



**DG NEAR**  
Guidelines on linking  
planning/programming,  
monitoring and evaluation

Annexes

July 2016



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## ANNEX 1: KEY ELEMENTS OF THE BETTER REGULATION

### Forward planning and political validation

Work should focus on the Commission's priorities as reflected in the President's political guidelines and the Commission's annual work programmes. Good planning covers the initial consideration of an initiative and the organisation of the supporting processes.

The “**evaluate first**” principle requires that every proposal for a new intervention or for amending an intervention be accompanied by an evaluation of pre-existing interventions or regulations.

### More Transparency and Consultation

Stakeholder consultation is an essential element of policy preparation and review. Good policy development is built on openness. Stakeholder inputs provide feedback and evidence for all types of evaluation, impact assessments and political decisions. Planning stakeholder consultation is good practice, and should be reflected, in EC major evaluations, in a simple, concise consultation strategy that identifies and targets relevant stakeholders in order to collect all relevant evidence (comprising data/information) and views.

It is important to consult as early and as widely as possible in order to maximise the usefulness of the consultation and to promote an inclusive approach where all interested parties have the opportunity to contribute to the timely development of effective policies. At the same time, consultation is an ongoing process and consulting stakeholders throughout the whole policy cycle remains key.

The Commission will open up its policy making process to further public scrutiny and input, with a web portal where initiatives can be tracked and new public consultations when we are evaluating existing policies or assessing possible new proposals. There will also be new opportunities for stakeholder comments throughout the entire policy lifecycle, from the initial Roadmap to the final Commission proposal. After the Commission has adopted a proposal, any citizen or stakeholder will have 8 weeks to provide feedback or suggestions which will feed into the legislative debate before Parliament and Council.

This transparent approach will also apply to secondary legislation, in the form of delegated and implementing acts. For the first time, draft measures which amend or supplement existing legislation, or which set out specific technical provisions, will be made public for 4 weeks before adoption. This will allow for stakeholder comments prior to their adoption by the Commission or Member State experts.

### Quality control

Staff working documents are required to present the results of all impact assessments and of (major strategic) evaluations/Fitness Checks. The quality of these staff working documents is checked by the Regulatory Scrutiny Board (RSB) who will assess all impact assessments and all major evaluations and Fitness Checks.

### New requirements

The Better Regulation defines **five mandatory evaluation criteria** (Relevance, Effectiveness, Efficiency, coherence and EU added value) for all evaluations

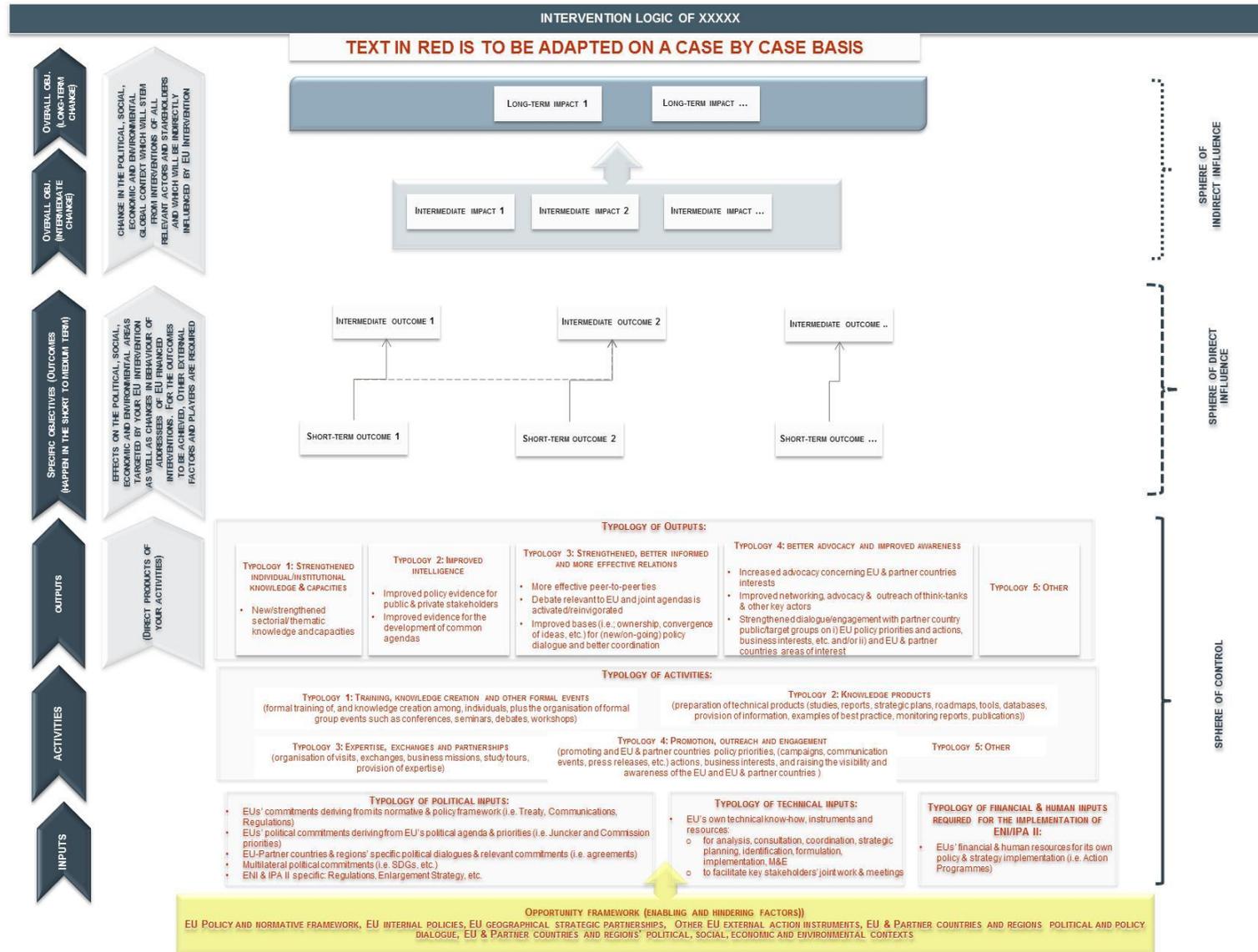
A **public consultation**, only for some major evaluations implemented by the central evaluation service of DG NEAR

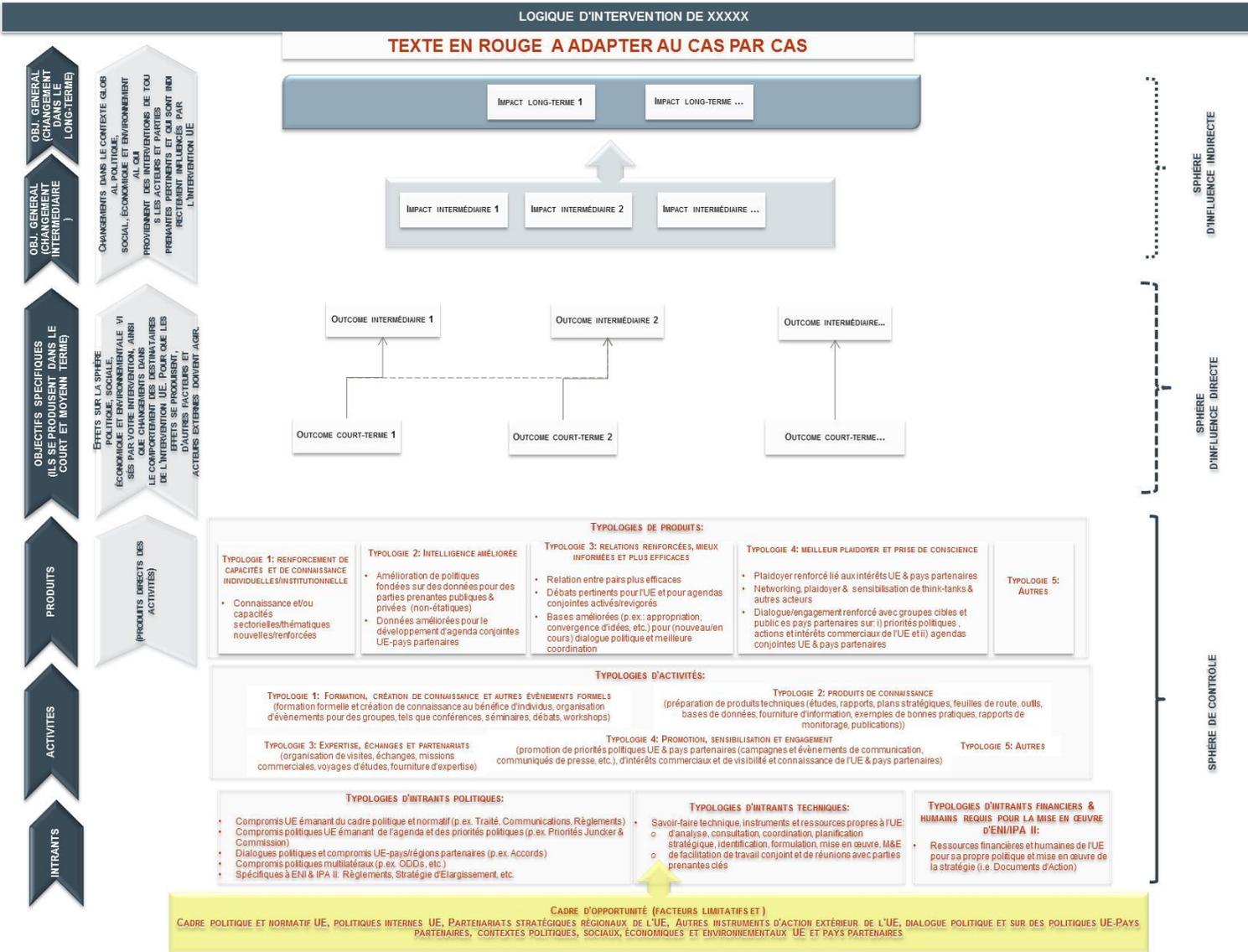
A **staff working document**, only for some major evaluations implemented by the central evaluation service of DG NEAR

