2015. The countries agreed on the regional core transport network, the core corridors and transport projects to be implemented by 2020 as well as the appointment of corridor coordinators. On energy, the countries agreed on a short list of priority energy community investment projects to be financed under IPA 2015. The countries also agreed on a priority list of 'soft' measures in transport and energy which would increase the added value of the infrastructure investments. The 'connectivity' decision related to the 2015 investment priorities endorsed at the Vienna Summit was adopted in December.”</p> <p><i>Source: DG NEAR Annual Activity Report 2015</i></p>
DG AGRI Annual Activity Report 2015	<p>“In October 2015 a TAIEX event was organised in Brussels on "determining the reasonableness of costs under IPARD". The event was addressed to the heads of the IPARD Agencies and Managing Authorities, the National Authorising Officers and the Audit Authorities in Albania, the former Yugoslav Republic of Macedonia, Montenegro, Serbia and Turkey.”</p> <p><i>Source: DG AGRI Annual Activity Report 2015</i></p>
Interviews	<p>For MS representatives, the EU's unique supranational nature is the key for added value. Its political influence and leverage allows to engage national authorities or other donors with greater authority and legal certainty than individual MS.</p> <p>European approaches and values are promoted through EU policy dialogue,</p>

I-412	<i>Degree of recognition by the EU Member States and non-EU donors of the EC's value added in given focus area/areas</i>
	<p>technical co-operation, and capacity building. Sometimes the EU's advantage is technical (regional economic integration, for example), while sometimes it results from a particular point of view (social protection as a universal human right, for example).</p> <p>It is also unique to the EU (IPA II) to actively promote territorial cooperation such as through IPA regional and cross-border programmes.</p> <p><i>Source: Interviews with MS representatives and IPA II beneficiary stakeholders</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is sufficient.

The degree of confidence assessed is satisfactory.

1.4.1.3 I-413 Degree of enrichment of the use of particular expertise required to address the needs of the beneficiary countries where IPA II operated together with other donors and MS

I-413	<i>Degree of enrichment of the use of particular expertise required to address the needs of the beneficiary countries where IPA II operated together with other donors and MS</i>
Indicator Summary	<p>The twinning and TAIEX instruments confirm the value of particular MS expertise in addressing specific needs of IPA II beneficiaries. The fostering of long-term relations with a similar institution in an EU member state is an intangible benefit explicitly ascribed to twinning. TAIEX shares the expertise of MS public officials with beneficiaries to „fill the gaps“ in their knowledge and understanding of EU rules and procedures via the exchange of experience and best practice – thereby fostering networks between public officials and civil servants in MS and partner countries. At the sector level, a range of bilateral donors have supported strategic planning and the implementation of sectoral support.</p>
Evaluation Twinning versus Technical Assistance	<p>“Twinning projects with an input of a new member state were generally very successful, for the following reasons:</p> <ul style="list-style-type: none"> · relevant and recent experience on the side of the twinning provider; · good understanding by the twinning provider of background and environment; and · easy communication. <p>It is clear that accreditation of mandated bodies as twinning providers is the prerogative of the respective EU member states. The beneficiaries may however use above conditions to select the most appropriate provider.</p> <p>...able to provide the most up to date public expertise which is available in Member State institutions...</p> <p>The intangible benefit of twinning, i.e. that it may result in lasting contacts with a counterpart institution in an EU member state, as mentioned in the twinning manual is indeed explicitly taken into consideration in the selection procedure. The other benefit, a change in working culture, is considered only to a lesser extent. It was furthermore noticed that twinning, unlike TA, has the chance to show the beneficiaries how the <i>acquis</i> actually comes about, a practice which strengthens support for accession and EU visibility in the beneficiaries.</p> <p>Twinning places a high administrative burden on the beneficiary organizations. The case of Croatia demonstrates this. Through the twinning projects the institutions have been able to develop and enter into networks with member states which will enable them to follow the <i>acquis</i>.”</p> <p><i>Source: 2011 Evaluation Twinning versus Technical Assistance</i></p>

I-413	<i>Degree of enrichment of the use of particular expertise required to address the needs of the beneficiary countries where IPA II operated together with other donors and MS</i>
Evaluation of TAIEX instrument	<p>“TAIEX delivers peer-to-peer assistance and contributes to the delivery of appropriate tailor-made expertise to address problems at short notice.</p> <p>....the TAIEX instrument is, overall, a very appropriate instrument to address the (immediate) needs of Beneficiary Administrations. TAIEX has been considered as a useful instrument for technical assistance for all EU <i>acquis</i> chapters. TAIEX positive influence is visible in all successfully developments on strengthening administrative capacities in state institutions and administration and by upgrading the knowledge on EU legislation.</p> <p>.... TAIEX and EU assistance in general has positively affected country administrations by helping them to become more professional and client oriented. It has been assessed that the outcomes of TAIEX assistance are highly appreciated and implemented – on a large scale - by beneficiaries.</p> <p>... there is evidence of positive impact brought about by TAIEX through the deployment of top technical expertise and dissemination of good practices as benchmarks for reforms in various sectors in IPA countries. “</p> <p><i>Source: 2015 Evaluation of TAIEX Instrument</i></p>
Third IPA Interim Evaluation	<p>“IPA has been a leading driver of national strategic planning, either bilaterally or with involvement from a range of other donors, most notably the UNDP which began efforts to introduce the sector wide approach in Albania and the former Yugoslav Republic of Macedonia. In Albania and Kosovo, the EU is a leading political driver and IPA a key source of funding of efforts to establish the Integrated Planning System (IPS) as a central planning tool. In Albania, the IPS has been held up as an example of best practice despite it not surviving more recent institutional changes. It is in the process of being replicated in Kosovo with the addition of further substantial IPA resources into a Trust Fund administered by the World Bank.</p> <p>Whilst the EU because of its scale and scope is at the forefront of financing sector planning and the implementation of sectoral programmes, multilateral and bilateral donors provide important policy, political and financial support to developing the approach. Sweden, for example, implements in Kosovo the closest example in the region to sector budget support with trust fund type assistance to the education sector.</p> <p>These smaller, more mobile actors are key interlocutors for the Commission Services in learning lessons for the further development of the sector approach for the IPA II.</p> <p>The EC plays a leading role in aid coordination in those IPA beneficiary countries where there is a need to do so. It uses both formal and informal collaboration mechanisms to share information that is sufficient to avoid overlaps in the design of assistance although there will still be examples of this occurring and of stakeholders who do not feel sufficiently well informed. IPA has driven much of the development of the sector approach in beneficiary countries but other donors and agencies have made valuable contributions that will contribute to the process.”</p> <p><i>Source: Third IPA Interim evaluation, p.53</i></p>
Interviews in IPA II beneficiaries	<p>There have been a few cases where the EU MS is also the lead donor for a certain sector, based on the EU MS’ experience (for instance, Sweden is the lead donor in Environment and Climate Change as concerns the donor coordination mechanism of Serbia). The extent of direct cooperation of EU MS with IPA varies widely across countries and sectors; in the main, EU MS engagement is coordinated but implemented separately. Often EU MS were not much involved into the setting up IPA II, their active participation in Sector Working Groups varied.</p> <p>However, some EU MS helped with quick technical support were gaps had to be covered in setting up IPA II. IPA support takes much longer than EU MS bilateral support to be programmed and implemented and that is the comparative advantage of MS assistance.</p> <p><i>Source: Interviews in IPA II beneficiaries</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in the IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is sufficient.

The degree of confidence assessed is satisfactory.

1.4.1.4 I-414 Perception of key stakeholders at country level on the value added by the Commission in the indicated areas

I-414	<i>Perception of key stakeholders at country level on the value added by the Commission in the indicated areas</i>
Indicator Summary	<p>The value added comes from the political domination of the EU and the size of available funding (particularly visible in infrastructure/ investment/ supplies). Where an accession process is ongoing, this is clearly led by the Commission significantly leveraging the political and policy development in a particular beneficiary.</p> <p>The EU is characterised by unique comparative advantages in mobilising technical, legislative, political and administrative expertise in line with the interests of both, EU and beneficiary.</p> <p>IPA II support offers a multi-annual perspective for significant sector reforms which is crucial to tackle policy development in a mid-term and long-term perspective.</p> <p><i>Source: Interviews in IPA II beneficiaries</i></p>

Other evidence

	<i>Other evidence</i>
WBIF 2015 annual report	<p><i>“WBIF has become a successful cooperation platform uniting beneficiaries, donors and lenders...”</i></p> <p>WBIF blends grants and loans through Joint Grant and Joint Lending Facilities, funded by donors and IFIs respectively, to finance infrastructure projects’ preparation (technical assistance grants) and implementation (investment grants and loans). The €94 million EWBJF pools most donor funds. Over time, grant funds worth €1.3 billion have been tentatively identified for WBIF-managed operations resulting in potential loans of €7.8 billion.</p> <p>WBIF encourages national ownership; strategic prioritisation of investments; sharing of expertise; cooperation among all stakeholders; and transparency. WBIF helps making a difference for 19 million people in 6 countries.</p> <p>€ 1.3 bn funding 6 beneficiaries 23 donors 139 projects supported € 473 m grants awarded € 13.5 bn investments supported”</p> <p><i>Source: WBIF 2015 annual report, p. 6</i></p> <p>“28/08/2014 Berlin Process –new dynamics for EU path 16/12/2015 First IPA II investment grants approved (8 /144.9m)”</p> <p><i>Source: WBIF 2015 annual report, p. 7</i></p>
Third interim evaluation of IPA assistance	<p><i>“Political support from EU institutions: IPA is linked explicitly to a political process of integration into the policies and institutions of the EU which is for most beneficiaries their main policy priority. This political perspective provides a clear policy target and trajectory that to a large extent overrides local political lobbying. It provides substantial external leverage in the form of support from the institutions of the EU to overcome resistance to change both at central level and with implementation at all levels, including linking sector change to broader progress on the Accession agenda. Equally, progress in the successful implementation of the IPA reflects</i></p>

Other evidence												
	<p>positively on the political progress of negotiations for Accession.</p> <p><i>Driving a regional development agenda</i> – The Thessaloniki European Council in 2003 established the Stabilisation and Association Process for the Western Balkans that underpins the development of regional trade and common political and economic goals. IPA facilitates common and cross border projects needed to turn this political ideal into practical reality. Developing socio economic interventions under the aegis of the IPA, particularly in the development of physical connections for infrastructure, has been a key added value of the programme. For example, transnational energy interconnections in both gas and electricity have been driven by the IPA. The availability of grant funds from the IPA has prioritised national level interventions in road construction along Trans European Corridors.</p> <p><i>Scale, duration and consistency</i>– The IPA is usually the most substantial grant finance provided to a country and within most sectors represents the dominant donor. In many beneficiaries it represents at a sector level a significant proportion of the funds available outside of operating costs of the institutions themselves. As importantly, funds to be made available are generally known some years in advance and can be planned into the budgets of individual sectors as a basis of medium term budgeting... an aspect especially important in the region where many bilateral donors are withdrawing funds and where national budgets are constrained.</p> <p><i>Beneficiary led structures</i> ... the programming of the IPA is a beneficiary led process (with a certain degree of direction from the Commission) The design and implementation of the IPA is strongly led by the beneficiary authorities, especially in the decentralised management environment... other donors tend to define their areas of interest and then initiate discussions with beneficiaries on content (les beneficiary involvement/ownership/local institutions capacity).</p> <p><i>Mainstreaming of cross cutting themes</i> – Both through the inclusion of horizontal conditionalities within the programme and specifically targeting certain policy areas, the IPA introduces and raises awareness of themes such as gender equality, human rights, good governance, sustainable development and participation of civil society... such themes have been mainstreamed by the national authorities into the country strategies, legislation has been revised, practices of service providers have gradually changed towards being more gender and human rights sensitive. Through the use of transparent procurement mechanisms as well as specific projects it promotes good public procurement and anti-corruption as well as merit based recruitment of public servants.</p> <p><i>Use of peer organisations of Member States</i> –The twinning process establishes links between the Member State and the beneficiary institutions...the use of institutions and individuals involved in implementing the policy that is being transferred is a significant added value that is generally not provided by other donors. Besides the specific technical or administrative competencies (targeted by the assistance) the use of these interlocutors brings significant intangible benefits – for example collaborating with the EU institutions and agencies (eg. Eurostat).”</p> <p><i>Source: 2015 Third interim evaluation of IPA assistance, p. 53-54</i></p> <p>“For <i>component I</i> the IPA has in most cases a clear comparative advantage and added value in the form of contracting member state experts via twinning or technical assistance to establish appropriate structures for implementing the acquis. The implicit link to the EC and the accession process can be leveraged to overcome internal political resistance to change.”</p> <p><i>Source: 2015 Third interim evaluation of IPA assistance, p. 100</i></p>											
CoA Special report EU pre-accession assistance for strengthening administrative capacity in	<p>“Dialogue structures involving the Commission and the Western Balkans:</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 30%;"></th> <th style="width: 40%;">Political Dialogue</th> <th style="width: 30%;">Start</th> </tr> </thead> <tbody> <tr> <td>Albania</td> <td>High-level dialogue on key level priorities</td> <td>12/11/2013</td> </tr> <tr> <td rowspan="2">Bosnia and Herzegovina</td> <td>High-level dialogue on the accession process</td> <td>27/06/2012</td> </tr> <tr> <td>Structured dialogue on justice</td> <td>06/06/2011</td> </tr> </tbody> </table>		Political Dialogue	Start	Albania	High-level dialogue on key level priorities	12/11/2013	Bosnia and Herzegovina	High-level dialogue on the accession process	27/06/2012	Structured dialogue on justice	06/06/2011
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		<i>Other evidence</i>	
the Western Balkans: A meta-audit	Kosovo	Structures dialogue on the rule of law	30/05/2012
	The former Yugoslav Republic of Macedonia	High-level accession dialogue	29/03/2012
	Montenegro	Start accession negotiations	29/06/2012
	Serbia	Start accession negotiations	21/01/2014
	All Western Balkans countries	Stabilisation and association councils	Multiple dates
<p>These dialogue structures aimed to stimulate the political will to strengthen the rule of law, encourage administrative reform and improve public finance management, especially in the years 2014-2015. Depending on the country's political status with respect to EU membership (potential candidate, candidate or candidate with active chapter negotiations), the political dialogue structures gave rise to specialised working groups.”</p> <p><i>Source: European Court of Auditors Special report 2016: EU pre-accession assistance for strengthening administrative capacity in the Western Balkans: A meta-audit, p. 37.</i></p> <p>“In countries with which accession negotiations had not yet started, the effect of the EU–Western Balkan working groups in generating political will to promote the rule of law was limited:</p> <p>Bosnia and Herzegovina. Due to the political and institutional challenges, the political dialogue was partly ineffective. There was some progress in establishing functional and sustainable institutions, but little progress in the area of judicial system reform. The judiciary continued to suffer from persistent flaws in terms of independence, political interference and inefficiencies.</p> <p>Kosovo. Although the rule of law was the top priority in Kosovo, progress in the fight against corruption and organised crime suffered from important setbacks, as evidenced by various reports. The political dialogue had so far been ineffective in addressing the prevailing sense of impunity in this country, notably due to a lack of judicial independence, as well as limited results in the fight against corruption and organised crime.</p> <p>The political dialogue on public administration reform achieved some progress. The political dialogue on public administration reform took place in the framework of the stabilisation and association agreements (SAAs). In partnership with the beneficiary public administrations in the whole Western Balkan region, the Commission successfully set up ‘public administration reform special groups’. These special groups systematically addressed the strategic framework for public administration reform, public service and human resources management, policy development and coordination, service delivery to citizens and businesses, accountability of the public administration, as well as public finance management. They were established in 2010 in the former Yugoslav Republic of Macedonia, in 2012 in Albania, in 2013 in Kosovo in 2014 in Montenegro and Serbia and in 2015 in Bosnia and Herzegovina.”</p> <p><i>Source: European Court of Auditors Special report 2016: EU pre-accession assistance for strengthening administrative capacity in the Western Balkans: A meta-audit, p. 38-39</i></p>			

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is sufficient.

The degree of confidence assessed is satisfactory.

1.4.2 JC42: IPA II programming respects EU Division of Labour (focus on the Member States rather than other donors)

1.4.2.1 I-421 Evidence of sharing of information and policy analysis, of joint evaluations and programming missions among the EU and other donors, mainly the EU MS

I-421	<i>Evidence of sharing of information and policy analysis, of joint evaluations and programming missions among the EU and other donors, mainly the EU MS</i>
Indicator Summary	<p>Much of the aspect of information sharing is attributed to the donor coordination fora established in the individual candidate countries and potential candidates and – to some extent – the IPA Management Committee (donor coordination is addressed in particular by EQ5). Evidence of true joint programming is limited. There are a few examples where IPA II actions have been prepared together, usually with the involvement of IFIs and/ or international organisations. Joint programming involving EU and EU MS, is rare. Different programming orientations, procedures, timelines and size of funding for EU MS bilateral assistance do not correspond well with the requirements of IPA II and present a challenge for joint programming.</p>
Evaluation of the TAIEX Instrument	<p>“TAIEX delivers peer-to-peer assistance and contributes to the delivery of appropriate tailor-made expertise to address problems at short notice.” <i>Source: 2015 Evaluation of TAIEX Instrument</i></p>
Review EAMR Serbia	<p>“During the programming of the Special Measure on migration (7MEUR committed for Serbia), UN agencies have always been involved during assessment missions from EUD or Headquarters. Their analysis has always been taken into account. The Delegation has closely cooperated with UNOPS, the World Bank and FAO in discussing negotiating and adopting several IPA 2012 and 2014 EC delegation agreements and grants under the Special Measures for the floods of May 2014.” <i>Source: EAMR Serbia 2015</i></p>
Example of a joint regional project	<p>IPA II action “Regional support to protection-sensitive migration management in the Western Balkans and Turkey”: “The objective of the action is to further develop and operationalise a comprehensive migration management system in the IPA Beneficiaries applying a human rights based approach. Complementing IPA assistance at the national level, the regional programme focuses on identification of migrants, improving the information exchange mechanisms and setting up structures to facilitate voluntary and non-voluntary return solutions. The Action is being implemented as follows: one contract with an indicative amount of EUR 5.5 million, awarded to FRONTEX in form of a direct award, and one contract with an indicative amount EUR 2.5 million directly awarded to the International Organisation for Migration (IOM). While FRONTEX as the EU border agency has the combined good practice of the EU in dealing with border management and joint return operations, IOM, on the other hand, is the only organisation with an extensive expertise and experience in providing assistance on voluntary return programmes of migrants to governments. The direct grant to Frontex is financed by the EU by 100%, while the direct grant to IOM is co-financed by the IOM with 10%.” <i>Source: Action Document</i></p>
Interviews from IPA II beneficiaries	<p>There have been a few cases where the EU MS is also the lead donor for a certain sector, based on the EU MS’ experience (for instance, Sweden is the lead donor in Environment and Climate Change as concerns the donor coordination mechanism of Serbia). The extent of direct cooperation of EU MS with IPA varies widely across countries and sectors; in the main, EU MS engagement is coordinated but implemented separately Often EU MS were not much involved into the setting up IPA II, their active participation in Sector Working Groups varied. However, some EU MS helped with quick technical support were gaps had to be covered in setting up IPA II. IPA support takes much longer than EU MS bilateral support to be programmed and</p>

I-421	<i>Evidence of sharing of information and policy analysis, of joint evaluations and programming missions among the EU and other donors, mainly the EU MS</i>
	implemented and that is the comparative advantage of EU MS assistance. Joint programming involving EU and EU MS, is rare. Different programming orientations, procedures, timelines and size of funding for bilateral assistance do not correspond well with the requirements of IPA II which is programming and implementing actions at a largely higher scale compared to bilateral projects.

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is sufficient.

The degree of confidence assessed is satisfactory.

1.4.2.2 I-422 The extent to which the EU programming process is coordinated with other (mainly EU MS) donors and based on specific know-how and value added in accordance with the EC Code of Conduct guidelines

I-422	<i>The extent to which the EU programming process is coordinated with other (mainly EU MS) donors and based on specific know-how and value added in accordance with the EC Code of Conduct guidelines</i>
Indicator Summary	Programming coordination is built into the strategic planning of IPA II. During the consultation process on indicative strategy papers, donors, as important stakeholders, give input in their fields of interest and expertise, which helps better coordination of strategic priorities in a candidate country or potential candidate. This input is further taken into account when programming IPA assistance and also through the recently established sector working groups, which is important, as many EU MS also provide targeted assistance in specific sectors. Progress in improving the division of labour is mixed. Some candidate countries or potential candidates increasingly make use of comparative advantages, particularly at sector level, and try to harmonise procedures. For some beneficiaries, a more active engagement of national authorities would be helpful to improve the actual extent of division of labour. Overall, however it is noted for all IPA II beneficiaries that the EU appears in the meanwhile by far as the most significant donor. The MADAD Fund might serve as illustration how joint programming (and implementation) process can work out in crisis situations.
EAMR 2015 Albania	“Regarding the division of labour, the EUD and development partners remain committed to making full use of their respective comparative advantages at sector level by delegating, where appropriate, authority to lead donors for the execution of programmes, activities and tasks, and working together to harmonise separate procedures. In September 2015, a Lead Donor arrangement in various sectors was agreed amongst EUD and development partners to improve coordination among donors and thus, achieve complementarity and a more effective division of labour. The Lead Donor in the sector is committed to support the Government of Albania in (GoA) facilitating sector policy dialogue through IPMGs/SWGs and in facilitating aid coordination among development partners, and with the GoA in the framework of the Albanian National Strategy for Development and Integration (NSDI) 2015-2020 and relevant sector strategies, as well as the EU pre-accession agenda of Albania. EUD is the Lead Donor in the following sectors: (i) Good Governance and PAR (including Civil Service Reform and Anti-Corruption), (ii) Public Finance, (iii) Justice and Home Affairs; and (iv) Employability, Employment and Skills.” <i>Source: EAMR 2015 Albania, p. 27</i>
EAMR 2015 Bosnia and Herzegovina	“The Reform Agenda adopted by the Bosnia and Herzegovina authorities in July 2015 (the main plan for socio-economic reforms in Bosnia and Herzegovina) recognizes a leading role of IFIs in assisting socio-economic reforms, while the EU is in the lead in rule of law, good governance, and public administration reform, which are sectors also corresponding to the "fundamentals first" approach of the EU

I-422	<i>The extent to which the EU programming process is coordinated with other (mainly EU MS) donors and based on specific know-how and value added in accordance with the EC Code of Conduct guidelines</i>
	towards enlargement countries. Further progress on the division of labour, in terms of a more active role of Bosnia and Herzegovina authorities in donor coordination and including the streamlining of its mechanisms, is needed.” <i>Source: EAMR 2015 Bosnia and Herzegovina, p. 23</i>
EAMR 2015 Former Yugoslav Republic of Macedonia	“The EU is by far the biggest donor in the country having a comprehensive funding policy in 7 major sectors. In such circumstances the division of labour is of minor importance. Also USAID and SDC are active in the country and a close coordination of activities and mutual information takes place. Other EU MS are funding some smaller projects, sometimes in the context of regional programmes.” <i>Source: EAMR 2015 Former Yugoslav Republic of Macedonia, p. 32</i>
EAMR 2015 Montenegro	“The EU is the only significant donor remaining in Montenegro. Most other donors have closed operations and rely on the EU to fulfil accession preparation needs. The limited remaining funds are usually channelled by bilateral donors through the UN system. As a result, the EU Delegation has established a close and daily cooperation with the UN (UNDP/UNICEF/UNHCR) with clear complementarities. As regards GAP, the EU has a joint action with UNDP which tackles most issues outlined in the GAP 2016-2020: combating violence against women, political and economic empowerment of women and institutions strengthening in implementing gender equality policies which will eventually contribute to institutional cultural shift.” <i>Source: EAMR 2015 Montenegro, p. 32</i>
EAMR 2015 Turkey	“Considering the size and economic development status of Turkey, few other donors (besides banks for loans) are active in the country, and the EU is by far the biggest donor providing grant assistance. Both under IPA I and under IPA II the focus of assistance is on the priority sectors as defined in the MIPD 2011-2013 and in the IPA II Indicative Strategy Paper for Turkey.” <i>Source: EAMR 2015 Turkey, p. 27</i>
Implementing sector approaches in the context of EU enlargement - Challenges and Lessons learned from the Sarajevo Workshop 22-24 March 2010 A “How to” Note	“Under the EU Code of Conduct, EU donors will work towards and support the establishment of a lead donor arrangement for a sector approach thereby reducing the transaction costs for both the beneficiary and donors The lead donor should be given a substantial mandate for specific aspects of sector policy dialogue and have an obligation to regularly consult with other donors in the sector. The lead donor model might differ from one case to another. A team of supporting donors which take on roles according to local needs and circumstances could be envisaged where relevant. The important objective is to ensure that the partner country is faced with a structured donor set-up, which for example identifies who is the lead donor, which donors have agreed to delegate authority to another donor for the administration of funds and sector policy dialogue with the government, which donors will phase out of support to a sector, and which might redeploy to another sector In Albania the coordination process is being carried out through the fast track initiative on division of labour includes a division of labour between donors, outlines the responsibilities of lead donors within the Albanian Government led coordination structure in sectors most relevant to EU integration and outlines agreements on common goals and scope of work (roles and responsibilities). Following the EU Code of Conduct is also an approach the former Yugoslav Republic of Macedonia intends to take in implementing sector approaches in the sectors that have been identified as being appropriate for a sector approach. The EU Toolkit for the implementation of complementarity and division of labour in development policy is a useful resource document that brings together current experience on the division of labour on the ground.” <i>Source: Implementing sector approaches in the context of EU enlargement - Challenges and Lessons learned from the Sarajevo Workshop 22-24 March 2010 A “How to” Note, p. 9</i>
Turkey ISP	“To avoid overlapping assistance, the Commission systematically consults and meets Member States embassies, IFIs and IOs, especially at country level... On the Turkish side, the Ministry for EU Affairs made initial coordination efforts, when it was

I-422	<p><i>The extent to which the EU programming process is coordinated with other (mainly EU MS) donors and based on specific know-how and value added in accordance with the EC Code of Conduct guidelines</i></p>
	<p>preparing the grounds for a sector approach in the 2012-13 IPA programming period. Sector working groups were established and are expected to be revived to prepare multiannual sector programmes. In parallel, for investment-related loans, the Turkish Treasury has played a key role. For the future pre-accession assistance stronger coordination should be supported by respective Turkish lead institutions on a sector basis.</p> <p>To make best use of IPA II funds and to achieve a stronger overall impact, cooperation with IFIs should be increased and further systematised during the programming stages, in close partnership with the Turkish authorities, with a view to blending IPA II grants with IFI loans.”</p> <p><i>Source: Indicative Strategy Paper Turkey, p. 10</i></p>
DIE Briefing Paper	<p>“Programming level</p> <p>The programming level is about approaches and strategies (such as a specific country strategy) during the aid programming phase. The EU has started to improve donor coordination at the country level through the wider use of joint programming (JP).</p> <p>Joint programming</p> <p>Under this system, the goal is to incorporate member state and Commission bilateral country programmes in a single EU country strategy that is aligned with the partner country’s own national development plan and agreed upon by the EU institutions and member states.</p> <p>The potential qualitative benefits that this mechanism may provide are many. First and foremost, this mechanism aims at improving the levels of both alignment and ownership, which in turn allow for improved effectiveness and sustainability of aid. Second, JP has the potential to secure greater predictability and less volatility of funding for the recipient. Third, it may crucially contribute to institutional development at the recipient level. Fourth, there may be important reductions in transaction costs for the recipient government, as it can concentrate negotiations in one donor forum, be it EU-only or otherwise. Fifth, the quality, availability and sharing of information, such as aid mappings for instance, is significantly enhanced. And sixth, it has the potential to increase EU donors’ synchronisation with the recipients’ budget cycles, thus reducing transaction costs but also providing the opportunity to have a more efficient and effective impact on policies and outcomes. This is because consultations, negotiations and responses would occur in a more timely fashion in relation to the recipients’ political dynamics.</p> <p>In terms of specific benefits for EU donors, JP can contribute to more leverage and a stronger impact of “one-voice approaches”. On the recipient side, partner countries would benefit from a reduction in “conceptual diversity” and, therefore, in conceptual contradictions typical of a fragmented donor landscape that often materialise in the presence of a high number of donor-funded experts to push specific sector policies.”</p> <p><i>Source: German Development Institute (DIE) Briefing Paper 7/2014 Scenarios for Increased EU Donor Coordination: What Is the Right Level of Aid Coordination?</i></p>
Joint programming sources	<p>Capacity4Dev:</p> <p>“Joint Programming means a joint response (from the EU and its Member States) to the partner country's development strategy, built upon an efficient division of labour (including which donor should work in which sector) and indicative multi-annual financial allocations. The process is facilitated by the European Commission’s development arm, DEVCO, together with the European External Action Service.”</p> <p><i>Source: capacity4dev.ec.europa.eu: Voices & Views – Joint Programming: What for? Where? How? http://capacity4dev.ec.europa.eu/article/joint-programming-what-where-how</i></p> <p>EuropeAid website:</p> <p>"Why JP is a good idea</p> <p>Joint Programming is expected to generate benefits at different levels. First of all</p>

I-422	<p><i>The extent to which the EU programming process is coordinated with other (mainly EU MS) donors and based on specific know-how and value added in accordance with the EC Code of Conduct guidelines</i></p>
	<p>Joint Programming is expected to lower transaction costs for partner governments as they will have only one programming exercise to deal with for all EU development partners. The joint strategy will include a clear and coherent division of labour across sectors with many advantages for partner governments in terms of rationalized dialogue and coordinated interventions. EU development partners will show more coherence vis-à-vis government and other players as they work together and speak with a common voice.</p> <p>Joint Programming also aims at more coherence and less aid fragmentation as EU development partners plan together, cutting out gaps and overlaps. Moreover, we can expect higher impact aid and better value for money as EU development partners combine their resources. As together they make up more than half of official development aid funding (ODA) worldwide, Joint Programming is expected to make a real difference to global aid effectiveness, improving how tens of billions of Euros are spent each year.</p> <p>Joint Programming can also help to raise public image and accountability of development aid among EU national constituencies. There should be more visibility for EU Development Partners support as a whole, with a single "EU brand" of high quality aid, as well as more visibility for each participating Development Partners as they are associated with everything done under the "joint strategy". In addition, each Development Partner will still have their agency's recognition on the projects and programmes they are implementing.</p> <p>There should be less pressure on each DP to tackle all of the sectors and issues in a given country that are in need of attention. EU development partners can credibly demonstrate that they are part and parcel of a coherent Joint Programming which, through a division of labour, ensures that all relevant sectors and issues are being covered.</p> <p>There will be more opportunities for joint initiatives on the ground, as EU development partners are planning at the same time and for the same period. This is expected to generate savings in terms of economies of scale and reduced overhead costs.</p> <p>Joint Programming can make Europe happen on the ground, translating shared European values and policies on issues such as fundamental rights and good governance into coherent, targeted action in partner countries."</p> <p>Source: <i>EuropeAid website: Joint Programming</i> http://ec.europa.eu/europeaid/policies/eu-approach-aid-effectiveness/joint-programming_en</p>
Energy Community Website	<p>Sectors in candidate countries and potential candidates</p> <p>e.g. Energy:</p> <p>"The Energy Community is an international organisation dealing with energy policy...The Treaty establishing the Energy Community brings together the European Union, on one hand, and countries from the South East Europe and Black Sea region.</p> <p>The key aim of the organisation is to extend the EU internal energy market to South East Europe and beyond on the basis of a legally binding framework. Our objectives are to:</p> <ul style="list-style-type: none"> • Attract investment in power generation and networks to ensure stable and continuous energy supply that is essential for economic development and social stability; • Create an integrated energy market allowing for cross-border energy trade and integration with the EU market; • Enhance the security of supply; • Improve the environmental situation in relation with energy supply in the region; and • Enhance competition at regional level and exploit economies of scale." <p>Source: <i>Energy Community Website: Who Are We</i>, https://www.energy-community.org/portal/page/portal/ENC_HOME/ENERGY_COMMUNITY/Who_are_we</p> <p>"The focus of the Energy Community's work is to implement so-called Energy Community acquis - core EU energy legislation in the areas</p>

I-422	<p><i>The extent to which the EU programming process is coordinated with other (mainly EU MS) donors and based on specific know-how and value added in accordance with the EC Code of Conduct guidelines</i></p>
	<p>of electricity, gas, security of supply, oil, renewable energy, energy efficiency, environment, competition and statistics.”</p> <p><i>Source: Energy Community Website: Areas of Work, https://www.energy-community.org/portal/page/portal/ENC_HOME/AREAS_OF_WORK</i></p> <p>“At the 2015 Vienna Summit, the six Contracting Parties of the Energy Community in Southeast Europe: Albania, Bosnia and Herzegovina, Kosovo, FYR of Macedonia, Montenegro and Serbia committed to implement so-called "energy soft measures", at national and regional level. These consist of, inter alia, taking steps towards the development of trading electricity on integrated spot markets, regional balancing and regional capacity allocation as well as removing existing legal and regulatory barriers.</p> <p>In June 2016, the Grant Contract between the European Commission and the Energy Community Secretariat for provision of technical assistance to support the development of a regional energy market in the Western Balkans was finalised. The project attached to it was initiated in July 2016 and will last for two years. It can be regarded as an upgrading of the WB6 initiative and aims to continue the previous endeavours to create a regional electricity market.”</p> <p><i>Source: Energy Community Website: Areas of Work, Western Balkan Six, https://www.energy-community.org/portal/page/portal/ENC_HOME/AREAS_OF_WORK/WB6</i></p>
Review the MADAD Fund	<p>“The aim of the MADAD Fund is to help refugees in their host countries (Lebanon, Jordan, Turkey), to support border management (Western Balkans with IPA funds), and to conduct complementary actions deemed necessary.</p> <p>In line with the Fund's objective to foster a genuine European response in partnership with the host governments in the region, the Trust Fund in recent months succeeded to encourage and better connect European aid delivery capacities. As a result, up to 75% of the Fund's projects could potentially be implemented by European partners (Development agencies of EU Member States, European NGOs, Red Cross societies) in partnership with host governments This will significantly boost the EU's partnership with host governments and affected populations in the region, and also make Europe's response more visible, both as a donor and a doer.</p> <p>The Trust Fund Board also adopted strategic orientations and priorities for the Fund's first 1-2 years of operation and its selection criteria for Trust Fund projects. The EU Trust Fund is open to all EU Member States, as well as to other international donors, public or private.”</p> <p><i>Source: DG NEAR Website : EU Regional Trust Fund in Response to the Syrian Crisis, http://ec.europa.eu/enlargement/neighbourhood/countries/syria/madad/index_en.htm</i></p>
Interviews in IPA II beneficiaries	<p>In the main, programming processes are coordinated in all IPA II beneficiaries as part of the donor coordination mechanism.</p> <p>There have been a few cases where the EU MS is also the lead donor for a certain sector, based on the EU MS' experience (for instance, Sweden is the lead donor in Environment and Climate Change as concerns the donor coordination mechanism of Serbia).</p> <p>The extent of direct cooperation of EU MS with IPA varies widely across countries and sectors; in the main, EU MS engagement is coordinated but implemented separately</p> <p>Often EU MS were not much involved into the setting up IPA II, their active participation in Sector Working Groups varies.</p> <p>IPA support takes much longer than EU MS bilateral support to be programmed and implemented and that is the comparative advantage of MS assistance.</p> <p><i>Source: Interviews in IPA II beneficiaries</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is sufficient.

The degree of confidence assessed is satisfactory.

1.4.2.3 I-423 IPA II is participating in actions conceived, organized and managed by other donors or MS

I-423	<i>IPA II is participating in actions conceived, organized and managed by other donors or MS</i>
Indicator Summary	<p>Overall, only a few significant donors are still active in the Western Balkans and Turkey. IPA II funding contributing to actions managed by other donor's actions is limited, in particular in relation to EU MS. IPA II national funds are used for some multi-donor funds, both for longer-term programmes and for emergency response actions (see also MADAD Fund above). Due to the limited number of donors offering significant grants, the EU is often found in the position of the lead donor.</p>
EAMR Review	<p>"There are few other donors with significant grant amounts operating in Turkey and there are no multi-donor trust fund operations or similar in Turkey. An exception is the EC assistance managed through WFP and UNICEF under the EU Trust Fund for Syrian refugees, where also other donors are contributing to these UN agencies." <i>Source: EAMR Turkey 2015</i></p> <p>"There is good complementarity of the national, regional and thematic instruments. An example is the Western Balkans Investment Framework (WBIF) which is used to finance investment projects from the Interconnectivity agenda in the fields of transport, energy and environment. The investment projects in those fields, that have a dominant national focus, are funded through national IPA. The complementarity between the national and regional projects is secured through the sector working groups, which take place under the auspices of the National IPA Coordinator (NIPAC)...</p> <p>In 2015, particular cooperation was put into place with UN agencies in the framework of the migration/ refugees crisis. Thanks to their experience and expertise, the EU Delegation has been in close contact with UNHCR, UNOPS and IOM...</p> <p>During the programming of the Special Measure on migration (7MEUR committed for Serbia), UN agencies have always been involved during assessments missions from EUD or Headquarters. Their analysis has always been taken into account. The Delegation has closely cooperated with UNOPS, the World Bank and FAO in discussing negotiating and adopting several IPA 2012 and 2014 EC delegation agreements and grants under the Special Measures for the floods of May 2014." <i>Source: EAMR Serbia 2015</i></p>
Interviews in IPA II beneficiaries	<p>In the main, the EU is the key donor in the IPA II beneficiaries and thus in the main also leading the actions to be programmed and implemented.</p> <p>The increased use of the indirect management mode with international organisations/ EU MS agencies might also benefit the implementation process based on the relative technical advantages and competencies of these bodies.</p> <p>There have been a few cases where the EU MS is also the lead donor for a certain sector, based on the EU MS' experience (for instance, Sweden is the lead donor in Environment and Climate Change as concerns the donor coordination mechanism of Serbia).</p> <p>Besides the WBIF, the EU is also engaged in a number of initiatives from IFIs where these are taking the lead on country/ sector reform programmes based on their comparative advantages (for instance in Bosnia and Herzegovina or Montenegro). <i>Source: Interviews in IPA II beneficiaries</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is sufficient.