Source: adapted from Better Regulation and EC press release

## **ANNEX 2: TEMPLATE OF AN ACTION'S INTERVENTION LOGIC (EN & FR)**

The original templates can be found at: <https://myintracomm.ec.europa.eu/dg/near/whatwedo/monitoring-reporting-evaluation/Pages/Monitoring-evaluation.aspx>





### **ANNEX 3: TEMPLATE OF A BUDGET SUPPORT PROGRAMME INTERVENTION LOGIC (EN & FR)**

The original templates can be found at: <https://myintracomm.ec.europa.eu/dg/near/whatwedo/monitoring-reporting-evaluation/Pages/Monitoring-evaluation.aspx>



INTERVENTION LOGIC OF XXXXX

TEXT IN RED IS TO BE ADAPTED ON A CASE BY CASE BASIS

- OVERALL OBJ. (LONG-TERM CHANGE)
- OVERALL OBJ. (INTERMEDIATE CHANGE)
- SPECIFIC OBJECTIVES (OUTCOMES)
- INDUCED OUTPUTS
- DIRECT OUTPUTS
- ACTIVITIES
- INPUTS

ENHANCED POSITIVE EFFECTS ON SUSTAINABLE ECONOMIC GROWTH, EMPLOYMENT, SOCIAL INCLUSION OF THE POOR AND IMPROVEMENTS IN THEIR REAL INCOMES, AND OTHER ISSUES AND PRIORITIES SPECIFIED IN THE BS PROGRAMME (S) BEING SUBJECT OF THE EVALUATION.

ENHANCED POSITIVE EFFECTS AT THE LEVEL OF FINAL BENEFICIARIES – SERVICE USERS AND ECONOMIC ACTORS – DUE TO THE EFFECTS OF GOVERNMENT POLICY MANAGEMENT AND SERVICE DELIVERY

IMPROVED PUBLIC POLICIES, PUBLIC SECTOR INSTITUTIONS, PUBLIC SPENDING AND PUBLIC SERVICE DELIVERY

IMPROVEMENT IN THE RELATIONSHIP BETWEEN EXTERNAL ASSISTANCE AND THE NATIONAL POLICY AND POLICY PROCESSES.

LONG-TERM IMPACT 1      LONG-TERM IMPACT ...

**TYPOLGY OF IMPACTS:**

- ENHANCED SUSTAINABLE AND INCLUSIVE ECONOMIC GROWTH.
- REDUCTIONS IN INCOME POVERTY & NON-INCOME POVERTY.
- EMPOWERMENT & SOCIAL INCLUSION OF POOR PEOPLE AND DISADVANTAGED GROUPS (INCLUDING WOMEN).
- OTHER ISSUES AS DEFINED IN THE SPECIFIC PARTNERSHIP FRAMEWORKS AND PRIORITIES (E.G. IMPROVEMENTS IN DEMOCRACY, HUMAN RIGHTS, ENVIRONMENT PROTECTION, ETC.)

INTERMEDIATE IMPACT 1      INTERMEDIATE IMPACT 2      INTERMEDIATE IMPACT ...

OUTCOME 1      OUTCOME 2      OUTCOME ..

INDUCED OUTPUT 1      INDUCED OUTPUT 2      INDUCED OUTPUT ...

**TYPOLGY OF DIRECT OUTPUTS:**

**DIRECT OUTPUTS OF GBS/SBS:**

- INCREASED SIZE AND SHARE OF EXTERNAL ASSISTANCE FUNDS MADE AVAILABLE THROUGH THE NATIONAL BUDGET.
- INCREASED SIZE AND SHARE OF BUDGET AVAILABLE FOR DISCRETIONARY SPENDING.
- INCREASED PREDICTABILITY OF THE DISBURSEMENT OF EXTERNAL FUNDS.
- POLICY DIALOGUE, CONDITIONALITIES AND TA/CAPACITY BUILDING ACTIVITIES BETTER COORDINATED AND MORE CONDUCTIVE FOR IMPLEMENTATION OF GOVERNMENT STRATEGIES.
- EXTERNAL ASSISTANCE AS A WHOLE (INCLUDING BUDGET SUPPORT) BETTER HARMONISED AND ALIGNED TO GOVERNMENT POLICIES AND SYSTEMS.
- REDUCED TRANSACTION COSTS OF PROVIDING AID.

**OTHER EFFECTS BY VARIOUS GOVERNMENT INPUTS:**

- DOMESTIC REVENUE FUNDING AND DOMESTIC POLICY INPUTS

**OTHER EFFECTS BY OTHER EXTERNAL ASSISTANCE**

**TYPOLGY OF ACTIVITIES**

- TRANSFER OF €X.M OVER THE PERIOD (SPECIFY PARTNER COUNTRY FISCAL YEARS OVER WHICH DISBURSEMENTS EXPECTED);
- CONTINUED POLITICAL AND POLICY DIALOGUE WITH THE GOVERNMENT WITH A PARTICULAR FOCUS ON AREAS REFLECTED IN THE PROGRAMME'S OBJECTIVES;
- CONTINUED DIALOGUE BETWEEN THE EU DELEGATION AND OTHER DONORS TO COORDINATE AND FURTHER ALIGN OUR DEVELOPMENT COOPERATION WITH A VIEW TO AVOIDING DUPLICATION OF ACTIVITIES AND RELIEVING THE GOVERNMENT FROM MULTIPLE REPORTING DUTIES;
- REGULAR MONITORING OF BUDGET SUPPORT ELIGIBILITY CRITERIA

**COMPLEMENTARY SUPPORT (ACTIVITIES LEADING TO REINFORCING GOVERNMENT'S CAPACITIES, WORKS, SUPPLIES, ETC.)**

**GBS / SBS inputs:**

- Transfer of funds in the form of GBS or SBS to the national Treasury based on previously agreed conditionalities (i.e. eligibility conditions and performance indicators)
- Continued political and policy dialogue with the Government with a particular focus on areas reflected in the programme's objectives;
- Complementary measures of capacity development in different areas

• Various Government inputs

• Inputs of other external assistance programmes

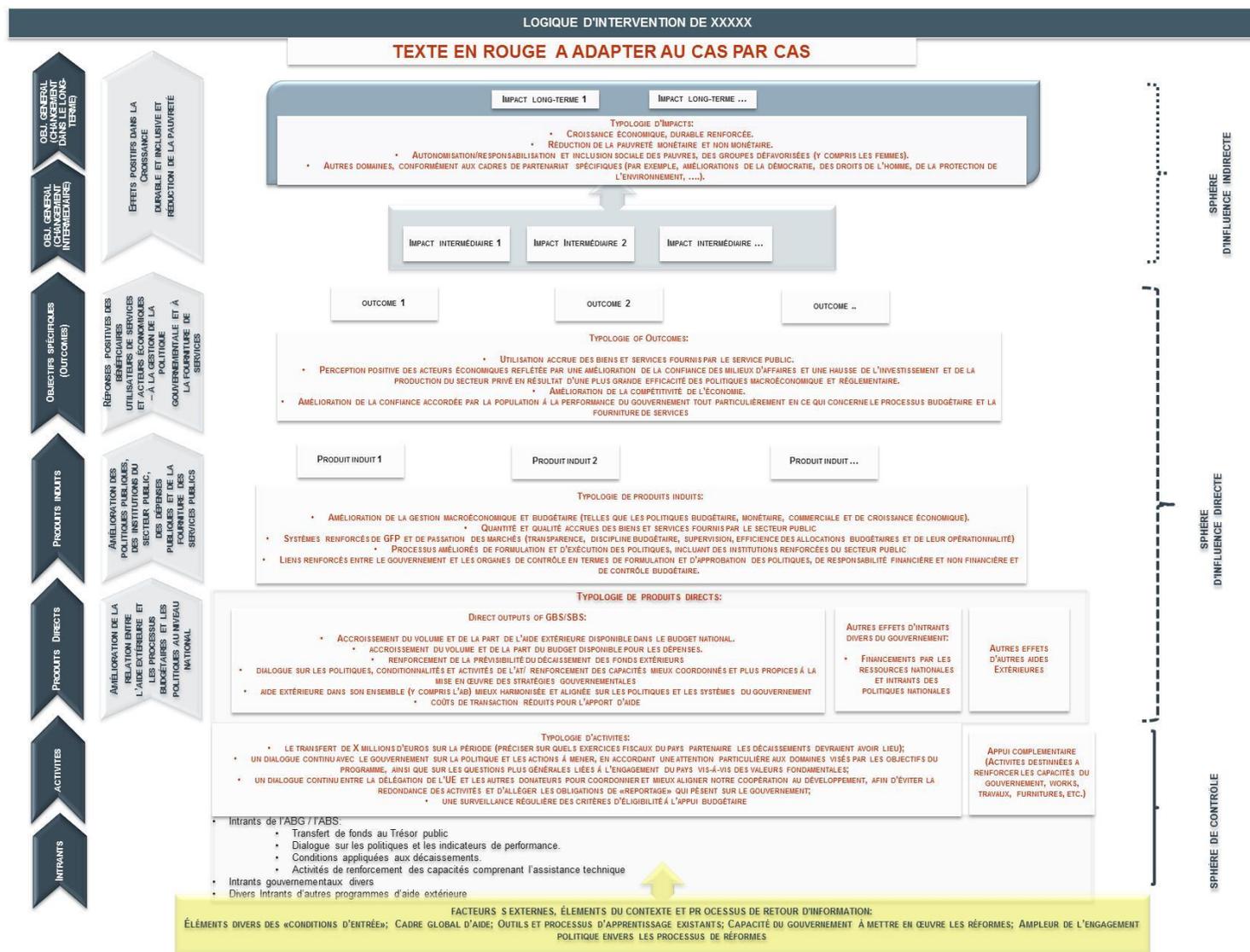
**OPPORTUNITY FRAMEWORK (ENABLING AND HINDERING FACTORS):**

VARIOUS FEATURES OF THE "ENTRY CONDITIONS"; OVERALL AID FRAMEWORK; EXISTING LEARNING PROCESSES AND TO GOVERNMENT CAPACITY TO IMPLEMENT REFORMS; EXTENT OF POLITICAL COMMITMENT TO REFORM PROCESSES; CAPACITY OF PUBLIC SECTOR; NATURE OF DEMAND FOR GOVERNMENT SERVICES; STRENGTH OF DOMESTIC ACCOUNTABILITY; GLOBAL ECONOMIC DEVELOPMENT; FOREIGN CAPITAL INFLOW; RESPONSES TO CHANGING INCENTIVES TOOLS

SPHERE OF INDIRECT INFLUENCE

SPHERE OF DIRECT INFLUENCE

SPHERE OF CONTROL



## ANNEX 4: EXAMPLE OF A THEORY OF CHANGE RECONSTRUCTION

There are multiple, alternative mechanisms (each shown in a rectangular-cum-arrow shape) in which training may affect individuals' behaviour and, through their behaviour, the performance of the public sector. For example, in addition to learning new skills (M1) or acquiring new knowledge (M2), training may socialise the trainees in EU public service norms and behaviour (M3). By taking the training, public servants may acquire credentials which increase their status and influence when they go back to their positions, making thus possible for them to have more leverage vis-à-vis their colleagues when confronted with resistance to change (M4). By exposing individuals to new experiences and roles, training may weaken the trainees' gender stereotypes, thus allowing them to see their role in a different way and to strive for more equitable action by the public sector (M5).

Not all mechanisms will be activated: which mechanisms are activated depends on the characteristics of the training (e.g., whether it provides credentials or not), of the trainers (e.g., whether they break gender stereotypes), and of the trainees. At this point, once the training is over, if the assumptions hold (e.g., the trainees continue to hold enough power to effect changes in their work environment), then it is possible that trainees will introduce or support the desired change. There always are other influencing factors: this is one of the issues which only a full-fledged evaluation may tackle.

**FIGURE 1 : A DIAGRAM REPRESENTING AN EXAMPLE OF A PROGRAM THEORY**

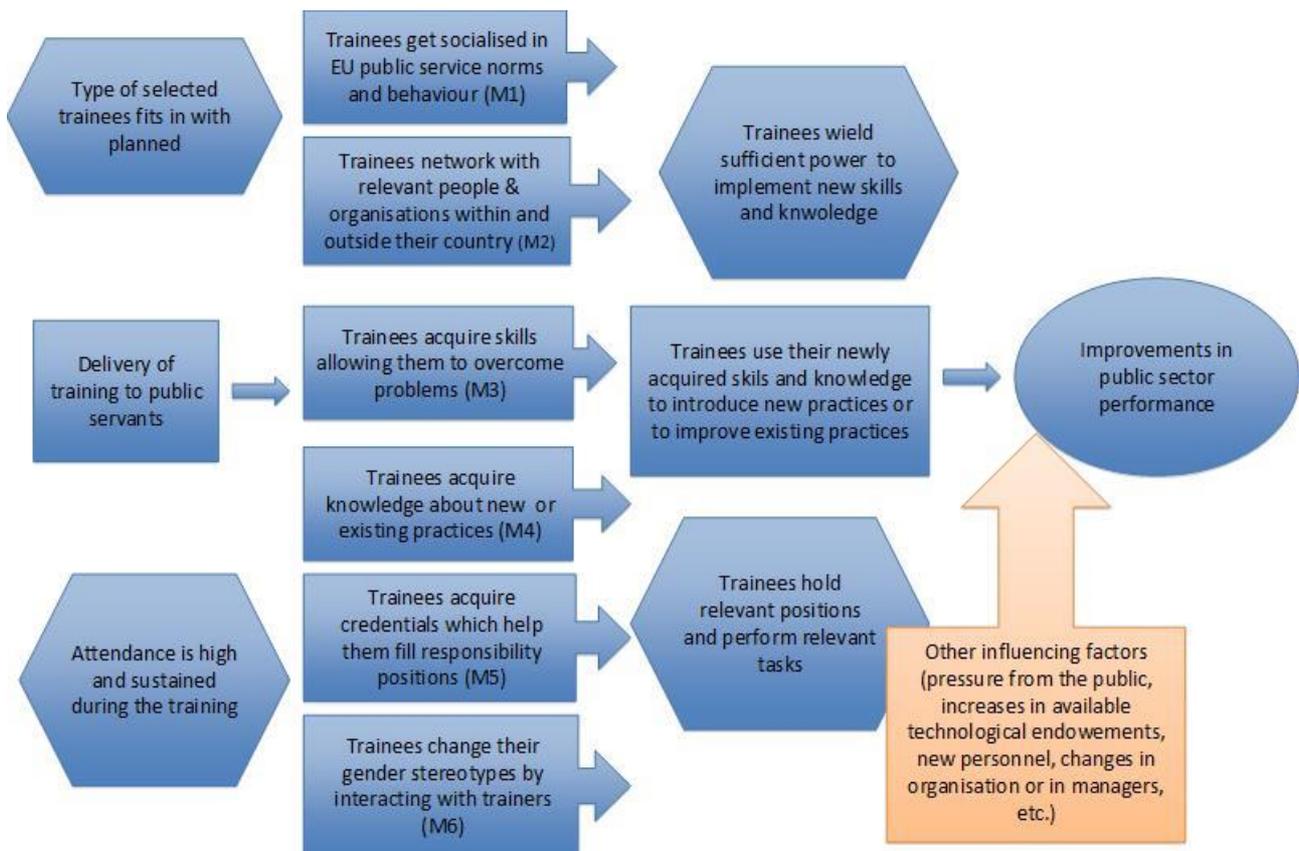


Figure 1.1 represents a theory which only explains intended results and which hypothesises that the links between activities and outcomes are linear. As seen in the previous paragraph, reality usually widely differs

from this. For example, there may be unintended results, both undesirable or desirable. How to take stock of these? An apparently more complex, yet more adequate to describe reality, type of theory is a **realist theory**. This type of theory explains how different **contexts** (a **context** being a bundle of features defining groups of potential beneficiaries) activate different **mechanisms**, thus producing different **outcomes** (CMO configuration).

Going back to the example of training, in the expected situation all training participants possess desirable characteristics (they have sufficient power, they are willing to stay in the organisation, etc.), which are considered as assumptions which have to hold. Reality is usually more complex, because only some participants will possess all the desirable characteristics (group A: integrated organisation members), while there might be other groups taking the same training. For example, a group of training participants (group B: the disenfranchised) might hold little power in the organisation, and another possible group (group C: the up-and-rising professionals) might include successful, ambitious individuals who will shortly move to other (and higher) positions in the public or private sectors.

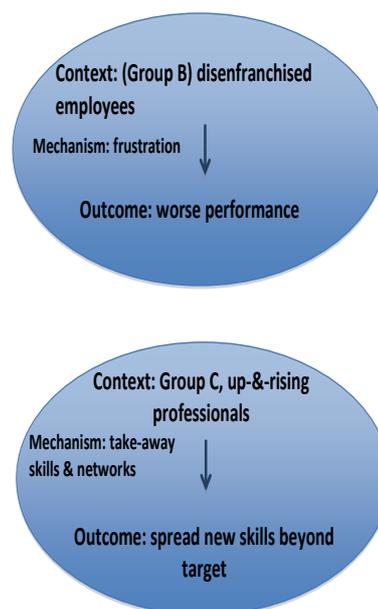
The same training will operate differently for individuals in each group: it will activate different mechanisms and, as a consequence, produce different outcomes in groups B and C. Namely, participants from group B lack the power to apply what they have learned. Once they have completed the training, this will engender frustration and depress their ability and willingness to effect even the smaller changes which are within their reach—certainly an undesirable outcome.

Participants from Group C, on the opposite, might bring their newly acquired skills, networks, and attitudes with them to other positions and other organisations, thus spreading new thinking, ways of doing, norms, behaviours, and networks beyond the scope of the initial training, multiplying its effects (a desirable, albeit unforeseen, outcome).