The degree of confidence assessed is satisfactory.

1.4.2.4 I-424 Absence of conflicts or overlapping between actions of EU MS and the EC

I-424	Absence of conflicts or overlapping between actions of EU MS and the EC
Indicator Summary	At least for bigger actions, overall donor assistance is well coordinated as concerns the relations with EU MS. No significant conflicts or overlapping has been reported in the available documents or during the field missions. Donor coordination, however depends also on the willingness of the individual donor to coordinate, and here not all EU MS are following a duly consistent approach, since close coordination is not in the centre of their work on the ground.
Factsheet on Managing the refugee crisis	<p>“The Facility for Refugees in Turkey is the answer to the EU MS’ call for significant additional funding to support refugees in the country. The Facility is designed to ensure that the needs of refugees and host communities are addressed in a comprehensive and coordinated manner.... (it) focuses on humanitarian assistance, education, migration management, health, municipal infrastructure, and socio-economic support.</p> <p>The Facility has a budget of €3 billion for 2016- 2017. This is made up of €1 billion from the EU budget, and €2 billion from the EU MS.</p> <p>Of the overall €3 billion, €2.239 billion have so far been allocated, for both humanitarian and non-humanitarian assistance. Of the €2.239 billion allocated, €652 million have been contracted. Of these €652 million contracted, €467 million have been disbursed to date.”</p> <p><i>Source: Fact sheet on Managing the refugee crisis - The facility for refugees in Turkey (Updated: 14. September 2016)</i></p>
Interviews with DG NEAR	<p>Compared to IPA I there is not much difference in cooperation and coordination with EU Member states.</p> <p>Montenegro: there are not many donors, EUD coordinates at local level; surprising aspect: the only area where donors/ MS are still somehow competing is Civil Society; these are however only very little individual allocations, they do not influence the overall quite well functioning donor coordination.</p> <p><i>Source: Interviews with DG NEAR</i></p>
Interviews in IPA II beneficiaries	<p>In most candidate countries and potential candidates, the EUDs coordinate overall with other donors (usually Meetings with Head of Cooperation); depending on the beneficiary, NIPACs officially entrusted with donor coordination for the beneficiary side.</p> <p>In the main, coordination is seen as sufficient and no substantial conflicts/ overlapping has been reported to the evaluators. The donor landscape in almost all IPA II beneficiaries is clearly laid out in the meanwhile.</p> <p><i>Source: Interviews in IPA II beneficiaries</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR and stakeholders in IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is sufficient.

The degree of confidence assessed is satisfactory.

1.5 EQ 5 on coherence, consistency, complementarity and synergies

To what extent does IPA II facilitate coherence, consistency, complementarity and synergies both internally between its own set of objectives and actions and vis-à-vis other EFIs?

1.5.1 JC51: The different IPA II actions are coherent/ complementing with one another (including coherence between bilateral and multi-country programmes) as well as with the actions of IPA I

1.5.1.1 I-511 Extent to which programming of multi-country IPA II actions is coordinated with the programming of the bilateral (national) actions

I-511	<i>Extent to which programming of multi-country IPA II actions is coordinated with the programming of the bilateral (national) actions</i>
Indicator Summary	<p>The coordination of the multi-country IPA II actions' programming with the programming of the IPA II bilateral actions is foreseen and it is implemented at various levels, i.e. during: (i) the drafting of the Indicative Strategy Papers (strategic planning), where the needs of the IPA II beneficiaries and the requirements for multi-country (regional) interventions are identified, prioritised and programmed; (ii) the elaboration of the Sector Programming Documents (SPD) for each of the focus sectors of each beneficiary, considering also the regional needs (e.g. networks); (iii) the formulation of the Annual Action Programmes (both multi-country (MC) and bilateral); and (iv) the identification/ approval of the actions to be financed under the multi-country and the bilateral programmes.</p> <p>Representatives from all competent EU and other (from the EU MS, the beneficiaries and other donors) authorities participate – as foreseen – in the relevant programming bodies/ committees.</p> <p>When the MC and the bilateral programming are not implemented in parallel (e.g. as it is for the ISPs) the one that is later is coordinated to the programming/ planning of the one that is more advanced: for example in the formulation of the Annual Action Programmes (AAP) the content of the bilateral AAP should be coordinated with the content of the MC Programmes, because the latter are always more advanced (by more than 6 months), due to the stricter rules which they have to follow in engaging their funds (i.e. (N+1), instead of (N+3) of the bilateral programmes).</p> <p>Coordination among the MC Unit (DG NEAR), the Geographical Units (DG NEAR), the EUDs and the competent National Authorities (NIPAC) for the programming of the MC and bilateral (National) programmes is good and has improved in comparison with the period of IPA I in most of the beneficiaries. The EUDs, which have undertaken bigger responsibility in the IPA II programming phase (preparation of the Action Programmes and of the Action Documents), have a key role in this coordination; existing capacity shortages (number of experienced officials) in some EUDs are expected to be dealt with soon.</p> <p>The coordination of the CBC programmes of Albania with the national programmes/ actions is weak; the organisation of the formulation of CBC programmes (at the level of the national authorities) has not been improved but remains as it was during the IPA I period.</p> <p>It has to be seen whether the existing IPA I problems concerning the updating of the National Authorities on the implementation progress of the MC Programmes will continue to exist under IPA II with the implementation of new reporting/ monitoring procedures.</p> <p><i>Sources: Interviews with DG NEAR Officials, 2014 – 2020 Indicative Strategy Papers, 2014 CAPs, 2015 Progress Reports, 2015 Thematic Evaluation IPA Roma, Interviews with stakeholders in the IPA II beneficiaries</i></p>
Civil Society Facility	<p>Programming of the national and regional CSF has been supported by TACSO project operating at the same levels.</p> <p><i>Source: 2014 Country Action Programmes</i></p>
2015 Thematic	<p>"The final MIPD (2011-13) represents an improvement in terms of general content; the MIPDs do not contain any wider vision of how the regional or horizontal</p>

I-511	<i>Extent to which programming of multi-country IPA II actions is coordinated with the programming of the bilateral (national) actions</i>
Evaluation IPA Roma	<p>dimension of IPA can clearly add value to national IPA Roma interventions. Nor do they state what niche the MBP is aiming to fill that hasn't or couldn't be filled by other IPA (and non-IPA) sources. Indeed, in many cases, the MBP projects tended to cover areas that were also the focus of interventions funded from national IPA allocations e.g. education, legislation, documentation/civil registration. In those areas where the regional dimension does provide added value (e.g. creation of regional networks) benefits were reported (see Performance section 4.4). However, these benefits were often weakened due to their lack of linkage to national policy initiatives or the absence of follow up (IPA or other) support to roll out results.”</p> <p><i>Source: 2015 Thematic Evaluation IPA Roma</i></p>
Bosnia and Herzegovina	<p>In the available reports information about synergies in national and multi-country approach can be found concerning the CSF Multi-Annual Action Documents 2016-2017. The definition of activities has been designed to ensure complementarity with the ongoing project on women victims of violence and the planned regional programme for gender.</p> <p>Several sectors (e.g. rule of law, public administration reform, education, social inclusion, human rights and fundamental freedoms) benefit from a complementary approach between IPA national, multi-beneficiary and Cross Border Cooperation programmes [.....]. Examples: the support of EUROSTAT in relation to the population census; SIGMA in relation to Public Administration Reform; and the IMF in relation to Public Finance Management.</p> <p><i>Source: Bosnia and Herzegovina country documents</i></p>
The former Yugoslav Republic of Macedonia	<p>Results of the previous years show [...] and improving coordination between the EU HQ, Delegations and national authorities in all elements of the management cycle: from programming and identification of needs through implementation up to monitoring and evaluation.</p> <p>Good examples in this aspect are the WBIF, EDIF and TAIEX. The establishment of NIC (National Investment Committee) and the Single Project pipeline will better balance the national and regional needs and ambitions and address the financial challenges.</p> <p>The WBIF methodology is being replicated at national level in the sector working groups established within the IPA II sector approach. Under the EDIF the opening of a national window to support business competitiveness has been an issue of intense discussions under the 2016 programming exercise (still to be finalized). Under TAIEX, a joint programming mission in 2015, involving also the Delegation staff, along with the national authorities, turned to be very effective in ensuring complementarity between the national and regional instruments. Other examples, such as the programming of the regional actions on PFM, as well as the findings outlined in the 2015 performance audit of the ECA call for further strengthening of the coordination in order to avoid overlaps and improve the efficiency in the use of EU funds.</p> <p><i>Source: The former Yugoslav Republic of Macedonia country documents</i></p>
Albania	<p>The process for the programming of the CBC programmes of Albania involve the same Ministry, experts and procedures as in the IPA I; nothing has changed or improved.</p> <p><i>Source: Interviews with stakeholders in Albania</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR;

Interviews with stakeholders in the IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is good.

The degree of confidence is assessed as satisfactory.

1.5.1.2 I-512 Extent to which IPA II has mechanisms securing coordination of all IPA II actions within a beneficiary country and among beneficiary countries

I-512	<i>Extent to which IPA II has mechanisms securing coordination of all IPA II actions within a beneficiary country and among beneficiary countries</i>
Indicator Summary	<p>Under the new sectoral approach, the coordination of IPA II actions within a candidate country or potential candidate is much more secured, considering that all IPA II actions have to contribute to the specific sectoral objectives as they are specified in the corresponding Sector Programming Document (SPD) and the ISP. For example, the AAPs should not include ad hoc actions which cannot fit in the corresponding approved SPDs or ISP. Furthermore, the advanced role of a single body, the EUD, in the programming procedure ensures better coordination. In addition, the tools which are used (e.g. Action Document template) request the examination of synergies, complementarity, and coherence of each action with others under implementation/ programming in the beneficiary, regardless of their source of funding. Once the novelties of the new system will have been fully stabilised and will be implemented with no difficulties by the competent stakeholders, the coordination of all IPA actions in a beneficiary will be fully secured.</p> <p>The determination of the bilateral (in each beneficiary) IPA II actions/ programmes is not foreseen to be coordinated with the bilateral actions/ programmes in other beneficiaries. All bilateral IPA II actions/ programmes are country-specific. Nevertheless, good/bad practices and actions are communicated among the candidate countries and potential candidates for “educational” purposes mainly, through the existing informal communication networks of the National Authorities of the beneficiaries.</p> <p>On the other hand, actions or parts of actions of the multi-country programmes and of the CBC and territorial cooperation programmes which are implemented in each beneficiary are coordinated in the framework of the management (direct or shared) of these programmes through their relevant specific programming and monitoring procedures. This coordination is crucial especially during the programming phase of these programmes in order to streamline the requests of the participating countries (and many times the frictions among them).</p> <p>The overall level of coordination has improved, in comparison with the IPA I period, as a result of the single responsibility undertaken by DG NEAR concerning the CBC and territorial programmes.</p> <p><i>Sources: Interviews with DG NEAR Officials, Overview of IPA programme architecture; Common sector indicators in indicative strategy papers; IPA II Performance Framework (presentation + document); 2014 – 2020 Indicative Strategy Papers, 2014 CAPs, 2015 Progress Reports, IPA II regulation REG 231-2014., IPA II Implementing regulation REG 447-2014, IPA II Programming Guide, 2015 Thematic Evaluation IPA corruption, Interviews with stakeholders in the IPA II beneficiaries</i></p>
2015 Thematic Evaluation IPA corruption	<p>“Under IPA I, Multi-beneficiary programmes were designed to complement the national programmes, addressing areas with a clear need for regional cooperation and horizontal action; e.g. fight against corruption. More than EUR 20 million was provided for regional actions to combat corruption in the enlargement region.</p> <p>The fight against corruption will continue to be a key priority in IPA II, which will be deployed within the sector Democracy and governance. The priority will be given to the Regional School of Public Administration and its extensive networks and training programme. This includes networks preparing regional comparative studies which identify best practices and proposals for how to address issues such as making asset declarations systems more effective and thus be able to fight corruption at national level.</p> <p>The existence of institutions such as HIDAA in Albania (High inspectorate for the declaration and audit of assets and conflict of interest) is specific to the Western Balkans, but might be viable as a lesson learned on best practice in the Western Balkan region to strengthen the efficiency and effectiveness of these institutions at national level, also networking for investigations needed at regional level.</p> <p>The new facility with the Council of Europe would also target the fight against corruption and strengthen implementation of GRECO and MONEVAL</p>

I-512	<i>Extent to which IPA II has mechanisms securing coordination of all IPA II actions within a beneficiary country and among beneficiary countries</i>
	recommendations in the region.” <i>Source: 2015 Thematic Evaluation IPA corruption</i>
All IPA beneficiaries	Almost all interviewed stakeholders in the IPA beneficiaries (EUD, MEI/NIPAC, SPO, MoF, Line Ministries, CSOs, International Organisations, EU Member States) have expressed their appreciation for the new sector approach in the planning/programming of IPA II, as it contributes to better coordination and dialogue among National authorities & bigger responsibility for all involved; however it requires more resources (quantity and quality). The same positive opinion was expressed for the introduction of the Sector Budget Support programmes. <i>Source: Interviews with stakeholders in the IPA II beneficiaries</i>

Sources of information used

Documentary analysis;

Interviews DG NEAR;

Interviews with stakeholders in the IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is good.

The degree of confidence is assessed as satisfactory.

1.5.1.3 I-513 Extent to which IPA II bilateral actions and CBC programmes engaging IPA II Beneficiary countries are coordinated

I-513	<i>Extent to which IPA II bilateral actions and CBC programmes engaging IPA II Beneficiary countries are coordinated</i>
Indicator Summary	<p>The coordination of the IPA II bilateral actions and IPA II CBC programmes has improved in comparison to IPA I (except for Albania). Although the basic processes and approaches for their programming and implementation remain as in the IPA I period, there are differences in the programming of the CBC programmes in the IPA II period, resulting from both the re-allocation of responsibilities (as per the respective Service Level Agreement) between DG REGIO and DG NEAR and the novelties of IPA II, which have led to more coordination. The most important of them are: Firstly, the responsibility of programming has remained with DG REGIO only for the CBC programmes with EU Member-States; the programming of all other CBC programmes is undertaken and implemented by DG NEAR; secondly, the new CBC programmes are more streamlined, addressing limited thematic priorities and ambitions (indicators); thirdly, their programming foresees the concentration of the available funds in less and bigger actions which can have a real impact in the areas of implementation, instead of many and small actions of local character.</p> <p>The above features have led to a more coordinated programming between the bilateral programmes and the CBC programmes of the involved IPA beneficiaries due to: (i) the prevailing sectoral approach in the programming of both categories of programmes; and (ii) the decision of DG NEAR to include less/ bigger projects; this has been coupled with the changing of the financial threshold for a project to be considered as “Major Project” (depending on the country: e.g. 10 mEUR for the former Yugoslav Republic of Macedonia but 30 mEUR for Turkey) so that better projects (with cross-border value) will be included in substitution of small local projects not really contributing to any development or other sectoral goal; (iii) the leading role of DG NEAR in the programming of all CBC programmes (even in those with the EU MS) provides the ground for better coordination of CBC actions with bilateral actions, despite some technical weaknesses which are covered by the support of DG REGIO.</p> <p><i>Sources: Interviews with DG REGIO Officials; 2014 – 2020 Indicative Strategy Papers, 2014 – 2020 Multi country Indicative Strategy Papers, EAMRSs 2015, IPA implementing Regulation 447/2014, Web-site of DG REGIO (Territorial cooperation, CBC); Interviews with stakeholders in the IPA II beneficiaries.</i></p>

I-513	<i>Extent to which IPA II bilateral actions and CBC programmes engaging IPA II Beneficiary countries are coordinated</i>
Bosnia and Herzegovina	<p>“Several sectors (e.g. rule of law, public administration reform, education, social inclusion, human rights and fundamental freedoms) benefit from a complementary approach between IPA national, multi-beneficiary and Cross Border Cooperation programmes,[...]. Examples of such programmes: the support: of EUROSTAT in relation to the population census; of SIGMA in relation to Public Administration Reform; and of the IMF in relation to Public Finance Management.”</p> <p>Source: <i>EAMR Bosnia and Herzegovina 2015</i></p>
Albania	<p>The process for the programming of the CBC programmes of Albania involve the same Ministry, experts and procedures as in the IPA I; nothing has changed or improved.</p> <p>Source: <i>Interviews with stakeholders in Albania</i></p>

Sources of information used

Documentary analysis;

Interviews DG REGIO;

Interviews with stakeholders in the IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is good.

The degree of confidence is assessed as satisfactory.

1.5.1.4 I-514 Extent to which IPA II actions are coordinated with IPA I actions

I-514	<i>Extent to which IPA II actions are coordinated with IPA I actions</i>
Indicator Summary	<p>Considering that IPA II is the continuation of IPA I, it is only logical that IPA II actions are coordinated with IPA I actions; this is happening also in practice. The fact that by design the implementation of IPA I and IPA II overlap in time, imposes the necessity of good coordination in terms not only of their content but also of sharing the available (EU and beneficiary) means which are necessary for their implementation; the existing backlog in the implementation of IPA I imposes further requirements for coordination. In addition, the introduction of the new sectoral approach requires extra coordination effort in the sectors that in IPA I were not managed under individual modules or in beneficiaries (e.g. Turkey) where the IPA I actions were not actually identified as part of a specific IPA programme but were ad hoc actions. All above requirements for coordination of IPA II actions with IPA I actions are satisfied under the programming processes of IPA II. The EUDs play a key role in this coordination, while an important role is played also by the NIPACs and the PMOs. However, in many of the beneficiaries, the NIPAC does not yet have the institutional capacity to do it effectively (e.g. in Kosovo), although progress in this direction is evident.</p> <p>The role of IPA monitoring committees is also crucial. In many beneficiaries, the two parallel committees (for IPA I and for IPA II) have merged under the monitoring committee of IPA II. However, records concerning the level of their coordination are not found yet.</p> <p>Sources: <i>Interviews with DG NEAR Officials; 2014 CAPs, 2015 Progress Reports, 2014 – 2020 Indicative Strategy Papers, IPA II regulation REG 231-2014., IPA II Programming Guide; EAMR Reports 2013, 2015; Interviews with stakeholders in Albania</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR;

Interviews with stakeholders in the IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is good.

The degree of confidence is assessed as satisfactory.

1.5.2 JC52: IPA II actions stimulate synergies with other EU external action financing instruments

1.5.2.1 I-521 Existence of platforms or exchanges shared by IPA II with ENI, DCI, EIDHR and IcSP

I-521	<i>Existence of platforms or exchanges shared by IPA II with ENI, DCI, EIDHR and IcSP</i>
Indicator Summary	<p>Among all the EFIs of the EU, EIDHR, IcSP, INSC and PI are geographically eligible to implement programmes/ actions in the WBT; however practically only EIDHR and IcCP have activity in the WBT; INSC is not active because there are no nuclear power plants in the candidate countries and potential candidates. On the other hand, there are programmes/ financing platforms which are financed by ENI (European Neighbourhood Instrument) and the DCI (Development Cooperation Instrument); in a number of them IPA II is also providing co-financing, for various reasons (e.g. the MADAD Fund, a response of the EU to the problems created by the crisis in Syria).</p> <p>For the coordination of the actions of these instruments in the IPA region, there is a number of platforms, some of them “permanent” and other “ad hoc”, including:</p> <ul style="list-style-type: none"> - The EUDs in the IPA beneficiaries which have the main responsibility of programming the bilateral actions financed by IPA II; - The corresponding Authorities/ bodies of the National Governments of the beneficiaries which have the mandate of coordination all donors’ activities in the beneficiary, including the EU financing Instruments; - The DG NEAR Geographical Units which are coordinating the overall EU financing activity in the IPA beneficiaries, in close cooperation with the corresponding EUDs; - The DG NEAR Multi-country Unit and the DG NEAR Unit responsible for the CBC programmes; - The IPA II Committee; the QSGs (Quality Support Groups) controlling the quality of the actions to be financed at their identification/ structuring phase and the Inter-service consultation process. - The DG DEVCO Units which are responsible to manage the EIDHR and IcSP Instruments/ programmes; - The DG DEVCO 01 Unit which has been assigned the roles of the overall coordination of all External Financing Instruments of the EU; - The Managing Authorities of the Multi-lateral Territorial Programmes (like the sea-basin) where candidate countries and potential candidates are participating; - The Managing Authorities of the CBC programmes between ENI and IPA beneficiaries (e.g. CBC Turkey-Georgia); - Committees for the discussion of interventions concerning Democracy and Human Rights (including Civil Society), as well as Security and Peace with the Council of Europe and the OSCE; - The Board of the EU Regional Trust Fund in Response to the Syrian Crisis (MADAD Fund);the EFIs contributing to this Fund are ENI, DCI and IPA II, together with a big number of EU MS funds and International Organisations & IFIs; the Steering Committee for the Facility for Refugees in Turkey (financed by IPA II and EU MS funds) - The Boards or competent Departments of the existing financial blending Facilities like the WBIF, WBEDIF, GGF, RHP. <p>All above platforms are used by the EFIs’ managing bodies for the development of common policy approaches, common (joint) or coordinated programming of interventions, synergies, complementarity and coherence for enhanced results and impacts and finally for the achievement of the Instruments’ objectives. The degree of their success on coordination varies, but in general seems to be improving.</p> <p><i>Sources: Interviews with DG NEAR, EEAS, REGIO, HOME, AGRI, EMPL Officials, 2013 Enlargement Strategy, 2014 - EU - IPA II Regulation 2014-2020 REG 231-2014, 2014 - IPA II programming guide, 2014 – 2020 Indicative Strategy Papers,</i></p>

I-521	<i>Existence of platforms or exchanges shared by IPA II with ENI, DCI, EIDHR and IcSP</i>
	<i>2014 – 2020 Multi country Indicative Strategy Papers, EAMRs 2015, Interviews with stakeholders in IPA II beneficiaries</i>
Albania	<p>“Civil Society Facility is programmed and approved through a unique Decision including regional and national CS funds, there is direct coordination between the two levels. In some cases – as for the Local Democracy Programme included in the 2016/17 CSF Programme – funds are merged from the two sources for joint use.</p> <p>As for the EIDHR, there is an internal consultation in the Delegation, in order to ensure complementarity and avoid the risk of overlapping between the EIDHR and the CSF funds. The former are mainly targeted to direct interventions to protect the rights of vulnerable groups, while the latter are mostly targeted at reinforcing the capacity of CSOs to actively participate in policy-making and monitoring. There is a very strong interaction and complementarity between the regional facility SIGMA and support provided at national level through twinning, technical assistance and sector budget support for public financial management and public administration reform (PAR). In particular with the development of principles for PAR under SIGMA, the strategic framework for monitoring progress and impact also of EU support has been established. The new approach under the Western Balkans Investment Framework (WBIF), which also considers the strategic framework of investment priorities put forward by the country, will make it feasible to have a complete coordination of regional and national IPA funding together with other donor interventions and financing by banks, based on the national budget planning.”</p> <p><i>Source: Albania EAMR 2015</i></p>
Bosnia and Herzegovina	<p>“Several sectors (e.g. rule of law, public administration reform, education, social inclusion, human rights and fundamental freedoms) benefit from a complementary approach between IPA national, multi-beneficiary and Cross Border Cooperation programmes, as well as between IPA, the EIDHR and Instrument for Stability.</p> <p>For example, the support of EUROSTAT in relation to the population census; SIGMA in relation to Public Administration Reform; and the IMF in relation to Public Finance Management. Regardless whether allocated via the IPA II national or multi-country programmes (e.g. WBIF), investments in the sectors energy, environment and transport as well as technical assistance for their preparation and implementation and the inclusion of these sectors into the Indicative Strategy Paper for Bosnia and Herzegovina are conditional on comprehensive and concrete country-wide sector strategies. In addition, investments proposed for IPA II support, in particular via the WBIF, need to be endorsed by a National Investment Committee (or an equivalent national structure) on the basis of a single project pipeline at least in the relevant sector. The regional funds made available under the Connectivity-agenda allow for concrete projects and engagement in the transport sector at a time when there are no funds available from the national envelope. Moreover, ongoing activities under IPA national funding to support competitiveness for SMEs in Bosnia and Herzegovina at the local level well complements broader financial instruments available at the regional level (e.g. EDIF).”</p> <p><i>Source: Bosnia and Herzegovina EAMR 2015</i></p>
The former Yugoslav Republic of Macedonia	<p>“Synergy between the various EU financial instruments is visible in relation to the previous years. Good examples in this aspect are the WBIF, EDIF and TAIEX.</p> <p>The establishment of NIC (National Investment Committee) and the Single Project pipeline will better balance the national and regional needs and ambitions and address the financial challenges. The WBIF methodology is being replicated at national level in the sector working groups established within the IPA II sector approach. Under the EDIF the opening of a national window to support business competitiveness has been an issue of intense discussions under the 2016 programming exercise (still to be finalized).</p> <p>Under TAIEX, a joint programming mission in 2015, involving also the Delegation staff, along with the national authorities, turned to be very effective in ensuring complementarity between the national and regional instruments.</p> <p>Other examples, such as the programming of the regional actions on PFM, as well as the findings outlined in the 2015 performance audit of the ECA call for further</p>

I-521	<i>Existence of platforms or exchanges shared by IPA II with ENI, DCI, EIDHR and IcSP</i>
	strengthening of the coordination in order to avoid overlaps and improve the efficiency in the use of EU funds.” <i>Source: The former Yugoslav Republic of Macedonia EAMR 2015</i>
Serbia	“There is good complementarity of the national, regional and thematic instruments. An example is the Western Balkans Investment Framework (WBIF) which is used to finance investment projects from the Interconnectivity agenda in the fields of transport, energy and environment. The investment projects in those fields, that have a dominant national focus, are funded through national IPA. The complementarity between the national and regional projects is secured through the sector working groups, which take place under the auspices of the National IPA Coordinator (NIPAC). Serbia is a signatory of many treaties with a regional aspect and participates in a number of regional initiatives, among which the most relevant is the Central European Free Trade Agreement (CEFTA).” <i>Source: Serbia EAMR 2015</i>
Turkey	“By far, IPA has been in terms of financial volumes the main external financial instrument in use, complemented by a minor envelope of the thematic EIDHR and singular interventions through the Instrument for Stability (IfS). Complementarity has been mainly achieved in support of civil society where parts of the IPA funds have been managed under IMBC, other parts of IPA under de-concentrated direct management as part of the regional ELARG/NEAR Civil Society Facility, and human rights focused CSO actions through EIDHR as well as peace building related actions through IfS. With the continuation of the Syrian refugee crisis and its impact on Turkey, increasingly also ECHO humanitarian assistance has come into the picture. Likewise, under the Instrument contributing to Stability and Peace (IcSP) refugee-related support has been programmed in the reporting period and implementation started both for national and regional (cross-border) actions while also under IPA in the fields of migration management and education relevant actions have been programmed and implemented. Moreover, with the establishment of the EU Trust Fund for Syrian refugees under direct management in DG NEAR first actions have been also programmed for Turkey with additional support in the programming pipeline. While the complementarity of the various instruments and interventions is ensured by coordination in the EU Delegation's, the picture is certainly getting more complex and requires additional resources for coordination. Lastly, in the energy sector the responsibility for funding nuclear safety related measures has been shifted from IPA (here so far only one Twinning on this topic under indirect management) to the Instrument for Nuclear Safety Cooperation (INSC) under direct management responsibility by DEVCO. Given the few interventions and relatively small amounts involved, coordination to ensure complementarity has not been identified as an issue so far.” <i>Source: Turkey EAMR 2015</i>

Sources of information used

Documentary analysis;

Interviews DG NEAR, REGIO, HOME, AGRI, EMPL, EEAS;

Interviews with stakeholders in the IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is good.

The degree of confidence is assessed as satisfactory.

1.5.2.2 I-522 Evidence (nature and scope) of synergies of IPA II actions with actions of other external action financing instruments

I-522	<i>Evidence (nature and scope) of synergies of IPA II actions with actions of other external action financing instruments</i>
Indicator Summary	The common presence and cooperation of the EFIs in the candidate countries and potential candidates (mainly IPA II, EIDHR and IcSP, which are the really active EFIs in the WBT) is not something new; recent such cooperation are those for

I-522	Evidence (nature and scope) of synergies of IPA II actions with actions of other external action financing instruments
	<p>addressing the damages created by the floods in Serbia and B&H in 2014 and the problems created to Serbia and to the former Yugoslav Republic of Macedonia from the migration crisis in 2015 and 2016. For many years, i.e. since the start of their co-existence in the region, their managing EU Services (DG ELARG, DG DEVCO, FPI, EUDs) have promoted/ implemented many measures to coordinate their relevant interventions and achieve synergies. On the contrary, the CSOs/LA programme of DCI which was active in the candidate countries and potential candidates in the period of IPA I, addressing specific needs of the CSOs and Local Authorities, is not eligible anymore during the IPA II period. This is certainly a big loss for the CSOs and particularly for LAs which do not have many opportunities to have their actions implemented under IPA II.</p> <p>In practice, the complementarity and synergies of the actions of the various EFIs are coordinated from the outset at various levels: in coordinating committees called by the geographical instrument (IPA II) competent services, in the framework of the work of the corresponding thematic CoTEs of DG NEAR, in the EUDs, and during inter-service consultations (QSG, comitology).</p> <p>Synergies between IPA II actions and those of the other EFIs exist especially when the thematic instruments' actions (which are usually smaller in budget and implementation duration than the IPA ones) are coordinated with the IPA actions; contradictions and overlapping are in general avoided and complementarities are promoted where this is possible, aiming at maximizing the overall result/ impact.</p> <p><i>Sources: Interviews with DG NEAR & HOME Officials; 2013 Enlargement Strategy, 2014 - EU - IPA II Regulation 2014-2020 REG 231-2014, 2014 - IPA II programming guide, 2014 – 2020 Indicative Strategy Papers, 2014 – 2020 Multi country Indicative Strategy Papers, EAMRs 2015; Interviews with stakeholders in IPA II beneficiaries; Notes of the Evaluation team of the EIDHR Instrument</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR;

Interviews with stakeholders in the IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is good.

The degree of confidence is assessed as satisfactory.

1.5.2.3 I-523 Evidence (nature and scope) for actions under ENI, DCI, EIDHR, IfS, INSC and IPA II that are mutually reinforcing

I-523	Evidence (nature and scope) for actions under ENI, DCI, EIDHR, IfS, INSC and IPA II that are mutually reinforcing
Indicator Summary	<p>Considering that the actions of the various EFIs are coordinated in order to achieve synergies, it is only logical that they should be expected to mutually reinforce each other, when they are addressing the same topic/ subject.</p> <p>Very good examples can be found in relation to EIDHR, Civil Society Facility, IcSP etc. which are supporting the same or very similar objectives and priorities as IPA (i.e. The Rule of Law, Good Governance, Citizen Participation etc.). For example in Bosnia and Herzegovina, the support of EUROSTAT in relation to the population census; SIGMA in relation to Public Administration Reform; and the IMF in relation to Public Finance Management. Another example is the MADAD Fund: funds provided by ENI, IPA II, DCI and EU MS are commonly funding the MADAD Fund actions; therefore the contributions of all above EFIs are mutually reinforced at the level of the EU TF.</p> <p><i>Sources: Interviews with DG NEAR & HOME Officials; 2013 Enlargement Strategy, 2014 – 2020 Indicative Strategy Papers, 2014 – 2020 Multi country Indicative Strategy Papers, EAMRSs 2015</i></p>

I-523	<i>Evidence (nature and scope) for actions under ENI, DCI, EIDHR, IfS, INSC and IPA II that are mutually reinforcing</i>
Bosnia and Herzegovina	<p>“Several sectors (e.g. rule of law, public administration reform, education, social inclusion, human rights and fundamental freedoms) benefit from a complementary approach between IPA national, multi-beneficiary and Cross Border Cooperation programmes, as well as between IPA, the EIDHR and Instrument for Stability. For example, the support of EUROSTAT in relation to the population census; SIGMA in relation to Public Administration Reform; and the IMF in relation to Public Finance Management. Regardless whether allocated via the IPA II national or multi-country programmes (e.g. WBIF), investments in the sectors energy, environment and transport as well as technical assistance for their preparation and implementation and the inclusion of these sectors into the Indicative Strategy Paper for Bosnia and Herzegovina are conditional on comprehensive and concrete country-wide sector strategies. In addition, investments proposed for IPA II support, in particular via the WBIF, need to be endorsed by a National Investment Committee (or an equivalent national structure) on the basis of a single project pipeline at least in the relevant sector. The regional funds made available under the Connectivity-agenda allow for concrete projects and engagement in the transport sector at a time when there are no funds available from the national envelope. Moreover, ongoing activities under IPA national funding to support competitiveness for SMEs in Bosnia and Herzegovina at the local level well complements broader financial instruments available at the regional level (e.g. EDIF).”</p> <p><i>Source: Bosnia and Herzegovina EAMR 2015</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR & HOME;

Interviews with stakeholders in the IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is intermediate.

The degree of confidence is assessed as satisfactory.

1.5.2.4 I-524 Extent to which the coherence of IPA and EIB actions is considered in agreements and programming documents

I-524	<i>Extent to which the coherence of IPA and EIB actions is considered in agreements and programming documents</i>
Indicator Summary	<p>The EIB is a crucial partner of DG NEAR in the candidate countries and potential candidates, contributing to their successful support in their way to EU accession. In addition to the “good loans” covering an important part of the financing of the implementation of sound investments and other interventions in these beneficiaries, the EIB also provides many other types of financial support and specific services leading to the financing of needed interventions. The internal coherence of IPA II and EIB interventions is strong when both are participating in the financing of specific actions/ programmes, due to the financial analysis and assessment preceding their relevant financing decisions. The planning/ programming procedures of both DG NEAR (for IPA II) and EIB foresee that they both are invited to participate in the relevant planning/ programming discussions of each other; furthermore, EIB as the coordinating partner of the WBIF is working uninterruptedly for the development through the WBIF of the Single Project Pipeline (SPP) in each WB beneficiary which provide the basic tool for the identification and financing (through blending of loans and grants) of priority, sustainable investment projects of regional or national character.</p> <p><i>Sources: Interviews with DG NEAR Officials; 2007 Enlargement Strategy, Proposal for IPA II Regulation COM 2011-838, 2013 Progress reports, WBIF Annual Report 2015, WBIF website; EIB website.</i></p>
2007 Enlargement Strategy	<p>“According to the 2007 Enlargement Strategy, the maximum leverage of grant support to private sector development and infrastructure investment will be sought through intensified cooperation with the European Investment Bank (EIB), as well as</p>

I-524	<i>Extent to which the coherence of IPA and EIB actions is considered in agreements and programming documents</i>
	<p>the European Bank for Reconstruction and Development (EBRD) and other International Financial Institutions (IFIs). The Commission will ensure closer coordination with other donors across the range of their activities and encourage them to be active in priority fields identified in this communication. Implementation will also be streamlined following the transfer of responsibilities from the European Agency for Reconstruction to Commission delegations and offices.”</p> <p><i>Source: 2007 Enlargement Strategy</i></p>
<p>IPA II Regulation 2014-2020 REG 231- 2014</p>	<p>“Article 5 Compliance, coherence and complementarity</p> <ul style="list-style-type: none"> • The Commission, the Member States and the European Investment Bank (EIB) shall cooperate in ensuring coherence and shall strive to avoid duplication between assistance provided under this Regulation and other assistance provided by the Union, the Member States and the EIB, including through regular and inclusive meetings aimed at coordinating the assistance. • The Commission, the Member States and the EIB shall ensure coordination of their respective assistance programmes to increase effectiveness and efficiency in the delivery of assistance and to prevent double funding, in line with the established principles for strengthening operational coordination in the field of external assistance, and for the harmonisation of policies and procedures, in particular the international principles on aid effectiveness. Coordination shall involve regular consultations and frequent exchanges of information during the different phases of the assistance cycle, in particular at field level, and shall constitute a key step in the programming processes of the Member States and the Union.” <p><i>Source: 2014 - EU - IPA II Regulation 2014-2020 REG 231-2014</i></p>
<p>Kosovo</p>	<p>“On 7 June 2013, the European Investment Bank (EIB) signed a Framework agreement with Kosovo. The agreement allows the bank to proceed with the financing of projects in Kosovo and to provide technical assistance. The EIB’s involvement will also facilitate the co-financing of projects with other donors and support the implementation of various instruments,[...]”</p> <p><i>Source: 2013 Report Kosovo</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR.

Assessment of quality of evidence

The level of information of this indicator is good.

The degree of confidence is assessed as satisfactory.