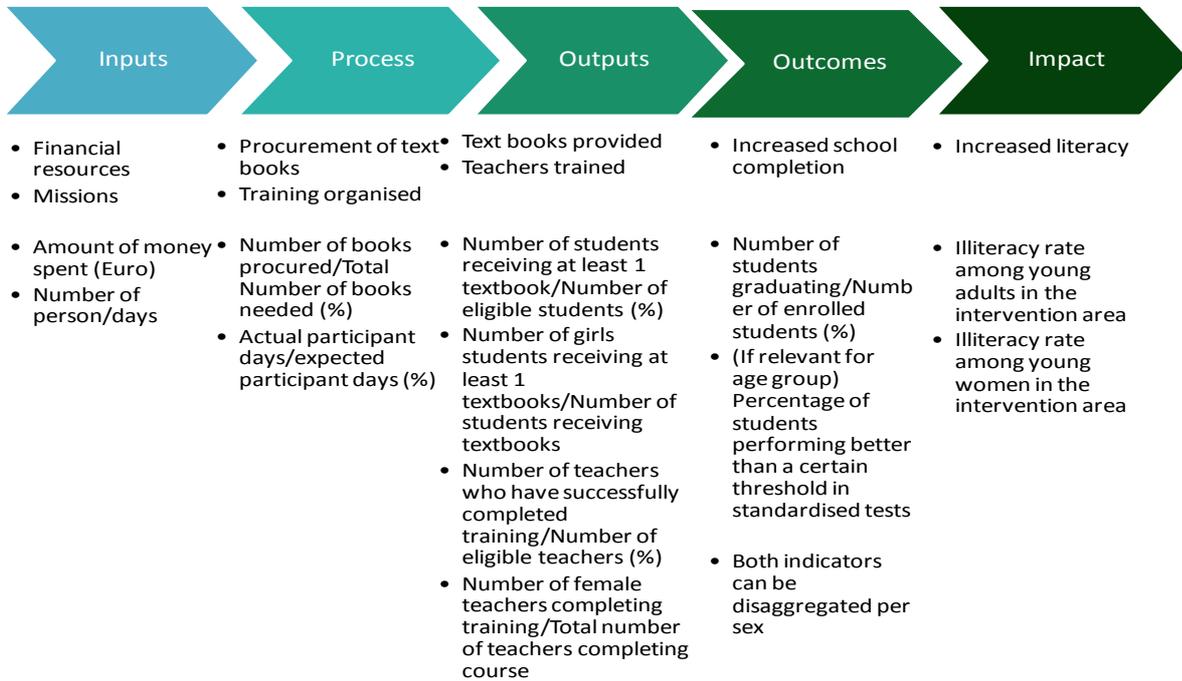
These outcomes might occur at the same time, since different groups of people (our ‘contexts’) participate into the training. Usually, a performance indicator system cannot follow all the possible outcomes—this is a task for evaluation. Still, carefully embedding the possible alternative options in a programme theory helps in many tasks: identifying indicators at the beginning, making sense of indicator values during programme implementation, and developing evaluation questions.

Figure 2 exemplifies the relationships between expected inputs and results on the one hand and, on the other hand, the corresponding type of indicators by making reference to an activity aiming at increasing literacy through improvements in education. Various activities are envisaged, among which distribution of textbooks to students and training for teachers. Given the nature of the goal (increasing literacy), gender and social dimensions are particularly relevant.

FIGURE 2 : REPRESENTATION OF DIFFERENT OUTCOMES WHEN CONTEXTS DIFFERS



**FIGURE 3 : EXAMPLE OF EXPECTED RESULTS AND INDICATORS AT INPUT, PROCESS, OUTPUT, OUTCOME, AND IMPACT LEVEL**



## **ANNEX 5: OTHER APPROACH USED IN RECONSTRUCTING A THEORY OF CHANGE: OUTCOME MAPPING**

Outcome Mapping is a theory-based, learning-oriented approach to planning, monitoring, and evaluating development interventions in multi-stakeholder settings. It has been applied to a very wide range of organisations and interventions. Literature, further information on uses of the approach in various settings all over the world, and an active community providing dialogue and mutual support are accessible at [www.outcomemapping.ca](http://www.outcomemapping.ca)

The approach addresses the challenge of assessing outcomes in situations where the international donor is just one among many others, and activities are conducted in the field by national public and private organisations. In this situation, national organizations “control change and ... as external agents, development programs only facilitate the process by providing access to new resources, ideas, or opportunities for a certain period of time.

The approach originates from the realisation that no development intervention operates in a void: multiple actors fund or otherwise influence interventions and policies, while the organisations which act in the field are usually endogenous (national governments and local organisations). Development impacts are, therefore, “rarely accomplished by the work of a single actor (especially an external donor agency)” (Earl et al., 2001: 1). Rather than directly causing change, each organisation merely contributes to processes of which national and local organisations are in control. It is, therefore, futile to try to trace back development impacts to the external donors’ action with a strong cause-effect link. At best, external actors contribute to the outcome, rather than determining it. It is, however, still possible to measure whether and how the action of the external actors is making a difference. This is achieved by focusing on contribution, rather than on attribution.

In order to do that, Outcome Mapping focuses on outcomes, which “are defined as changes in the behaviour, relationships, activities, or actions of the people, groups, and organizations with whom a program works directly” (Earl et al., 2001: 1). Coherently with the inspiration of the approach, endogenous organisations and their behaviour assume centre-stage. The attention is focused on a particular subset of stakeholders: those which come into direct contact with the programme (e.g., as implementers) and are, therefore, within the sphere of influence of the program, the boundary partners. The programme has to change their behaviour in order to achieve its development impacts. In turn, each boundary partner influences other organisations: its own boundary partners. The approach makes it possible to conceptualise and track outcomes even in large and complex configurations of stakeholders, always keeping the claims about the relationships between actions and actors clear and not so ambitious that they cannot be traced down.

The approach divides the work in three stages:

**Intentional Design:** helping “a program establish consensus on the macro level changes it will help to bring about and plan the strategies it will use” (Earl et al., 2001: 3). It is performed in an inclusive manner, involving all major stakeholders in workshops. These workshops do not solely focus on identifying indicators, but, rather, “participation in the Outcome Mapping design workshop by boundary partners may be an opportunity for frank and open dialogue or negotiation about the purpose and relevance of the program” (Earl et al., 2001: 20).

**Outcome and Performance Monitoring:** this is the core of the approach and allows for the monitoring of the program’s actions and the boundary partners’ progress. Endogenous organisations are key in this phase again: since they own the information, monitoring is performed through self-assessment.

Evaluation Planning: it provides a framework for identifying evaluation priorities in order to fulfil the knowledge needs which arise during implementation. It focuses evaluation on select areas, allowing for the development of evaluation plans and for appropriately focusing evaluations.

## ANNEX 6: INDICATORS PARAMETERS

1. Name of indicator
2. Sector
3. Subsector
4. Technical Definition (includes range, expected direction, and meaning of range-worst and best values. Especially, indicates what the indicator measures and what it does not measure, highlighting possible risks and limitations. It includes for both qualitative and quantitative indicators how to calculate the indicator value, including any assumptions made)
5. Gender (whether the indicator can signal changes in gender equity or can be altered to do it - see part 1, paragraph 1.4)
6. Type/level of indicator (process/output/outcome)
7. Unit of measure
8. Baseline (year and value)
9. Milestone (year and value)
10. Target (year and value)
11. Data Sources (including any issues on different definitions by source)
12. Organisation responsible for collecting and processing data: Is the necessary data already collected by other organisations? Who collects it?
13. Activities needed in order to find the value of the indicator: beneficiary's responsibilities (e.g., who is responsible to collect the data, who is responsible for inputting the data in the indicator system)
14. Timing and frequency: How often it is released? When was it last published? Which period does it refer to (delay in release)? When will it be collected next?
15. Documents in which the indicator is going to be used (identifies the documents, the timing in which each of them is issued, the audience to which it is targeted, and the purpose they serve, e.g., negotiations, on-going monitoring, final assessment, distribution to the general public, information to the European Parliament, etc.)
16. Worked examples
17. Use by countries (which countries use it and which is the definition of the indicators)
18. Other issues
19. Reading/Sources

## ANNEX 7: EXAMPLES OF QUESTIONS THAT COULD BE USED TO GENERATE INDICATORS

Indicator principle	Definition	Questions to choose which indicators to use	Validation questions
Reasonable	Capturing the essence of an outcome according to a reasonable argument about which features of the outcome the indicator can and cannot represent	<ul style="list-style-type: none"> <li>Which is the most crucial outcome for the intervention? Which part of it is measurable?</li> <li>How is a change in the observed variable connected to a change in the outcome of interest?</li> <li>How do the mechanisms vary for women and for men?</li> <li>Which actors' behaviours have to change in order for the activity to work? Which actors are negatively affected? Which actors are positively affected?</li> <li>Which evidence supports the argument? What has happened in the past on similar activities?</li> </ul>	Which evidence there is to support the theory developed? Which new advances in theory or in empirical literature grant the decisions made vis-à-vis the indicators chosen? Which are the weaknesses of the argument? How do stakeholders view the argument? Do all stakeholders consider it equally strong? Which are the main objections/rival theories? Which evidence supports them?
Normative	Having a clear and accepted normative interpretation (i.e. there must be agreement that a movement in a particular direction or within a certain range is a favourable or an unfavourable result)	<ul style="list-style-type: none"> <li>Do all relevant stakeholders agree that a decrease in the indicator (e.g. the number of reported domestic violence or of reported hate crimes against a minority) signals an improvement in the situation? Which are possible counter-arguments?</li> <li>Which evidence supports them?</li> <li>How do other stakeholders conceptualise and measure the outcome?</li> <li>Have there been disagreements in the past among stakeholders on the value of the indicator? How were they solved?</li> </ul>	Which evidence there is that points out to a different interpretation? Which stakeholders hold a different view on the interpretation of indicators? Are there differences in values or interests affecting the normative interpretation of change?
Robust	Reliable, statistically and analytically validated, and, as far as practicable, complying with internationally recognised standards and methodologies	<ul style="list-style-type: none"> <li>How is the measurement made?</li> <li>Which organisation collects the data? Which collection methods does the organisation use?</li> <li>What is the reputation of the organisation?</li> <li>How credible is the indicator to different stakeholders?</li> <li>Have calculation methods changed over time?</li> <li>Are indicators from previous programming periods still adequate to describe the desired outcomes?</li> </ul>	How is the measurement made? Which organisation collects the data? With which delay is it available? How credible is the indicator to each stakeholder? Which advancements need to be made (in administrative procedures or in statistical research) in order to refine the indicators? How does the programme support these advancements? Are the organisations responsible for collecting, processing, and transferring data ready to do so? How reliable are they?

Indicator principle	Definition	Questions to choose which indicators to use	Validation questions
Responsive to policy	Linked in as direct way as possible and potentially affected by the policy actions for whose assessment they are used, while not being subject to manipulation	<ul style="list-style-type: none"> <li>• Which are possible interfering causal links affecting the value of the indicators which are not under the control of the programme?</li> <li>• How would the value change if the policy effort changed (for example, if the intended targets are missed and other individuals/firms/areas/organisations reap the advantages)?</li> <li>• Has this happened in the past?</li> </ul>	Which are possible interfering causal links affecting the value of the indicators which are not under the control of the programme? Would the value change if the policy effort is scaled up (for example, more resources are poured in the policy area)?
Feasible	Built, as far as practicable, on available underlying data, their measurement not imposing too large a burden on beneficiaries, on enterprises, nor on the citizens	<ul style="list-style-type: none"> <li>• Which organisations already collect this data?</li> <li>• How do existing data fit in with the variables of interest?</li> <li>• Which are the steps that beneficiaries have to take in order to fill in the indicator?</li> <li>• Which efforts are requested out of beneficiaries, enterprises or citizens? Would they feel threatened by the requests for information? How would they react? Would they have access to data from other beneficiaries, enterprises, or citizens? What would be their pay-off if they provided the data?</li> <li>• Are there other, easier and less taxing ways of obtaining equally bearing data? Where and how are the data stored?</li> </ul>	Are there organisations already collecting this data? How easy is it to use existing data to measure the variables of interest? Which organisation collects the data? Which collection methods are used? How much time does it take for respondents (beneficiary organisations, enterprises, or individuals) to provide the data? Are there other, easier and less taxing ways of obtaining equally bearing data? Which are the views of each consulted stakeholder on the burden imposed by data collection? Which problems have arisen in the past? How have they been solved?
Debatable	Timely and openly available to a wide public, with room being built for public debate and for their own revision when needed and motivated.	<ul style="list-style-type: none"> <li>• How often are the data collected?</li> <li>• How long is the delay between collection and disclosure of the data?</li> <li>• How much time does it take for respondents (beneficiary organisations, enterprises, or individuals) to provide the data?</li> <li>• How open are the raw data on which the indicator is constructed?</li> <li>• Is the indicator understandable only to a specialist? If so, how is it possible to make it more usable in public debate?</li> <li>• How credible to the general public is the source of the raw data?</li> <li>• Which stakeholders are likely to challenge the indicator if it shows unfavourable developments? Which argument would they use?</li> <li>• How is it possible to strengthen data collection and processing in order to make the indicator more resilient to attacks? How relevant is the indicator to key issues (such as gender equality)?</li> </ul>	How often are the data collected? How long is the delay between collection and disclosure of the data? How open are the raw data on which the indicator is constructed? Which is stakeholders' understanding of the indicator? How relevant is it to their discourse? How credible is it to each stakeholder? Which stakeholders are likely to challenge the indicator if it shows unfavourable developments? Which argument would they use? How relevant is the indicator to key issues (such as gender equality)?

## ANNEX 8: EXAMPLES OF (LEVEL 1) STRATEGIC/DEVELOPMENT PROGRESS INDICATORS RELEVANT FOR DG NEAR (ENI & IPA II)

The original Excel file can be found at: <https://myintracomm.ec.europa.eu/dg/near/whatwedo/monitoring-reporting-evaluation/Pages/Monitoring-evaluation.aspx>

Dimension/ Sector	Sub-sector	Name of Indicator	Technical Definition of indicator	Unit of measure (€, %, n...)	Source of information	EU Results Framework ENI	IPA II ISP	DG NEAR MP	DG NEAR Programme Statement
Agriculture and Food Security	Agriculture	Agricultural Value Added measured using Cereal Yield per hectare as proxy indicator	<p>This indicator covers cereal yield, measured as kilograms per hectare of harvested land. It includes wheat, rice, maize, barley, oats, rye, millet, sorghum, buckwheat, and mixed grains.</p> <p>This indicator is adopted as a proxy of more sophisticated indicators of agricultural productivity not yet available. There is still a debate in the framework of SDG's monitoring framework on this issue. Agricultural production in value by land unit and/or by labour unit is the options at stake, but uncertainties remain on the availability of sufficiently reliable and comprehensive data on land and labour.</p> <p>The indicator chosen (Cereal Yield per hectare) addresses the production of the main staple crop in most countries in the world. It gives an acceptable assessment of the agricultural productivity of land.</p>	ha	World Bank (Cereal Yield per hectare: <a href="http://data.worldbank.org/indicator/AG.YLD.CREL.KG">http://data.worldbank.org/indicator/AG.YLD.CREL.KG</a> , Land under cereal production: <a href="http://data.worldbank.org/indicator/AG.LND.CREL.HA">http://data.worldbank.org/indicator/AG.LND.CREL.HA</a> )	√			
Agriculture and Food Security	Food security	Prevalence of stunting (moderate and severe) of children aged below five years	The indicator should be read as "Percentage of children aged 0 to 59 months who are stunted", i.e. the number of children aged 0 to 59 months who are stunted divided by the overall number of children between 0 and 59 months alive.	%	WHO, Unicef and World Bank publish annual harmonized joint child malnutrition estimates, including stunting	√			

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Dimension/ Sector	Sub-sector	Name of Indicator	Technical Definition of indicator	Unit of measure (€, %, n...)	Source of information	EU Results Framework ENI	IPA II ISP	DG NEAR MP	DG NEAR Programme Statement
Agriculture and Food Security	Food security	Prevalence of undernourishment	<p>The proportion of the population below the minimum level of dietary energy consumption referred to as the prevalence of undernourishment (PoU), is the percentage of the population that is undernourished or food deprived. The undernourished or food deprived are those individuals whose food intake falls below the minimum level of dietary energy requirements.</p> <p>The PoU is the probability that, after randomly selecting one individual from the population, (s)he is found to be consuming an amount of dietary energy that is insufficient to cover his or her requirement for an active and healthy life. This probability is taken as an estimate of the likely proportion of people that are undernourished in the population. An estimate of the number of undernourished (NoU) is then produced by multiplying the estimated PoU by the population size.</p> <p>The proportion of the population below the minimum level of dietary energy consumption referred to as the prevalence of undernourishment (PoU), is the percentage of the population that is undernourished or food deprived. The undernourished or food deprived are those individuals whose food intake falls below the minimum level of dietary energy requirements.</p> <p>The PoU is the probability that, after randomly selecting one individual from the population, (s)he is found to be consuming an amount of dietary energy that is insufficient to cover his or her requirement for an active and healthy life. This probability is taken as an estimate of the likely proportion of people that are undernourished in the population. An estimate of the number of undernourished (NoU) is then produced by multiplying the estimated PoU by the population size.</p>	%	UN Statistics Division based on data collected by FAO	√			
Agriculture and Food Security	various	Degree of readiness and progress made towards meeting accession criteria, as assessed by the Annual Report		qualitative	Progress report		√		
Agriculture and Food Security	various	Total investment generated via IPA in agri-food sector and rural		Amount			√		