1.5.3 JC53: IPA II complements with other EU instruments outside of development and other external policies, notably the EU territorial cooperation programmes and the regional macro strategies

1.5.3.1 I-531 Evidence (nature and scope) of synergies of IPA II actions with actions/ strategies of other EU instruments outside of development and other external policies, notably the EU territorial cooperation programmes and the macro regional strategies

I-531	<i>Evidence (nature and scope) of synergies of IPA II actions with actions/ strategies of other EU instruments outside of development and other external policies, notably the EU territorial cooperation programmes and the macro regional strategies</i>
<p>Indicator Summary</p>	<p>For the candidate countries and potential candidates, the CBC and the Macro-regional strategies are most relevant; CBC is finally implemented through programmes targeting the cross-border areas between the IPA beneficiaries and the EU MS, among IPA beneficiaries and between IPA beneficiaries and their Eastern neighbours (ENI-East countries). For programming and implementation of these</p>

I-531	<i>Evidence (nature and scope) of synergies of IPA II actions with actions/ strategies of other EU instruments outside of development and other external policies, notably the EU territorial cooperation programmes and the macro regional strategies</i>
	<p>programmes, the competent national and EU authorities (DG NEAR/IPA Units and EUDs) cooperate with DG REGIO and DG NEAR/ ENI Units. The financing of the programmes is provided by ERDF and IPA II. Monitoring/ management are implemented by specific Managing Authorities which are formed for this purpose. The Macro-regional Strategies are implemented through trans-national programmes, co-financed by IPA and ERDF, ENPI/ENI and many other financing Institutions through existing Facilities like the WBIF; those of the interest of the IPA beneficiaries are the programmes addressing: the Danube region, the Adriatic-Ionian region and the ENI sea basin programmes namely the Mediterranean sea basin programme and the Black sea basin programme.</p> <p>IPA II bilateral actions and actions of the territorial cooperation programmes in the regions are coordinated for increased synergies and results; this coordination is implemented during both the initial structuring and programming of the territorial cooperation programmes, but also during the identification of the specific actions to be implemented in their framework; the latter coordination takes place in the Managing Authorities of the relevant programmes, in which all interested stakeholders are represented.</p> <p>Furthermore IPA II actions/ programmes take into consideration and are coordinated with the actions and policies of other EC line DGs like DG TRADE, HOME, ENERGY, MOVE, ECHO, ENV, CLIMA, EMPL et.al.</p> <p><i>Sources: Interviews with DG NEAR & REGIO Officials; 2014 – 2020 Indicative Strategy Papers, 2014 – 2020 Multi country Indicative Strategy Papers; Web-site of DG REGIO (territorial cooperation, CBC programmes, sea basin programmes, macro regional strategies programmes, interviews with line DGs' representatives</i></p>
IPA II MC ISP 2014 - 2020	<p>According to the IPA II Multi-country IS 2014 – 2020, the “IPA II will also finance, as appropriate, the participation of eligible regions of IPA II beneficiaries in transnational cooperation programmes under the Structural Funds' European Territorial Cooperation objective as well as in cross-border cooperation programmes under the European Neighbourhood Instrument (ENI). These programmes are subject to specific priority areas as defined in the corresponding Regulations and programmes. As regards to ERDF transnational cooperation programmes, IPA II beneficiaries are eligible to participate in four programmes: the "Danube" programme, the "Adriatic-Ionian" programme, the "Mediterranean" programme and the "Balkans – Mediterranean " programme. The geographical scope of the "Danube" and the "Adriatic-Ionian" transnational programmes matches that of the corresponding macro-regional strategies. According to the Regulations of the European Structural and Investment Funds 2014-2020, these programmes will support the implementation of the strategies, including their governance structures. Turkey is the only IPA country which is eligible to the ENI sea basins programmes, namely the Black Sea Basin programme and the Mediterranean Sea Basin programme. IPA II will continue to support the participation of Turkey in the Black Sea Basin aiming to achieve a stronger and sustainable socio-economic development of the Black Sea Basin region. In addition horizontal support will be provided for capacity building for cross-border cooperation in particular to strengthen local authorities.”</p> <p><i>Source: IPA II, Multi-country Indicative Strategy Paper (2014-2020)</i></p>
Serbia	<p>“Serbia has from the very start been a strongly committed partner in the EU Strategy for the Danube Region. It is coordinating two Priority Areas, PA 7 "Knowledge Society" (University of Novi Sad) and PA1b Rail, Road and Air (Ministry for Infrastructure). The national coordination for the Strategy is with the Serbian European Integration Office, who also coordinates a wide range of funds such as IPA and bilateral and multilateral donor funds. This facilitates the link between strategic Danube Region projects and their financing and implementation. Within the allocation for the “Instrument for Pre-Accession, 19.5 million have been allocated for projects from the Danube Strategy. This money are used both in direct projects such as reconstructing Golubac fortress but also to strengthen coordination activities of</p>

I-531	<i>Evidence (nature and scope) of synergies of IPA II actions with actions/ strategies of other EU instruments outside of development and other external policies, notably the EU territorial cooperation programmes and the macro regional strategies</i>
	<p>the Danube Strategy in Serbia. The Serbian Government has established a working group for cooperation with the EU in the Danube Region, composed of 10 ministries, the Government of the Autonomous Province of Vojvodina, and the Council for European Integration.”</p> <p><i>Source: EU Strategy for the Danube Region - National factsheet - Serbia</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR, REGIO and CLIMA.

Assessment of quality of evidence

The level of information of this indicator is intermediate.

The degree of confidence is assessed as satisfactory.

1.5.3.2 I-532 Extent to which coherence with other (than external action) Union policies is considered in IPA II programming documents

I-532	<i>Extent to which coherence with other (than external action) Union policies is considered in IPA II programming documents</i>
Indicator Summary	<p>Due to the geographic proximity, but also the special status (EU candidate or potential candidate) of the IPA beneficiaries, most of the (non-external action) thematic policies of the EU are relevant to them; these are policies promoted by the line DGs (mainly DG AGRI, HOME, ENV, CLIMA, EMPL, REGIO, ECFIN, ENE, ECHO, MOVE, TRADE) and their Agencies.</p> <p>The coherence of these EU policies with the EU enlargement policy is well promoted during both the planning/ programming of IPA II and its implementation, through many platforms, such as: the DG NEAR geographical and Multi-country programming committees (supported also by the CoTE), the EUDs, the QSGs and the inter-service consultation process, et al. Examples of EU policies which are promoted in the IPA beneficiaries are: the Energy trading market and networks, the TEN-T networks, the migration policy, the Human Rights and Rule of Law policies, etc.</p> <p>In the current IPA II period new “means/ tools” have been introduced to enhance the coherence of EU policies in the WBT. These include: the concentration of both the political and the “technical” responsibility of IPA II in the “hands” of one EU Authority, namely DG NEAR; the new sectoral planning/ programming approach; the creation of the CoTEs; the provision of Art.2, para.6 of the CIR, concerning the appropriate environmental screening, including for climate change and biodiversity impacts; in parallel more audits and consultations have been introduced which lead to a more intensified and responsive action by the EU competent authorities (DG NEAR and line DGs). It is still early for assessing the real effects of all above measures, but for sure a more coordinated relevant action is implemented in the current period.</p> <p><i>Sources: Interviews with DG NEAR, EMPL, HOME, AGRI, REGIO, CLIMA Officials; 2014 – 2020 Indicative Strategy Papers, 2014 – 2020 Multi country Indicative Strategy Papers; Procedures of QSGs</i></p>
Albania	<p>“Financial assistance to the sectors identified in the ISP will be granted in line with and in support of the EU enlargement strategy for Albania. It will be shaped to be consistent with EU policies relevant for the respective sectors, in particular with the Europe 2020, the EUSAIR, and the SEE 2020 strategies as EU flagship initiatives to boost growth and jobs and promote smart, inclusive and sustainable growth initiatives as well as the climate policy objectives of the EU. The objectives set until 2020 reflect the level of economic development and Albania's level of preparedness in the accession process.”</p> <p><i>Source: Albania ISP 2014-2020</i></p>

I-532	<i>Extent to which coherence with other (than external action) Union policies is considered in IPA II programming documents</i>
Bosnia and Herzegovina	<p>“Financial assistance in the priority areas identified in the ISP will be granted in line with and in support of the enlargement strategy for Bosnia and Herzegovina. It will be shaped to be consistent with EU policies in the same area, in particular with the Europe 2020 strategy and applicable macro-regional strategies EUSDR and EUSAIR, the flagship initiatives of the EU to boost growth and jobs, as well as the climate policy objectives of the EU. The objectives set until 2017 reflect the level of economic development and the stage in the accession process of Bosnia and Herzegovina. The objectives agreed under the SEE 2020 Strategy are important benchmarks for the reform efforts of Bosnia and Herzegovina and financial assistance under IPA II will be used by Bosnia and Herzegovina to support meeting these benchmarks.”</p> <p><i>Source: Bosnia and Herzegovina ISP 2014-2017</i></p>
Kosovo	<p>“Financial assistance in the priority areas identified in the Indicative Strategy Paper will be granted in line with and in support of the enlargement strategy for Kosovo. It will be shaped to be consistent with EU policies in the same area, in particular with the Europe 2020 strategy and applicable macro-regional strategies, the flagship initiatives of the EU to boost growth and jobs, as well as the environment and climate policy objectives of the EU. The objectives set until 2020 reflect the expected level of economic development and the state of progress in Kosovo's integration process. The objectives agreed under the SEE 2020 Strategy are important benchmarks for Kosovo's reform efforts and financial assistance under IPA II will be used to support meeting these benchmarks.”</p> <p><i>Source: Kosovo ISP 2014-2020</i></p>
The former Yugoslav Republic of Macedonia	<p>“Financial assistance in the priority areas identified in the Indicative Strategy Paper will be granted in line with and in support of the EU's enlargement strategy, consistent with relevant EU policies, in particular with the Europe 2020 strategy and applicable macro-regional strategies, flagship initiatives of the EU to boost growth and jobs, as well as climate policy objectives. The objectives set for 2020 reflect today's level of economic development and the country's stage in the accession process. The country specific reform objectives of the SEE 2020 Strategy are important reform goals and IPA II will be used to support meeting these goals.”</p> <p><i>Source: The former Yugoslav Republic of Macedonia ISP 2014-2020</i></p>
Montenegro	<p>“Financial assistance in the priority areas identified in the ISP will be granted in line with and in support of the enlargement strategy for Montenegro. It will be shaped to be consistent with other EU policies in the same area, in particular with the applicable macro-regional EUSDR and EUSAIR strategies and the Europe 2020 strategy and its flagship initiatives, such as the Digital Agenda for Europe, to boost growth and jobs. Furthermore, IPA II support will be designed in line with the objectives of the EU environment and climate policy. The objectives set in this paper have been selected taking into account Montenegro's level of economic development, as well as the stage the country has reached in the accession negotiations and the challenges it needs to address in order to advance in this process. Furthermore, the objectives agreed under the SEE 2020 Strategy represent important benchmarks for the reform efforts of Montenegro and the financial support under IPA II will be used to support meeting these targets.”</p> <p><i>Source: Montenegro ISP 2014-2020</i></p>
Serbia	<p>“Financial assistance in the priority areas identified in this CSP will be granted in line with and in support of the enlargement strategy for Serbia. It will be shaped to be consistent with EU policies in the same area, in particular with the Europe 2020 strategy and applicable macro-regional strategies, the flagship initiatives of the EU to boost growth and jobs, as well as the climate policy objectives of the EU. The objectives set until 2020 reflect the level of economic development and the stage in the accession process of Serbia. The objectives agreed under the SEE 2020 Strategy are important benchmarks for the reform efforts of Serbia and financial assistance under IPA II will be used by Serbia to support meeting these benchmarks. Climate action also represents a cross-sectorial element that applies</p>

I-532	<i>Extent to which coherence with other (than external action) Union policies is considered in IPA II programming documents</i>
	to most sectors, notably transport, energy and agriculture and rural development.” <i>Source: Serbia ISP 2014-2020</i>
Turkey	“Financial assistance in the priority areas identified in the Indicative Strategy Paper will be granted in line with and in support of the enlargement strategy for Turkey. This assistance will be consistent with EU policy, in particular with the Europe 2020 strategy and relevant macro- regional strategies, the EU flagship initiatives to boost growth and jobs as well as the EU climate policy objectives. In drafting its National Development Plan, Turkey has taken many aspects of the Europe 2020 strategy into account. Turkey’s objectives between now and 2020 reflect its level of economic development and its stage in the accession process.” <i>Source: Turkey ISP 2014-2020</i>
Multi-country	“Financial assistance in the priority areas identified in the MCSP will be granted in line with, and in support of, the enlargement strategy for the Western Balkans and Turkey. It will be shaped to be consistent with other EU policies in the same area, in particular with the Europe 2020 strategy and applicable EU macro-regional strategies, the flagship initiatives of the EU to boost growth and jobs and the climate policy objectives of the EU. Furthermore, the objectives agreed under the SEE 2020 Strategy represent important benchmarks for the reform efforts of the countries and the financial assistance under IPA II will be used to support meeting these targets.” <i>Source: Multi-country ISP 2014-2020</i>

Sources of information used

Documentary analysis;

Interviews DG NEAR, EMPL, HOME, AGRI, REGIO, CLIMA.

Assessment of quality of evidence

The level of information of this indicator is sufficient.

The degree of confidence is assessed as satisfactory.

1.5.3.3 I-533 Level of coordination of resources and pooling of contribution from other (than external action) Funds/ instruments of the Union budget

I-533	<i>Level of coordination of resources and pooling of contribution from other (than external action) Funds/ instruments of the Union budget</i>
Indicator Summary	<p>The Funds/ Financing Instruments of the EU budget which are active in the candidate countries and potential candidates are few, including the European Structural & Investment Funds (mainly the European Regional Development Fund, which is co-financing territorial cooperation programmes together with IPA II) and a couple of thematic Funds providing small funds for soft (research/ support) actions, in a few cases through TAIEX.</p> <p>The resources of the ERDF are fully coordinated under the specific programmes which they co-finance, by the common action of DG REGIO and DG NEAR/ EUDs. All other actions are coordinated by the EUDs in the IPA beneficiaries. However, their actual direct impact is in general small.</p> <p>Most of the line EC DGs (such as DG CLIMA) do not have own budgets for the financing of their actions outside the EU; instead they are using the funds of the EFIs for this; many times they are content managers in actions financed by the EFIs; this is happening also under IPA.</p> <p><i>Sources: Interviews with DG NEAR, EMPL, HOME, AGRI, REGIO Officials; 2014 – 2020 Indicative Strategy Papers, 2014 – 2020 Multi country Indicative Strategy Papers</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR, EMPL, HOME, AGRI, REGIO.

Assessment of quality of evidence

The level of information of this indicator is sufficient.

The degree of confidence is assessed as satisfactory.

1.5.3.4 I-534 Degree of harmonisation of IPA II procedures with those of European territorial cooperation (joint operational programmes)

I-534	<i>Degree of harmonisation of IPA II procedures with those of European territorial cooperation (joint operational programmes)</i>
Indicator Summary	<p>In the current period, programming procedures of the CBC programmes co-financed by IPA II are managed by two DGs: CBC programmes of IPA beneficiaries with EU MS are managed by DG REGIO, while all other CBC programmes are managed by DG NEAR. Although there are differences in the procedures of the two DGs, in practice in the case of the CBC programmes the procedures which are applied are almost the same (since they are a continuation of the common procedures implemented in the IPA I period). The same holds also for the techniques/ tools used, like the financial analysis of the candidate projects, the existence of major projects – having a budget above a certain amount- which are examined in greater depth, etc.</p> <p>The coordination of the CBC actions with those of the bilateral IPA II actions in the beneficiaries have changed, since they are implemented under the new sectoral programming approach. On the other hand, the CBC implementation procedures are essentially those of the previous period (Joint Management Committees). As far as the other territorial cooperation programmes are concerned nothing has changed in the current period since their management continues to be exercised by DG REGIO.</p> <p><i>Sources: Interviews with DG NEAR & REGIO Officials; DG REGIO website (Territorial cooperation programmes)</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR & REGIO.

Assessment of quality of evidence

The level of information of this indicator is sufficient.

The degree of confidence is assessed as satisfactory.

1.5.3.5 I-535 Extent to which a framework in the area of energy and resources, consistent with the EU's internal market rules, is promoted in the Beneficiary countries through the actions of IPA II

I-535	<i>Extent to which a framework in the area of energy and resources, consistent with the EU's internal market rules, is promoted in the Beneficiary countries through the actions of IPA II</i>
Indicator Summary	<p>Due to the geographic proximity and the status (candidate/ potential candidate for EU accession) of the IPA beneficiaries, the EU is keen to promote in these beneficiaries its energy and resources related policies, which will increase energy security and promote the energy related EU investments and business in the WBT. One of the focus areas concerns the development of open energy market rules in the candidate countries and potential candidates. The open market rules comprise: development of simple, harmonised legal framework and implementation of measures for: energy pricing; energy saving; renewable sources of energy; compatible energy networks; smart grids and meters; separation of energy supply and generation from the operation of transmission networks (unbundling), independence of national energy regulators, independence of retail markets, consumer protection, in-country energy market, government interventions, fair trading of energy wholesale markets, et al.</p> <p>The energy sector in most of the IPA beneficiaries has many problems in both the infrastructure and the operation; many investments and structural reforms are needed. IPA II is promoting improvements in the sector on the basis of the relevant SPD of each beneficiary. Logically enough due to the big number of actions needed</p>

I-535	<i>Extent to which a framework in the area of energy and resources, consistent with the EU's internal market rules, is promoted in the Beneficiary countries through the actions of IPA II</i>
	<p>to be implemented in each beneficiary and the lack of the needed funds (but also of the low capacity of the energy sector stakeholders in the beneficiary) there have been differences in the approach used and in the results of the analysis on the prioritisation of actions to be financed. These are issues dealt with in the frame of the negotiations of the competent EU Services with their national counterparts.</p> <p>DG NEAR, being the leader of the EU services in these negotiations is supported by the newly established CoTE – Energy but also by DG ENERGY. WBIF is another platform where the big energy infrastructure projects are examined, prioritised and assessed in order to be promoted for implementation under a blending of financing.</p> <p><i>Sources: 2007 – 2013 CBC programmes, 2014 – 2020 Indicative Strategy Papers, Country reports 2013; DG ENER website; WBIF Web-site, WBIF Annual report 2015</i></p>
Serbia	<p>“Support will be provided for key infrastructure investments in the transport, environment and climate action, and energy sectors as well as for acquis alignment and institution building in these sectors. The transport sector has a strong potential to contribute to competitiveness and trade, as Serbia is located at the crossroads of Pan-European Corridor VII (the Danube river), which connects the North Sea to the Black Sea, and Corridor X (road and rail) between Austria and Greece. Substantial investments in the environment sector – especially in waste management, water management and municipal wastewater treatment – are also needed for Serbia to meet the requirements of the EU environmental policies. Climate action sector is important for accelerating economic growth and building resilience to climate change and its impact. In the energy sector the focus of EU assistance will be on improving competitiveness of the energy market, energy efficiency and security of supply (also in the regional context) as well as on developing renewable energy sources.”</p> <p><i>Source: Serbia ISP 2014-2020</i></p>
Kosovo	<p>“Kosovo is party to the Energy Community Treaty and has adopted a number of laws on the energy sector compatible with the EU acquis. The energy sector is governed by three laws adopted in 2010, reflecting the commitments of the second EU internal energy market package. In order to meet its energy community obligations, it will need to transpose the third energy package during 2014. Kosovo will need to begin alignment with the acquis on security of supply, and continue its alignment with and implementation of the electricity, oil and nuclear safety and radiation protection acquis. Kosovo will need to undertake concrete steps to transpose and implement EU climate acquis including disaster risk reduction, starting from the monitoring mechanism legislation. In line with the expected EU 2030 framework for climate and energy policies Kosovo should start reflecting on its climate and energy framework.”</p> <p><i>Source: Kosovo ISP 2014-2020</i></p>
Turkey	<p>“Turkey has one of the fastest growing demands for energy in Europe. It needs to develop domestic energy supplies and increase energy efficiency so as to decrease its reliance on energy imports and meet the needs of its growing economy. At the same time Turkey is a key partner in increasing the EU's energy supply security. In view of increasing the inter-connectivity with European networks, the action under this sector focuses on improving the reliability, efficiency and operational performance of the Turkish electricity transmission system.”</p> <p><i>Source: 2014 Turkey CAP</i></p>

Sources of information used

Documentary analysis;

Website of DG ENER.

Assessment of quality of evidence

The level of information of this indicator is sufficient.

The degree of confidence is assessed as satisfactory.

1.5.3.6 I-536 % of ERDF funding in IPA II-sponsored cross-border cooperation programmes (with EU MS)

I-536	% of ERDF funding in IPA II-sponsored cross-border cooperation programmes (with EU MS)
Indicator Summary	<p>The CBC programmes engaging IPA beneficiaries and EU MS are equally (50%-50%) co-financed by the ERDF and IPA II; this financing refers to the part of the overall cost of the CBC programmes which is covered by the EU funds, since a percentage of ~10% of this overall cost is provided by the national budget of the beneficiary (for ownership purposes).</p> <p>This equal financing of the two funds symbolizes the equal benefits expected for the beneficiaries from both sides of the concerned border areas.</p> <p>Sources: Interviews with DG REGIO Officials; Website of DG REGIO</p>

Sources of information used

Documentary analysis;

Interviews DG REGIO.

Assessment of quality of evidence

The level of information of this indicator is good.

The degree of confidence is assessed as satisfactory.

1.5.3.7 I-537 % of ENI funding in IPA II-sponsored cross-border cooperation programmes (with ENI-East partner countries)

I-537	% of ENI funding in IPA II-sponsored cross-border cooperation programmes (with ENI-East partner countries)
Indicator Summary	<p>As per its Regulation, the overall amount of the ENI instrument for its participation in CBC (and other territorial cooperation programmes) should not exceed 5% of the overall financial envelope of the Instrument. On the side of IPA II, the financial envelope for its participation in territorial cooperation programmes is 3.3% (395.2 mn €, covered under the multi-country envelope). In the period 2014-2020, ENI does not finance CBC programmes with the participation of IPA beneficiaries and ENI partner countries. The only ENI programme in which an IPA II country (namely Turkey) participates is the "Black Sea programme"; this programme continues from the previous period (2007-2013); the budget for the period 2014-2020 is 39.0 mn € covered by 24.3 mn € by the ENI and 14.7 mn € by the European Regional Development Fund (ERDF). IPA II is not participating in this "Sea Basin" programme.</p> <p>Sources: IPA II Multi-country Indicative Strategy Paper 2014-2020; ENI Regulation; IPA II Regulation, Programming document for EU support to ENI Cross-Border Cooperation (2014-2020)-Annex.1</p>

Sources of information used

Documentary analysis.

Assessment of quality of evidence

The level of information of this indicator is good.

The degree of confidence is assessed as satisfactory.

1.5.3.8 I-538 % of IPA II budget engaged in DG AGRI (IPARD) and DG HOME programmes in the Beneficiary countries

I-538	% of IPA II budget engaged in DG AGRI (IPARD) and DG HOME programmes in the Beneficiary countries
Indicator Summary	<p>As per the Indicative Strategy Papers 2014-2020, the percentages of the overall IPA II budget engaged in the policy areas of DG AGRI and DG HOME are as follows:</p> <p>DG AGRI</p> <ul style="list-style-type: none"> - Total IPA II funds for agriculture and rural development: 10.55% (1,262.6 mn €)

I-538	<i>% of IPA II budget engaged in DG AGRI (IPARD) and DG HOME programmes in the Beneficiary countries</i>
	<p>DG HOME</p> <ul style="list-style-type: none"> - Total IPA II funds for democracy and governance: 15.12% (1,769.2 mn €) - Total IPA II funds for rule of law & fundamental rights: 10.95% (1,281.4 mn €) - Total IPA II funds for DG HOME competence policy areas: 26.07% (3,050.6 mn €) <p>For comparison purposes it is mentioned that the overall IPA II budget for the Multi-country programmes is 2,958.6 mn €, i.e. 25.29% of the overall IPA II budget.</p> <p>The above allocations of funds present clearly the focus of the IPA II under the direction of the period expressed by “Fundamentals first”.</p> <p><i>Sources: IPA II Indicative Strategy Papers 2014-2020 (Indicative allocations of funds per sector (Annex))</i></p>

Sources of information used

Documentary analysis;

Data analysis.

Assessment of quality of evidence

The level of information of this indicator is good.

The degree of confidence is assessed as satisfactory.

1.5.4 JC54: IPA II complements with interventions of other donors

1.5.4.1 I-541 Level of involvement of other donors in joint programming efforts with IPA II

I-541	<i>Level of involvement of other donors in joint programming efforts with IPA II</i>
Indicator Summary	<p>Apart from the EU, also other donors are active in the region, comprising: EU MS (external cooperation Agencies), International Organisations and IFIs, which are mainly lending/ guaranteeing banks (such as the EIB, EBRD, World Bank, KfW, CEB and many other.</p> <p>All these donors are invited and participating in the various stages of the IPA II planning and programming procedures, at two levels:</p> <ol style="list-style-type: none"> (i) DG NEAR (HQ) where they discuss general cooperation issues (strategic) and the strategic planning of the Instrument; and (ii) at EUD/NIPAC level where they discuss the programming of IPA II actions, their coordination with the donors' own projects in the beneficiary and their participation in the IPA II funded projects, either by just contributing to the financing scheme of the actions or by co-financing and managing the actions (indirect management, since in a number of sectors some of the donors have wide experience and the capacity to implement the actions effectively/ efficiently to the full satisfaction of both the EC and the recipients of the actions) <p>Significant participation of other donors is visible in the programming actions in all candidate countries and potential candidates aiming at achieving synergies of their actions with IPA II and other donors' actions; The IPA II programming is implemented through the close collaboration of EUD with the competent National Authorities (NIPAC, PMO, key line Ministries), on the basis of the existing multi-annual development programme (with sectoral analysis) of the beneficiary; in the identification of the IPA II actions and Programmes the EU MS and other donors who are active in the beneficiary are invited to participate; within the same process the actions/ programmes which could be (co-)financed by the EU MS and the other donors are identified, taking also into consideration the objectives and priorities of the EU MS and other donors; this is a dynamic process which can take place under the implementation of consecutive steps; usually the EU MS and donors who have important funds to invest in the beneficiary are most interested and participate; the coordination of the overall process is with the National Authorities (i.e. the one which</p>

I-541	<i>Level of involvement of other donors in joint programming efforts with IPA II</i>
	<p>has been assigned by high level decision of the Government the responsibility to do it) supported by the EUD; in practice, up to now a big part of the necessary activities is implemented by the EUD. The overall exercise has very good results in the countries which have a strong Government and Public Administration; where this is not happening (e.g. Kosovo) problems are found in the programming of both the IPA II and the other Donors' and EU MS actions).</p> <p><i>Sources: Interviews with DG REGIO, DG NEAR and EUD/ National authorities' Officials; 2014 – 2020 IPA II Indicative Strategy Papers; IPA II guides for the implementation of the planning/ programming.</i></p>
Albania	<p>“This overall donor coordination in the country is under the responsibility of the Deputy Prime Minister with support from the Department of Development Programming, Financing and Foreign Aid (DDPFFA) of the Prime Minister's office. The coordination of donor funds is embedded in the systems of strategic planning and related budget programmes. The overall coordination within the Albanian government includes a Strategic Planning Committee as an inter-ministerial committee chaired by the Prime Minister that reviews and endorses the government's policy and fiscal priorities. In order to ensure coordination and cooperation among line ministries within specific sectors, a number of inter-ministerial working groups (IMWG) were established. The coordination of activities by the DDPFFA include the maintenance of a project database, the coordination of the meetings of the international donor community, Sector Working Groups (SWGs) and issuing a monthly donor dialogue newsletter. A high-level donor-government dialogue is taking place once per year as 'round table' to focus on aid harmonisation, followed by regular operational meetings. This work is supported by a Donor Technical Secretariat (DTS) which is composed of four multilateral donor organisations, including the EU and a rotating participation of two bilateral donors. The SWGs are supporting the coordination at sector level and include government, donor representatives and other stakeholders as required. The envisaged 33 groups exchange information focusing on policy coordination, prioritisation of assistance and monitoring of implementation. In addition to the coordination by the government of Albania, the EU is regularly consulting with other donors, civil society and others (e.g. judiciary), both at the time of preparing the overall strategic approach, as well as for the preparation of annual programmes.”</p> <p><i>Source: Albania ISP 2014 - 2020</i></p>
Bosnia and Herzegovina	<p>“The responsibility for donor coordination in Bosnia and Herzegovina is split between the Directorate of European Integration (DEI) for EU donors, and the Ministry of Finance and Treasury (MoFT) for other donors and IFI. Consultations with donors take place also at lower levels of government. The MoFT regularly organises Donor Coordination Forum meetings and publishes annually donor-mapping reports showing the donors active in Bosnia and Herzegovina and setting out their contribution by sector. Moreover, the EU Delegation holds regular coordination meetings with EU Member States (MS) to exchange policy views and to streamline the EU and MS assistances for Bosnia and Herzegovina to be coherent and complementary. The EU Delegation cooperates with other donors through its regular participation in the Donor Coordination Forum meetings, which are organised two to three times a year by the MoFT. In addition, in the sectors justice and anti-corruption, where the EU is a lead donor, it organises more frequently donor sector coordination meetings, and it closely cooperates with the United Nations (UN) family organisations and the IFIs on joint projects in Bosnia and Herzegovina.”</p> <p><i>Source: Bosnia and Herzegovina ISP 2014 - 2017</i></p>
The former Yugoslav Republic of Macedonia	<p>“Government donor coordination is led by the Secretariat for European Affairs, which oversees a general and sector donor coordination mechanism, on the basis of the country's Programme Based Approach. Regular donor coordination meetings take place in the context of the annual IPA programming exercise, as well as ad hoc donor coordination meetings involving EU Member States, international organisations, other donor organisations, civil society and other relevant stakeholders.”</p>

I-541	Level of involvement of other donors in joint programming efforts with IPA II
	<i>Source: The former Yugoslav Republic of Macedonia ISP 2014 - 2020</i>
Kosovo	<p>The responsible National Authority which has the mandate to cooperate with the EUD for the programming of the IPA II actions and to coordinate the actions of the (many) other donors (including EU MS) active in the beneficiary is the NIPAC office; however this office does not have the political power (but also the full technical capacity) to implement these actions; the result is that the other donors are not participating in an organised way (if at all) in the joint programming of IPA II.</p> <p><i>Source: Interviews with IPA II stakeholders in Kosovo (common opinion)</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR & REGIO;

Interviews with stakeholders in the IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is sufficient.

The degree of confidence is assessed as satisfactory.

1.5.4.2 I-542 Degree of potential overlaps/ gaps between IPA II actions and other donors' interventions

I-542	Degree of potential overlaps/ gaps between IPA II actions and other donors' interventions
Indicator Summary	<p>Overlaps/gaps between the EU and other donors are not frequent but can happen especially in the beneficiaries where the coordination of the donors is weak (e.g. Kosovo).</p> <p>The risk for overlaps/gaps is high in policy areas/ sectors which are under the priorities/ agendas of many donors (and thus become over-funded); such policy areas are: Rule of law, Public Administration, Public Finances, Civil Society support etc.</p> <p><i>Sources: Interviews with DG REGIO, DG NEAR Officials, CoA reports, IPA corruption evaluation</i></p>
Serbia	<p>"Since implementation of the sector approach, IPA documentation testifies to improved and more systematic donor coordination. Donors are now regularly consulted by the sector working groups and, in its dialogue with Serbia, the Commission relies extensively on the involvement of international organisations in their respective areas of expertise, notably the World Bank (PEFA reports), the European Bank for Reconstruction and Development, the Organisation for Economic Cooperation and Development (SIGMA assessments), the Organisation for Security and Cooperation in Europe, the Council of Europe and United Nations organisations."</p> <p><i>Source: EU CoA - 2014 Serbia Special report</i></p>
Bosnia and Herzegovina	<p>Example of international donor coordination gap (IPA I):</p> <p>"Project No. 710 in Bosnia and Herzegovina on "EU Support to the Area of Law Enforcement" is a clear example of poor coordination after the signing of an Agreement between the representatives of the prosecutor's offices and police authorities in Bosnia and Herzegovina and the High Judicial and Prosecutorial Council (HJPC) of Bosnia and Herzegovina, resulting in the project Support to judiciary in Bosnia and Herzegovina-Strengthening prosecutors in the criminal justice system ", with the same approach, implemented by the HJPC " which is supported by the Government of Switzerland through the Swiss Agency for Development and Cooperation (SDC)."</p> <p><i>Source: 2015 - B&S - Thematic evaluation IPA corruption</i></p>
Kosovo	<p>The sectors/ policy areas which are over-aided are Governance/ Rule of law, Human capital development, civil society support; these are the sectors with the major risk for duplication of actions (same/similar); under the lack of coordination of donors which exists today, many overlaps do not exist only because the beneficiary</p>

I-542	<i>Degree of potential overlaps/ gaps between IPA II actions and other donors' interventions</i>
	is small and most of the donors know each other and communicate. <i>Source: Interviews with IPA II stakeholders in Kosovo</i>

Sources of information used

Documentary analysis;

Interviews DG NEAR & REGIO;

Interviews with IPA II stakeholders in Kosovo.

Assessment of quality of evidence

The level of information of this indicator is sufficient.

The degree of confidence is assessed as satisfactory.

1.5.4.3 I-543 Degree of active/ effective donor coordination schemes at beneficiary countries and overall "regional" levels

I-543	<i>Degree of active/ effective donor coordination schemes at beneficiary countries and overall "regional" levels</i>
Indicator Summary	<p>There are parallel (in some candidate countries and potential candidates closely linked) donor coordination schemes at national and EUD levels in all IPA beneficiaries; the EUD coordination is in most cases well-functioning, covering also to the maximum possible extent the related interventions of other donors. As per the foreseen IPA II organisation, the IPA beneficiaries must set up (with the support of the EUD) their own mechanisms for donors' coordination. This has been promoted by all beneficiaries, in certain cases with very ambitious objectives; however the effectiveness of all of them is in general still low; this is mainly due to the weak capacity of the bodies/ Authorities which have been assigned this responsibility and competence. In the cases of weak National Authorities, the EUD supports them, also by partially undertaking this responsibility; otherwise the donors are trying to coordinate their activities by themselves only but the results are usually bad (lack of real coordination); this is the case of Kosovo.</p> <p>As per the Paris Declaration on Aid Effectiveness, effective donor coordination can be achieved under the implementation of the following principles: <i>Ownership</i>: the recipient countries must lead their own development policies and strategies, and manage their own development work on the ground; <i>Alignment</i>: Donors must line up their aid firmly behind the priorities outlined in the countries' national development strategies; <i>Harmonisation</i>: Donors must coordinate their development work better amongst themselves to avoid duplication and high transaction costs for poor countries; <i>Managing for results</i>: All parties in the aid relationship must place more focus on the result of aid; <i>Mutual accountability</i>: Donors and benefitting countries must account more transparently to each other for their use of aid funds, and to their citizens and parliaments for the impact of their aid.</p> <p>The level of implementation of these principles is low in general, but it is improving, at least in the countries where the competent authorities are strong, like in Serbia. In the case of the regional (multi-country) programmes and actions, the level of coordination depends: (i) on the same factors with the bilateral actions in the cases of ad hoc actions/ programmes; (ii) is secured in the cases of regional permanent structures like the WBIF, the Trust Funds etc. by their design.</p> <p><i>Sources: EAMRs 2013 and 2015; Paris Declaration 2005; WBIF Website; Website of MADAD Fund, Interviews with IPA II stakeholders in Kosovo</i></p>
Albania	<p>"The EU Delegation is co-chairing with the OSCE Presence in Albania a "Donor coordination working group on civil society" with the participation of major donors in the country (e.g. OSCE, Council of Europe, EU Member States Embassies and cooperation agencies). A donor matrix was compiled gathering information on projects financed by the members of the working group. The regional TACSO project ensured the tasks of secretariat of this working group."</p> <p><i>Source: EAMR Albania 2013</i></p>
Kosovo	<p>"The EU Office in Kosovo is a regular member of different initiatives where all</p>

I-543	<i>Degree of active/ effective donor coordination schemes at beneficiary countries and overall “regional” levels</i>
	<p>donors to CSOs in Kosovo, including some EU Member States national development agencies (like ADA, SIDA), share the information on their assistance provided to civil society as well as their plans on future funding, so that potential overlaps can be avoided and, where possible, complementary activities mutually supported. These initiatives usually take the form of coordination meetings, such as the Local Advisory Group within TACSO, SIDA’s Donor Coordination Meeting, or some former forums like Kosovo Foundation for Open Society Donor Coordination, Swiss Donor Coordination Initiative for CSOs. Further to this, the EU Office in Kosovo holds a regular monthly meeting with all Member States which is, inter alia, used to ensure that the assistance provided to Kosovo is well coordinated among Member States and the EU Office.”</p> <p><i>Source: EAMR Kosovo 2013</i></p>
Bosnia and Herzegovina	<p>“The EU Delegation holds regular donor coordination meetings in key sectors (e.g. justice, law enforcement, anti-corruption), including with International Organisations such as UNDP, Council of Europe, ICTY, OSCE, UNICEF, UNWOMEN, IOM. Such meetings allow for the sharing of information on the planned assistance of the respective donors. Furthermore, IOs have been invited by the authorities to participate in the Sector Working Groups for the drafting of Sector Planning Documents (SPDs) 2015-2017 under IPA II. In other sectors, such as Education and Mine Action, there is a strong degree of ownership by the beneficiary authorities and donor coordination meetings are organised by the Ministry of Civil Affairs, with the participation of relevant IOs, in addition to the EU. In other sectors, for instance in relation to the implementation of sustainable solution for IDPs and Refugees, in compliance with Annex VII of the Dayton Peace Agreement, the Delegation strongly encourages the Ministry of Human Rights and Refugees to take a stronger lead and to operationalise the relevant consultative working group, with participation of key donors.”</p> <p><i>Source: EAMR Bosnia and Herzegovina 2015</i></p>

Sources of information used

Interviews DG NEAR.

Assessment of quality of evidence

The level of information of this indicator is sufficient.

The degree of confidence is assessed as satisfactory.

1.5.4.4 I-544 % of IPA II budget engaged in commonly financed actions by IPA II and other donors active in the IPA II “region”

I-544	<i>% of IPA II budget engaged in commonly financed actions by IPA II and other donors active in the IPA II “region”</i>
Indicator Summary	<p>The part of the IPA II budget which has so far been engaged in jointly financed actions by IPA II and other donors, comprises basically IPA II funds engaged under the regional financing vehicles and the bilateral (national) actions which are co-financed by IPA II and one or more additional donors. At planning level, the overall foreseen amount for WBIF, EDIF, GGF and RHP amounts to 1506,9 mEUR, which constitutes 12.85% of the overall financial envelope of IPA II. Among the regional financing vehicles, WBIF is planned to receive the biggest amount. On the other hand the contribution from the EU budget to the MADAD Fund from all three Instruments (IPA II, ENI and DCI) until May 2016 was 639.23 mn €, the contribution of IPA II being 243,0 mn € (2,0% of its overall budget).</p> <p>It can be seen that these actions account for an important part of the overall IPA II budget (~15% of the overall financial envelope).</p> <p><i>Sources: IPA II Multi-country Indicative Strategy Paper 2014-2020; Websites of WBIF, EDIF, GGF, RHP and MADAD Fund</i></p>
MADAD Fund	<p>“EU Regional Trust Fund in Response to the Syrian Crisis, the 'MADAD Fund' State of Play and outlook 2016: 2. State of play: With recent pledges and contributions from 21 EU Member States (amounting to over €69 million), Turkey (€24 million co-</p>

I-544	% of IPA II budget engaged in commonly financed actions by IPA II and other donors active in the IPA II “region”
	<p>financing for reoriented IPA I funds) and from various EU instruments (ENI €381 million, IPA €243 million, DCI €16 million), the Fund has now reached a total volume of €733 million. It is also open to all other international donors. The Trust Fund's scope has been expanded to also cover support to IDP's in Iraq fleeing from the interlinked Syria/Iraq/Da'esh crisis, to provide flexibility to support affected countries also with hosting non-Syrian refugees, and to provide support in the Western Balkans to non-EU countries affected by the refugee crisis.”</p> <p><i>Source: Web-site of MADAD Fund</i></p>
IPA II Multi-country ISP (2014 – 2020)	<p>« Annex 1: INDICATIVE ALLOCATIONS (million EUR)</p> <p>C. Regional investment support: 1506.9 mn €</p> <p>WBIF, EDIF, GGF and other blending instruments: 1406.9 mn €</p> <p>RHP: 100.0 mn €”</p> <p><i>Source: IPA II, Multi-country indicative strategy paper 2014-2020</i></p>

Sources of information used

Documentary analysis.

Assessment of quality of evidence

The level of information of this indicator is sufficient.

The degree of confidence is assessed as satisfactory.

1.5.5 JC55: Policy dialogue on financial cooperation under IPA II acts in a synergetic way

1.5.5.1 I-551 Extent to which policy dialogue and synergies of the activities of DG NEAR/ EUDs with National stakeholders (Governments, NGOs, LAs, private sector, other) for both the programming and the implementation of the IPA II country and multi-country actions are defined and implemented

I-551	Extent to which policy dialogue and synergies of the activities of DG NEAR/ EUDs with National stakeholders (Governments, NGOs, LAs, private sector, other) for both the programming and the implementation of the IPA II country and multi-country actions are defined and implemented
Indicator Summary	<p>The new framework for the planning/ programming and implementation of IPA II clearly foresees the responsibilities of the involved EU and national stakeholders and the procedures which they are called to implement. This new framework is quite different from the previous one (implemented for IPA I), including many novelties at both policy development as well as the technicalities of the determination of the foreseen planning and programming documents up to the identification and approval of the actions/ programmes by which the IPA II will be implemented (for example see the DG NEAR document” Guidelines on linking planning/ programming/ monitoring and Evaluation). In addition, new roles and procedures are introduced for the implementation of the actions and the measurement of their performance through a reporting/ assessment system using relevant indicators. The modalities of implementation of the actions and their forms are decided and implemented with a clear view of their requirements in relation to the capacity of the beneficiary; the novelties of the overall framework are many; most of those referring to the IPA II planning and programming phase have already been implemented and actions have started to be implemented following their tendering procedures; overall, the opinion of most stakeholders in the IPA II beneficiaries on the new sectoral approach, the introduction of the Sector Budget Support (SBS) programmes the increasing of the power (and responsibility) of the National authorities and the other novelties of IPA II have been very positive; however, the fact that the major part of the new system was elaborated and gradually introduced after the starting date of the Instrument's eligibility (1/1/2014) and had to be implemented in parallel to the implementation of the “old system” (IPA I) created friction and complaints.</p> <p>The overall responsibility for both the policy issues, the design of the structure and technicalities of the IPA II new context and the implementation of the strategic</p>

I-551	<i>Extent to which policy dialogue and synergies of the activities of DG NEAR/ EUDs with National stakeholders (Governments, NGOs, LAs, private sector, other) for both the programming and the implementation of the IPA II country and multi-country actions are defined and implemented</i>
	<p>planning have been undertaken by DG NEAR, with minimum involvement of the EEAS (unlike the other EFIs) or the EUDs; thus the major part of the negotiations with the National Authorities (specifically the policy dialogue) was implemented by DG NEAR Units, assisted as needed by the corresponding EUDs. At the technical level, referring to the IPA II planning/ programming and implementation, the bilateral discussions on the preparation/ agreement of the programming documents and finally the Instrument actions are passing through the two main points of the EUD and the NIPAC office, having new, extended and upgraded roles in the current period. Both these bodies/authorities are handling the involvement of all other national, regional and international stakeholders of IPA II.</p> <p>The new approach and set-up of the IPA II performance framework are well defined and have been put in implementation for both the beneficiary (bilateral) and multi-country programmes and actions of IPA II. The response of the EUDs has been good, while the response of the National Authorities and stakeholders of the beneficiaries has been varying, from positive to cautious. In general, the cooperation of the EUDs with the competent national authorities is good. The foreseen repetition of most of the planning/ programming procedures for the Mid-term review of the Instrument and its detailed planning and programming for the period 2018-2020 will also present the degree of embodying and acceptance of the new framework by all involved stakeholders.</p> <p><i>Sources: Interviews with DG NEAR Officials, Overview of IPA programme architecture; Common sector indicators in indicative strategy papers; IPA II Performance Framework (presentation + document); 2014 – 2020 Indicative Strategy Papers, 2014 CAPs, 2015 Progress Reports, IPA II regulation REG 231-2014., IPA II Implementing regulation REG 447-2014, IPA II Programming Guide, EAMRs 2014, 2015, Interviews with IPA II stakeholders in Kosovo</i></p>
Albania	<p>“Roadmap for the reform of the legal framework of CSOs’ work has been produced with EU technical assistance and then approved by the Government as work plan for the sector. The roadmap includes priorities such as the setting up of a National Council for Civil Society, the participation of the CSO representatives in the existing National Council for European Integration and in the working groups (Integrated Policy Management Groups - IMPGs) for definition of sector strategies.”</p> <p><i>Source: EAMR 2015 Albania</i></p>
The former Yugoslav Republic of Macedonia	<p>“The policy dialogue at country level is conducted through a complex set of frameworks. For example, the Stabilisation and Association Agreement (SAA) - in 2015 a total of 10 meetings were held involving 7 sub-committees, the special group on public administration reform, the SA Committee and the SA Council. The EU Delegation was actively involved in all meetings. The objectives set out in the SAA and the priorities outlined at the SAA meetings along with the objectives, established by the IPA Regulation, are the first vector shaping the IPA assistance. The improving synergy between the policy dialogue and the assistance-based dialogue has resulted so far into better steering of the financial assistance to support the reforms in the key sectors such as home affairs and rule of law, which have been the main sectors supported under the IPA TAIB 2012-2013 and IPA 2014.”</p> <p><i>Source: EAMR 2015 The former Yugoslav Republic of Macedonia</i></p>
Kosovo	<p>During 2015, “EUO continued to engage in the policy dialogue with the Ministry of European Integration as well as relevant line Ministries in programming pre-accession assistance. Rule of Law, Energy and Agriculture have been identified as priority sectors in 2015 with regard to the existing public policies of the Kosovo government and indicators of a genuine commitment to achieve strategic objectives in these sectors in a long-term. As a result of the structured dialogue with Kosovo institutions, Sector Planning Documents have been developed and consulted with other donors present in Kosovo as well as with civil society organizations to serve as a basis for specific actions in these priority areas.”</p> <p><i>Source: EAMR 2015 Kosovo</i></p>

Sources of information used

Documentary analysis;

Interviews with DG NEAR;

Interviews with IPA II stakeholders in Kosovo.

Assessment of quality of evidence

The level of information of this indicator is good.

The degree of confidence is assessed as satisfactory.

1.5.5.2 I-552 Extent to which synergetic activities of DG NEAR/ EUDs and other donors and EU member-states authorities for both the programming and the implementation of the IPA II actions are defined and implemented

I-552	<i>Extent to which synergetic activities of DG NEAR/ EUDs and other donors and EU member-states authorities for both the programming and the implementation of the IPA II actions are defined and implemented</i>
Indicator Summary	<p>The synergetic activities of the EU, EU MS and other donors are implemented within a quite well-defined framework: Based on the provision of relevant guidance by DG NEAR, the lessons learnt from the implementation of IPA I, the Paris Declaration for Aid Effectiveness and the systems and means of the National Authorities, the other donors and the EU member states' external development Agencies, many coordination/ cooperation platforms were presented and promoted to be adopted by the competent National Authorities for the coordination of the programming activities and the identification of the actions/ programmes to be implemented with the funds of the IPA II, of the EU MS and of the other donors. Finally, the approach and "platform" of DG NEAR (which is representing the EU, i.e. the biggest donor and politically the most important partner of the candidate countries and potential candidates) were finally introduced and implemented. This system (approach and platform) has clear structure and implementation instructions. In the framework of this platform, the interested parties cooperate during both the programming and implementation phases, on the bases of specific procedures. The synergetic activities within the system are varying in content and results, depending on the capacity of participating officials but also on the availability of funds and on the wider political, social, economic and administrative context in each beneficiary (differences in BiE due to the still unsolved issue of coordination of the communities, in Serbia with the strong public administration in Albania with the big introduced restructuring, in Montenegro with the less IT-based State- organisation and in Turkey with the strong systems but small will to adapt them to the EU proposals). The cooperation/ coordination of the EU MS' agencies with DG NEAR/ EUDs is more close and fruitful.</p> <p>In the implementation period the actions are usually managed either by the EUD (direct management mode) or by the national authorities (indirect management to beneficiary country (IMBC) mode). In certain cases, international organisations/ IFIs undertake the management of specific programmes/ actions (indirect management to IFIs mode). However the most efficient & effective mode of implementation is the Sector Budget Support programmes; in the frame of their structuring and negotiation all involve stakeholders are cooperating closely, develop relevant policy details, decide on important issues such as the implementation monitoring criteria, the period of implementation, the intermediate payments et.al).</p> <p>Interviews with EU MS indicated that the IPA II Committee in principle has a leading role in ensuring that aid effectiveness between IPA II and EU MS donors is maximised at a strategic level. Despite this, feedback indicated that it tended to be focused on comitology, technical issues and the formal approval of IPA II annual programmes.</p> <p><i>Sources: EAMRs 2015; Interviews with DG NEAR Officials, Overview of IPA programme architecture; Common sector indicators in indicative strategy papers; IPA II Performance Framework (presentation + document); 2014 – 2020 Indicative Strategy Papers; interviews</i></p>
Bosnia and Herzegovina	"The EU Delegation holds regular donor coordination meetings in key sectors (e.g. justice, law enforcement, anti-corruption), including with International Organisations

I-552	<i>Extent to which synergetic activities of DG NEAR/ EUDs and other donors and EU member-states authorities for both the programming and the implementation of the IPA II actions are defined and implemented</i>
	<p>such as UNDP, Council of Europe, ICTY, OSCE, UNICEF, UNWOMEN, IOM. Such meetings allow for the sharing of information on the planned assistance of the respective donors. Furthermore, IOs have been invited by the authorities to participate in the Sector Working Groups for the drafting of Sector Planning Documents (SPDs) 2015-2017 under IPA II. In other sectors, such as Education and Mine Action, there is a strong degree of ownership by the beneficiary authorities and donor coordination meetings are organised by the Ministry of Civil Affairs, with the participation of relevant IOs, in addition to the EU.</p> <p>In other sectors, for instance in relation to the implementation of sustainable solution for IDPs and Refugees, in compliance with Annex VII of the Dayton Peace Agreement, the Delegation strongly encourages the Ministry of Human Rights and Refugees to take a stronger lead and to operationalise the relevant consultative working group, with participation of key donors.”</p> <p><i>Source: EAMR 2015 Bosnia and Herzegovina</i></p>
Serbia	<p>“The cooperation between the EU Delegation and the EU member states (EU MS), who are also donors in Serbia, is excellent. The Press and Information team shares the forward planning of events and activities related to EU project events with the donors, and invites them regularly to follow and contribute to these events where relevant. The Delegation also shares with EU MS the opinion poll including results on awareness of EU and EU MS donations. A number of joint activities with MS has been organised to raise awareness of the EU and EU funding including initiatives such as EU MS embassies' open days coordinated by the EU Delegation during Europe month.”</p> <p><i>Source: EAMR 2015 Serbia</i></p>
Kosovo	<p>During 2015, “EUO continued to engage in the policy dialogue with the Ministry of European Integration as well as relevant line Ministries in programming pre-accession assistance. Rule of Law, Energy and Agriculture have been identified as priority sectors in 2015 with regard to the existing public policies of the Kosovo government and indicators of a genuine commitment to achieve strategic objectives in these sectors in a long-term. As a result of the structured dialogue with Kosovo institutions, Sector Planning Documents have been developed and consulted with other donors present in Kosovo as well as with civil society organizations to serve as a basis for specific actions in these priority areas.”</p> <p><i>Source: EAMR 2015 Kosovo</i></p>
Interviews with IPA Committee members	<p>Interviews with EU MS indicated that the IPA II Committee in principle has a leading role in ensuring that aid effectiveness between IPA II and EU MS donors is maximised at a strategic level. It was observed that the IPA II committee was well placed to act as a strategic forum for discussing how to make the best of EC and MS funds and promote complementarity between them, given that the EC and most MS donors have broadly the same goals in the IPA II beneficiaries. Despite this, feedback indicated that it instead tended to be focused on comitology, technical issues and the approval of the IPA II annual programme.</p> <p><i>Source: Interviews with IPA Committee members</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR;

Interviews with stakeholders in the IPA II beneficiaries;

Interviews with IPA Committee members.

Assessment of quality of evidence

The level of information of this indicator is sufficient.

The degree of confidence is assessed as satisfactory.

1.6 EQ 6 on leverage

To what extent has IPA leveraged further funds and/or political or policy engagement?

1.6.1 JC61: IPA II has been used by the EU for increasing political & policy engagement of the beneficiary countries towards reforms; Ditto for IPA I

1.6.1.1 I-611 Evidence (nature and scope) of the positive/ negative results of the use of IPA II (and IPA I) for increasing political & policy engagement of the beneficiary countries towards reforms

I-611	<i>Evidence (nature and scope) of the positive/ negative results of the use of IPA II (and IPA I) for increasing political & policy engagement of the beneficiary countries towards reforms</i>
Indicator Summary	<p>In their way to EU accession, candidate countries and potential candidates have to make important structural reforms on a very long agenda of subjects; most of these reforms are extremely difficult to implement because usually they require changes of the mentality of the citizens, fighting well-installed deeply-rooted interests, implementation of changes at many levels simultaneously, changing of the legal and regulatory framework, increasing the capacity of the authorities which will implement the relevant measures and widen the understanding of the citizens on the resonance of the necessary reforms and the benefits that the new status of the beneficiary will bring to them. In cases of low developed societies/ economies the reforms needed are radical, creating among many other an uncertainty to the people about the new situation which will result from the reforms. IPA II by its nature is a means for promoting the implementation of reforms, based on the already expressed will of the people and governments of the beneficiary to join the EU; this is something that is politically but also practically difficult to be changed (i.e. going away from the EU accession path); therefore the implementation of the agreed reforms (“accession chapters”) is politically “easier”, while the rejection of the reforms cannot be publicly sustained, but in practice can be delayed by internal “resistance” and invocation of the low capacity of the administration.</p> <p>Specific actions taken by the EU through the IPA implementation for the promotion of the political & policy engagement and accepted by the corresponding national Authorities of the beneficiaries include:</p> <ul style="list-style-type: none"> - Implementation of the indirect management mode, as a reward – recognition of the progress achieved by the candidate country or potential candidate in the implementation of key accession chapters. - Introduction/ use of the Budget Support modality, which provides flexibility for the use of funds by the national authorities but it is provided under conditionalities concerning the Public Administration capacity, the transparency of the public accounts, et.al. - Performance reward, which provides also a reputational value to the candidate country or potential candidate, being able to progress and come closer to EU accession; this has not yet been implemented since this is foreseen to happen at the end of 2017 (not on a yearly basis like the ENI), - Implementation of the “Financial cushion” (10%) to be used as a reserve for immediate actions for emergency situations. - The recognition of the central position of the national authorities in the programming of actions to be financed by the IPA II, through a bottom-up process, serving the real needs of the candidate country or potential candidate as determined in a national multi-annual development programme. - Temporary or final “financial corrections” (i.e. cutting of amount(s) from the programmed overall IPA II amount of a candidate country or potential candidate) due to low absorption of the available funds for various reasons. (e.g. 21.7 mn € were permanently removed from the EU engagement for the former Yugoslav Republic of Macedonia in 2015, due to lack of political commitment on reforms in PFM and not meeting the conditions for SBS in this area)

I-611	Evidence (nature and scope) of the positive/ negative results of the use of IPA II (and IPA I) for increasing political & policy engagement of the beneficiary countries towards reforms
	<i>Sources: Interviews with DG NEAR Officials, Overview of IPA programme architecture; Common sector indicators in ISPs; IPA II Performance Framework (presentation + document); 2014 – 2020 Indicative Strategy Papers, EAMRs 2015, Interviews with IPA II stakeholders in IPA II beneficiaries</i>
Albania Coordination between EU Delegation and Albanian authorities for Law Enforcement Program	<p>“The EU Delegation together with the project on Consolidation of Law Enforcement Capacities in Albania (PAMECA IV) ensured coordination and complementarity with the regional program on "Fight against organised crime: International Cooperation in Criminal Justice" and the regional program on International Cooperation in Criminal Justice. Both projects target a key tenet of Albania's accession priorities as outlined in the National Plan for Chapter 24 of the Acquis.</p> <p>Note: PAMECA IV is an EU assistance project for Albania in the framework of the IPA programme. The overall objective of PAMECA IV is: “To bring the law enforcement capacities of the Albanian institutions closer to EU standards in the field of policing and to provide trust, safety and a secure environment to the Albanian citizens”.</p> <p><i>Source: Website of PAMECA IV, http://pameca.org.al/</i></p>
Albania EUD boosts Government-led policy (regarding employment, competitiveness etc)	<p>“The EUD holds the permanent chair of the Donor Technical Secretariat (DTS) and contributed to a better coordination among development partners, with Civil Society Organizations and with private businesses, thus boosting the sector approaches and Government-led Integrated Policy Management Groups (IPMGs) and Sector Working Groups. Successful restructuring of the SWGs Structure and transformation into IPMGs (for 4 pilot sectors: Integrated Water Management, Employment, Competitiveness and Good Governance & PAR) have been supported by the EUD. This process also included consultations with all key stakeholders. The IPMG mechanism (through an Order of the Prime Minister - PM Order No. 129, from 21.09.2015) is established to improve the planning, implementation and monitoring of national sectors reforms and to support effective mechanism for an integrated EU accession process in Albania.”</p> <p><i>Source: EAMR 2015 Albania</i></p>
Albania Joint EU - Government Roadmap for the reform of CSOs	<p>“Intensive consultations have been held with civil society organisations (CSOs) about both the need to improve the legal framework for their work and the possible strengthening of their participation in the policy-making process.</p> <p>As a result, a Roadmap for the reform of the legal framework of CSOs' work has been produced with EU technical assistance and then approved by the Government as work plan for the sector. The roadmap includes priorities such as the setting up of a National Council for Civil Society, the participation of the CSO representatives in the existing National Council for European Integration and in the working groups (Integrated Policy Management Groups - IMPGs) for definition of sector strategies.”</p> <p><i>Source: EAMR 2015 Albania</i></p>
Bosnia and Herzegovina Ministry of Justice drafting strategies according to prior Agreement with Civil Society	<p>“The Ministry of Justice of Bosnia and Herzegovina is leading a process of drafting the Guidelines for development of a more enabling environment for civil society development in Bosnia and Herzegovina. These guidelines will serve as the basis for lower levels of government to develop their own strategies. Indeed, the entities are competent for the adoption of such documents. The Council of Ministers of Bosnia and Herzegovina (CoM) has established a working group, comprised of representatives of the state, entities and Brcko District in order to revise the Agreement on cooperation between CoM and civil society, which was originally signed and adopted in 2007 by Bosnia and Herzegovina. The working group revised the Agreement and the document is in process of consultations with line ministries at state, entities and Brcko District level.”</p> <p><i>Source: EAMR 2014 Bosnia and Herzegovina</i></p>
Kosovo Rule of Law, Energy and Agriculture	<p>During 2015, “EUO continued to engage in the policy dialogue with the Ministry of European Integration as well as relevant line Ministries in programming pre-accession assistance. Rule of Law, Energy and Agriculture have been identified as priority sectors in 2015 with regard to the existing public policies of the Kosovo</p>

I-611	<i>Evidence (nature and scope) of the positive/ negative results of the use of IPA II (and IPA I) for increasing political & policy engagement of the beneficiary countries towards reforms</i>
programming dialogue	government and indicators of a genuine commitment to achieve strategic objectives in these sectors in a long-term.” <i>Source: EAMR 2015 Kosovo</i>
Serbia Serbia in full programming coordination	“Policy dialogue is an integral part of the negotiations in relation to Sector reform contracts. Serbia has prepared the first Sector reform contract under the IPA 2015 National Programme. The overall objective is to improve efficiency, accountability and transparency of public administration and the quality of service delivery and management of public finances. The total value of the SRC is EUR 80 million, of which EUR 70 million will be disbursed through sector budget support and EUR 10 million through complementary support. Policy dialogue initiated in the identification stage of the preparation of the SRC, and led to the establishment of key milestones. The work with the Serbian authorities on achieving these milestones as part of the policy dialogue produced very important and concrete results: Serbia expanded the Action Plan of the Public Administration Reform strategy by a year, and properly costed the strategy; the Action plan was adopted, as the initial condition to launch the discussions for the SRC; Serbia developed the national PFM reform roadmap and adopted it in December 2015; Serbia is developing the first ever Mid- term expenditure framework for the PAR sector, and will complete this until the signature of the Financing Agreement. Lastly, the 2016 Budget law was altered in this process to increase the expenditure limits for the PAR sector institutions, meeting the condition related to the need to ensure the amounts required for the financing of the reform.” <i>Source: EAMR 2015 Serbia</i>
Serbia Common EU - Serbia strategy in civil society legislation	“Despite a long history of the CSO movement in Serbia the relationship between the government and CSOs is still marked by fragmented cooperation and a selective approach towards individual CSOs. Positive trends are visible, also as a result of the work of the Government Office for Cooperation with Civil Society. This institution, established 4 years ago, provides an institutional framework for more structured cooperation arrangements. The Office stimulates the creation of an environment conducive to the development of civil society, and a stronger partnership between the Government and CSOs. To strengthen the important work of the Office (OCCS) for the Serbian society the EU provides 1.2 million EUR support for institutional building, more effective dialogue between civil society and the government, and more effective civic participation in policy processes. The Office drafted the first national 'Strategy for enabling environment for development of CSOs in Serbia 2015-2019'. This document is a stepping stone for creating better national legal and financial frameworks for sustainable development of civil society, and its cooperation with state institutions. The Strategy aims at giving citizens a stronger voice in influencing public sector reform processes in the context of accession to the EU. Highly participatory process involved both CSOs and the government which have been working together on defining needs and priorities, improving the legal framework regulating the work of CSOs, developing tools and guidelines for effective work of the governmental institutions, building capacities of all actors involved. Guidelines for the participation of civil society in formulation of legislation and by-laws in Serbia were developed, as well as a Manual for public administration on how to engage civil society organizations in the decision making processes.” <i>Source: EAMR 2015 Serbia</i>

Sources of information used

Documentary analysis;

Interviews DG NEAR;

Interviews with stakeholders in the IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is good.

The degree of confidence is assessed as satisfactory.

1.6.1.2I-612 Perception of IPA II (and IPA I) stakeholders' (EU and beneficiary countries) regarding strengthening of policy dialogue under IPA II (and IPA I respectively)

I-612	<i>Perception of IPA II (and IPA I) stakeholders' (EU and beneficiary countries) regarding strengthening of policy dialogue under IPA II (and IPA I respectively)</i>
Indicator Summary	<p>The new IPA II implementation framework has introduced many changes compared to the old one (of IPA I), aiming at –among other- strengthening of the policy dialogue; indicatively:</p> <ul style="list-style-type: none"> - The sectoral approach aimed at streamlining political dialogue with the beneficiaries by focusing it on a small (9) number of policy areas; furthermore, it aimed at the deepening of the analysis of sectors and the elaboration of coordinated actions serving specific objectives within each sector; - The concentration of all sectoral policy discussions and programmes' negotiations within DG NEAR aimed at better coordination of the various thematic policies with the accession policy in the candidate countries and potential candidates; - The creation of the CoTEs aimed at creating centres of EC officials with wide experience and knowledge of specific thematic areas, able to support the geographical units of the DG NEAR in negotiating with the beneficiaries thematic policies, - The introduction of the Sector Budget Support programmes, which provide the floor for detailed discussions and negotiations between the National Authorities and the EU on the policies to be implemented (policy dialogue). <p>The assessment of the success (or not) of these changes is difficult under the current political, social and financial context in the Western Balkans and Turkey and has to be seen in relation to the specific context of each candidate country or potential candidate. Nevertheless, the perception of the officials of the DG NEAR HQ, the EUDs and beneficiary stakeholders is commonly positive; this is a very positive sign for the success of these measures in the IPA beneficiaries except for Turkey, which has not so far endorsed and is not implementing the Sector Budget Support modality for various reasons.</p> <p><i>Sources: Interviews with DG NEAR Officials, Overview of IPA programme architecture; IPA II Performance Framework (presentation + document); 2014 – 2020 Indicative Strategy Papers, EAMRs 2015, Interviews with IPA II stakeholders in IPA beneficiaries</i></p>
Albania	<p>“Policy dialogue takes place on a continuous basis via both processes such as the High Level Dialogue in order to follow up on the progress regarding the 5 key priorities set for the opening of accession negotiations - good governance, organised crime, corruption, judiciary system and fundamental rights - and working groups monitoring the implementation of the action plans concerned. The alignment with EU policies and acquis is covered and followed up on through reporting under Stabilisation and Association Agreement (SAA) and the regular sub-committees. A Special Group has been set up to follow up on progress and to agree on measures related to Public Administration Reform. Growth and economic policy is followed under the process linked to the Economic Reform Programme, ERP. Policy dialogue at policy and operational level has been further aligned and improved by both the introduction of sector approach and the move towards a Sector Budget Support. Sector Budget Support is being introduced in a systematic way in key areas of financial support for the EU integration process as outlined in the Indicative Strategy Paper for IPA II 2014 - 2020. Sector reform contracts for Sector Budget Support are already being implemented for the Public Finance Management reform under IPA 2014. The employment/skills and public administration reforms are adopted under IPA 2015 (with dialogues being carried out in the identification and formulation phase). Road transport and fight against corruption are proposed for IPA 2016 and are in the identification phase. The dialogue is also developed in a way so as to make progress in the implementation of reforms more visible and is fully linked to progress made in the accession agenda.”</p> <p><i>Source: EAMR 2015 Albania</i></p>

I-612	<i>Perception of IPA II (and IPA I) stakeholders' (EU and beneficiary countries) regarding strengthening of policy dialogue under IPA II (and IPA I respectively)</i>
The former Yugoslav Republic of Macedonia	<p>“High Level Accession Dialogue (HLAD) - The EU Delegation was intensively involved in achieving political agreement following the political crisis in 2015 and focusing back on the Urgent Reform Priorities that are expected to significantly improve the functioning of the legislative and judiciary systems in the country. The government has prepared an Action Plan to address the Urgent Reform Priorities, the implementation of which is under the monitoring of the political parties, civil society and the EU. In addition, the Delegation took part in the consultations on the legislative and constitutional changes and supported the adoption of 11 laws under the National Programme for EU Integration. The EUD has identified ongoing projects which can contribute to the implementation of the urgent reform priorities.</p> <p>Economic governance - the policy dialogue on economic growth and competitiveness between the Commission and the country resulted in January 2015 with the adoption of 2015-2017 Economic Reform Programme (ERP) by the government, however, further work is needed in order to ensure addressing the joint recommendations of the MS and the country.</p> <p>Public Finance Management -The Commission has put a lot of efforts in the initial discussions with the government. Nevertheless, the level of engagement of the Government in such policy dialogue remains insufficient in providing assurances that PFM reforms are important for them, even with the preparation of the PFM Strategy. Improvements in this area could be expected after the elections in April 2016.”</p> <p><i>Source: EAMR 2015 The former Yugoslav Republic of Macedonia</i></p>
Kosovo	<p>During 2015, “EUO continued to engage in the policy dialogue with the Ministry of European Integration as well as relevant line Ministries in programming pre-accession assistance. Rule of Law, Energy and Agriculture have been identified as priority sectors in 2015 with regard to the existing public policies of the Kosovo government and indicators of a genuine commitment to achieve strategic objectives in these sectors in a long-term. As a result of the structured dialogue with Kosovo institutions, Sector Planning Documents have been developed and consulted with other donors present in Kosovo as well as with civil society organizations to serve as a basis for specific actions in these priority areas.”</p> <p><i>Source: EAMR 2015 Kosovo</i></p>
Montenegro	<p>“Policy dialogue is exercised in the context of the institutions of the Stabilisation and Association Agreement, and through the structures for negotiation for EU accession. The key elements followed are related to the "principals first", through the special working groups for the Rule of Law and for Public Administration Reform: both sectors are subject to sector budget support (for integrated border management in IPA II 2015, and, tentatively, for PAR in 2016). The EU Delegation is in constant dialogue with stakeholders on these issues. Similarly, the EU Delegation participated in the policy dialogue on the ESRP (economic and social reform programme), in partnership with DG EMPL, that led to an IPA II multi-annual programme for employment and social cohesion. Dialogue is also taking place on a regular basis in the Sector Working Groups for IPA II programming, in the context of the preparation of the Sector Planning Documents for IPA II.”</p> <p><i>Source: EAMR 2015 Montenegro</i></p>
Serbia	<p>“Policy dialogue is an integral part of the negotiations in relation to Sector reform contracts. Serbia has prepared the first Sector reform contract under the IPA 2015 National Programme. Policy dialogue initiated in the identification stage of the preparation of the SRC, and led to the establishment of key milestones. The work with the Serbian authorities on achieving these milestones as part of the policy dialogue produced very important and concrete results: Serbia expanded the Action Plan of the Public Administration Reform strategy by a year, and properly costed the strategy; the Action plan was adopted, as the initial condition to launch the discussions for the SRC; Serbia developed the national PFM reform roadmap and adopted it in December 2015; Serbia is developing the first ever Mid- term expenditure framework for the PAR sector, and will complete this until the signature</p>

I-612	<i>Perception of IPA II (and IPA I) stakeholders' (EU and beneficiary countries) regarding strengthening of policy dialogue under IPA II (and IPA I respectively)</i>
	of the Financing Agreement. Lastly, the 2016 Budget law was altered in this process to increase the expenditure limits for the PAR sector institutions, meeting the condition related to the need to ensure the amounts required for the financing of the reform.” <i>Source: EAMR 2015 Serbia</i>

Sources of information used

Documentary analysis;

Interviews DG NEAR;

Interviews with stakeholders in the IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is good.

The degree of confidence is assessed as satisfactory.

1.6.1.3 I-613 Perception of IPA II stakeholders' (EU and beneficiary countries) regarding the functioning of IPA II as an effective means of obtaining policy leverage; same for IPA I

I-613	<i>Perception of IPA II stakeholders' (EU and beneficiary countries) regarding the functioning of IPA II as an effective means of obtaining policy leverage; same for IPA I</i>
Indicator Summary	Money cannot develop or modify politics or policies; this can be done only/ mainly by the political/ policy dialogue. On the contrary, money can implement the policies and create relevant results and impacts; and this can in many cases lead to the requirement for development and adoption of further policies to one or another direction. The function of IPA as a means of policy implementation in the current period will certainly create policy leverage in all candidate countries and potential candidates. This has already been seen during the phases of the development/ agreement of the strategic planning (Indicative Strategy Papers), the introduction of the IPA II new design (novelties) and especially the structuring and negotiation of the Sector Budget Support programmes in (almost) all IPA II beneficiaries; the perception of all the IPA stakeholders (DG NEAR HQ and EUD Services, National Authorities, EU Member states, other donors and Civil Society actors) are positive in this respect. <i>Sources: Interviews with DG NEAR & EEAS Officials, EAMRs 2015, Interviews with IPA II stakeholders in the IPA II beneficiaries</i>
Albania	“Policy dialogue at policy and operational level has been further aligned and improved by both the introduction of sector approach and the move towards a Sector Budget Support. Sector Budget Support is being introduced in a systematic way in key areas of financial support for the EU integration process as outlined in the Indicative Strategy Paper for IPA II 2014 - 2020. Sector reform contracts for Sector Budget Support are already being implemented for the Public Finance Management reform under IPA 2014. The employment/skills and public administration reforms are adopted under IPA 2015 (with dialogues being carried out in the identification and formulation phase). Road transport and fight against corruption are proposed for IPA 2016 and are in the identification phase. The dialogue is also developed in a way so as to make progress in the implementation of reforms more visible and is fully linked to progress made in the accession agenda.” <i>Source: EAMR 2015 Albania</i>
The former Yugoslav Republic of Macedonia	“The policy dialogue at country level is conducted through a complex set of frameworks: The Stabilisation and Association Agreement (SAA) - in 2015 a total of 10 meetings were held involving 7 sub-committees, the special group on public administration reform, the SA Committee and the SA Council. The improving synergy between the policy dialogue and the assistance-based dialogue has resulted so far into better

I-613	Perception of IPA II stakeholders' (EU and beneficiary countries) regarding the functioning of IPA II as an effective means of obtaining policy leverage; same for IPA I
	<p>steering of the financial assistance to support the reforms in the key sectors such as home affairs and rule of law, which have been the main sectors supported under the IPA TAIB 2012-2013 and IPA 2014. High Level Accession Dialogue (HLAD) - The EU Delegation was intensively involved in achieving political agreement following the political crisis in 2015 and focusing back on the Urgent Reform Priorities that are expected to significantly improve the functioning of the legislative and judiciary systems in the country. The government has prepared an Action Plan to address the Urgent Reform Priorities, the implementation of which is under the monitoring of the political parties, civil society and the EU. In addition, the Delegation took part in the consultations on the legislative and constitutional changes and supported the adoption of 11 laws under the National Programme for EU Integration. The EUD has identified ongoing projects which can contribute to the implementation of the urgent reform priorities. Economic governance - the policy dialogue on economic growth and competitiveness between the Commission and the country resulted in January 2015 with the adoption of 2015-2017 Economic Reform Programme (ERP) by the government, however, further work is needed in order to ensure addressing the joint recommendations of the MS and the country. Public Finance Management -The Commission has put a lot of efforts in the initial discussions with the government. Nevertheless, the level of engagement of the Government in such policy dialogue remains insufficient in providing assurances that PFM reforms are important for them, even with the preparation of the PFM Strategy. Improvements in this area could be expected after the elections in April 2016.”</p> <p><i>Source: EAMR 2015 The former Yugoslav Republic of Macedonia</i></p>
Serbia	<p>“The European Commission through the Enlargement Strategy defines the enlargement policy toward pre-accession countries. The enlargement agenda has been dominated by a stronger focus on addressing fundamental reforms early in the enlargement process. The Commission has put particular emphasis on the three pillars of rule of law, economic governance and public administration reform. In the above fields, the Commission makes use of existing mechanisms and fora to drive reforms forward, be it through Stabilization and Association Agreement structures, the accession negotiations or Commission-led targeted country-specific initiatives such as high-level dialogues or structured dialogues on the rule of law. In the case of Serbia, the key process in the economic governance field is the development and monitoring of the Economic Reform Programme. In the PAR field, the Special group on PAR meets regularly to discuss the reform process. In the field of rule of law, there is a structured process in place in connection to the opening of the acquis chapters 23 and 24, which are to be opened among the first in the accession negotiations, and closed among the last.”</p> <p><i>Source: EAMR 2015 Serbia</i></p>
Turkey	<p>“Migration and border management have gained further relevance and the regular consultations with sector lead institutions and beneficiaries in the context of IPA assistance have been complemented by high level policy dialogue, in particular around the Visa Liberalisation Roadmap (VLR) and in the context of the EU-TR Joint Action Plan on Refugees and Migration.</p> <p>On Judiciary and Fundamental Rights the VLR as well as the review process of screening reports for negotiation chapter 23 and related exchanges have also influenced and are supporting the planning of financial assistance. EUD has supported these processes through specific meetings, for instance with the Ministry of Family and Social Policy (MoFSP) to advance the finalisation of Turkey's Roma Strategy whose implementation is foreseen to be supported with EU funding. Several IPA funded activities are ongoing with institutions such as the Turkish Ombudsman or the National Human Rights Institution where EUD is involved in regular steering and monitoring activities. In this respect, the Twinning and Technical Assistance in support of the Ombudsman Institution of Turkey have created a positive dynamics in terms high institutional ownership, strong interest and participation in the trainings.</p> <p>The EU-TR dialogue on energy is also accompanied by financial assistance</p>

I-613	<i>Perception of IPA II stakeholders' (EU and beneficiary countries) regarding the functioning of IPA II as an effective means of obtaining policy leverage; same for IPA I</i>
	<p>focusing on aquis alignment and capacity building, along with promoting renewable energy and energy efficiency activities in line with the sustainable energy policies.</p> <p>Besides policy dialogue with the Turkish authorities, the interactions and regular contacts between the EUD and Civil Society Organisations through various consultation exercises and participatory priority identification methodologies led to strong ownership of the European Instrument for Democracy and Human Rights by the civil society in Turkey. And this trend continues to be very strong.”</p> <p><i>Source: EAMR 2015 Turkey</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR & EEAS;

Interviews with stakeholders in the IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is good.