Dimension/ Sector	Sub-sector	Name of Indicator	Technical Definition of indicator	Unit of measure (€, %, n...)	Source of information	EU Results Framework ENI	IPA II ISP	DG NEAR MP	DG NEAR Programme Statement
		development							
Border management	Various	Degree of readiness and progress made towards meeting accession criteria, as assessed by the Annual Report		qualitative	Progress report		√		
Conflict prevention, peace building and security	Human Rights	Degree of readiness and progress made towards meeting accession criteria, as assessed by the Annual Report		qualitative	EC		√		
Conflict prevention, peace building and security	Human Rights	Composite indicator Freedom of Press (FH) and Press Freedom (RWB)		qualitative	Reporters Without Borders Freedom House		√		
Conflict prevention, peace building and security	Various	Number of violent deaths per 100000	Violent death is defined as unlawful death purposefully inflicted on a person by another person.	N.	UNODC Homicide Statistics	√			
Education	Education	Primary Education Completion Rate	Primary completion rate is the percentage of students completing the last year of primary school. It is calculated by taking the total number of students in the last grade of primary school, minus the number of repeaters in that grade, divided by the total number of children of official graduation age	%	UNESCO Institute of Statistics (UIS) database.	√			
Education	Education	Literacy rate of 15-24 year olds	The number of persons aged 15 to 24 years who can both read and write with understanding a short simple statement on their everyday life, divided by the population in that age group. Generally, 'literacy' also encompasses 'numeracy', the ability to make simple arithmetic calculations.	%	UN Statistics Division	√			

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Dimension/ Sector	Sub-sector	Name of Indicator	Technical Definition of indicator	Unit of measure (€, %, n...)	Source of information	EU Results Framework ENI	IPA II ISP	DG NEAR MP	DG NEAR Programme Statement
Education	Education	Lower Secondary Education Completion Rate	<p>Completion is defined by the UNESCO Institute for Statistics (UIS) as the "participation in all components of an educational programme (including final exams if any), irrespective of the result of any potential assessment of achievement of learning objectives". It may be measured with different proxy indicators: intake rate to the last grade of the cycle; graduation ratio; survival rate.</p> <p>For reasons mentioned below (see section 6), the lower secondary education completion rate will be measured by the intake rate to the last grade. The technical definition is: "Total number of new entrants in the last grade of lower secondary education, regardless of age, expressed as a percentage of the population at the theoretical entrance age to the last grade of lower secondary education". For this indicator the last grade of lower secondary education depends on the country's official duration of lower secondary education.</p>	%	UNESCO Institute of Statistics (UIS) database	√			
Education	Various	Degree of readiness and progress made towards meeting accession criteria, as assessed by the Annual Report		qualitative	Progress report		√		
Employment and social protection	Employment	Employment rate (15-64 years; also 20-64 years if available)	Employment rate represent persons in employment as a percentage of the population of working age (15- 64 years)	%	Eurostat		√		
Employment and social protection	Employment	Proportion of employed people living below \$1.25 (PPP) per day	The proportion of the population living below \$1.25 (2005 PPP) a day is defined as the proportion of the population living in households below the international poverty line where the average daily consumption (or income) per person is less than \$1.25 a day measured at 2005 international prices adjusted for purchasing power parity (PPP) . This indicator replaced the \$1 a day poverty in Autumn 2008. As a result of revisions in PPP exchange rates, poverty rates cannot be compared with poverty rates reported previously for individual countries. This indicator is expressed as a percentage.	%	World bank UN Population data	√			

Dimension/ Sector	Sub-sector	Name of Indicator	Technical Definition of indicator	Unit of measure (€, %, n...)	Source of information	EU Results Framework ENI	IPA II ISP	DG NEAR MP	DG NEAR Programme Statement
Employment and social protection	Social protection	Share of older persons receiving pensions	Share of population above the statutory pensionable age (or aged 65 or above) benefiting from an old-age pension. An old-age pension refers to periodic payments intended: (i) to maintain the income of the beneficiary after retirement from gainful employment at the statutory/standard age or (ii) to support the income of older persons (excluding support for a limited duration). A beneficiary is the person in respect of whom social security benefit is granted, irrespective of whether he is a titular beneficiary or not. The benefits covered are periodic cash retirement benefits. They can be means-tested or non means-tested and provided through contributory or non-contributory schemes. Means-tested social benefits are social benefits which are explicitly or implicitly conditional on the beneficiary's income and/or wealth falling below a specified level. Thus, Non means-tested benefits are those benefits that are entirely independent of the beneficiary's income and/or wealth. Contributory schemes are social protection schemes that require the payment of contributions, by the protected persons or by other parties on their behalf, in order to secure individual entitlement to benefits. Conversely, non-contributory schemes normally do not require direct contribution from beneficiaries or their employers as a condition of entitlement to receive relevant benefits. Non-contributory schemes include a broad range of schemes including universal schemes for all residents and some categorical means-tested schemes. Non-contributory schemes are usually financed through tax or other state revenues.	%	ILO Social Protection Department database	√			
Employment and social protection	Various	Degree of readiness and progress made towards meeting accession criteria, as assessed by the Annual Report		qualitative	Progress report		√		

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Dimension/ Sector	Sub-sector	Name of Indicator	Technical Definition of indicator	Unit of measure (€, %, n...)	Source of information	EU Results Framework ENI	IPA II ISP	DG NEAR MP	DG NEAR Programme Statement
Energy	Access to energy	Percentage of the population with access to energy services	Electricity comprises electricity sold commercially, both on grid and off grid. It includes self-generated electricity (solar photovoltaic, hydro, thermal generators, wind turbines)	%	1. Access to electricity <a href="http://data.worldbank.org/indicator/EG.ELC.ACCS.ZS/countries">http://data.worldbank.org/indicator/EG.ELC.ACCS.ZS/countries</a> 2. UN Population Division data <a href="http://esa.un.org/unpd/wpp/Excel-Data/population.htm">http://esa.un.org/unpd/wpp/Excel-Data/population.htm</a>	√			
Energy	Renewable energy	Renewable energy production as a proportion of total energy production	This indicator will measure electricity produced from renewable sources (includes hydropower, geothermal, solar, tides, wind, biomass, and biofuels) expressed as a percentage of the total electricity produced.	%	1. Electricity production from renewable sources: <a href="http://data.worldbank.org/indicator/EG.ELC.RNEW.KH">http://data.worldbank.org/indicator/EG.ELC.RNEW.KH</a> 2. Total electricity production <a href="http://data.worldbank.org/indicator/EG.ELC.PROD.KH/">http://data.worldbank.org/indicator/EG.ELC.PROD.KH/</a>	√			
Energy	various	Degree of readiness and progress made towards meeting accession criteria, as assessed by the Annual Report		qualitative	EC		√		
Health	Health	Under-five mortality rate	The under-five mortality rate (U5MR) is the probability of a child born in a specified year dying before reaching the age of five expressed as a rate per 1,000 live births in the same year (if subject to current age-specific mortality rates).	%	UN Statistics Division	√			

Dimension/ Sector	Sub-sector	Name of Indicator	Technical Definition of indicator	Unit of measure (€, %, n...)	Source of information	EU Results Framework ENI	IPA II ISP	DG NEAR MP	DG NEAR Programme Statement
Health	Health	Maternal mortality ratio	Maternal death refers to a female death from any cause related to or aggravated by pregnancy or its management (excluding accidental or incidental causes) during pregnancy and childbirth or within 42 days of termination of pregnancy, irrespective of the duration and site of the pregnancy.  The maternal mortality ratio (MMR) is the ratio of the number of maternal deaths during a given time period per 100,000 live births during the same time-period.	%	UN Statistics Division	√			
Health	Health	HIV prevalence among population aged 15-24 years	The number of young women and men aged 15-24 years who are HIV infected expressed as percentage of the total population in that age group.	%	World Health Organization (WHO) and the Joint United Nations Programme on HIV/AIDS (UNAIDS)	√			
MACRO		Proportion of population living below \$1.25 (PPP) per day	Percentage of the population living below the international poverty line \$1.25 (in purchasing power parity terms) a day.	%	World Bank	√			
MACRO		Income share held by the lowest 40% of income distribution (% income, period averages)	This indicator is a direct measure of income distribution. Using data sources such as household surveys, it ranks the population by income, and then looks at what proportion of total income is held by the poorest 40 per cent.	%	World Bank	√			
MACRO		Real GDP growth, (i) latest year and (ii) average over last 5 years	Real Gross Domestic Product (real GDP) is a macroeconomic measure of the value of economic output adjusted for price changes (i.e. inflation or deflation)	%	IMF	√			
MACRO		Composite indicator (average ranking provided by eight external sources: Corruption Barometer, Control of Corruption, Freedom of Press, Press Freedom, Rule of Law, Government Effectiveness, Regulatory Quality, Voice and Accountability)		score	EC, based on WB, TI, FH, RWB		√	√	√

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Dimension/ Sector	Sub-sector	Name of Indicator	Technical Definition of indicator	Unit of measure (€, %, n...)	Source of information	EU Results Framework ENI	IPA II ISP	DG NEAR MP	DG NEAR Programme Statement
MACRO		Readiness indicators on fundamental areas of political criteria (Areas: Judiciary, Fighting organised crime, Freedom of expression, Fight against corruption, Public Administration Reform) - Enlargement		qualitative	EC				√
MACRO		Readiness indicators on alignment to the <i>acquis</i> as reflected in the country reports		qualitative	EC				√
MACRO		Readiness indicators on fundamental areas of Economic criteria (i.e. functioning market economy and competitiveness in the EU)		qualitative	EC				√
MACRO		Central government debt, total (% of GDP)		%	World Bank				
MACRO		GDP per capita at current prices (PPS for Enlargement) as % EUR 28		%	Eurostat			√	√
MACRO		FDI per capita	Foreign direct investment (FDI) is the category of international investment that reflects the objective of obtaining a lasting interest by an investor in one economy in an enterprise resident in another economy. The lasting interest implies that a long term relationship exists between the investor and the enterprise, and that the investor has a significant influence on the way the enterprise is managed. Such an interest is formally deemed to exist when a direct investor owns 10% or more of the voting power on the board of directors (for an incorporated enterprise) or the equivalent (for an unincorporated enterprise).	Amount	Eurostat				
MACRO		Exports and imports of goods and services/ GDP		%	Eurostat				√