The degree of confidence is assessed as satisfactory.

1.6.1.4 I-614 Degree of IPA II (and IPA I) indirect management mode contribution to increasing political and policy engagement towards reforms

I-614	<i>Degree of IPA II (and IPA I) indirect management mode contribution to increasing political and policy engagement towards reforms</i>
Indicator Summary	<p>The granting of the indirect management mode is provided by the EU to the beneficiary only in cases when the capacity of the competent national services is adequate to guarantee that IPA actions will be implemented in a well-managed way securing the timely, qualitatively and on cost implementation in a transparent way; indirectly this is a recognition of the progress achieved by the beneficiary in the implementation of key accession chapters, that it has reached a status that is trusted to use the EU funds without problems. Although this management mode is transferring the actions' implementation management effort (and the relevant costs) to the national authorities, it is considered as a reward for and as a means of showing that the beneficiary has progressed and is coming closer to EU accession.</p> <p>On this basis, the candidate countries and potential candidates in general want very much to be provided with this credit and are thus increasing their efforts and their political/ policy engagement towards reforms. The degree of the contribution of indirect management mode to increasing political and policy engagement is high; only the SBS approach is received by the EU and National stakeholders (except for Turkey which has not endorsed the use of the SBS) in a better way than the indirect management mode.</p> <p><i>Sources: Interviews with DG NEAR Officials; IPA II Performance Framework (presentation + document); 2014 – 2020 Indicative Strategy Papers, Indicative Strategy Papers 2014 – 2020, Overview of IPA activities and results 2007 – 2014, interviews with IPA II stakeholders in the IPA II beneficiaries</i></p>
IPA I	<p>“Decentralised implementation was the preferred modality under IPA. The immediate objective was to increase responsibility and ownership and progressively adapt countries to the systems and rules they would have to adopt to disburse EU funds once they became EU members. While this indeed permitted Croatia to adapt its systems for fund management ahead of accession, the countries where decentralised management was applied – Croatia, the former Yugoslav Republic of Macedonia, and Turkey – all experienced difficulties. Not all the expected benefits fully materialised.</p> <p>Delays in implementation were among the challenges faced. Weak capacities in the beneficiary authorities prompted the Commission to make a number of corrections in the procurement process that caused delays. An unintended side effect was the bureaucratic burden of such cross-checks. Control and corrections did not diminish</p>

I-614	<i>Degree of IPA II (and IPA I) indirect management mode contribution to increasing political and policy engagement towards reforms</i>
	over time.” <i>Source: Overview of IPA activities and results 2007 – 2014, p. 72-73</i>
IPA II	<p>“Under the IPA II, Commission is introducing a new approach to decentralised implementation, now referred to as indirect management. While the objective to prepare the countries for managing structural funds remains, it is also addressing the apparent weaknesses in the design of the system, the transfer of know-how and speed of implementation in particular.</p> <p>IPA II will pay more attention to the impact it can have on management of public finances. The ex-ante controls exercised by the Commission will be more focused on where the main risks are. Finally, the IPA experience shows indirect management does not have to be the sole aid modality. A mix of modalities is frequently more appropriate.</p> <p>An internal reflection also took place on simplification of procedures. The attention on these issues indeed continues. Efforts have been made to reduce the number of transactions and simplify internal control mechanisms. One of the structural difficulties in implementing IPA programmes, as in general for external assistance programmes, is the time it takes from the moment an action is conceived to the moment the action is implemented, regardless of the aid modality. Reflections have been undertaken in order to shorten this time and make sure that assistance hits the ground more quickly.”</p> <p><i>Source: Overview of IPA activities and results 2007 – 2014, p. 73</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR;

Interviews with stakeholders in the IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is sufficient.

The degree of confidence is assessed as satisfactory.

1.6.2 JC62: IPA II has contributed to effective political coordination with MS and other donors for greater leverage; Ditto for IPA I

1.6.2.1 I-621 Evidence (nature and scope) of increased political coordination with EU MS and other donors for greater leverage (under both IPA II and IPA I)

I-621	<i>Evidence (nature and scope) of increased political coordination with EU MS and other donors for greater leverage (under both IPA II and IPA I)</i>
Indicator Summary	<p>EU MS and other donors which are active in the candidate countries and potential candidates are all contributing, since IPA I, to support IPA in achieving political/policy leverage in each beneficiary.</p> <p>The increased coordination which has been promoted in the current IPA II period through the National Authorities under the new sectoral approach has not yet provided the expected results due to the weaknesses of the Bodies/ Authorities assigned with this work; thus although there are many combined efforts of the EUDs, the donors and EU MS for the implementation of the right actions addressing in the best way the needs of the beneficiaries, the expected political and policy leverage will be difficult to be achieved.</p> <p>The political/policy coordination of the EU MS with DG NEAR/EUDs is facilitated and/ or implemented through: (i) the works (meetings, visits etc.) of the members of the Parliament to the IPA beneficiaries and the subsequent updating of the MPs, as well as from the updating of the EP by high standing officials of DG NEAR – the Commissioner, the Director General et al. (ii) the operation of the IPA Committee. (iii) the follow up of the developments in the IPA beneficiaries and of the IPA implementation progress, by officials of the competent Ministries (M. of Foreign Affairs, Embassies, other) and/ or of their external cooperation agencies. Most of the</p>

I-621	<i>Evidence (nature and scope) of increased political coordination with EU MS and other donors for greater leverage (under both IPA II and IPA I)</i>
	<p>28 member states have the political interest to be engaged in the implementation of the IPA II and in the development of specific policies (of their interest) in the beneficiaries; however very few of them can provide funds for the implementation of the interesting for them policies; these MS have also active and capacitated Agencies which they use for the promotion of their actions/ programmes.</p> <p>Evidence of increased political coordination of DG NEAR/EUDs with EU MS and other donors in the current period constitutes their participation in the WBIF, the MADAD Fund, and other similar participative financing facilities, as well as the active participation of the EU MS in the fora/ committees which develop the EU policies to be promoted in the WBT.</p> <p><i>Sources: Interviews with DG NEAR, EEAS, EMPL, HOME, REGIO Officials, Minutes of the IPA II Committee meetings, Interviews with IPA II stakeholders in the IPA II beneficiaries</i></p>
IPA II Committee Minutes	The evaluation team analysed the IPA Committee meeting minutes from 2014-2016, whose findings feed into the Indicator Summary above. The IPA II Committee meeting minutes are confidential and their text therefore not reproduced here.

Sources of information used

Documentary analysis;

Interviews DG NEAR, EMPL, HOME, REGIO, EEAS;

Interviews with stakeholders in the IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is sufficient.

The degree of confidence is assessed as satisfactory.

1.6.2.2 I-622 Existence of communication/ cooperation platforms/ fora between DG NEAR and other donors and EU MS to discuss on common actions (IPA II and I)

I-622	<i>Existence of communication/ cooperation platforms/ fora between DG NEAR and other donors and EU MS to discuss on common actions (IPA II and I)</i>
Indicator Summary	<p>The most important cooperation platforms for donors' coordination in the candidate countries and potential candidates are operated by the competent National Authorities and -if these Authorities are weak) by the EUDs. These National Authorities and the EUD have also the mandate to manage the implementation of the communication and visibility strategy and Action plan in the beneficiaries. This organisation has changed significantly since IPA I, when this communication and cooperation platform was operated mainly by the EUD.</p> <p>At DG NEAR level there are competent Services which are promoting cooperation/ communication with Other donors and EU MS but at strategic planning level (at the level of programming this is implemented by the EUDs). In addition DG NEAR has a Unit which develops the Communication Strategy for the whole IPA II and promotes relevant activities.</p> <p><i>Sources: Interviews with DG NEAR, EEAS, REGIO, HOME, AGRI, EMPL Officials, 2013 Enlargement Strategy, 2014 - EU - IPA II Regulation 2014-2020 REG 231-2014, 2014 - IPA II programming guide, 2014 – 2020 Indicative Strategy Papers, 2014 – 2020 Multi country Indicative Strategy Paper, EAMRs 2015; Multi- Country Annual Action Programme 2014, Interviews with IPA II stakeholders in the IPA II beneficiaries</i></p>
AAP	<p>“The WBIF has proven to be an effective forum for beneficiaries, the European Commission, International Financial Institutions (IFIs) and bilateral donors to pool their knowledge, experience and resources so as to expedite priority investments in key sectors. This Action will support the preparation and implementation of priority infrastructure investment projects by providing technical assistance, studies, impact assessments and similar services for future infrastructure projects”</p> <p><i>Source: Multi-country Annual Action Programme 2014</i></p>

Sources of information used

Documentary analysis;

Interviews DG NEAR;

Interviews with stakeholders in the IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is sufficient.

The degree of confidence is assessed as satisfactory.

1.6.3 JC63: IPA II has leveraged (can leverage) additional resources – from national or/and international resources (public and private); Ditto for IPA I

1.6.3.1 I-631 Evidence (nature and scope) of leverage with the help of IPA II (and IPA I) resources (in programming documents)

I-631	<i>Evidence (nature and scope) of leverage with the help of IPA II (and IPA I) resources (in programming documents)</i>
Indicator Summary	<p>Financial leverage is certainly created in the WBT with the help of the IPA resources; IPA II is the bigger donor in the region; the amounts (grants) provided by all other donors are very small compared to IPA funds; therefore, in practical terms, IPA funds are those which constitute the sound financial basis where other minor donors and lending organisations can provide the difference needed for the financial closing of actions/ programmes.</p> <p>The leverage of financial sources is organised under special financing vehicles (Facilities) which are preparing the candidate projects and promote their financing to interested parties; such vehicles are the WBIF, EDIF, GGF but also the Trust Funds (like the MADAD Fund for Syria).</p> <p>The progress reports of these vehicles/ Facilities provide evidence of very big leverage of funds in the frame of IPA II. IPA II plays a key role in the bankability of these projects.</p> <p><i>Sources: Website of WBIF, EDIF, GGF, MADAD Fund for Syria; IPA II Indicative Strategy Papers 2014-2020</i></p>
Albania	<p>“4. Transport: In order to ensure that loans are able to address the priority development needs and in order to speed up investments considering the limited public resources available, the provision of IPA II funds will be coordinated in line with the Western Balkan Investment Framework (WBIF) in order to co-fund certain investments and combine the IFI loans with a limited amount of grant funding. In these cases, the preferred modality for delivering the assistance is the management of EU funds by the same donor that delivers the loans, in order to maximise the efficiency of the implementation regarding timing and the use of economies of scale.</p> <p>5. Competitiveness and innovation: Assistance will be provided through twinning, technical assistance, supplies of equipment and investments, including through financial instruments, possibly also through calls for proposals and direct grants to relevant national authorities. Indirect management with other organisations may be suitable. Specific infrastructure projects in this sector may be also funded in coordination with the through WBIF. Sector budget support will be considered, especially to support the ongoing structural reform process, provided that Albania meets the relevant pre-conditions for sector budget support. IPA II may also co-finance Albania's contribution for its participation in the relevant Union Programs for instance Horizon 2020 (research and innovation), and COSME (competitiveness of enterprises and SMEs) once the benefit in Albania's participation has been established in view of the costs.”</p> <p><i>Source: Albania ISP 2014-2020</i></p>
Bosnia and Herzegovina	<p>“IPA II will provide support for the establishment and implementation of an integrated local development programme in the area of SMEs competitiveness and social inclusion. In particular, IPA II will assist private sector development with a focus on innovation and research capacity, the development of export oriented sectors, and the agro-rural and tourism sectors. This will be accompanied by assistance for the identification and preparation of investment projects and for</p>

I-631	<i>Evidence (nature and scope) of leverage with the help of IPA II (and IPA I) resources (in programming documents)</i>
	<p>obtaining access to local or international loan funding. Further support will improve SMEs access to advisory services and investment financing and the use of innovative financing instruments such as the WBIF and EDIF”.</p> <p><i>Source: Bosnia and Herzegovina ISP 2014-2017</i></p>
Kosovo	<p>“Kosovo’s current transport policy, with a heavy emphasis on building new roads, favours the least environmentally-friendly mode and crowds out investment for other low emission modes of transport, particularly railways. The integration of Kosovo into regional (rail) transport networks will be facilitated via the Western Balkans Investment Framework WBIF and relevant regional programmes. In addition, IPA II support may also be mobilised in response to unforeseen priority needs relevant to the integration process, which do not fall under the aforementioned priority sectors. This may include ad hoc and short-term technical assistance provided under the TAIEX instrument and through twinning projects.</p> <p>As concerns the transport sector, IPA II will support only the interventions aimed at connecting Kosovo with its neighbours. Assistance will be channelled through regional interventions, in particular in the railway sector, through WBIF coordination.</p> <p>Following the donors conference for sustainable energy in Kosovo in May 2013, all donors and IFIs committed to supporting Kosovo meeting its energy needs. Given the common goals of the Kosovo authorities, the EU, other donors and IFIs, close cooperation is foreseen, especially with IFIs. Building on the successful cooperation established under IPA I, efforts of IPA II will partially focus on leveraging IFI support, in particular in high investment areas such as energy efficiency, renewable energy sources and support to private sector activities. The framework of this cooperation will be decided during programming, but the WBIF could be considered as a means to channel IPA contributions for these actions. Multi-country initiatives considered beneficial for achieving the abovementioned targets will be taken into consideration. According to the priorities identified by the beneficiary countries, energy and climate change could be tackled also at cross-border cooperation level. TAIEX support may also be used.</p> <p>4. Competitiveness and innovation</p> <p>Close coordination and collaboration with IFIs will be sought, in particular as concerns access to finance for SMEs. Support through regional instruments such as the WBIF and EDIF will be considered following an assessment carried out in cooperation with the Kosovo institutions. TAIEX support may also be used.</p> <p>In the environment sector there is a strong need for investment, in particular in water and waste management. Although officially Kosovo considers the environment as one of the main priorities for action, this is not reflected in actual budget planning and repartition. Kosovo will use the Western Balkans Investment Framework (WBIF) to address investment needs in the environmental sector. Kosovo will participate to the Environment and Climate Regional Accession Network (ECRAN), which will enable Kosovo to build its capacities in the environment field, as well as establishing good cooperation with the other countries in the region.</p> <p>In general, economically feasible and bankable projects should be funded by loans provided by IFI or other donors. The fiscal space for taking up loans is limited following the impact of the economic crisis in recent years. Grant funding for investments is therefore important but at the same time inherently limited. Consequently, there is a need for a mechanism to agree on overall national and regional investment priorities between the government, the European Union, other donors, relevant regional organisations and the IFI, as well as for blending of 36 grants and loans. This coordinating platform will be the Western Balkans Investment Framework (WBIF)”.</p> <p><i>Source: Kosovo ISP 2014-2020</i></p>
The former Yugoslav Republic of Macedonia	<p>“The country is an active participant in regional cooperation, including the South East Europe Investment Committee (SEEIC), the Regional Cooperation Council (RCC), the Central European Free Trade Agreement (CEFTA), the South East Europe Transport Observatory (SEETO), the Western Balkans Investment Framework (WBIF), the Energy Community (EnC), and the Western Balkans</p>

I-631	<i>Evidence (nature and scope) of leverage with the help of IPA II (and IPA I) resources (in programming documents)</i>
	<p>Platform on Education and Training, all of which can help the Government to improve socio-economic development and address relevant regional challenges.</p> <p>Competitiveness and growth</p> <p>Since grant funding for investments and the national budget are limited, the country can use the Western Balkans Investment Framework (WBIF), a unique facility for blending loans and grants, which also provides a mechanism for coordinating priority investments in national and regional projects.</p> <p>Environment and climate action</p> <p>Reforms will be supported through Twinning, service, supply, works, and grant contracts, implemented under direct and/or indirect management. TAIEX can be used for ad hoc and short-term technical assistance. The use of budget support can be considered, once the conditions have been met. WBIF and the 'Joint Assistance to Support Projects in European Regions' (JASPERS) can be used to support investment related activities. The 'Environment and Climate Regional Accession Network' can contribute to strengthening capacity-building in the sector. Multi-country assistance can be used in all areas, including for civil protection and disaster prevention.</p> <p>Transport</p> <p>Reforms will be supported through Twinning, service, supply, works, and grant contracts, implemented under direct and/or indirect management. TAIEX can be employed for <i>ad hoc</i> and short-term technical assistance. WBIF and JASPERS can be used to support investment related activities. Regional cooperation and coordination can further be supported through relevant regional institutions and fora, such as SEETO, and through multi-country IPA assistance”.</p> <p><i>Source: The former Yugoslav Republic of Macedonia ISP 2014-2020</i></p>
Multi-country	<p>“In defining the scope of horizontal and regional support, the European Commission will seek coherence and complementarity with other external action instruments and with assistance granted by EU Member States, EIB and other donors. In particular in the area of investments, the Commission will continue to systematically consult also with other donors. The Western Balkans Investment Framework (WBIF) has proven to be a successful forum for cooperation among all stakeholders. It is a unique platform where the Western Balkan countries alongside the EU, the International Financial Institutions (IFIs) and bilateral donors can identify, prepare and implement priority socio-economic investments through the pooling of expertise and financial resources. These investment projects are deemed to be (i) important for national or regional strategies and the EU accession process and (ii) financially viable. The Regional Housing Programme provides a well-coordinated mechanism for channelling donor funds through a single implementation mechanism implemented by the CEB.</p> <p>The Western Balkans Investment Framework will remain the main instrument. Financial support to the WBIF should be considerably increased because the WBIF is a unique platform for donor coordination and the identification of key priorities for the region.</p> <p>The prioritisation of infrastructure development should be planned using one single mechanism involving the relevant stakeholders. These should include national administrations (with the Ministries of Finance playing an important role), the Commission (both geographical and regional units), IFIs and bilateral donors. This should result in a list of priority projects, i.e. a single project pipeline per sector.</p> <p>Further development of financing mechanisms is needed (blending loans and grants, new financial instruments, promote private sector participation in financing, etc.) to ensure access to finance for large infrastructure projects linking the Western Balkans and Turkey to the EU.</p> <p>The development of these infrastructures should be backed by technical assistance in project preparation and implementation and calls for a coordinated and strategic approach in the region.</p> <p>Investment support for the environment will focus on water supply, wastewater treatment and waste management. The initial focus will be on the largest</p>

I-631	<i>Evidence (nature and scope) of leverage with the help of IPA II (and IPA I) resources (in programming documents)</i>
	<p>agglomerations (densely populated and industrialised areas) and environmentally sensitive areas.</p> <p>Assistance for transport will concentrate on facilitating the necessary investments on the TEN-Ts extension into the Western Balkans, the SEETO comprehensive network. Assistance should take into account the priorities defined in the SEETO Multi Annual Network Development Plan.</p> <p>Assistance for energy will support the implementation of the Energy Community Treaty through the WBIF, as well as via the WBIF supported Regional Energy Efficiency Programme and the Green for Growth Fund.</p> <p>Assistance for all sectors should encourage improved design of infrastructure projects so that investments are made more resilient to current and future climate risks, as well as should promote the limitation and reduction of greenhouse gas emissions.</p> <p>In the context of WBIF, the Enterprise Development and Innovation Facility (EDIF) provides for a comprehensive set of complementary measures to improve access to finance for SMEs and to foster economic development in the region. It does this through creation of preconditions for establishment and growth of innovative and high-potential companies and stimulating the emergence of a venture capital system. The EDIF provides early-to development stage equity financing, development and expansion capital to established SMEs, improves SMEs' access to bank lending and lowers the cost of borrowing. It also supports the governments in implementing priority reforms to create a favourable regulatory environment for innovative and high-potential SMEs.</p> <p>The Green for Growth Fund (GGF) is promoting investment in energy efficiency and renewable energy by household and SME energy consumers and by small renewable energy producers. The structure of the Fund is a Luxembourg registered SICAV designed to accommodate both public and private investors with a layered risk/return structure. In addition, the Fund has a Technical Assistance Facility (TAF), supporting it in fulfilling its role as a market enabler and bridging the knowledge and skills gaps. The Commission will continue to monitor its contribution allocated to the C shares, the work of the TAF, and the overall implementation of the GGF objectives.</p> <p>The issue of refugees and internally displaced persons will be resolved by providing durable housing solutions through the Regional Housing Programme (RHP)".</p> <p><i>Source: Multi-country ISP 2014-2020</i></p>

Sources of information used

Documentary analysis.

Assessment of quality of evidence

The level of information of this indicator is sufficient.

The degree of confidence is assessed as satisfactory.

1.6.3.2 I-632 % of total external resources (non-IPA) invested in IPA II (and IPA I) actions (in programming documents)

I-632	<i>% of total external resources (non-IPA) invested in IPA II (and IPA I) actions (in programming documents)</i>
Indicator Summary	Exact data was not possible to be found and presented. <i>Sources: ---</i>

Sources of information used

Documentary analysis.

Assessment of quality of evidence

The level of information of this indicator is not satisfactory.

1.6.3.3 I-633 % of resources provided by the beneficiary countries and other donors in parallel actions with those financed by IPA II (and IPA I)

I-633	<i>% of resources provided by the beneficiary countries and other donors in parallel actions with those financed by IPA II (and IPA I)</i>
Indicator Summary	Data for this indicator were surveyed in the candidate countries and potential candidates during the validation missions but could not be collected. <i>Sources: Interviews with NIPACs/MoF/ NF in beneficiaries; DG NEAR MIS</i>

Sources of information used

Documentary analysis;

Interviews NIPACs /MoF/NF in the IPA II beneficiaries (with no results).

Assessment of quality of evidence

The level of information of this indicator is not satisfactory.

1.6.3.4 I-634 Extent to which EU MS and other donors have participated in IPA II funded investment schemes

I-634	<i>Extent to which EU MS and other donors have participated in IPA II funded investment schemes</i>
Indicator Summary	The participation of the EU MS is quite substantial while also the amounts from other EU Instruments and IFIs are huge. As example, the following data is provided in the text below about two of the most important investment schemes (vehicles). Exact information about the overall financial envelope of the EU MS and other donors for the candidate countries and potential candidates in the period 2014-2020 was not possible to be collected (only partial data were available) <i>Sources: Website of WBIF and MADAD Fund</i>
WBIF	EU (IPA II): 400 mn € committed; 850 mn € EIB: signed loans = 2,600 mn €; value of Grants = 178 mn € EBRD: signed loans = 513 mn €; value of grants = 142 mn € CEB: signed loans = 388 mn €; value of grants = 52 mn € KfW : signed loans = 130 mn €; value of grants = 90 mn € WB group: signed loans = 11 mn €; value of grants = 10 mn € <i>Source: Website of WBIF</i>
MADAD Fund	EU MS: 72 mn € ENI: 381 mn € IPA II: 243 mn € DCI: 16 mn € Turkey: 24 mn € Total: 736 mn € (2016) <i>Source: Website of MADAD Fund (2016)</i>

Sources of information used

Documentary analysis;

Interviews with stakeholders in the IPA II beneficiaries.

Assessment of quality of evidence

The level of information of this indicator is not satisfactory.

1.6.3.5 I-635 Extent to which blending and public-private partnerships have been used to leverage IPA II resources

I-635	<i>Extent to which blending and public-private partnerships have been used to leverage IPA II resources</i>
Indicator Summary	Two examples of blending Facilities different from the WBIF present (even without numeric data) the leverage of IPA II resources in the WBT:

I-635	<i>Extent to which blending and public-private partnerships have been used to leverage IPA II resources</i>
	<ul style="list-style-type: none"> • The <u>Green for Growth Fund (GGF)</u> characterises itself as a Public- Private Partnership active in the energy sector, having the following investors: EIB, KfW, EC (IPA II), EBRD, IFC/WB, BMZ (Germany), OeEB (Austria), FMO (Holland), NFC (Holland), COS (Sweden). However, individual PPPs for the implementation of specific big projects have not been found. • The <u>Enterprise Development & Innovation Facility</u> is a venture capital fund focusing on an investment portfolio consisting of innovative SMEs at various stages of business development, from the seed to expansion phase, in the Western Balkans. It has investors the European Commission (IPA II), the European Investment Fund (EIF), the European Bank for Reconstruction and Development (EBRD), KfW together with institutional and private investors from the Western Balkans. <p><i>Sources: Website of GGF and EDIF</i></p>

Sources of information used

Documentary analysis.

Assessment of quality of evidence

The level of information of this indicator is sufficient.

The degree of confidence is assessed as satisfactory.

2 Annex 2: Further details on the methodology

The evaluation of IPA II is evidence-based. The EU evaluation criteria (relevance, effectiveness, efficiency, added value of the EU, coherence, consistency, complementarity and synergies, as well as leverage) have been applied as an underlying basis. The evaluation questions (EQs) from the Terms of Reference have given rise to a number of JCs and associated indicators. The evaluation is indicator-based as outlined in the inception report. The following analytical tools were applied in order to reply to the respective EQs:

Box 1 Analytical tools per EQ

EQ1 on **relevance** includes an assessment whether 1) IPA II did (or did not) correspond to the objectives of the EU Enlargement strategy; and whether 2) IPA II did (or did not) correspond to the needs of candidate countries and potential candidates related to their stated EU priorities, given also the recent fundamental shift in the way how the programming of IPA II is conducted since 2014 (sector-based approach).

EQ2 on **effectiveness** examines the extent to which the conditions are in place for the achievement of programme objectives once implementation moves forward. The desk review indicates that some effects at instrument level have emerged from the programming of IPA II. Evidence suggests a much better alignment of IPA programmes and national priorities and the evaluation team will further assess how far this is reflected in reality in order to deliver the anticipated effectiveness and impact.

EQ3 on **efficiency** is also pitched at the instrument level and assesses the relative costs and outcomes of the current programming period. It also looks at process efficiency at the implementation level, including whether the recently enforced management and monitoring arrangements are designed and applied in a manner which ensures increased results orientation and allows for improved performance measurement.

EQ4 on **value added** is closely related to the idea of comparative advantage, particularly as regards EU MS, as governed by the principle of subsidiarity. Value addition is also assumed to derive from complementarity and synergies with other donors, which are also assessed under EQ5.

EQ5 on the issues of **coherence, consistency, complementarity** and **synergy** is assessed at two levels: the conceptual level (scope and rationale of the instrument versus other EFIs and EU policies) and the operational level (how is coherence, consistency, complementarity and synergy ensured at programming and implementation level).

EQ6 on **leverage** is assessed using two parameters: 1) IPA II financial assistance has been used for increasing political and policy engagement of the beneficiaries towards reforms but also in terms of better political coordination with EU MS and other donors; 2) the extent to which IPA II is able to leverage additional financial resources.

The evaluation of IPA II has comprised of **three phases**:

Desk phase:

Inception:

- Kick off meeting and consultation with the ISG in Brussels and consultations with other stakeholders, particularly in DG NEAR.
- Presentation of the inception report to the ISG in Brussels.

Desk:

- Identifying and gathering information at the indicator level. Documents reviewed include policy and strategy papers, programme documentation from the CRIS/ MIS database, evaluations, studies and assessments. In addition to the document review, interviews were conducted by phone or in person with staff members from the European Commission and EU Member States to verify information, obtain leads to documents/new interviewees, and to discuss the Intervention Logic (IL).
- Reviewing the EQs/ JCs to assess whether or not a revision was needed: The EQs and the JCs have not been revised.

- Refining the methods of analysis of the data collected, according to the preliminary finding and needs of the evaluation (see description below of the use of IL). Elaborating pathways of change for further testing.
- Conducting the first step of the IL analysis by verifying whether: 1) the intended activities under the programme are actually implemented; 2) the IL, as depicted in the inception report, is agreed to by consulted stakeholders.
- Elaboration of a detailed validation phase work plan and a list of people to interview.
- Presentation of the desk report to the ISG in Brussels.

Validation phase:

- Further interviews with staff available in Brussels for DG NEAR, DEVCO, HOME, etc.
- Interviews (phone) with EU MS members of the IPA II Committee (see Annex 6 List of Interviews for details).
- Further systematic analysis and extractions from the documentation to fully answer JCs and indicators.
- Targeted compilation of documentation directly related to each JC, in particular documents collected during the field visits.
- Mission to all seven IPA II beneficiaries to conduct semi-structured interviews and/ or group discussions.
- Drafting a separate CIR input according to the guidelines provided by DG DEVCO.
- Based on the success of data collection, assessing whether there is need for further research and interviews to prepare the draft final report, and in particular the conclusions chapter.
- Presentation of the preliminary findings, conclusions and recommendations of the evaluation to the ISG in Brussels.

Synthesis phase:

- Preparing the draft final evaluation report, together with conclusions and recommendations.
- Presentation of the draft final report to the ISG in Brussels.
- Implementation of the OPC whole results feed into the final report.
- Analysis of and response to the feedback received through the web OPC and the accompanying face-to-face consultations.
- Preparing the final evaluation report.
- Presentation of the final report to the ISG in Brussels.

The main purpose of the **field missions** was to complete the data collection and to contribute to answering the EQs. The visits served to validate or revise the preliminary findings and hypotheses formulated during the desk phase and were in particular an opportunity to obtain more information on the actual status of implementation on the ground. The field missions were conducted as follows:

Table 12 Schedule of field missions

<i>What</i>	<i>When</i>	<i>Who</i>
Mission to Albania	30/10 to 05/11 2016 (half)	<ul style="list-style-type: none"> • EUD senior management (Heads of Delegation, Heads of Cooperation, head of Operations) • Key national authorities (NIPAC, NAO, etc.) • At least one key national line ministry/ sector lead ministry • International donors active in the country (e.g. UNDP) • Bilateral donors/ Member State representatives in the country • At least one key CSO in the country
Mission to Kosovo	30/10 to 05/11 2016 (half)	
Mission to Serbia	31/10 to 02/11 2016	
Mission to the former Yugoslav Republic of Macedonia	14/11 to 16/11 2016	
Mission to Montenegro	28/11 to 30/11 2016	
Mission to Turkey	28/11 to 01/12 2016	
Mission to Bosnia and Herzegovina	04/12 to 08/12 2016	

Issues related to the **CIR** have been assessed in a common way across all external financing instrument evaluations. A questionnaire was developed and shared with the evaluation team, which has been answered to feed into the CIR evaluation. Besides the review of documentation and interviews, a common survey has been conducted for the different EFI evaluations. The purpose was to gather feedback from the EUDs on specific aspects of the CIR and on the coherence and complementarity of the EFIs. All collected information has been analysed in order to prepare a consolidated response to the CIR questionnaire (see CIR note in Annex 5).

3 Annex 3: IPA response to changes in context

Table 13 IPA (II) response to changes in context

Changes in context	Beneficiaries affected	IPA (II) response
Refugee crisis	Turkey is hosting millions of Syrian refugees	<p>(Status October 2016) IPA II assistance is coordinated with all available (EU) instruments/funds and with other donors:</p> <p>Action plan for 2015 in Turkey notes an IPA 2015 action in the area of home affairs of EUR 118.94 m (direct management) for contribution to the EU Trust Fund for Syria.</p> <p>A number of actions support the response of the Turkish government to the Syrian refugee crisis, e.g. EUR 15.6 m to support the registration capacity of the Directorate General for Migration Management and its service delivery capacity to Syrians under temporary protection in Turkey. First actions on food security and education and psycho-social support contracted under the EU Regional Trust Fund in Response to the Syrian Crisis (MADAD Fund).</p> <p>Actions funded by the Instrument contributing to Stability and Peace are complementary to actions funded under the humanitarian aid instrument (ECHO) and IPA. UNHCR and IOM are key interlocutors in coordinating the response provided by the Turkish Government to the refugee influx (e.g. a EUR 40 million individual measure to support education services to Syrians under temporary protection).</p>
	The former Yugoslav Republic of Macedonia and Serbia are on the “Western Balkans route”	<p>In October 2015, the EU approved additional €17 million to assist the former Yugoslav Republic of Macedonia and Serbia. November 2015 marked the start of a multi-country IPA II programme, 'Regional support to protection-sensitive migration management in the Western Balkans and Turkey' (3 years, €8 million). The EU also allocated €1.74 million in humanitarian aid to Serbia and the former Yugoslav Republic of Macedonia alone. Some €1.5 million of this amount are being used for providing basic emergency services in winter. An additional €240 000 has been allocated via the Disaster Relief Emergency Fund.</p> <p>Serbia received IPA 2014 support in the field of Home Affairs to enhance efficiency in the management of migration flows.</p>
Floods in the Western Balkans May 2014	Bosnia and Herzegovina (Bosnia and Herzegovina), Serbia are affected	The European Commission reallocated € 42 million from projects under previous IPA national programmes that could not be implemented due to political blockages. A donors' conference for Bosnia and Herzegovina and Serbia took place. Total pledges for Bosnia and Herzegovina amounted to € 810 million of grants and soft loans out of which € 85 million EU grant.

<i>Changes in context</i>	<i>Beneficiaries affected</i>	<i>IPA (II) response</i>
Milestones in accession process	Granting candidate status to Albania	The decision of the European Council of June 2014 to grant Albania candidate status has been a recognition for the reform steps undertaken. It is also an encouragement to step up the pace of reforms.
	Starting negotiations in Serbia	The decision of the European Council to open negotiations was reached due to Serbia's progress in the reforms and its continued commitment to the normalisation of its relations with Kosovo.
	Kosovo signing Stabilisation and Association Agreement (SAA)	On 27 October 2015, the EU signed a SAA with Kosovo. It completes the map of SAAs with all Western Balkan candidate countries and potential candidates.
	SAA replaced the interim agreement in Bosnia and Herzegovina	The EU initiated in December 2014 a new approach to Bosnia and Herzegovina, which provides for the re-sequencing of the conditionalities in order for the country to progress towards the EU and address the outstanding socio-economic challenges it faces. This led to the entry into force of the SAA between Bosnia and Herzegovina and the EU on 1 June 2015.

4 Annex 4: Case studies

4.1 Case study 1: Turkey – experience with IPARD

EC support to rural development in Turkey has been provided by the IPARD programme, first as component V of IPA I and now as sector 8 of IPA II. IPARD (II) supports policy development and preparation for the implementation and management of the EC's Rural Development Policy, Common Agricultural Policy and related policies. IPARD funds are implemented through a single multi-annual "Rural Development Programme".

IPARD I started in 2011 with the Ministry of Food, Agriculture and Livestock (MFAL) designated as the Managing Authority, and the Agriculture and Rural Development Support Institution (ARDSI) as the IPARD Agency. It covered 42 target provinces in Turkey and financed actions across 3 priority axes. IPARD I had a financial allocation of 1.602 €billion. General feedback suggests that IPARD I has been a success and has provided real benefits to farmers and producers in Turkey, thus giving tangible benefits of the EU to ordinary citizens.

The IPARD II financial allocation is 1.045 €billion and the target provinces have been indicatively kept at 42 (with its possible extension to all 81 provinces). Unlike other IPA I programmes with links to line DGs, it has not been affected by the institutional changes within IPA II and remains under the aegis of DG AGRI. Likewise, the national institutional framework remains intact for IPARD II.

Several (mostly positive) issues differentiate IPARD II from other sectors in Turkey. Firstly, following on from the experience of IPARD I programming, IPARD II has a far more comprehensive and coherent sector programme document than the SPDs seen for other sectors. The direct relationship with DG AGRI has been retained, allowing the direct exchange of expertise with EC officials to continue uninterrupted.

Aside from the direct benefits from IPARD funding, several other important effects have been reported: There is a noticeable convergence of IPARD and national rural development policy, as the MFAL recognises the advantages the IPARD model offers national rural development funding and seeks to align national practice along EC lines; The MFAL is reportedly considering how it can use the IPARD II institutions to manage both IPA II and national funds together in an effort to promote efficiency and synergies (although this is reportedly problematic due to EC regulations); IPARD support encourages Turkish farmers and producers to use EU standards, which aside from improve the quality of their products also fosters closer collaboration with EU partners.

IPARD II has staff capacity that dwarfs most of its peers and has a geographical scope across the whole country. The ARDSI has its disposal over 1900 employees of which some 1600 are based in its provincial directorates. This allows it to process large grant calls relatively efficiently and also deliver events country-wide and to large numbers of people.

Not everything is rosy, however. Despite its large staff numbers, the ARDSI still has some problems with contracting assistance under DIS/IMBC (49.9M€ in November 2016), although in interviews the MFAL's view was that this was not significant in comparison to overall funding and programme effectiveness.

Also, cost-effectiveness is questionable in financial terms. The MFAL estimates its total costs to run the IPARD programme to be annually some 100M€. In addition to the co-financing element, the total cost to the Turkish side is roughly comparable with the IPARD I/II allocations. To address this issue, the MFAL believes a larger IPARD II allocation would be appropriate. It estimates overall absorption capacity for IPARD II could be as much as 5 billion€.

4.2 Case study 2: Montenegro – CSO involvement as part of the IPA II public consultation process

In Montenegro, the structure established for the programming of IPA II funds is covering areas defined within the Indicative Strategy Paper. In line with IPA II principles, Representatives from Civil Society Organisations (CSOs) are also participating in the preparation of action documents.

The idea of the inclusion of the CSOs in joint groups for the programming of IPA II (Sector Working Groups) has been a positive experience, both among CSOs and State administrations. These Sector Working Groups are at the beginning of their collective work. So far, there were very few meetings of a joint group. The biggest part of the programming work is being carried out by the relevant Ministries and State Institutions without greater involvement of CSO representatives.

One of the key issues perceived by CSO stakeholders is that the CSO representatives in these bodies often do not have the possibility to examine all the documents which are at the disposal of the State Institutions. For instance, in most cases CSO representatives do not have access to working documents prepared by EU experts which analyse the situation in a particular sector or sub-sector. State authorities often do not make such analytical documents available to third parties as these documents are considered as the property of the EU or the Government.

Another obstacle, hampering the quality of the consultation process, is the lack of specific technical knowledge in the CSOs. Only a small number of CSOs have adequate technical expertise in the areas covered by the Indicative Strategy Paper and the respective sectors since their activities in the past were mostly centered around watchdog and advocacy functions.

In the longer run, the IPA II programming process may be also used as a learning process, allowing CSOs to improve their technical capacities. Some CSOs consider the establishment of thematic networks for programming as an option. Once established, such networks might offer a more thorough technical input for the consultation mechanism. They could be used not only for IPA II but also for the consultation of all public policies adopted by the Government in a particular area.

4.3 Case study 3: Aid coordination in Serbia – from effective aid to effective development

Aid coordination in Serbia started by establishing the Development and Aid Co-ordination Unit (DACU) within the Ministry of International Economic Relations in November 2000 with the task to promote national priorities through the close cooperation with development partners. Since July 2010, DACU is formally established as the Sector for Planning, Programming, Monitoring and Reporting on EU Funds and Development Assistance in the Serbian European Integration Office (SEIO).

In its early / emerging phase, donor coordination was internal to the donor community and oriented mainly towards information sharing and avoiding of major overlaps. This coordination was mainly performed through informal meetings on an ad-hoc basis, sometimes lacking government representative presence. The shift from emergency to development assistance required more structured planning and coordinated programming of national policies and strategies.

In line with the 2005 Paris Declaration on Aid Effectiveness, DACU shifted gradually towards a more systematic approach to the management of assistance within sectors and built sector capacities which resulted in the development of the inter-sectoral 3-year planning document “*Needs of the Republic of Serbia for International Assistance (NAD)*”. The NAD represents the first document in Serbia that relies on sector approach principles and provides a framework for applying the sector approach. It was developed in close cooperation with line ministries, relevant national bodies, CSOs and the donor community.

The mandate of the units within line ministries dealing with international assistance was increased and included international assistance coordination and management over relevant donor-funded projects.

Further advancement of the international assistance coordination resulted in the establishment of Sector Working Groups (SWGs) in 2010 which were later subject to revision (to address the sector changes introduced within the new EU financial perspective 2014-2020 and IPA II). The SWG task is to ensure inter-ministerial coordination within the institution(s) in their competence with regards to planning, programming, monitoring and reporting on development assistance (operational level) and to improve programming of IPA Funds.

The following processes additionally contributed to improved donor coordination and gradually supported the introduction of the sector approach:

- Within the *operational planning reform*, a medium-term plan has been introduced through programme-based budgeting where a new Budget System Law provides a 3-year overview of strategic priorities and respective programmes and projects of each budget beneficiary (Mid-Term Expenditure Framework), linking these to national priorities and sources of financing.
- Within the *policy coordination reform* the introduction of Annual Operational Planning (GOP) provided an important foundation for strategic sectoral planning processes. GOP introduced a functional objective-oriented planning and budgeting system together with result-based monitoring and reporting. This aims at improving strategy development and policy coordination at sector and cross-sector level.

Despite the planning and policy coordination reform, the Serbian Government is still lacking proper monitoring and policy review systems, especially at sector and cross-sector policy and strategy level.

The current NAD - “*National Priorities for International Assistance in the period 2014-2017 with projections until 2020*” - should represent a basis for further improvement of donor coordination and gradual introduction and embedding of a true sector-wide approach in national administrative structures and planning processes.

Also, the role of line ministries needs to be further enhanced. In line with the sector approach underlying the structure of the SWGs, the line ministries still need to adopt the lead role for donor coordination at sector level, under the overall coordination of SEIO.

For the future, it might be desirable that donor coordination should be organised at sector level, with the underlying philosophy that donors contribute to the overall sector policy of the country, based on existing sector strategies. Full ownership for donor coordination must be with Serbia as the beneficiary country.

4.4 Case study 4: Sector Budget Support programmes – first experience from Albania

A major part of the IPA II interventions in Albania are currently foreseen to be implemented through Sector Budget Support (SBS) programmes. SBS has been introduced in the framework of the wider sectoral approach of IPA II and has been positively accepted by the Albanian Government. The specific and wider benefits of the implementation of SBS are considered as:

- Overall competence and responsibility of structuring and implementation of the SBS lies with the Albanian authorities. SBS pushes them to prioritise the needs of their sector, to determine the actions covering these needs, and to plan and manage better their implementation. All this could increase efficiency and effectiveness.
- Actions included in the SBS should lead to specific outputs, results and impacts that are aligned with the priorities of Albania’s multi-annual National Development Strategy. Therefore, IPA II funds seem to be used only for really needed interventions.
- The SBS system of payment (tranches corresponding to the achieved progress and results) together with the specific implementation milestones, help the competent authorities to get organised, to take care of the time schedule for the SBS components and in general to become more responsible and accountable.

From the implementation of the first and the designing (in progress) of the new SBS programmes in Albania, the following findings can be highlighted:

- SBS content and features (time schedule, assessment indicators, payment tranches, etc.) must be realistic in relation to the capacity of the implementing authorities and to the context of SBS implementation (dependency on other authorities' actions, legal and regulatory restrictions). The capacity for strategic planning and realistic programming in Albania proved weak so far, relevant support has been required.
- Technical Assistance addressing specific weaknesses of the implementing authorities must be identified and implemented early enough, before the start of implementation. This means that a quick assessment of the needs of the implementing authorities, either for capacity building or for external support, needs to be implemented immediately upon the identification of the content of the SBS.
- Management/ monitoring of the SBS is important for an early diagnosis of problems and for the identification of corrective measures. This requires a reliable, simple and timely reporting system and a clear decision-making structure.
- Each SBS should be communicated to both the public administration and the wider public. Increased visibility and reinforced ownership and accountability of the implementing authorities are crucial. This has not yet been done yet in Albania but has been recently recognised as a very important and useful parameter for any SBS success.

5 Annex 5: Consultation strategy

5.1 Introduction

The evaluation of IPA II, together with the other independent evaluations of each External Financing Instrument (EFI), that of the Common Implementing Regulation (CIR) and the Coherence Report, are some of the sources of information to feed into the Mid Term Review Report (MTR) of the EFIs. The MTR is required by the Common Implementing Regulation (CIR) Article 17, by end December 2017.

This Consultation strategy provides an overview of the approach that has been taken for consulting this IPA II evaluation with its main stakeholders. It contains two elements. The first is a stakeholder mapping for IPA II which outlines the main institutions or groups that are considered as ‘stakeholders’. The second is a stakeholder consultation strategy that the evaluation team has deployed to engage with these stakeholders during the evaluation process, along with the timeline for its delivery. An important component of this consultation process has been the Open Public Consultation (OPC) done at the end of the synthesis phase of the evaluation. The OPC allowed to acquire feedback from all relevant parties on the main evaluation findings.

5.2 Stakeholder Mapping

Below is a presentation of the main stakeholder groups in IPA II. They have been split into stakeholders operating at **European level** and those at **national level**.

Figure 9 Stakeholder mapping on European level

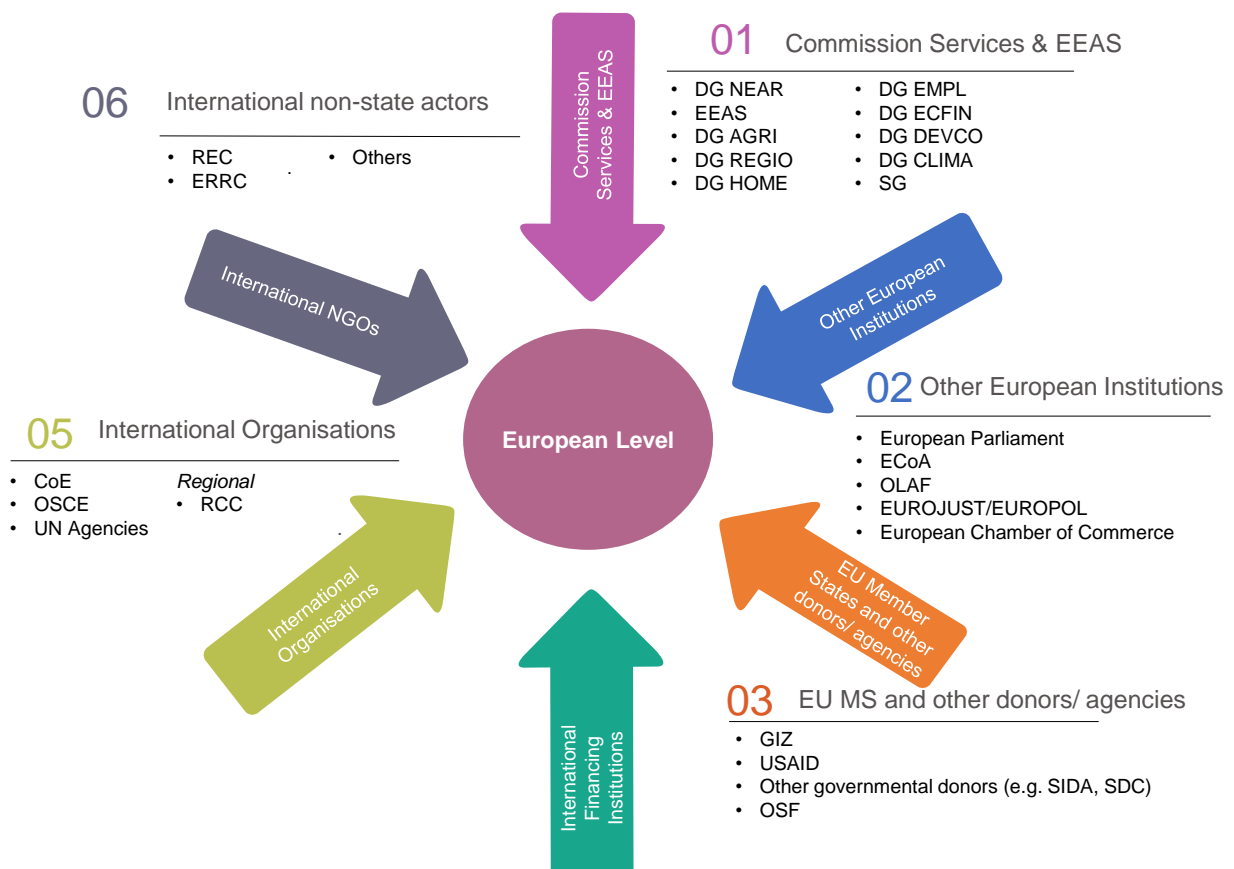


Figure 10 Stakeholder mapping on national level



The table below gives a short assessment of the relationship each of these stakeholders has with IPA II and outlines the strategy used by the evaluation team to engage with them.

Table 14 Stakeholder mapping and engagement strategy

Stakeholder	Comment	Strategy
Commission Services and EEAS		
DG (Directorate General) NEAR	All these parties play a central role in the defining and delivery of IPA II and are therefore key direct stakeholders.	Consult at all stages of the evaluation ² .
<ul style="list-style-type: none"> • Geographical Units • Coordination units • Thematic Units • Programming Staff • Monitoring and Evaluation Staff • TAIEX 		
DG AGRI	Key stakeholder for IPARD II programming and delivery, therefore a key stakeholder.	Consult on IPARD II issues at all stages of evaluation.
DG REGIO	No longer involved directly as in IPA I. Has valuable insights into IPA I (component II/III) and linkages to IPA II. Still a key stakeholder for CBC – it manages CBC Programmes between EU Member States and IPA beneficiaries.	Consult at all stages of evaluation in connection with CBC. Consult in desk phase on issues linked to Component III of IPA I.

² i.e. in the desk and validation phases during the data collection and also in the synthesis phase as part of the stakeholder consultation process.

<i>Stakeholder</i>	<i>Comment</i>	<i>Strategy</i>
DG EMPL	Was responsible for Component IV of IPA I. Not directly involved in IPA II. Has valuable insights into linkages between IPA I and IPA II.	Consult at all stages of evaluation on issues linked to Component IV.
DG DEVCO	No direct involvement. Has a coordinating role on issues of complementarity among the EFIs. Its experience from use of BS may be of relevance in understanding its delivery in IPA beneficiaries.	Consult at all stages of the evaluation.
DG CLIMA	Role not clear. May be part of programming of IPA II linked to energy and environment.	Consult in validation phase.
DG HOME	Important role in programming of IPA II related to rule of law, democracy and governance.	Consult at all stages of the evaluation.
DG ECFIN	Has a key role as concerns economic relations with third countries, including economic aspects of enlargement. Participates in the Budget Support Steering Committee chaired by the Director General of DEVCO, with representatives of DEVCO, EEAS and ECFIN securing political and policy scrutiny and ensuring coherence of EU budget support operations.	Consult at all stages of the evaluation.
Secretariat General (SG)	No direct involvement. Has a coordinating role on issues of complementarity among the EFIs (in particular in ensuring coherence with the Council's work), on securing Better Regulation in evaluations and on OPCs implementation	Inform of evaluation outputs.
EU Delegations/Offices	Have central role in programming and implementation of IPA II.	Consult at all stages of the evaluation.
European External Action Service	Has a formal role in IPA II programming. Hosts staff dealing with IPA programming and implementation in beneficiaries at EU Delegation/Office	Consult at all stages of the evaluation.
International Financial Institutions		
European Investment Bank/Fund (Western Balkans Investment Framework - WBIF)	Provides financing to wide range of actors that link to IPA funding (e.g. infrastructure, SME financing). Important in programming of IPA support (complementarity, blending).	Consult in desk and validation phase. Involve/Inform of evaluation outputs.
European Bank for Reconstruction and Development	Financing to WBIF, implements business support in the region.	Consult in validation phase. Inform of evaluation outputs.
World Bank	Direct financing to WBIF. Also provides financing to national governments as part of economic reform programmes.	Consult in validation phase. Inform of evaluation outputs.
Council of Europe Development Bank	Direct financing to WBIF, potential source of additional financing in specific areas.	Consult in validation phase. Inform of evaluation outputs.
KfW Bank	Direct financing of WBIF. Has historically been involved in IPA programmes (e.g. SME support). Role in IPA II not clear.	Consult in validation phase.
EU MS and other donors/ agencies		
GIZ Germany	A major donor as well as implementer of IPA assistance. A key stakeholder with a presence internationally and also in the	Consult in validation phase and inform of evaluation outputs.

<i>Stakeholder</i>	<i>Comment</i>	<i>Strategy</i>
	region.	
Other bilateral donors	National Government donors have programmes of varying sizes in IPA beneficiaries. E.g. USAID prominent in some countries and regionally; Swiss DC prominent in Kosovo and Albania; SIDA active in social sector work; other EU MS donors have smaller presence.	Consult in validation phase. Inform of outputs.
Open Society Fund	Active in areas common to IPA II focus (Rule of Law).	Inform of outputs.
International Organisations		
Council of Europe	The CoE has a unique role under IPA II regional programme. This makes it a key player in areas within specific areas e.g. the rule of law.	Consult in validation phase. Also inform of evaluation results.
UN Agencies	The UN agencies (UNHCR, UNDP, UNICEF and IoM) have all had a role in implementing and to some extent formulating IPA action measures.	Consult in validation phase. Also inform of outputs.
Organisation for Security and Cooperation in Europe	Active in monitoring and in some cases financing areas that are central to IPA II focus (e.g. democratisation, rule of law); SIGMA.	Consult in validation phase and desk phase (SIGMA). Also inform of outputs.
Regional Cooperation Council	The main political forum through which issues linked directly to EU accession (and thus IPA II) are addressed. Responsible for SEE2020, the regional EU-related policy framework.	Inform of evaluation outputs.
Other European Institutions		
<ul style="list-style-type: none"> • European Parliament • Court of Auditors • OLAF • EUROJUST/EUROP OL • European Chamber of Commerce 	The role of these institutions in IPA II and their relationship with it varies. The evaluators verified the extent to which each engages with IPA II in its programming and delivery.	Consult in validation phase. Inform of evaluation outputs.
Other International Non-State Actors		
<ul style="list-style-type: none"> • Regional Environmental Centre • European Roma Rights Centre • Transparency International 	These organisations operate in areas covered by IPA II (e.g. Minorities, Environment) and have a role in both the consultation process for IPA II actions and also in overseeing/implementing them. The evaluators did a separate assessment prior to the validation phase to decide which of these should be consulted.	Inform of evaluation results.
National Governments in IPA beneficiaries		
National IPA Coordinators	Central role in strategic planning, coordination of programming, monitoring of implementation, evaluation and reporting of IPA II assistance.	Consult at all stages of the evaluation.
Operating	Central role in implementing and	Consult in validation phase.

Stakeholder	Comment	Strategy
Structures/Managing Authorities (incl. CFCU)	management of IPA II assistance.	Involve/inform of evaluation outputs.
National Authorising Officer (National Fund)	Responsible for financial management of IPA II assistance in the IPA II beneficiary and for ensuring the legality and regularity of expenditure.	Consult in validation phase. Inform of evaluation outputs.
Line ministries and governmental agencies	Involved in formulation of actions that form the basis of SPDs.	Consult in validation phase. Inform of evaluation outputs.
Local Government		
<ul style="list-style-type: none"> • Regional governments • Municipalities • Associations of municipalities 	Have the following roles in IPA II: consultative (in formulation of national priorities) possibly beneficiary/ implementing.	Consult in validation phase (esp. associations of municipalities). Inform of evaluation results.
Civil Society Organisations		
<ul style="list-style-type: none"> • National platforms • Regional networks 	Have the following roles: consultative, supervisory/watchdog, beneficiary.	Consult in validation phase. Inform of results.
Private Sector		
<ul style="list-style-type: none"> • Chambers of Commerce • Professional associations 	Have the following roles: consultative, possibly beneficiary/implementing.	Consult in validation phase. Inform of results.
EU-Funded Agencies		
<ul style="list-style-type: none"> • Regional School for Public Administration (RESPA)/ TACSO/ others 	Will have a role in implementing specific IPA II actions.	Consult in validation phase. Inform of results.
Academia		
<ul style="list-style-type: none"> • Think tanks/ Universities & research institutes 	May have played a role in formulation of IPA II national actions.	Inform of results.

5.3 Stakeholder Consultation Strategy

The stakeholder mapping for IPA II outlined the main institutions or groups that are considered as ‘stakeholders’. The developed stakeholder consultation strategy aimed at ensuring that the evaluation team could fully engage with all these stakeholders during the evaluation process. An important component of this consultation process was the open public consultation (OPC) done at the end of the synthesis phase of the evaluation to acquire feedback from all relevant parties on the main evaluation findings. Details on the implemented and completed approach are given below.

The approach taken by this evaluation to engaging with the scope of all these aforementioned stakeholders has been defined by their role in IPA II and their relative importance and influence over it. The consultation approach for the principal stakeholders identified in the above table has been as follows:

Commission Services and EEAS

The evaluation team closely consulted all the relevant DG NEAR geographical and thematic units throughout the desk and validation phases and informed them of results in the evaluation. DG AGRI has also been consulted throughout the evaluation in relation to IPARD II. Other DGs have been consulted during the desk and validation phases where specific

instances required it and informed of evaluation results. EUDs have also been consulted and informed throughout all phases of the evaluation.

IFIs

A major IFI presence in IPA II is the WBIF. Its Secretariat has been consulted during the desk and validation phases to understand complementarity of this instrument with other related IPA II measures and has also been consulted in the synthesis phase. Other IFIs have been consulted in specific cases during the desk and validation phases, otherwise these have been informed of the evaluation preliminary results via the OPC.

International Organisations

Those international organisations implementing IPA assistance (CoE, UN agencies) have been consulted in-country in the validation phase as well as desk phase if judged necessary. The RCC was consulted in the validation phase and in the synthesis phase when preparing the draft evaluation report.

National Governments

The NIPAC, NAO and OS have all been consulted in the validation phase, as they have a central role in the delivery of IPA II in the beneficiaries.

Civil Society Organisations

These stakeholders have an active role in ensuring citizens are adequately represented in the formulation of IPA II actions and in overseeing as well as implementing them. They have been consulted at all relevant levels, particularly during the validation phase and the OPC.

5.4 Stakeholder Consultation Framework

Consultation with stakeholders took place via the following means:

- Interviews (face-to-face and via phone) and group discussions with various stakeholders at HQ level as well as via field missions to all seven IPA II beneficiaries;
- EFI-wide survey to EU delegations (coordinated by the chapeau team);
- Open Public Consultation (OPC) via web and face-to-face;

Desk Phase

The evaluators prepared the inception report and submitted it to the client for its approval. At this stage of the evaluation, no further stakeholder consultation took place. During the actual sub-phase of desk work, stakeholders as identified above have been closely consulted as appropriate, preferably via phone/email/ face-to-face /video-conference discussions. By the end of the desk phase, a Desk Report has been prepared and discussed with the ISG.

Validation Phase

In line with the assessment provided in the table above, the evaluation team has consulted with those stakeholders identified as having a direct role in IPA II. The evaluators contacted these stakeholders with a view to acquiring information for the evaluation via the appropriate evaluation tools e.g. interviews, focus groups, questionnaires.

Synthesis Phase

Towards the end of the synthesis phase, the evaluation team has prepared a set of key preliminary findings and conclusions based on its analysis from the validation phase. This formed a central part of the OPC process required by the ToR.

Report dissemination

Once the final evaluation report has been submitted, the ISG will decide on dissemination of the final report.

5.5 Timeframe

The timeframe for the delivery of the consultation strategy as follows:

<i>Consultation actions</i>	<i>Deadline</i>
Desk Phase	Till 10 th October 2016
Validation Phase (incl. presentation of preliminary findings)	Till 24 th November 2016
Synthesis Phase (pre-OPC)	Till 16 th January 2017
Open Public Consultation	From 7 th February 2017 till 5 th May 2017
Synthesis Phase (post-OPC)	Till mid-June 2017

5.6 Stakeholder statistics

This section provides an overview of how many stakeholders have been consulted during the different phases of the evaluation, where they were consulted (HQ level or in the field), as well as which stakeholder groups they belonged to.

5.6.1 General

A total of 352 stakeholders have been interviewed to inform the results of this evaluation.

58 interviews took place at HQ level, namely in Belgium, Luxembourg or via phone. The remaining 294 interviews were conducted during the field missions to all seven IPA II beneficiaries.

<i>Phase</i>	<i>Number of stakeholders</i>
Field phase	294
Inception/Desk phase	58
Grand Total	352

The interviews conducted covered a large variety of stakeholders on EU level as well as international, regional and national level. The following stakeholder groups were consulted:

<i>Stakeholder group</i>	<i>Number of stakeholders</i>
Commission Services & EEAS	43
EU MS and other donors/agencies	29
Other European Institutions	10
EU Delegations/ EU Office	50
Partner country institutions	171
EU Funded Agencies	1
International Organisations	29
International Financing Institutions	5
Civil Society	14
Grand Total	352

5.6.2 HQ level

On HQ level, the stakeholders from the following institutions were consulted:

<i>Stakeholders</i>	<i>Number of stakeholders</i>
Commission Services & EEAS	43
<i>DG NEAR</i>	34
<i>DG CLIMA</i>	2
<i>DG EMPL</i>	2
<i>DG REGIO</i>	2
<i>DG AGRI</i>	1
<i>DG DEVCO</i>	1
<i>EEAS</i>	1

Stakeholders	Number of stakeholders
EU MS and other donors/agencies	7
<i>Embassy of France</i>	1
<i>MFA Austria</i>	1
<i>MFA Germany</i>	1
<i>MFA Greece</i>	1
<i>MFA Poland</i>	1
<i>MFA Sweden</i>	1
<i>MRD Croatia</i>	1
Other European Institutions	8
<i>European Parliament</i>	4
<i>European Court of Auditors</i>	3
<i>European Investment Bank</i>	1
Grand Total	58

5.6.3 Field missions

The duration of the different field visits was between 2,5 and 4 days. The following table shows the number of stakeholders consulted per country:

Country	Number of stakeholders
Albania	61
Bosnia and Herzegovina	32
Former Yugoslav Republic of Macedonia	90
Kosovo	20
Montenegro	23
Serbia	20
Turkey	48
Grand Total	294

5.6.3.1 Albania

Stakeholders	Number of stakeholders
Civil Society	8
<i>CSOs: ALCDF, ANTTARC, IDM, Rootcos, RTM, Save the Children</i>	8
EU Delegations/ EU Office	7
<i>EU Delegation</i>	7
EU MS and other donors/agencies	2
<i>Member States: Embassy of Austria, Embassy of Italy</i>	2
International Financing Institutions	1
<i>KfW</i>	1
International Organisations	14
<i>IOM</i>	1
<i>WHO</i>	1
<i>UN Agencies: FAO, UN, UNDP, UNFPA, UNHCR, UNICEF, UNRCO, UNWOMEN</i>	12
Partner country institutions	29
<i>Government</i>	4
<i>Line Ministries: Ministry of Agriculture, Rural Development and Water Administration, Ministry of European Integration, Ministry of Finance, Ministry of Internal Affairs, Ministry of Justice, Ministry of Social Welfare and Youth, Ministry of State of Innovation and Public Administration, Ministry of Transport and Infrastructure</i>	21
<i>Operating Structures</i>	4
Grand Total	61

5.6.3.2 Bosnia and Herzegovina

Stakeholders	Number of stakeholders
Civil Society	1
CSOs: <i>Hope and Homes for Children</i>	1
EU Delegations/ EU Office	7
<i>EU Delegation</i>	7
EU MS and other donors/agencies	8
<i>Member States: Embassy of Czech Republic, Embassy of France, Embassy of Germany, Embassy of Greece, Embassy of Italy, Embassy of Norway, Embassy of Sweden, Embassy of Switzerland</i>	8
International Financing Institutions	2
<i>World Bank</i>	2
International Organisations	1
<i>UN Agencies: ILO</i>	1
Partner country institutions	13
<i>Line Ministries: Ministry of Economic Relations and Regional Cooperation, Ministry of Finance and Treasures, Ministry of Justice</i>	4
<i>NIPAC</i>	5
<i>Operating Structures</i>	4
Grand Total	32

5.6.3.3 Former Yugoslav Republic of Macedonia

Stakeholders	Number of stakeholders
Civil Society	1
CSOs: <i>Balkan Civil Society Development Network</i>	1
EU Delegations/ EU Office	7
<i>EU Delegation</i>	7
EU MS and other donors/agencies	1
<i>Other donors: USAID United States</i>	1
International Financing Institutions	1
<i>World Bank</i>	1
International Organisations	5
<i>IOM</i>	1
<i>UN Agencies: UNDP</i>	4
Partner country institutions	75
<i>Government</i>	6
<i>Line Ministries: Ministry of Agriculture, Ministry of Economy, Ministry of Education and Science, Ministry of Environment and Physical Planning, Ministry of Finance, Ministry of Information Society and Administration, Ministry of Interior, Ministry of Justice, Ministry of Labour and Social Policy, Ministry of Transport and Communications</i>	46
<i>Operating Structures</i>	18
<i>NIPAC</i>	5
Grand Total	90

5.6.3.4 Kosovo

Stakeholders	Number of stakeholders
Civil Society	1
CSOs: CIVIKOS	1
EU Delegations/ EU Office	2
EU Office	2
EU MS and other donors/agencies	7
Member States: ADA Austria, Embassy of Austria, Embassy of Finland, Embassy of France, Embassy of Germany, Embassy of Netherlands, Embassy of Sweden	7
International Organisations	3
OSCE	1
UN Agencies: UNDP	2
Other European Institutions	2
Council of Europe	2
Partner country institutions	5
Government	1
Line Ministries: Ministry of Finance	1
NIPAC	3
Grand Total	20

5.6.3.5 Montenegro

Stakeholders	Number of stakeholders
EU Delegations/ EU Office	3
EU Delegation	3
EU Funded Agencies	1
TACSO	1
EU MS and other donors/agencies	2
Member States: Embassy of Germany, GIZ Germany	2
International Financing Institutions	1
World Bank	1
International Organisations	4
UN Agencies: UN, UNDP, UNICEF	4
Partner country institutions	12
Line Ministries: Ministry of Agriculture and Rural Development, Ministry of Finance, Ministry of Transport and Maritime Affairs	8
NIPAC	4
Grand Total	23

5.6.3.6 Serbia

Stakeholders	Number of stakeholders
Civil Society	1
CSOs: European Movement in Serbia	1
EU Delegations/ EU Office	3
EU Delegation	3

Stakeholders	Number of stakeholders
EU MS and other donors/agencies	2
<i>Member States: Embassy of Sweden</i>	2
International Organisations	1
<i>UN Agencies: UNOPS</i>	1
Partner country institutions	13
<i>Line Ministries: Ministry of Finance, Ministry of Interior, Ministry of Public Administration and Local Self-Government</i>	9
<i>Operating Structures</i>	4
Grand Total	20

5.6.3.7 Turkey

Stakeholders	Number of stakeholders
Civil Society	2
<i>CSOs: Association of Monitoring Gender Equality, Civil Society Development Centre</i>	2
EU Delegations/ EU Office	21
<i>EU Delegation</i>	21
International Organisations	1
<i>UN Agencies: UNDP</i>	1
Partner country institutions	20
<i>Line Ministries: Ministry of EU Affairs, Ministry of Food, Agriculture and Livestock, Ministry of Interior, Ministry of Labour and Social Security, Ministry of National Education</i>	17
<i>Operating Structures</i>	7
Grand Total	48

6 Annex 6: Summary of OPC contributions

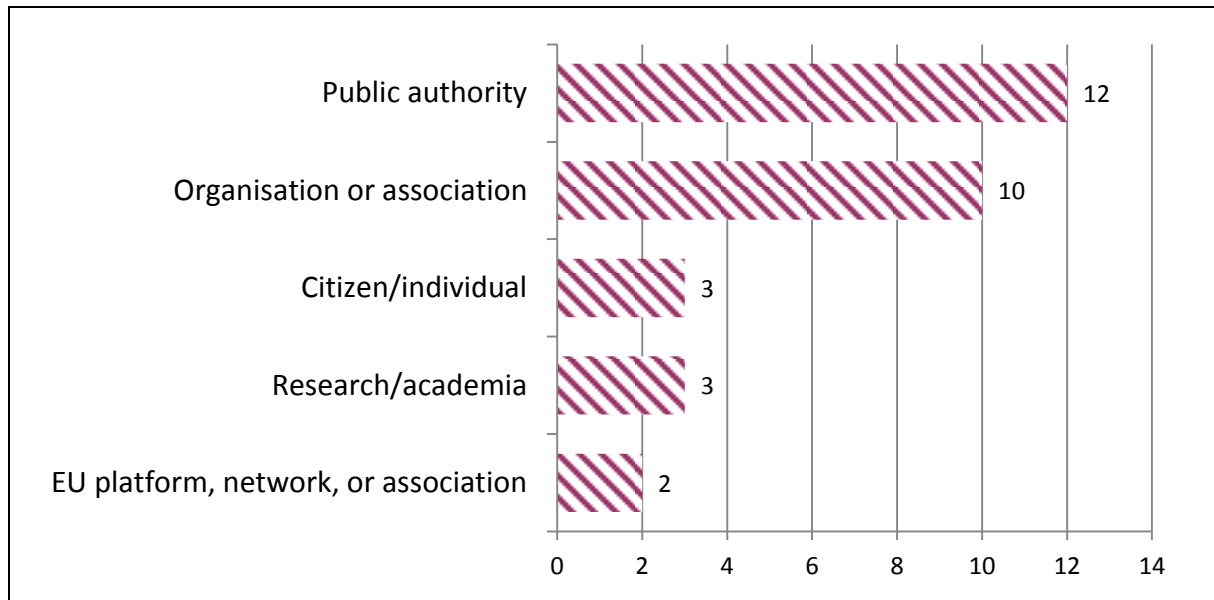
6.1 Introduction

The draft evaluation report on the Instrument for Pre-accession Assistance (IPA II)³ was posted on the website of the European Commission for an Open Public Consultation (OPC) between 7 February and 5 May 2017⁴, together with the evaluation reports of all other External Financing Instruments (EFIs). All stakeholders in beneficiary and EU countries were welcome to participate in this process. The objective of the web-consultation was twofold:

- To gather feedback from the broadest possible range of stakeholders, including those in beneficiaries and in the EU Member States, on the emerging conclusions from the evaluations.
- To gather preliminary ideas on the future external financing instruments after the current ones have expired by 31 December 2020.

From the web OPC, a total of 30 contributions were received which related specifically to IPA II. Most contributions came from public authorities (12 in total) and organisations or associations (10). Further contributions were made by citizens/individuals (3), research/academia (3) and EU platforms, networks or associations (2), as illustrated by the graph below.

Figure 11 Type of contributors to IPA II via the web OPC

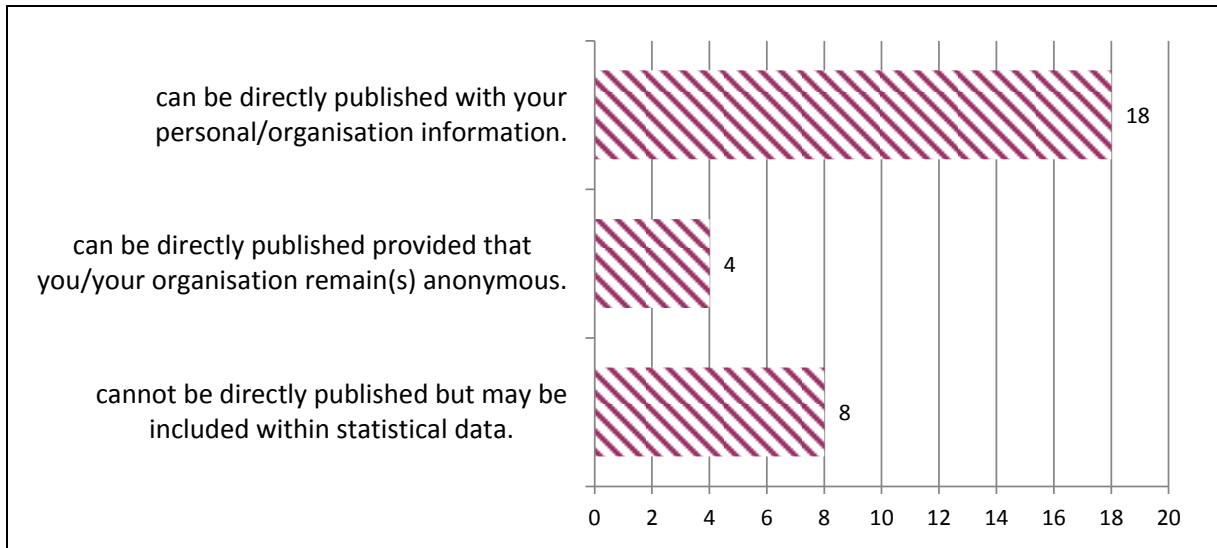


Each contributor could choose their level of confidentiality of their contribution. The following graph shows the option chosen by the different contributors. Contributors who chose the option “cannot be directly published but may be included within statistical data” are included in the statistical overviews for each question. The content of their comments is not included in the summaries of contributions, but have been taken into consideration by the evaluators.

³ Regulation (EU) No 231/2014 of the European Parliament and of the Council of 11 March 2014 establishing an Instrument for Pre-accession Assistance (IPA II).