Dimension/ Sector	Sub-sector	Name of Indicator	Technical Definition of indicator	Unit of measure (€, %, n...)	Source of information	EU Results Framework ENI	IPA II ISP	DG NEAR MP	DG NEAR Programme Statement
MACRO		Current account balance of trade (% of GDP)	It is defined as the sum of the balance of trade (goods and services exports less imports), net income from abroad and net current transfers. A positive current account balance indicates that the nation is a net lender to the rest of the world, while a negative current account balance indicates that it is a net borrower from the rest of the world. A current account surplus increases a nation's net foreign assets by the amount of the surplus, and a current account deficit decreases it by that amount. The current account and the capital account are the two main components of a nation's balance of payments. <a href="http://www.investopedia.com/terms/c/currentaccount.asp#ixzz4E0gEhPnf">http://www.investopedia.com/terms/c/currentaccount.asp#ixzz4E0gEhPnf</a>	%	World Bank				
MACRO		External balance on goods and services (% of GDP)		%	World Bank				
MACRO		Exports of goods and services in % of GDP (for Neighbourhood)	This indicator is the value of exports of goods and services divided by the GDP in current prices.	%	Eurostat				√
MACRO		Overall assessment provided by the Progress report on the degree of alignment on the acquis		qualitative	EC				√
MACRO		Number of readmission/visa facilitation agreements and Visa Liberalisation Action Plans (VLAP) in place		N.	EC				√

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Dimension/ Sector	Sub-sector	Name of Indicator	Technical Definition of indicator	Unit of measure (€, %, n...)	Source of information	EU Results Framework ENI	IPA II ISP	DG NEAR MP	DG NEAR Programme Statement
MACRO		Inequality-Adjusted Human Development Index - Neighbourhood	The IHDI combines a country's average achievements in health, education and income with how those achievements are distributed among country's population by "discounting" each dimension's average value according to its level of inequality. Thus, the IHDI is distribution-sensitive average level of HD. Two countries with different distributions of achievements can have the same average HDI value. Under perfect equality the IHDI is equal to the HDI, but falls below the HDI when inequality rises. The difference between the IHDI and HDI is the human development cost of inequality, also termed – the loss to human development due to inequality. The IHDI allows a direct link to inequalities in dimensions, it can inform policies towards inequality reduction, and leads to better understanding of inequalities across population and their contribution to the overall human development cost. A recent measure of inequality in the HDI, the Coefficient of human inequality, is calculated as an average inequality across three dimensions.	score	UNDP				√
MACRO		Political stability and absence of violence: number of countries in a percentile rank above 0-10 (lowest rank)	Political Stability and Absence of Violence/Terrorism measures perceptions of the likelihood of political instability and/or politically-motivated violence, including terrorism. This table lists the individual variables from each data sources used to construct this measure in the Worldwide Governance Indicators	score	World Bank				√
MACRO		International trade in goods		Amount	Comtrade				
MACRO		Gini index	The Gini coefficient measures the inequality among values of a frequency distribution (for example, levels of income). A Gini coefficient of zero expresses perfect equality, where all values are the same (for example, where everyone has the same income). A Gini coefficient of 1 (or 100%) expresses maximal inequality among values (e.g., for a large number of people, where only one person has all the income or consumption, and all others have none, the Gini coefficient will be very nearly one).	score	World Bank				

Dimension/ Sector	Sub-sector	Name of Indicator	Technical Definition of indicator	Unit of measure (€, %, n...)	Source of information	EU Results Framework ENI	IPA II ISP	DG NEAR MP	DG NEAR Programme Statement
Natural Resources, Environment and Climate Change	Biodiversity	Rate of net forest cover change	Forest change data measure tree cover loss, tree cover gain, or forest disturbance. "Tree cover" is defined as all vegetation taller than 5 meters in height. "Tree cover" is the biophysical presence of trees and may take the form of natural forests or plantations existing over a range of canopy densities "Loss" indicates the removal or mortality of tree canopy cover and can be due to a variety of factors, including mechanical harvesting, fire, disease, or storm damage.	%	<a href="http://www.globalforestwatch.org/countries">http://www.globalforestwatch.org/countries</a>	√			
Natural Resources, Environment and Climate Change	Biodiversity	State of global biodiversity	This indicator reflects the loss of value/richness/integrity of biological diversity. The latter is defined (Art. 2 of the Convention on Biological Diversity (CBD)) as "the variability among living organisms from all sources including, inter alia, terrestrial, marine and other aquatic ecosystems and the ecological complexes of which they are part; this includes diversity within species, between species and of ecosystems". It does so by tracking changes in the size of wildlife populations of some selected, representative species, to indicate trends in the overall state of biodiversity.	qualitative	Living Planet Report, published every two years by the World Wildlife Fund (WWF)	√			

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Dimension/ Sector	Sub-sector	Name of Indicator	Technical Definition of indicator	Unit of measure (€, %, n...)	Source of information	EU Results Framework ENI	IPA II ISP	DG NEAR MP	DG NEAR Programme Statement
Natural Resources, Environment and Climate Change	Climate change	Number of (i) deaths per 100,000 and (ii) economic loss as a proportion of GDP, from climate-related and, natural disasters – average over last ten years	<p>Disaster mortality per 100,000 population. Mortality is one of the most robust indicators of disaster loss, in both national as well as global disaster loss databases. Economic loss (replacement costs of damaged and destroyed assets) can be derived from physical damage and modelled using proxy values derived from the widely accepted ECLAC methodology (Economic Commission for Latin America and the Caribbean (ECLAC), 2003 Handbook for Estimating the Socio-economic and Environmental Effects of Disasters).</p> <p>Based on the ECLAC nomenclature a disaster affects: • The exposed elements (direct damages). This category consists of damage to assets that occurred right at the time of the actual disaster. • The flow for the production of goods and services (indirect losses). Indirect losses result from the consequences of physical destruction and are more difficult to identify than direct damages and they become apparent at different times after the disaster. • The performances of the main economic variables of the country/region (macroeconomic effects). Macroeconomic effects quantification is usually done for the national economy as a whole. When damage to property is valued in a monetary unit, damages become direct losses. Direct losses and indirect losses together present total loss which can be broken down by sectors and loss owner, and can be aggregated at municipality, regional or national level.</p>	i) N ii) %	<p>i)  <a href="http://www.emdat.be/database">http://www.emdat.be/database</a> &amp; UN Population data  <a href="http://esa.un.org/unpd/wpp/Excel-Data/population.htm">http://esa.un.org/unpd/wpp/Excel-Data/population.htm</a>                      ii)  <a href="http://www.emdat.be/database">http://www.emdat.be/database</a> &amp; World Bank GDP data</p>	√			
Natural Resources, Environment and Climate Change	Climate change	CO2 equivalent emission	<p>The goal is that the emission reductions delivered in the developing (beneficiary) countries, as supported by EU programmes, are contributing to bring the global emission levels in 2020 down to levels consistent with a likely chance of achieving the least cost pathway towards meeting the below 2°C target (keeping the global mean temperature rise below 2°C relative to pre-industrial levels). Thus, the indicator will measure actual global CO2 equivalent emissions in Kilo tons.</p>	Kilo tons	<p>Joint Research Centre (JRC)/PBL Netherlands Environmental Assessment Agency. Emission Database for Global Atmospheric Research (EDGAR)</p>	√			

Dimension/ Sector	Sub-sector	Name of Indicator	Technical Definition of indicator	Unit of measure (€, %, n...)	Source of information	EU Results Framework ENI	IPA II ISP	DG NEAR MP	DG NEAR Programme Statement
Natural Resources, Environment and Climate Change	Various	Degree of readiness and progress made towards meeting accession criteria, as assessed by the Annual Report		qualitative	EC		√		
Natural Resources, Environment and Climate Change	Water	Proportion of population using an improved drinking water source	The proportion of the population using an improved drinking water source is the percentage of the population who use any of the following types of water supply for drinking: piped water into dwelling, plot or yard; public tap/standpipe; borehole/tube well; protected dug well; protected spring; rainwater collection and bottled water (if a secondary available source is also improved). It does not include unprotected well, unprotected spring, water provided by carts with small tanks/drums, tanker truck-provided water and bottled water (if secondary source is not an improved source) or surface water taken directly from rivers, ponds, streams, lakes, dams, or irrigation channels.	%	UN Statistics Division UN Population data	√			
Natural Resources, Environment and Climate Change	Water & sanitation	Proportion of population using an improved sanitation facility	The proportion of the population using an improved sanitation facility is the percentage of the population with access to facilities that hygienically separate human excreta from human contact. Improved facilities include flush/pour flush toilets or latrines connected to a sewer, septic tank, or pit, ventilated improved pit latrines, pit latrines with a slab or platform of any material which covers the pit entirely, except for the drop hole and composting toilets/latrines. Unimproved facilities include public or shared facilities of an otherwise acceptable type, flush/pour-flush toilets or latrines which discharge directly into an open sewer or ditch, pit latrines without a slab, bucket latrines, hanging toilets or latrines which directly discharge in water bodies or in the open and the practice of open defecation in the bush, field or bodies of water.	%	UN Statistics Division UN Population data	√			
Public Administration Reform	Accountability	Voice and Accountability score	Reflects perceptions of the extent to which a country's citizens are able to participate in selecting their government, as well as freedom of expression, freedom of association, and a free media.	score	World Bank	√			