⁴ https://ec.europa.eu/europeaid/public-consultation-external-financing-instruments-european-union_en

Figure 12 Level of confidentiality chosen by each contributor



In the framework of the web OPC, contributors were invited to respond to the following four IPA II-specific questions:

- Question 1:** How well do you think the IPA II has addressed its objectives? The main assessment criteria for the evaluation are: relevance; effectiveness, impact and sustainability; efficiency; EU added value; coherence, consistency, complementarity and synergies; and leverage. Feel free to comment on the findings, conclusions or recommendations for any/all of the criteria.

→ 24 answers received
- Question 2:** To what extent do you think the strategic orientation of IPA II and the political dialogue between the EU and the Governments in beneficiary countries is adequately addressing the desired improvement of a truly inclusive public consultation?

→ 15 answers received
- Question 3:** To what extent do you think the strategic orientation of IPA II and the political dialogue between the EU and the Governments in beneficiary countries are adequately addressing the key issue of fight against corruption?

→ 15 answers received
- Question 4:** If you have any other views on the IPA II you would like to share, they are welcome here.

→ 22 answers received

The following summaries synthesise the main contributions received for each question from the web OPC.

6.2 Summary of OPC contributions

6.2.1 Question 1: Addressing IPA II objectives

Question 1: How well do you think the IPA II has addressed its objectives? The main assessment criteria for the evaluation are: relevance; effectiveness, impact and sustainability; efficiency; EU added value; coherence, consistency, complementarity and synergies; and leverage. Feel free to comment on the findings, conclusions or recommendations for any/all of the criteria.

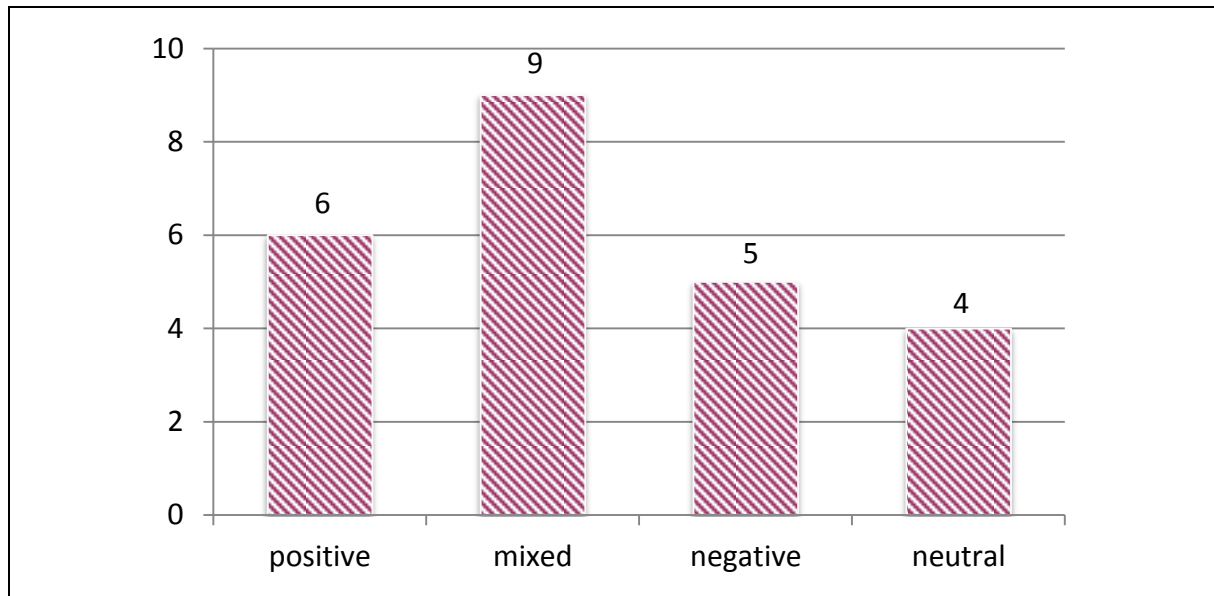
6.2.1.1 Summary of contributions

Out of the 30 contributors which responded to the IPA II-specific questions, 24 provided a contribution to Question 1.

The following types of contributors responded to the question:

- Public authority (12 contributions)
- Organisation or association (6)
- Citizen/individual (3)
- Research/academia (2)
- EU platform, network, or association (1)

Figure 13 Responses to Question 1



The contributions were categorized as being positive, mixed, negative or neutral. The above graph shows that there is a balance between positive (6) and negative (5) assessments, with mixed (9) being the most used category. Four contributions were neutral.

The following bullet points provide a summary of the contributions received⁵:

Positive

- IPA II is well aligned with the EU's enlargement strategy and increases its strategic relevance;
- IPA II has a better strategic focus than IPA I;
- The priorities set for IPA II reflect the priorities for the region;
- IPA II objectives are well-defined;
- IPA II addresses its objectives well and its priorities and selected projects are relevant;
- Security-related objectives and priorities appear in all relevant IPA II documents and are clearly defined.

Negative

- Lack of a suspension clause in the IPA II Regulation;
- Lack of transparency about IPA's absorption capacities;
- Long administrative procedures;
- Absence of joint programming between IPA II, EIDHR and IcSP;
- The IPA Committee's role is often too technical;

⁵ Eight of the 24 contributions were marked with „cannot be directly published but may be included within statistical data“; their content is not included in the summary.

- CSOs have difficulties to obtain funding (e.g. co-financing difficulties, changing regulations for applying to IPA funding, procedures creating barriers for grassroots organisations, too little funding for CSOs);
- Lack of comprehensive horizontal issues (Roma, gender, child rights, disability aspects, climate action, security issues) in strategy papers and programming.

Recommendations

- Establishment of a comprehensive and transparent database to inform the MS about budget execution, implementation of measures and projects, absorption and backlogs;
- Better coordination and coherence between IPA II and the development cooperation of other MS and donors for more effectiveness;
- The integration of horizontal themes should be increased (e.g. for gender: gender analyses, gender disaggregated data for all sectors, gender responsive budgeting, alignment of IPA II with the GAP II);
- Coordination such as the WBIF and CoTEs should be well-resourced;
- IPA II after 2020 should not contain a stand-still clause, as this risks to become a tool for political pressure.

6.2.1.2 Response of the evaluation team

Responses received on this question largely confirm that IPA II has increased its strategic relevance and focus of its predecessor instrument.

The need to improve coordination of programming between IPA II and EIDHR, IcSP has been already raised by the evaluation.

The need to strengthen the tackling of horizontal issues has been recognised by DG NEAR, particularly by introducing COTEs and focal points. This process works already well in some sectors but not in all yet.

Discussions about an increased use of sanction mechanisms are currently ongoing. Conditionality (and suspension), if they are to be more strongly implemented in future, are a mixed blessing. Their effective use will also depend on an accompanying strong policy dialogue.

CSOs have an increased role in the public consultation process and are an appreciated partner for implementation, provided their activities are in line with the strategic orientation of the sector-based approach.

In respect to the IPA II Management Committee, the evaluation points out that the Committee is contributing to aid effectiveness but many times it mostly focuses on comitology, technical issues and the rather mechanistic approval of IPA II annual programmes.

In summary, the comments received are largely in line with the findings of the evaluation.

6.2.2 Question 2: Addressing inclusive public consultation

Question 2: To what extent do you think the strategic orientation of IPA II and the political dialogue between the EU and the Governments in beneficiary countries is adequately addressing the desired improvement of a truly inclusive public consultation?

6.2.2.1 Summary of contributions

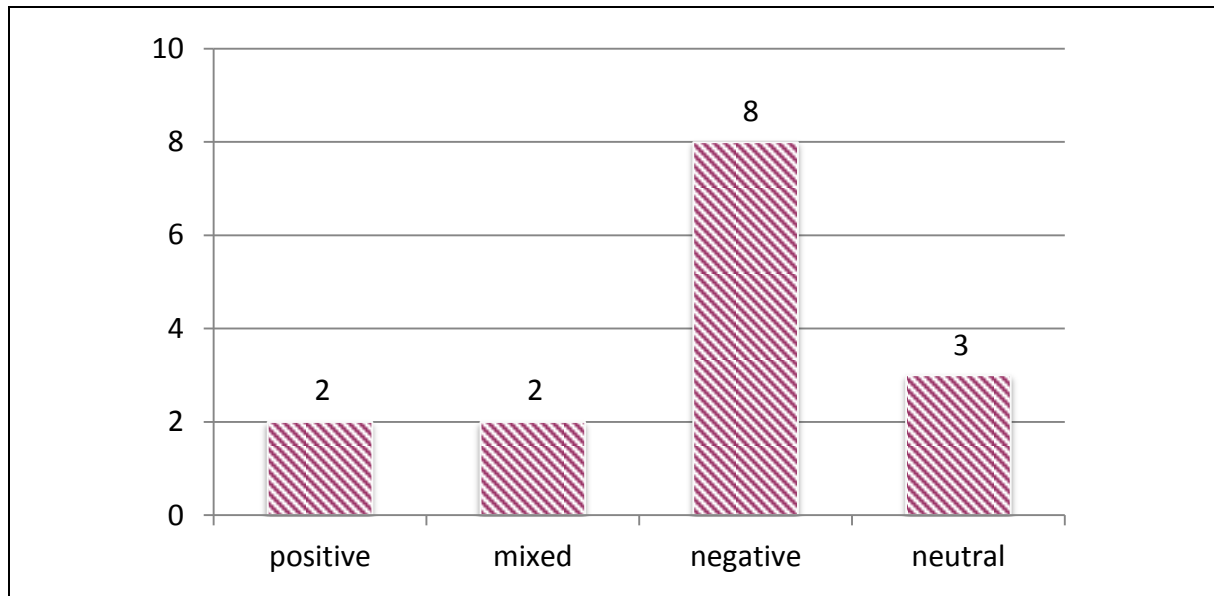
Out of the 30 contributors which responded to the IPA II-specific questions, 15 provided a contribution to Question 2.

The following types of contributors responded to the question:

- Public authority (5 contributions)
- Organisation or association (5)
- Citizen/individual (3)

- Research/academia (1)
- EU platform, network, or association (1)

Figure 14 Responses to Question 2



The above graph shows that the majority of contributions assessed the public consultation processes as negative (8). Only two contributors assessed this question positively, two gave a mixed assessment. Three contributions remained neutral.

The following bullet points provide a summary of the contributions received⁶:

Positive

- The strategic orientation of IPA II has improved over its predecessor due to the sector approach.

Negative

- Involvement of non-state actors in the implementation of IPA II significantly affects the level of public consultations, but there is only limited access to IPA II funds for civil society;
- IPA II and the political dialogue between the EU and governments lacks structure for truly inclusive public consultations, as public consultations and dialogue are still done ad-hoc, based on personal connections and initiatives of individual EU representatives, or thanks to CSO initiatives, rather than through a systematic approach;
- Processes are too complicated for a real inclusive public involvement;
- CSOs are often excluded from governmental consultations;
- The participatory processes are often of bad quality, e.g. when during the public consultation on IPA II SPDs only a limited number of NGOs are consulted over a short period of time;
- At national level, public consultations are sometimes completely omitted;
- As the subject of IPA II is highly political and has low impacts on the public's everyday life, the majority of the population is not in a position to express a concrete opinion on the policy.

Recommendations

- The role of civil society in the beneficiaries should be improved to counterbalance governments when implementing reform programmes;

⁶ Five of the 15 contributions were marked with „cannot be directly published but may be included within statistical data“; their content is not included in the summary.

- The EU should reinforce its conditionalities; they should be concrete, measurable and realistic. They should be made public to the extent feasible;
- The political dialogue related to pre-accession negotiations should take into account non-discrimination, disability and accessibility issues;
- DG NEAR should not accept SPDs if they have not passed a truly inclusive public consultation and if they are not of sufficient quality and in line with EU policies and objectives;
- The EC should step up its efforts in order to maximize the EU's support for civil society in Turkey via IPA II funds.

6.2.2.2 Response of the evaluation team

IPA II is making considerable efforts in strengthening public consultation with the civil society and other actors. Still, the process is at the beginning and differs widely among beneficiaries and sectors.

A new performance framework is being set up for the instrument, which gradually should also improve transparency of budget executions and a true results-oriented reporting.

Discussions about an increased use of sanction mechanisms are currently ongoing. Conditionalities (and suspension), if they are to be more strongly implemented in future, are a mixed blessing. Their effective use will also depend on an accompanying strong policy dialogue.

Improvements in the public consultation process for IPA II are noted by the evaluation report in respect to programming. However, not all CSOs are equally equipped for such specific sector-related consultation process. Moreover, much of the current programming is done in a hasty manner under severe time pressure, often leaving insufficient time for a more substantial broader consultation. Despite this, the public consultation approach of IPA II could also serve as a model for beneficiary governments for improving the quality and intensity of their dialogue with the civil society.

For the time being, SPDs are considered only as working documents which also makes a broader public consultation difficult. The evaluation has pointed out to clarify the status of these documents and to overall improve the quality of these documents.

The political dialogue with beneficiaries is strongly based on the European values, inter alia also taking into account non-discrimination, disability and accessibility issues.

For Turkey, civil society support has been identified as one of the important areas of future IPA II funding (for instance increased support towards rights-based CSOs/ activists).

6.2.3 Question 3: Addressing fight against corruption

Question 3: To what extent do you think the strategic orientation of IPA II and the political dialogue between the EU and the Governments in beneficiary countries are adequately addressing the key issue of fight against corruption?

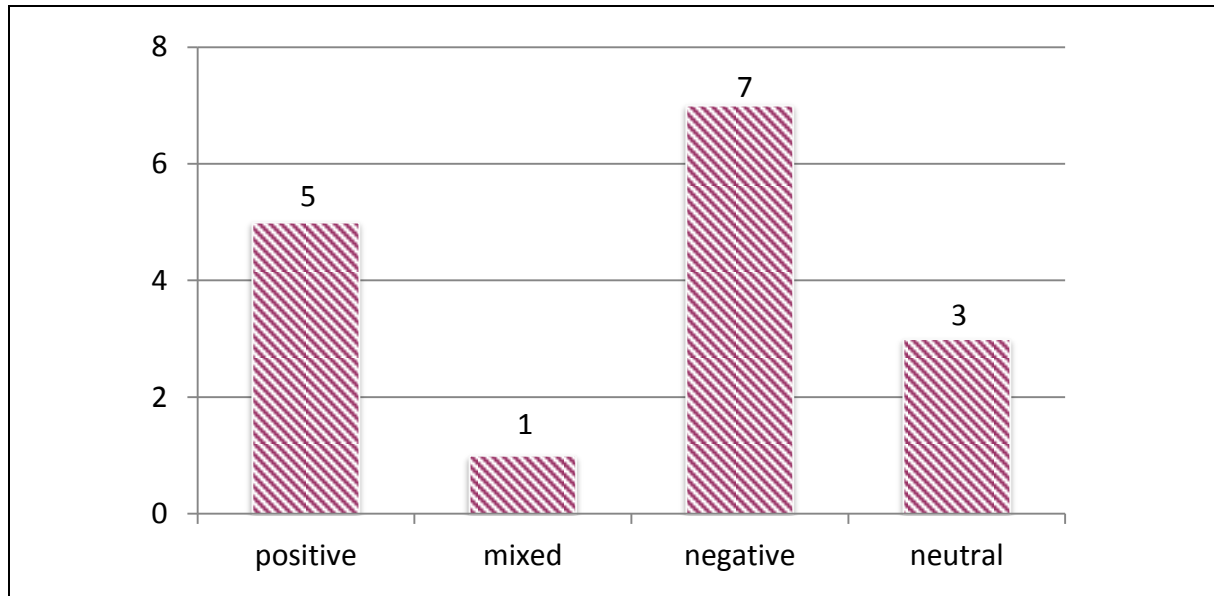
6.2.3.1 Summary of contributions

Out of the 30 contributors which responded to the IPA II-specific questions, 16 provided a contribution to Question 3.

The following types of contributors responded to the question:

- Public authority (8 contributions)
- Organisation or association (4)
- Research/academia (2)
- EU platform, network, or association (2)

Figure 15 Responses to Question 3



The above graph shows that the opinions of the contributors are almost evenly divided in positive (5) and negative (7). Only one contributor gave a mixed assessment of IPA II's contribution to the fight against corruption. Three contributors remained neutral in their answers.

The following bullet points provide a summary of the contributions received⁷:

Positive

- The strategic orientation of IPA II and political dialogue largely take account of the key issues of the fight against corruption;
- The financial support via PA II to improve the legislation against corruption is an important step to reduce corruption;
- IPA II funding has made a positive contribution towards the fight against corruption, and some progress has been made in the beneficiaries;

Negative

- The fight against corruption is still not adequately addressed;
- The fight against corruption is impeded by the fact that corruption is entrenched in the mentality in the beneficiary states;
- The increased use of budget support does not help fighting corruption; it rather increases;
- As long as CSOs are generally excluded from governmental dialogues and consultations & as long as governmental agencies are working with closed doors, it is difficult to fight against corruption in the candidate countries and potential candidates;
- The complexity of the tools and processes at hand does not facilitate the fight against corruption; it rather facilitates corruption;
- Weak impact on the fight against corruption in the field, including almost inexistent monitoring of corruption issues.

Recommendations

- All rule of law issues, including fight against corruption, should be a main focus of IPA II;

⁷ Six of the 16 contributions were marked with „cannot be directly published but may be included within statistical data“; their content is not included in the summary.

- The IPA Committee should be informed about cases of corruption. Reports should be linked to actions on operational level (e.g. amendments of programmes, action programme, performance reward, etc.).

6.2.3.2 Response of the evaluation team

In line with revised strategic approach for the instrument, addressing “fundamentals first”, also the fight against corruption is now more in the focus of pre-accession assistance compared to IPA I.

Corruption is a systemic problem for many beneficiaries. However, pre-accession support is only one tool among others to effectively address this problem.

Corruption is not a particular problem for the actual delivery of pre-accession support, it is primarily related to the given beneficiary and its prevailing culture and public and private structures and systems. To some extent, the instrument tries to address these systemic issues also through increased political and policy dialogue but results have still to materialise.

6.2.4 Question 4: Any other views on IPA II

Question 4: If you have any other views on the IPA II you would like to share, they are welcome here.

6.2.4.1 Summary of contributions

Out of the 30 contributors which responded to the IPA II-specific questions, 22 provided a contribution to Question 4.

The following types of contributors responded to the question:

- Public authority (10 contributions)
- Organisation or association (7)
- Citizen/individual (3)
- Research/academia (1)
- EU platform, network, or association (1)

The following bullet points provide a summary of the contributions received⁸:

- Strategic communication and public diplomacy should be increased and improved, regarding the values of the EU as well as the EU’s added value. The information strand projects under IPA II should be strengthened to make the IPA II activities of the EU more visible and to counterbalance the propaganda activities of third countries. A European narrative should be constructed which at the same time informs of the benefits and requirements of EU membership. Improving the visibility and transparency of EU measures and better communication, outreach and visibility are central points for all operations and documents. Visibility could also be improved through the establishment of “quick-impact flagship projects” in the candidate countries and potential candidates.
- Transparency of budget execution should be improved, incl. the establishment of an adequate database. The IPA Committee should be informed more timely about new policies, financial acts and draft action programmes.
- EU funding awarded through IPA should shift from small investments in many areas towards investing into systemic changes of a sector in order to build sustainable impact and the EU should apply the lessons learned during the previous EU accession process and support its Member States to share their transition experience.

⁸ Six of the 22 contributions were marked with „cannot be directly published but may be included within statistical data”; their content is not included in the summary.

- The IPA II regulation lacks sufficient procedures to take into account negative tendencies in relation to the Copenhagen criteria, notably on democracy and human rights, because of the absence of a suspension clause.
- Consultation with CSOs is an important component of IPA assistance programming which should continue and be developed even further.
- Horizontal issues should be better addressed (e.g. disability issues, child protection)
- IPA funding to women's CSOs is problematic, as it does not reach grassroots' organisations and it is not flexible regarding methods and expected results; EU funding falls under similar smear attacks in several IPA beneficiaries and for that reason it is viewed as a problematic source; IPA administration requirements are too high/rigid; and some of the funding to women human rights defenders / women peacebuilders is channelled through UN Women in a re-granting scheme, but UN Women is neither an expert of the specific country / conflict contexts, nor of practice on the ground, and is therefore highly criticized by those CSOs that are in most need of IPA-support.
- IPA priorities should be evidence-base driven: the EU should support the candidate countries and potential candidates in areas where evidence shows that increased efforts are needed.
- The introduction of the Centres of Thematic Expertise (CoTE) in DG NEAR to mainstream horizontal issues already in early planning phases is crucial.

6.2.4.2 Response of the evaluation team

Based on the introduced changes and new orientations, IPA II should be able to strengthen also communication and visibility.

The instrument also recognises the need for effective policy and political dialogue in order to make pre-accession support fully successful.

A new performance framework is being set up for the instrument, which gradually should also improve transparency of budget executions but also the results-oriented reporting.

IPA II is more inclusive than its predecessor but this has so far mostly been limited to programming aspects.

IPA II puts emphasis on a limited number of key sectors, providing concentrated funding there, including sector budget support, to increase impact and sustainability.

The involvement of EU MS is taking place for instance through TAIEX or twinning or delegation of management tasks to accredited MS agencies but could still be increased.

The need to strengthen the tackling of horizontal issues has been recognised by DG NEAR, particularly by introducing CoTEs and focal points. This process works already well in some sectors but not in all, including in areas like supporting women CSOs.

In conclusion, IPA II potentially recognises many of the critical comments raised above and some of the raised aspects should considerably improve in line with the instrument's implementation in the field.

6.3 Face-to-face consultations

As part of the public consultation, the findings of the IPA II draft report were discussed face-to-face on several occasions as follows:

- 23 March 2017, Civil Society Organisations (CSOs) and Local Authorities (LAs) from the European Union and partner countries in the framework of the Policy Forum on Development Meeting;
- 24 March 2017, with the council working groups COWEB and COELA;
- 28 March 2017, with representatives from the European Parliament and the EU Member States.

6.3.1 Summary of contributions

During each meeting, a number of issues were raised with regards to the evaluation findings, but also to IPA II in general. Comments were made by different stakeholders from the Council of the European Union, European Parliament, Member States and Civil Society Organisations.

The following bullet points summarize the main issues raised during the face-to-face consultations:

- Visibility aspects of IPA II, such as communicating better the added value of the EU support within the beneficiaries;
- Transparency issues related to budget execution, absorption rates, allocated and paid amounts, etc. and the need to strengthen administrative data collection, monitoring systems and sector-based management information systems,
- The lag between programming and implementation;
- Coordination, synergies and knowledge sharing between IPA and other EFIs, IFIs, MS and other donors and development actors;
- The need to take into account different actors in the field and to involve them into the implementation;
- The limited support of IPA II to civil society and local governments and the need to provide more support to civil societal actors in the beneficiaries;
- The lack of a suspension clause in the IPA II Regulation;
- Possibilities of monitoring the success of projects also after their completion;
- The response to low performance under the performance framework;
- Issues of corruption in the public sector and the private sector;
- The importance to focus on the rule of law and key reforms in economy and administration;
- Stability issues and how to build stability in the beneficiaries.

6.3.2 Response of the evaluation team

There is a clear requirement now under IPA II to strengthen also communication and visibility, revised procedures and intensified actions are being launched at the time of this evaluation.

A new performance framework is being set up for the instrument, which gradually should also improve transparency of budget executions but also the results-oriented reporting.

IPA II is more inclusive than its predecessor but this has so far mostly been limited to programming aspects. The inclusiveness of the implementation process still needs to materialise.

Measures to tackle low performance have been applied in the past and might be used even more in the future, based on objective performance data. Discussions about an increased use of sanction mechanisms are currently ongoing. Suspension, if it is to be more strongly implemented in future, will also need an accompanying strong policy dialogue.

Final/ ex-post evaluations are already important tools to supplement the performance review. Also, the Results-oriented Monitoring allows for the review of actions being at the final stage.

The focus on the rule of law and other key reforms is a major feature of the new instrument.

Stability is a basic requirement for effectively delivering pre-accession assistance but cannot be addressed solely by the instrument.

In conclusion, IPA II potentially offers many of the features required by the given comments. It needs still to be seen to which extent these requirements can be addressed in the given context of beneficiaries and their prioritised sectors.

7 Annex 7: CIR note for IPA II

In what ways do the rules of the CIR improve or hinder the delivery of the Instrument objectives in terms of:

Flexibility / Speed of delivery in the field of contract award procedures

(i.e. articles 8 to 11 CIR on rules of nationality and origin)

To what extent the nationality and rules of origin requirements of the CIR have increased the untying of aid for the Instrument, compared to its predecessor?

Qualitative interviews were not conclusive on this topic as only few IPA II programmes have been signed with very few already under implementation to the point of contract award procedures. Where this has happened, it mostly concerned contracts with international organisations.

A key measure adopted in respect to the requirements of the CIR can be found in the PRAG. The measure applies to any contract: full untying was adopted for materials and equipment for lines in bill of quantity that does not exceed EUR 100,000. It is envisaged that this will be particularly relevant for grant schemes involving small local contractors but also CSOs operating under IPA II assignments.

The 2016 Report on Global Partnership for Effective Development Cooperation provides indicators for the level of untying of DAC bilateral aid. Reference is made in this report only for two IPA II beneficiaries – Albania and Kosovo. The available data indicate some increased use of untied aid when comparing 2014 with 2010 (Albania: 71.9% vs. 61.7%, Kosovo: 30.3% vs. 29.1%). These global figures however cannot be specifically attributed to IPA II yet.

Statistical data on IPA II tying status is presented below:

Table 15 Commitments under IPA II 2014 and 2015 by tying status

Total committed amount	3.062.705.303 €	100%
Tying Status	Committed amount	
Tied	2.907.882.943 €	95%
Partially Untied	65.948.507 €	2%
Untied	71.111.970 €	2%
Data NA	17.761.883 €	1%

Source: Dashboard data IPA II for 2014 and 2015.

The available data refers to commitments made for 2014 and 2015. The figures clearly show a high tying status in IPA II beneficiaries (95%). As data covers only 2014/ 2015, changes in the tying status are difficult to assess in the absence of comparable data from the previous period.

Promoting ownership

To what extent has the use of country systems per Instrument increased, compared to the situation prior to 2014 (i.e. article 1(5) CIR)?

The use of country systems has increased in the Western Balkans, but this is rather a result of the general evolution of IPA I and, more recently, the IPA II sectoral approach (and its parallel requirements for national strategies and control of the development activities by the beneficiary). The Financial Regulation but also the CIR (Art.4 para 2) can be credited with the provision of sectoral budget support and the details of its implementation. The introduction of sectoral budget support in pre-accession assistance is confirmed by all interviewees as an innovative element that fosters ownership and policy dialogue (also within national institutions) already during its planning and preparation. However, there is no significant impact directly attributable to the CIR.

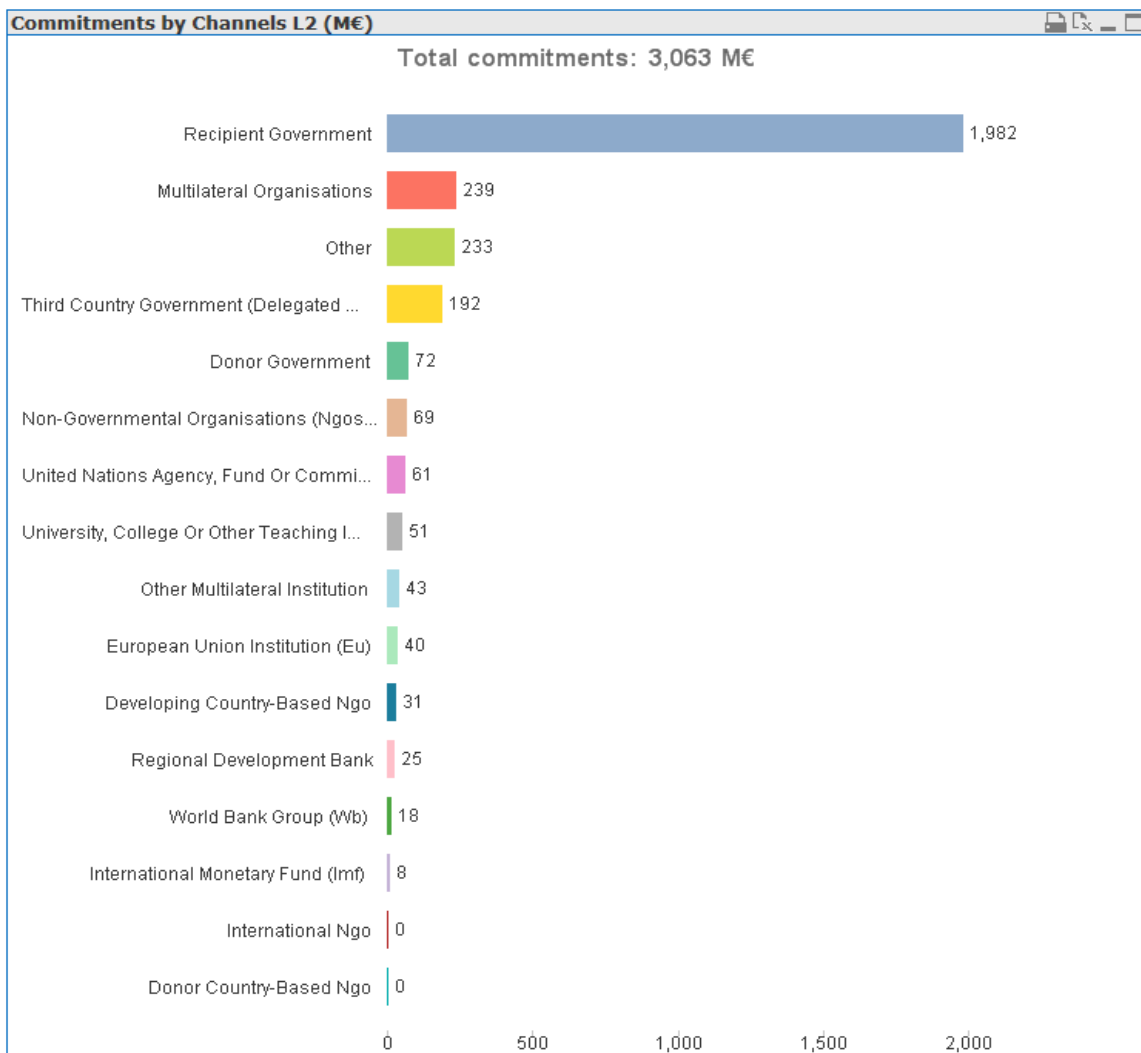
Overall, ownership in IPA II is linked to the perspective to move beyond EU integration towards EU membership. As witnessed in IPA I, the use of the indirect management mode by the beneficiary (previously decentralised implementation system) has been an element fostering also ownership of IPA funds.

Compared to the IPA I period, the number of countries operating at least partially under the indirect management mode has increased to five (Albania, the former Yugoslav Republic of Macedonia, Montenegro, Serbia and Turkey). In 2015 in Turkey, 80% of the funds were indirectly managed, while 10% in Albania. Serbia serves as an example of a country in which the indirect mode is being gradually and conditionally introduced.

IPA II allows in principle more flexibility in applying different management modes as demonstrated for instance already in the 2014 annual action programmes. This flexibility is likely to be increasingly applied in the future. For some IPA II countries already operating under indirect management mode this could also mean temporarily a significant departure from the indirect mode, at least for certain sectors or intervention areas.

Statistical data on IPA II channels (for “use of country systems”) is presented below:

Figure 16 Commitments under IPA II 2014 and 2015 by channels



Source: Dashboard data IPA II for 2014 and 2015.

The available data refers to commitments made for 2014 and 2015. The figures clearly show a high use of country systems in the IPA II beneficiaries. However, the figures are dominated by Turkey which is characterised by both a high volume of absolute funding (compared to the Western Balkans as a region and its individual countries) as well as by the fact that a large amount of Turkish IPA funding is channeled through indirect management modes with the beneficiary country. The situation is particularly different for beneficiaries like Bosnia and Herzegovina and Kosovo, where the use of direct management mode still prevails. As data

covers only 2014/ 2015, an “increase” is difficult to assess, but the information still is interesting to show the current “status quo”.

To what extent stakeholders in the beneficiary country, such as civil society and local authorities, played a meaningful role in the preparation, implementation, monitoring and evaluation of actions (i.e. articles 4(11) and 15 CIR)?

(Tools, timely access to relevant information given to stakeholders, better targeting and designing of actions.)

IPA II takes a stronger attempt to increase the involvement of local stakeholders, compared to its predecessor programme.

There is no strong evidence that this has happened in the overall strategic planning of IPA II, however. This is linked to practical constraints such as the relatively limited timeframe for planning and programming of IPA II actions, particularly for the 2014 programme which represents a transition from the project to sector approach. Emphasis is still put on a more integrative and consultative approach during the programming process of IPA II funds. In particular, the involvement of CSOs is strongly promoted by EUDs, but to an increasing extent also by NIPACs. Involvement of CSOs in implementation and monitoring of IPA II has still to develop in line with the progress in contracting and realising IPA II actions and in setting up IPA II monitoring structures. However, there have been a couple of examples where CSOs participate in the monitoring of IPA assistance (usually as observers in monitoring committees), even if this is still related to the implementation of IPA I.

As concerns the involvement of local authorities, the picture is mixed. They are involved when it comes to actions related to local development or CBC. CBC actions are characterised by a large participation of local stakeholders, including local authorities, in the preparation and implementation phases. Based on evidence from the available CBC programme documents, IPA II has been using also the public consultation process during the definition of new programmes, which confirms an increased involvement of the public. Otherwise, local authorities are often involved indirectly through their own associations.

To what extent has the participation of local contractors increased since 2014 (i.e. article 8(6) CIR)?

Detailed information will be extracted from the responses to the Joint Survey.

Only a relatively small number of IPA II programmes are at the stage of contracting, therefore evidence is very limited. In the longer run, the use of budget support could also increase the participation of local contractors in the implementation of IPA II programmes.

Art 19.(5) of the standard template for the Framework Agreement on the arrangements of IPA II assistance refers to the promotion of local capacities, markets and purchases, however with specific reference given to the Financial Regulation (*“priority shall be given to local and regional contractors when the Financial Regulation provides for award on the basis of a single tender. In all other cases, participation of local and regional contractors shall be promoted in accordance with the relevant provisions of the Financial Regulation”*).

In general, IPA II tenders are open to all eligible nationalities. Success (or failure) of the local contractors depends mainly on their ability to present a good/ competitive offer, based on their technical capacities and experience and their possibilities to deal with the administrative and financial requirements of EU funded contracts.

The predominantly weak financial capacities of economic operators particularly in the Western Balkans clearly limit the chances for local contractors to increasingly participate in EU funded tenders in the near future. In most cases, local contractors are participating in consortia led by EU companies.

Promoting climate change and environment mainstreaming

(i.e. articles 2(6) and 14 CIR: the EU has committed that at least 20% of its budget for 2014-2020 (including the 11th EDF) should be spent on climate change-related action); With respect to biodiversity, the Union has endorsed the Hyderabad objective to ‘double total biodiversity-related international financial resource flows to developing countries.’

To what extent have climate change and environment been mainstreamed in the actions financed under the instruments? To what effect?

Overall, the creation of the Centres of Thematic Expertise (CoTE) in 2015 within DG NEAR provides a basis for more effective mainstreaming of key horizontal themes in IPA II programming. The extent to which they can be proactive in this role is conditioned by their capacities, which vary from limited to good.

Climate change and environment has been built-in already in the IPA II regulation. Mainstreaming of issues referring to the protection of environment and to climate change is examined as a cross-cutting issue during projects' identification for all IPA II actions (under the QSG process).

The inclusion in the CIR of such a high-level priority has limited additional effect. Climate change and environment are main features of the EU accession agenda and thus the political emphasis to comply with the requirements in this area is non-disputable for IPA II beneficiaries.

Overall, the qualitative interviews conducted to date suggest that the level of priority given to climate change and environment has not increased significantly yet.

Statistical data on IPA II funds committed during 2014/ 2015 for environment is presented below:

Table 16 "Aid to Environment" Marker for commitments under IPA II 2014 and 2015

Total committed amount	3.062.705.303 €	100%
Aid to Environment	Committed amount	
Main Objective	152.581.933 €	5%
Significant Objective	717.381.187 €	23%
Not Targeted	2.141.359.163 €	70%
Not Screened	51.383.021 €	2%

Source: Dashboard data IPA II for 2014 and 2015.

The table above shows that for the period under review 28% of the IPA commitments are addressing environment as a main or at least significant objective, whilst 70% of the commitments are not targeting environment at all. As the available data covers only 2014/ 2015, the extent of increase is difficult to assess.

Promoting human rights and fundamental freedoms

(i.e articles 1(6) and 4(2)(3rd paragraph) CIR):

To what extent has the promotion of democracy, the rule of law and respect for human rights and fundamental freedoms been included in the design of actions? To what effect?

Overall, the IPA II Regulation stipulates that IPA II financial assistance should be provided in line with the enlargement policy framework, considering the overall Enlargement Strategy and the annual enlargement package of the EC as well as of the relevant Council conclusions and resolutions of the European Parliament.

In line with the aims of the Enlargement Strategy, the need to address "fundamentals first" focuses also directly on governance and the rule of law. Promotion of democracy, the rule of the law and respect of human rights is already built into IPA II regulation, to the extent that progress in those matters are key for implementing further accession-related actions and/ or opening of negotiation chapters. Mainstreaming of promotion of democracy, the rule of the law and respect of human rights is examined as a cross-cutting issue during projects identification for all IPA II actions (under the QSG process). Their duplication in CIR is of no effect.

Statistical data on IPA II funds committed during 2014/ 2015 for promoting human rights and fundamental freedoms is presented below:

Table 17 “Participatory Democracy/ Good Governance” Marker for commitments under IPA II 2014 and 2015

Total committed amount	3.062.705.303 €	100%
	Committed amount	
Main Objective	1.300.200.781 €	42%
Significant Objective	546.311.759 €	18%
Not Targeted	1.164.809.742 €	38%
Not Screened	51.383.021 €	2%

Source: Dashboard data IPA II for 2014 and 2015.

The figures above are addressing the Participatory Democracy/ Good Governance Marker, are thus not directly reflecting the provisions for human rights and fundamental freedoms. Based on the available data, 60% of the IPA commitments made in 2014/ 2015 are however at least significantly addressing democracy and good governance. As the available data covers only 2014/ 2015, the extent of increase is difficult to assess.

To what extent has gender mainstreaming been included in the design of actions? To what effect (e.g. greater financial resources, improved gender-sensitive design of actions and implementation)?

Similarly as for democracy, gender equality is a built-in feature of the IPA II regulation. Therefore, it is difficult to identify an effect stemming from its inclusion into CIR. Gender mainstreaming is predominantly applied as a cross-cutting issue in the IPA II action documents.

Other measures to promote gender mainstreaming are to be introduced soon, e.g. an annex to action documents to ensure gender issues are adequately integrated into their design. These should, if properly integrated into the programming process, improve the quality of design of actions and strengthen their effectiveness.

EUDs also have focal points for some horizontal issues, e.g. gender. The extent to which they can influence programming processes in-country is not yet clear.

Statistical data on IPA II funds committed during 2014/ 2015 for promoting gender equality is presented below:

Table 18 “Gender Equality” Marker for commitments under IPA II 2014 and 2015

Total committed amount	3.062.705.303 €	100%
	Committed amount	
Main Objective	4.325.622 €	0%
Significant Objective	871.624.016 €	28%
Not Targeted	2.135.372.644 €	70%
Not Screened	51.383.021 €	2%

Source: Dashboard data IPA II for 2014 and 2015.

Based on the available data, 28% of the IPA commitments made in 2014/ 2015 are significantly addressing gender equality. As the available data covers only 2014/ 2015, the extent of increase is difficult to assess.

To what extent have criteria regarding accessibility for persons with disabilities been taken into account in the design and implementation of programmes and projects and to what effect?

Reference to accessibility for persons with disabilities is made already in the IPA II regulation (“vulnerable groups, including persons with disabilities, refugees and displaced persons”).

Based on a review of IPA II action documents, reference to disabled people is usually made under minorities and vulnerable groups, however without giving specific information how the aspect of disabled persons will be addressed in the action. At this stage, no synthetic source

of information on increased inclusion of accessibility for persons with disabilities in IPA II programmes has been identified. Similarly, during the interviews held with stakeholders, the importance to comply with this injunction in CIR was noted.

Promoting effective and efficient implementation methods

Has the use of innovative instruments (loans, guarantees, blending...) increased (volume)? (i.e. articles 4(1)(e) and 4(3) CIR)? Did they create a leverage effect?

Overall, IPA II makes good use of the CIR's encouragement to utilise innovative financial instruments.

The use of sector budget support has been actively promoted by the EC and is expanding across the Western Balkans. In line with the desired strategic orientation of IPA II, the use of budget support is supposed to increase further in the years to come, which would positively impact on cost-efficiency. Expectations that budget support provides a cost-effective instrument for implementing sector reforms under IPA II have still to be proven in the field.

The use of indirect management to the beneficiary country as a mode of implementation has been discussed above.

Blending is evidently an instrument promoted in the Western Balkans (considering that blending is mainly a combination of grants – provided by the IPA II (and others) – and loans (by European Investment Bank and other International Financing Institutions). This is only logical considering the investment needs of the region which can only be covered by loans (having improved conditions due to the grants), like concessional loans.

The Western Balkans Investment Facility (WBIF), set up under IPA I and considerably developed under IPA II, is key in this respect, providing also significant leverage of resources.

IPA II resources also contributed to establishing the EU Regional Trust Fund in Response to the Syrian Crisis (MADAD Fund) for answering to the needs of displaced persons induced by the Syrian conflict (and reconstruction challenges at a later stage).

Has there been an increase (volume) in use of more coordinated methods of working (i.e. division of labour) since CIR rules have been in place (i.e. article 4(9) CIR)?

Overall, due to the many changes in the approach and methods of implementation of IPA II (compared to the previous period), it is difficult to separate the part directly resulting from implementing the CIR.

The CIR instruction to improve coordinated methods of working was not indicated as a driving factor by the interviewed stakeholders. The most common reference for promoting more coordination with EU MS was said to be the requirements of IPA II.

In IPA II, the sector approach model is an important tool for enhancing aid effectiveness, mostly through improved efficiency resulting from better aid coordination where the focus is put on developing and strengthening sector policies and sector institutional arrangements.

In the IPA beneficiaries, EU funding is the predominant source of donor funding. IPA II is participating in other donor's actions to a limited extent, which reflects the current landscape of donor engagement in the Western Balkans and Turkey. IPA II national funds are used for some multi-donor funds, both for longer-term programmes and for emergency response actions.

In this respect, Sector Working Groups (SWGs) for programming and monitoring of EU funds and development assistance have been established in line with the sector approach with the objective to ensure aid effectiveness in a specific sector. Regarding these SWGs, in all IPA II beneficiaries there is a need to improve cooperation, discussions and exchange of work experiences, preparation of recommendations and opinions with regards not just to the programming of IPA and other development assistance, but also when it comes to preparation and implementation of relevant policies and strategies within the sector.

Whilst in most of the IPA II beneficiaries a largely satisfactory degree of donor coordination has been established, coordination does not necessarily imply an (increased) division of labour with EU MS as well as other donors. The division of labour as promoted in the aid effectiveness agenda and the 2007 Code of Conduct shows mixed achievements despite the

fact that it has been strongly supported by the EU in partner countries. With the departure of most international and bilateral donors and the dominating role of EU grant funding, division of labour is increasingly seen as less of an issue in the IPA II beneficiaries.

The most prominent multi-donor fund in IPA II is the Western Balkans Investment Framework (WBIF). The added value of IPA II or investment funds, as demonstrated by the WBIF, is the use of grant aid for infrastructure or investment projects to mobilise additional EU MS donor funds or concessionary loan funds from IFIs. Apart from the WBIF, evidence of true joint assessment/ programming is limited when looking at IPA II actions.

Promoting visibility

What measures were taken to ensure EU visibility both in direct (i.e. managed by the Commission) and indirect management (i.e. managed by another agency, partner country or international organisation) further to the introduction of the CIR (i.e. article 4(5) CIR)?

The IPA II Implementing Regulation makes explicit reference to communication and visibility (e.g. Art. 24, 25 and 42). The visibility and communication activities to fulfil the requirements on information, publicity and transparency are also in accordance with Art. 10, 24 and 25 of the CIR. All this should help to ensure a more appropriate visibility of the IPA II programme.

Building on experience from IPA I (and other previous pre-accession programmes), improving the promotion of EU-funded or EU-related activities, raising awareness, improving the understanding of the EU policies and processes and showing results and impacts of IPA assistance on the ground are considered key elements for IPA II performance. Communication and visibility efforts funded under IPA constitute a key element of the EU's enlargement strategy for the benefit of *inter alia* the Western Balkans and Turkey as prospective Member States. The EU deems the communication activities of the highest importance for obtaining public and political support for reforms geared towards meeting the conditions for EU Membership and enhancing the credibility of the enlargement process in the candidate countries and potential candidates.

The CIR has not introduced supplementary visibility efforts in direct management. The existing guidelines are still used by EUDs and projects to promote visibility. A greater visibility is expected from the EU Trust Funds, linked to their focus on emergency situations (refugees), or issues highly sensitive for EU countries and EU citizens (migration).

CIR also supports the aim to reduce the deficit of visibility in indirect management, particularly when it comes to the involvement of international organisations. The costs associated to visibility in programmes managed by international organisations are now indirect costs, thus paid only if the visibility requirements have been effectively met by the programme. According to some of our interviewees, this change was clearly perceived by international implementers and EU visibility is on the increase for indirect management too.

However, it has been acknowledged that EU visibility is not as strong as the visibility of other international organisations (e.g. USAID) due to its uneven communication (not being able to present simple, understandable messages to the citizens in both EU MS and beneficiaries). This is a major weakness of the EU operations in the Western Balkans and Turkey.

Such weakness does not relate to the specific visibility and communication measures included in the projects/ actions/ programmes of IPA II (to which the provisions of the CIR are contributing). It relates rather to the wider – horizontal – visibility/ communication activities of the EU in the region and it is of a rather qualitative nature (not primarily a matter of amounts spent for communication and visibility). An enforced communication and information strategy shall tackle all these issues more systematically under IPA II.

Regarding the instruments used in your Delegation/Unit: in which of the above areas could the CIR regulation be simplified? In what way? Provide any common feedback you have received from beneficiaries

No specific proposals have been received from EUDs or Brussels Units.

Please see combined comment below.

Regarding the instruments used in your Delegation/Unit. Does the scope of the CIR meet the current and future implementing needs of the Instrument?

(Provide any common feedback you have received from beneficiaries)

No specific feedback has been received from EUDs or Brussels Units.

Please see combined comment below.

Regarding the instruments used in your Delegation/Unit Are there any unintended benefits/problems arising from the CIR?

Unintended benefits could not be identified during the interviews. It has been difficult for most of the interviewees to identify specific benefits stemming from the CIR when it came to their individual work agenda.

Evaluators' comment for the three above questions:

In general, the legal framework which was existing before the issuance of the CIR, namely: (a) the Financial Regulation, (b) the Companion and (c) the PRAG, is still the basis for the financial management of all projects (grants, contracts etc.) financed by IPA II.

The CIR introduced some features that proved useful such as further progress on the rules of nationality and origin. However, several articles of the CIR are duplicating objectives or priorities that are already spelled out in the IPA II or IPA II Implementation Regulation. There has been no negative effect from this duplication.

EUDs as well as DG NEAR Units do not consider the CIR having a strong influence on their practical work. One case where the CIR has been indicated as being helpful is the event of the rejection of proposals that are not accepted and where their rejection needs a proper justification (this could be referring to any provision of the CIR articles 5 to 15).

On the other hand, it is recognised that CIR has gathered and streamlined all relevant references in the various legal documents of the EFIs on specific subjects (like the origin rule or the requirements for environmental studies et al) which is contributing to simplification, and lack of minor different interpretations under the various EFIs. This benefits very much the EU officials working mainly in the Finance & Contracts Units of the EUDs and HQ (especially those who manage projects funded under various EFIs) but also the contractors and beneficiaries of grants because now they see a common regulation for all EFIs.

Considering that the CIR stands between the Financial Regulation (which has a much wider mandate than the implementation of EFIs) and the PRAG/ Companion (which provide the practical directions), the CIR plays a facilitating role that could not be included either under the Financial Regulation or under the PRAG/Companion. It is assumed that after some time, when the provisions of the CIR will be well known to its today's users, it will serve just as a reference legal document and not as an everyday guide for work implementation.

What improvements could be made to ensure that political and development efforts are deployed so as to ensure better leverage of funds, more productive political and policy dialogue?

How could EFIs be enhanced to better contribute to EU policy objectives?

Evaluators' comment for the two above questions:

The broader provision for political and development efforts should be included in the EFIs' regulations. The regulations should include general reference/ provisions on the implementation of the political/ development objectives (e.g. foreseeing the support of the line EC DGs for the determination of the sectoral content of the relevant policies).

Details should be included in the multi-annual planning documents and the relevant guidance documents issued by the competent DG managing each EFI.

The CIR should minimise its requirements in order to simplify the leverage of funds and for the promotion of policy dialogue. Leverage of funds is very much wanted and should be facilitated in every possible manner. The inclusion in a financial management legal document of obligations/ requirements concerning non-financial management issues has a rather negative impact on the attraction of external funds. Terms and conditions for the participation of an International Fund in an EU pooling scheme should be negotiated and agreed by the interested parties. "Technical" issues which may be approached and implemented in different ways by the various international funds/ instruments, should be left open for negotiation and not be rigidly prescribed in the Financial regulation of the EU Instruments, to allow flexibility for negotiations.

Policy dialogue guidance should be included in the Instruments' guidance documents (certainly not in the Instruments' Regulations). The sectoral content of this guidance should be provided by the competent line DGs (e.g. through the COTEs in the case of IPA II).

8 Annex 8: List of people interviewed

8.1 Inception/desk/synthesis phase

List of people interviewed during the inception, desk and synthesis phase, sorted by institution and name

<i>Name</i>	<i>Organisation</i>	<i>Position/Unit</i>
Dennis Wernerus	Court of Auditors	Senior Auditor
Nicolo Berloco	Court of Auditors	Auditor
Torielle Perreur-Lloyd	Court of Auditors	Auditor
Iwona Lisztwan	DG AGRI	IPARD coordinator Turkey, ISG Member
Dimitrios Zevgolis	DG CLIMA	Representative
Eero Saue	DG CLIMA	Representative
Bernard San Emeterio Cordero	DG DEVCO	International Aid/ Cooperation, General coordination
Petra Corti, Aristotelis Margos	DG EMPL	Desk Officers, Neighbourhood Policy, Enlargement, IPA; ISG Members
Andreas Papadopoulos	DG NEAR	Dir. A, Adviser, Economic Governance
Aziza Taourirt	DG NEAR	Unit A.4, Quality Management Assistant
Bernard Brunet	DG NEAR	Head of Unit A.3 – Thematic Support, Monitoring and Evaluation
Catharine Wendt	DG NEAR	Head of Unit D.2, – Serbia
David Cullen	DG NEAR	Head of Unit D.3 – Former Yugoslav Republic of Macedonia, Kosovo
Georg Ziegler	DG NEAR	Deputy Head of Unit D.4 – Albania, Bosnia and Herzegovina
Heike Gerstbrein, 1 more official	DG NEAR	Head of Unit C.3 – Institution Building, TAIEX, Twinning
Helena Laakso	DG NEAR	Unit A.3, Evaluation Officer
Marek Nohejl, Davor Pecan	DG NEAR	Unit D.3, Former Yugoslav Republic of Macedonia, Kosovo
Maria Farra-Hockley	DG NEAR	Head of Unit D.6 – Finance, Contracts & Audit (IPA)
Marta Garcia Fidalgo	DG NEAR	Adviser, Coordination of Roma Policy
Mihaela Stanescu Vlasie	DG NEAR	IPA II Committee Secretariat
Mikael Erbs Jorgensen	DG NEAR	Co-ordinator of the Centre for Thematic Expertise, Civil Society
Morten Jung	DG NEAR	Head of Unit, D.5 – Western Balkans Regional Cooperation and Programmes
Muriel Sabatier	DG NEAR	Unit R.2, Financial and Legal Coordination
Myriam Ferran, Tarja El Idrissi, 3 more officials	DG NEAR	Head of Unit A.5 – Turkey
Nathalie Thiberge	DG NEAR	Unit R.2, Financial and Legal Coordination
Nicholas Cendrowicz	DG NEAR	Co-ordinator of the Centre for Thematic Expertise, Connectivity, Environment, Regional Development

<i>Name</i>	<i>Organisation</i>	<i>Position/Unit</i>
Odoardo Como	DG NEAR	Unit A.3, Team Leader – Evaluation and Monitoring
Pascal Herry	DG NEAR	Unit A.4, Team Leader – Programme Strategy and Quality
Ritva Heikinen, Alberto Costa	DG NEAR	Co-ordinator of the Centre for Thematic Expertise, Public Administration Reform
Sephane Halgand	DG NEAR	Coordinator Centre of Thematic Expertise –Crisis Reaction and Security Policy Reform
Simon Mordue	DG NEAR	Dir. A, Director A – Strategy and Turkey
Sonja Nita	DG NEAR	Centre of Thematic Expertise on Civil Society Support
Stine Andresen, 2 more officials	DG NEAR	Head of WBIF Secretariat
Argyrios Klearchos Pisiotis	DG REGIO	Head of Section, Team Leader, Accession negotiations
Simona Pohlova	DG REGIO	Programme Manager IPA funds
Eduard Auer	EEAS	Head of Division 'Western Balkans'
Massimo Cingolani	EIB	Head of Unit Operations-Mandate Management Department
Peter Bajtaj, Michal Malovec, Marta Udina, Joanna Kaminska	European Parliament	Members of the EP Secretariat for IPA II & ENI
Karl Ehrlich	Federal Foreign Ministry, Austria	Counsellor
Klaus Wiedey	Federal Foreign Office, Germany	Desk Officer
Vasilis Tselios	Ministry of Foreign Affairs, Greece	IPA II Committee members
Barbara Jabrzyńska- Fijołek	Ministry of Foreign Affairs, Poland	European Policy Department
Helena Lagerlöf	Ministry of Foreign Affairs, Sweden	Deputy Director, Development Cooperation Coordination, Department for European Union Affairs, IPA II Committee member
Tomislav Belovari	Ministry of Regional Development and EU Funds Croatia	Head of Sector
Rafael Santos	Représentation permanente de la France auprès de l'UE	Conseiller Entreprises, Member IPA II Committee

8.2 Field phase

List of people interviewed during the field phase, sorted by country and name.

<i>Name</i>	<i>Organisation</i>	<i>Position/Unit</i>
Albania		
Amila Meso	Save the Children- Albania (CSO)	Country Director
Andi Mari	MIAP/KM- Albania	IPMG Coordinator
Anjeza Seija	MARDWA- Albania	Specialist
Antonella Scolamiero	UNICEF-Albania	Representative
Arben Kipi	FAO-Albania	Assistant Representative
Arjana Misha	PMO-Albania	Financing of priorities coordinator
Asduen Karagjozi	STKKU- Albania	Expert
Bjorn Thies	KfW Development bank	Director KfW Albania
Bleshi Syke	MEI-Albania	Expert
Brian Williams	UN-Albania	UN Resident Coordinator
Brunilda Tushaj	MEI-Albania	Head of Sector
Ceterina Cariola	RTM (CSO)-Albania	Project expert - Women project
Dalina Jasmari	IDM (CSO)- Albania	Project Manager
David Saunders	UNWOMEN-Albania	Representative
Edina Halapi	EUD-Albania	Programme manager
Edlira Nojietisi	Save the Children- Albania (CSO)	Programme Implementation Manager
Eduart Sadja	MEI-Albania	Monitoring expert
Elsona Agolli	UNFPA-Albania	National Programme Analyst on Youth and Gender
Elvita Kabashi	UNDP-Albania	Programme Officer
Entela Lako	UNDP-Albania	Programme Officer
Erjon Luci	MoF-Albania	D'ty Minister
Esis Qoja	PMO-Albania	Unit Coordinator
Etleva Hysenllari	EUD-Albania	Administrative officer
Fioralba Shkodra	UNRCO-Albania	Team Leader/ UN Coordination Specialist
Frederic Misrahi	EUD-Albania	Programme manager
Genc Pjetri	IOM-Albania	Project Officer
Giacomo Pides	Agenzia Italiana per la Cooperazione allo Sviluppo- Albania	Representative
Giuseppe Anania	RTM (CSO)-Albania	Project Coordinator - Women project
Grisa Kosihi	MIPA- Albania	Implementing Officer
Heunz Habertheuer	Austrian Embassy in Albania- TechnicalCooperation Dept	Head of office

<i>Name</i>	<i>Organisation</i>	<i>Position/Unit</i>
Jerina Stamo	ANTTARC (CSO)- Albania	Finance Manager
Julinda Bare	MARDWA- Albania	Specialist
Kleidi Nqjela	STKKU- Albania	Expert
Klotilde Kosta	Rootrcos – Albania (CSO)	Director of projects
Limya Eltayeb	UNDP-Albania	Country Director
Lindita Manga	ALCDF – Albania (CSO)	Executive Director
Lorena Pullumbi	MSHCV- Albania	Expert
Majlunda Lile	MTI- Albania	Expert/ IPA Unit
Marie-Helene Verney	UNHCR-Albania	Representative
N/A	MoF-Albania	Head of National Fund
N/A	MoF-Albania	Head of CFCU
Nazira Artykova	WHO-Albania	Representative and Head of Country Office
Nevila Como	PMO-Albania	EUD expert assisting PMO
Oriana Arapi	PMO-Albania	Unit Director
Patnis Thida	MEI-Albania	Monitoring expert
Pervin Pasholli	MTI- Albania	Expert/ IPA Unit
R. Vlahutin	EUD-Albania	Ambassador and Head of EU Delegation
Redih Ueshi	MEI-Albania	Head of NIPAC
Rezert Kejedami	REC - Albania	Grant manager
Rudina Cela	MEI-Albania	Head of Monitoring
S. Stork	EUD-Albania	Head of OPS I
Sonila Mushaj	MEI-Albania	Specialist
Stella Ademi	MEI-Albania	Specialist
Tasha Menzelochia	MMSR- Albania	Specialist
Tetis Ansoma	MoJ- Albania	Expert
V.Dick	EUD-Albania	Head of Contract and Finance
Valbana Gogu	MMSR- Albania	Expert/ IPA
Vera Gavrilova,	UNICEF-Albania	Deputy Representative
Vladimir Malkaj	UNDP-Albania	Programme Officer
Yngve Engstroem	EUD-Albania	Head of Operations
Zhanina Dopii	MPB/MOI- Albania	SPO
Bosnia and Herzegovina		
Adnan Tatar	Government of Federation Bosnia-Herzegovina	Office for European integration
Alma Kurtalić	Directorate for European Integration/ NIPAC Office Bosnia-Herzegovina	Senior Associate
Andrea Vera	EUD Bosnia-Herzegovina	Head of Operations Section II
Anesa Terza Vukovic	Czech Embassy to Bosnia-	Representative

<i>Name</i>	<i>Organisation</i>	<i>Position/Unit</i>
	Herzegovina	
Aneta Raić	Public Administration Reform Coordinator's Office	Head of Unit for Donor Coordination, Finance, Monitoring and Evaluation
Angelina Pudar	Directorate for European Integration/ NIPAC Office Bosnia-Herzegovina	Senior Associate
Anisija Radenković	Hope and Homes for Children	Director
Anne Havnor	Norwegian Embassy to Bosnia-Herzegovina	Representative
Barbara Datwyler Scheurer	Swiss Embassy to Bosnia-Herzegovina	Representative
Catherine Palpant	French Embassy to Bosnia-Herzegovina	Representative
Chloe Berger	EUD Bosnia-Herzegovina	Head of Operations Section I
Darko Telić	Ministry of Economic Relations and Regional Cooperation of Republic of Srpska	Head of Department for Funds and Development Assistance of the European Union
Dusko Maslesa	Directorate for European Integration/ NIPAC Office Bosnia-Herzegovina	Associate
Frank Werner	German Embassy to Bosnia-Herzegovina	Representative
Georgio-Marios Papaivannou	Greek Embassy to Bosnia-Herzegovina	Representative
Ilija Stojanović	Government of Brčko District	Head of Department for European Integration
Khaldoun Sinno	EUD Bosnia-Herzegovina	Deputy Head of Delegation
Lada Busevax	IFC Bosnia-Herzegovina	Representative
Lars-Gunnar Wigemark	EUD Bosnia-Herzegovina	Ambassador
Mariangela Fittipaldi	EUD Bosnia-Herzegovina	Former Head of Operations Section II
Marie Bergström	Swedish Embassy to Bosnia-Herzegovina	Representative
Marinela Domancic	ILO Bosnia-Herzegovina	Representative
Massimo Mina	EUD Bosnia-Herzegovina	Head of Operations Section III
Melvin Asin	EUD Bosnia-Herzegovina	Head of Cooperation
Nebojsa Zecevic	Directorate for European Integration/ NIPAC Office Bosnia-Herzegovina	Senior Associate
Salvatore Ficara	Italian Embassy to Bosnia-Herzegovina	Representative
Sandra Hlinujak	World Bank Bosnia-Herzegovina	Representative
Sehija Mujkanović	Ministry of Finance and Treasures Bosnia-Herzegovina	Assistant Minister

<i>Name</i>	<i>Organisation</i>	<i>Position/Unit</i>
Tarik Cerić	Directorate for European Integration/ NIPAC Office Bosnia-Herzegovina	Head of Department for Monitoring and Evaluation
Toni Šantić	Ministry of Justice Bosnia-Herzegovina	Head of Department for Strategic Planning, Aid Coordination and European Integration
Vera Letica	Ministry of Finance and Treasures Bosnia-Herzegovina	Assistant Minister
Vjekoslav Čamber	Government of Federation Bosnia-Herzegovina	Director Office for European integration
Kosovo		
Aferdita Tahiri	EUO- Kosovo	Operations manager
Albulena Zaimi	ADA- Kosovo	Representative
Alessandra Roccasalvo	UNDP- Kosovo	D'ty Resident Representative
Andrew Russel	UN- Kosovo	Development Coordinator, UNDP Resident Representative
Danielle Pedretti	OSCE- Kosovo	Representative
Dardan Kryeziu	CIVIKOS (CSO)- Kosovo	Head
Demush Shasha	MEI-NIPAC Office- Kosovo	Director
Elvane Bajraktari	MEI-NIPAC Office- Kosovo	Expert
Florim Canolli	MEI-NIPAC Office- Kosovo	Expert
Goran Paulsson	Embassy of Sweden- Kosovo	Representative
Gunther Zimmen	Austrian Embassy -ADA- Kosovo	Representative
Helena Raveul	French Embassy- Kosovo	Representative
Henneth Kolher	Embassy of Germany- Kosovo	Representative
Isabella Servoz-Gallicci	COE Office - Kosovo	Representative
Lars Peltonen	Embassy of Finland- Kosovo	Representative
Libor Chlad	EUO- Kosovo	D'ty Head of Operations
Qemajl Marmullakaj	Strategic Planning Office- PMO- Kosovo	Director
Rexhep Vasolli	MoF- Kosovo	Director
Vataga Masodyan	COE Office- Kosovo	Representative
Vehera Ramaj	Dutch Embassy- Kosovo	Representative
* This designation is without prejudice to positions on status, and is in line with UNSCR 1244/1999 and the ICJ Opinion on the Kosovo declaration of independence		
The former Yugoslav Republic of Macedonia		
Aleksandar Papovski	State Audit Office Macedonia	Representative
Aleksandra Starkoska	Ministry of Labour and Social Policy Macedonia	Head of Unit
Ana Boskoska	Ministry of Justice Macedonia	Inspector
Andrija Aleksoski	Ministry of Finance Macedonia	Senior Programming Officer

<i>Name</i>	<i>Organisation</i>	<i>Position/Unit</i>
Anita Andonoska	Judicial Council of Macedonia	Representative
Anita Kodzoman	UNDP Macedonia	Programme Officer
Ardiana Abazi	Ministry of Economy Macedonia	Assistant Head of Department
Bari Iseni	Ministry of Finance Macedonia	Representative
Biljana Dimovska	Ministry of Finance Macedonia	Monitoring Officer CFCD
Biljana Kostovska	Ministry of Agriculture Macedonia	Head of Unit
Bisera Mitreska	Public Prosecutor Office Macedonia	Chief of Cabinet
Dafinca Jakovska Verkoska	Ministry of Finance Macedonia	CFCD
Dane Josifovski	Ministry of Education and Science Macedonia	Advisor
Darko Dochinski	Ministry of Labour and Social Policy Macedonia	EU Integration Unit
Darko Spiroski	Ministry of Transport and Communications Macedonia	State Advisor
Dejan Rajcanovski	Customs Office Macedonia	Representative
Dimche Lazarevski	Cabinet of the Prime Minister Macedonia	State Advisor
Dimitar Stefanov	Transport JSC	Representative
Donka Prodanova	EUD Macedonia	Programme Manager
Dragan Todorovski	Public Revenue Office Macedonia	Representative
Dragica Jolevska	Ministry of Interior Macedonia	Advisor for Monitoring in IPA Unit
Dushan Jovanov	National Coordinative Centre for Integrated Border Management	Representative
Edward Gonzalez	USAID Macedonia	Director
Elena Ginovska	State Statistical Office Macedonia	Internal Audit
Elena Mitrovska	Ministry of Environment and Physical Planning Macedonia	Junior Associate
Elidona Beluli	NIPAC Office Macedonia	Programming Officer
Evgenija Serafimovska Kirkovski	NIPAC Office Macedonia	Head of Monitoring and Evaluation
Frosina Pasevska	Ministry of Justice Macedonia	Head of EU Department
Gabriela Papesh	Bureau of Customs Statistics Macedonia	Representative
Goran Spasovski	Ministry of Education and Science Macedonia	Advisor VET Centre
Goran Veleski	Ministry of Labour and Social Policy Macedonia	Adviser
Gordana Gapikj Dimitrovska	Ministry of Information Society and Administration Macedonia	Head of Unit
Gordana Popovikj Friedman	World Bank Macedonia	Private Sector Development Specialist

<i>Name</i>	<i>Organisation</i>	<i>Position/Unit</i>
Harald Schenker	UNDP Macedonia	Chief Technical Advisor
Irena Jammovska	Prime Minister's Office Macedonia	Advisor
Irina Tileva Vasilevska	Customs Office Macedonia	Representative
Ivana Tasevska	Prime Minister's Office Macedonia	Advisor
Jadranka Ivanova	Ministry of Environment and Physical Planning Macedonia	Head of EU Department
Jaromír Levíček	EUD Macedonia	Head of Operations 1
Jove Skilov	Ministry of Finance Macedonia	Finance Police Office
Jugoslav Gjorgjievski	Ministry of Information Society and Administration Macedonia	Representative
Konstantin Hristovski	Ministry of Education and Science Macedonia	Head of Department
Lira Bojku	NIPAC Office Macedonia	Programming Officer
Ljubica Gerasmivova	NIPAC Office Macedonia	Programming Officer
Ljupka Tasevska	State Statistical Office Macedonia	Representative
Ljupna Siljanosva	Ministry of Transport and Communications Macedonia	State Advisor
Lukman Shakiri	Ministry of Economy Macedonia	Senior Programming Officer
Magdalena Stojanova	Public Enterprise for State Roads	Representative
Maja Baric	Cabinet of the Deputy Prime Minister for Economic Affairs Macedonia	Advisor
Maja Beric	Ministry of Education and Science Macedonia	Advisor
Maja Brajovik	IPARD Paying Agency Macedonia	Head of Sector
Maja Cvetkovska	Ministry of Interior Macedonia	Head of IPA Unit
Marija Kostovska	Ministry of Finance Macedonia	Representative
Mauro di Veroli	EUD Macedonia	Head of Operations 2
Milan Jankulovski	Public Enterprise for Railway Infrastructure	Representative
Milica Kocevaska	Ministry of Labour and Social Policy Macedonia	Adviser Social Inclusion Unit
Miroslav Gordanovski	Ministry of Information Society and Administration Macedonia	Representative
Mirsat Esati	Ministry of Environment and Physical Planning Macedonia	Head of IPA Unit
Nadezda Dimitrovska	Prime Minister's Office Macedonia	State Advisor
Narine Sahakyan	UNDP Macedonia	Deputy Resident Representative
Natalia Dolezalova	EUD Macedonia	Deputy Head of Finance & Contracts
Natasa Janevska	Ministry of Education and	Advisor

<i>Name</i>	<i>Organisation</i>	<i>Position/Unit</i>
	Science Macedonia	
Nazim Alitit	Ministry of Environment and Physical Planning Macedonia	Head of Department
Nicola Bertolini	EUD Macedonia	Head of Cooperation
Orhideja Kaljoshevska	NIPAC Office Macedonia	Head of NIPAC Office
Radica Koceva	Ministry of Finance Macedonia	Head of CFCD
Radmila Ristovska	Ministry of Education and Science Macedonia	Advisor IPA Structure
Redzep Ali Cupi	Ministry of Education and Science Macedonia	Director
Rosica Tosevska	Ministry of Education and Science Macedonia	Advisor IPA Structure
Ruse Kocevski	Ministry of Finance Macedonia	Representative
Samir Rakipi	Ministry of Justice Macedonia	Head of IPA Unit
Samuel Zbogar	EUD Macedonia	Ambassador
Sasko Kocev	Ministry of Interior Macedonia	Head of IPA Sector and Community Programmes
Sofija Spasovska	Ministry of Labour and Social Policy Macedonia	Deputy Head Sector for Social Protection
Sonja Bozinovska-Petrusevska	IOM Macedonia	Head of Office
Stovje Danilova Ivanovski	Office Deputy Prime Minister for Economic Affairs Macedonia	Advisor
Suzana Ahmeti-Janjic	UNDP Macedonia	Programme Analyst
Suzana Peneva	Ministry of Finance Macedonia	NAO
Svetlana Tomeska	Food and veterinary Administration Macedonia	Senior Programming Officer
Tanja Hafner-Ademi	Balkan Civil Society Development Network Macedonia	Director
Tanja Jancovska	State Audit Office Macedonia	Representative
Tatjana Kalinovic Trajnovska	Ministry of Finance Macedonia	Representative
Tatjana Stojanovska	State Statistical Office Macedonia	Representative
Trajko Spusovski	Ministry of Finance Macedonia	PIFC Department
Veronika Outla	EUD Macedonia	Head of Finance & Contracts
Vesna Cvetanova	Ministry of Finance Macedonia	Assistant Head of Department
Vesna Lazarevska	Ministry of Transport and	Representative
Vesna Novakovic	Public Revenue Office Macedonia	Representative
Vlado Delevski	Ministry of Finance Macedonia	Representative
Ylber Mirta	Ministry of Environment and Physical Planning Macedonia	Head of Water Department

<i>Name</i>	<i>Organisation</i>	<i>Position/Unit</i>
Montenegro		
Aleksandar Simonović	Ministry of Transport and Maritime Affairs Montenegro	Department for European Integration, Implementation Manager
Andre Lys	EUD Montenegro	Head of Cooperation
Blagota Radulović	Ministry of Agriculture and Rural Development Montenegro	Director General for IPARD Payments
Bojan Vujović	Ministry of Foreign Affairs and European Integration/ NIPAC Office Montenegro	Programming Officer
Danijela Stolica	Ministry of Agriculture and Rural Development Montenegro	Director General for Agriculture and Fishery
Darko Konjević	Ministry of Agriculture and Rural Development Montenegro	Director General for Rural Development
Denis Mesihovic	World Bank Montenegro	Resident
Dunja Nelević	Ministry of Finance Montenegro	Head of National Fund Division
Fiona McCluney	United Nations Montenegro	Resident Representative
Goran Djurovic	TACSO Montenegro Office	Resident Advisor
Ivana Glišević Đurović	Ministry of Foreign Affairs and European Integration/ NIPAC Office Montenegro	Acting Director General for Coordination of EU Assistance Programmes
Ivana Vujošević	Ministry of Foreign Affairs and European Integration/ NIPAC Office Montenegro	Director of the Directorate for Programming and Monitoring of the EU Pre-accession Assistance
Jelena Mrdak	UNDP Montenegro	Programme Manager
Judit Gyori	EUD Montenegro	Programme Manager
Miodrag Račeta	Ministry of Foreign Affairs and European Integration/ NIPAC Office Montenegro	Head of Section for Programmes with EU Member States
N.N.	EUD Montenegro	Task Managers
Nela Krnic Brkovic	UNICEF Montenegro	Child Protection Officer
Nemanja Katnić	Ministry of Agriculture and Rural Development Montenegro	SPO
Nina Lješević	Ministry of Agriculture and Rural Development Montenegro	Programming Officer
Olivera Dimic	GIZ Montenegro	Network Manager
Renata Andrić Grgurević	Ministry of Transport and Maritime Affairs Montenegro	Department for European Integration, Progr. Manager
Tomica Paovic	UNDP Montenegro	Team Leader Democratic Governance and Economy and Environment
Uwe Meerkötter	German Embassy in Montenegro	Deputy Head of Mission

<i>Name</i>	<i>Organisation</i>	<i>Position/Unit</i>
Serbia		
Ana Ilic	Serbian European Integration Office	Deputy Director
Antonio Izquierdo	EUD Serbia	Head of Finance and Contracts
Dejan Gojkovic	Serbian European Integration Office	Head of Department for Planning, Programming, Monitoring and Reporting on EU Funds
Dragana Radovanovic	Serbian Ministry of Finance	Head of National Fund
Dusan Brajkovic	Serbian European Integration Office	Deputy NAO, Assistant Minister
Dusan Brajkovic	Serbian Ministry of Finance	Deputy NAO
Graeme Tyndall	UNOPS Serbia	Manager of UNOPS Serbia Operations Centre
Holger Schröder	EUD Serbia	Head of Cooperation
Igor Srblijanovic	Ministry of Interior Serbia	Head of Department Sector for International Cooperation, EU Affairs and Planning
Irena Posin	Ministry of Public Administration and Local Self-Government Serbia	Assistant Minister
Ivan Knezevic,	European Movement in Serbia	Deputy Secretary General
Jelena Blagojevic	Ministry of Interior Serbia	Head of Section for Implementation and Monitoring of Projects
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Yildiz Tokman	Association of Monitoring Gender Equality	Chair of Board
Yunus Emre Özkan	Ministry of Interior – Department of EU Affairs and Foreign Relations	Programming Coordinator

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