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Public Administration Reform	Justice	Composite indicator (Access to Justice (WJP) and Judicial Independence (WEF))		qualitative	World Bank		√		
Public Administration Reform	Policy Development and Coordination	Average Rule of Law score <sup>22</sup> (as measured by the Worldwide Governance Index)	RoL captures perceptions of the extent to which agents have confidence in and abide by the rules of society, and in particular the quality of contract enforcement, property rights, the police, and the courts, as well as the likelihood of crime and violence.	score	Worldwide governance indicators - World Bank	√			
Public Administration Reform	Public Financial management	Change in domestic revenue mobilisation as a percentage of GDP over the last five years	The change in domestic revenue mobilisation as a percentage of GDP over three years in countries where the EU has external action programmes  Revenue is cash receipts from taxes, social contributions, and other revenues such as fines, fees, rent, and income from property or sales. Grants are normally considered as revenue but are excluded here.	%	DEVCO Unit A4 will on an annual basis obtain data from the IMF for revenue, excluding grants as percentage of GDP	√			
Public Administration Reform	Public Service and Human Resource Management	Average Control of Corruption	Control of corruption" is one of the six aggregate indicators that constitute the Worldwide governance indicator	score	World Bank	√			
Public Administration Reform	Public Service and Human Resource Management	Composite indicators Global Corruption (TI) and Control of Corruption (WB)		score	World Bank		√		
Public Administration Reform	Statistics	Degree of statistical compliance	Degree of compliance with EU standards calculated by Eurostat on a sample of statistics produced by the Enlargement countries - not public	qualitative	Eurostat		√		

Dimension/ Sector	Sub-sector	Name of Indicator	Technical Definition of indicator	Unit of measure (€, %, n...)	Source of information	EU Results Framework ENI	IPA II ISP	DG NEAR MP	DG NEAR Programme Statement
Public Administration Reform	Various	Degree of readiness and progress made towards meeting accession criteria, as assessed by the Annual Report		qualitative	EC		√		
Public Administration Reform	various	Composite indicator (Government effectiveness (WB), Burden of Government Regulation (WEF) and Regulatory Quality (WB))		qualitative	World Bank, WEF		√		
Trade, investment and Private sector development	Private sector development	Distance to frontier, Doing Business	<p>The distance to frontier score aids in assessing the absolute level of regulatory performance and how it improves over time. This measure shows the distance of each economy to the “frontier,” which represents the best performance observed on each of the indicators across all economies in the Doing Business sample since 2005. This allows users both to see the gap between a particular economy’s performance and the best performance at any point in time and to assess the absolute change in the economy’s regulatory environment over time as measured by Doing Business.</p> <p>An economy’s distance to frontier is reflected on a scale from 0 to 100, where 0 represents the lowest performance and 100 represents the frontier. For example, a score of 75 in DB 2015 means an economy was 25 percentage points away from the frontier constructed from the best performances across all economies and across time. A score of 80 in DB 2016 would indicate the economy is improving. In this way the distance to frontier measure complements the annual ease of doing business ranking, which compares economies with one another at a point in time.</p>	score	World Bank		√		√
Trade, investment and Private sector development	Private sector development	Global competitiveness index		score	World Economic Forum				

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Dimension/ Sector	Sub-sector	Name of Indicator	Technical Definition of indicator	Unit of measure (€, %, n...)	Source of information	EU Results Framework ENI	IPA II ISP	DG NEAR MP	DG NEAR Programme Statement
Trade, investment and Private sector developmen	Various	Degree of readiness and progress made towards meeting accession criteria, as assessed by the Annual Report		qualitative	EC		√		
Trade, investment and Private sector developmen	Various	Index of Economic Freedom		score	Heritage foundation in cooperation with WSJ				
Trade, investment and Private sector developmen t	various	Average Global competitiveness score	<p>The Global Competitiveness Index (GCI) assesses the relative competitiveness landscape of an economy, providing insight into the drivers of their productivity and prosperity. The index measures a set of institutions, policies, and factors that set the sustainable current and medium-term levels of economic prosperity. The concept of competitiveness thus involves static and dynamic components. A more competitive economy is one that is likely to grow faster over time. It measures various components, each focusing on different aspects of macroeconomics and microeconomics competitiveness.</p> <p>The components are grouped into the following 12 pillars:§ Institutions§ Infrastructure§ Macroeconomic environment§ Health and primary education§ Higher education and training§ Goods market efficiency§ Labour market efficiency§ Financial market development§ Technological readiness§ Market size§ Business sophistication§ Innovation</p> <p>The index ranges from 1 to 144, with the lowest rank (1) standing for the best performance. Each country has also an aggregated score ranging between 1 to 7, here is the highest possible score. The rankings are calculated from both publicly available data and an Executive Opinion Survey, a comprehensive annual survey conducted by the World Economic Forum together with its network of Partner Institutes (leading research institutes and business organisations).</p>	score	World Economic Forum	√			

Dimension/ Sector	Sub-sector	Name of Indicator	Technical Definition of indicator	Unit of measure (€, %, n...)	Source of information	EU Results Framework ENI	IPA II ISP	DG NEAR MP	DG NEAR Programme Statement
Trade, investment and Private sector development	Trade	Exports of goods and services as % of GDP	Trade in goods and services is defined as change in ownership of material resources and services between one economy and another. The indicator comprises sales of goods and services as well as barter transactions or goods exchanged as part of gifts or grants between residents and non-residents. It is measured in million USD and percentage of GDP for net trade and also annual growth for exports and imports.	%	Eurostat	√			
Transport	Various	Degree of readiness and progress made towards meeting accession criteria, as assessed by the Annual Report		qualitative	EC		√		
Transport	Transport	Logistics performance indicator	The LPI consists therefore of both qualitative and quantitative measures and helps build profiles of logistics friendliness for these countries. It measures performance along the logistics supply chain within a country and offers two different perspectives: international and domestic.	score	World Bank		√		
Transport	Transport	Road density	This indicator defines road density as the ratio of the length of a country's total road network to the country's land area. The road network includes all roads in a country: motorways, highways, main or national roads, secondary or regional roads' and other urban and rural roads.	%	World Bank World Development Indicators	√			
Vulnerable groups	Gender	Proportion of seats held by women in national parliaments	Proportion of seats in national parliaments occupied by women. The proportion of seats held by women in national parliaments is the number of seats held by women members in single or lower chambers of national parliaments, expressed as a percentage of all occupied seats. The indicator is calculated as the total number of seats occupied by women divided by the total number of seats occupied in parliament and multiplied by 100.	%	UN Statistics Division UN Population data	√			
Vulnerable groups	Gender	Percentage of women aged 20-24 years old who were married before their	The term 'child marriage' is used to describe a legal or customary union between two people of whom one or both spouses is below the age of 18.	%	the Multiple Indicator Cluster Surveys (MICS)	√			

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Dimension/ Sector	Sub- sector	Name of Indicator	Technical Definition of indicator	Unit of measure (€, %, n...)	Source of information	EU Results Framework ENI	IPA II ISP	DG NEAR MP	DG NEAR Programme Statement
		15th/18th birthday			(UNICEF) UN Population data				

## ANNEX 9: EXAMPLES OF (LEVEL 2) OUTPUT AND OUTCOME INDICATORS RELEVANT FOR DG DG NEAR (ENI & IPA II)

The original Excel file can be found at: <https://myintracomm.ec.europa.eu/dg/near/whatwedo/monitoring-reporting-evaluation/Pages/Monitoring-evaluation.aspx>

Dimension/Sector	Sub-sector	Output/Outcome	Name of Indicator	Technical Definition of indicator	Possibility of gender disaggregation (Y/N)	Unit of measure (€, %, n., degree of, extent, etc.)	Source of information	Present in EU Results Framework
Agriculture and Food Security	Fertilization	Outcome	Percentage of agricultural households using eco-friendly fertilizers compared to all agricultural households using fertilizers		N	%	National texts, statistics, systems, etc.	N
Agriculture and Food Security	Food security	Outcome	Degree of standards' compliance of EU supported farms / enterprises with domestic and EU standards on food safety		N	qualitative	EC, EFSA, FAO	N
Agriculture and Food Security	Food security	Outcome	Total number of supported farms / enterprises which, as direct result of the support, have improved their standards towards compliance with domestic and EU standards on food safety	Number of agro-food processors with improved standards towards meeting EU relevant standards (corresponding to CSP indicator: "Number of economic entities progressively upgrading towards EU standards in the agri-food sector")	Y	n	National texts, statistics, systems, etc.	N
Agriculture and Food Security	Irrigation	Outcome	Percentage of agricultural households using irrigation systems compared to all agricultural households		N	%	National texts, statistics, systems, etc.	N

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Dimension/Sector	Sub-sector	Output/Outcome	Name of Indicator	Technical Definition of indicator	Possibility of gender disaggregation (Y/N)	Unit of measure (€, %, n., degree of, extent, etc.)	Source of information	Present in EU Results Framework
Agriculture and Food Security	Nutrition	Output	Number of women of reproductive age and children under 5 benefiting from nutrition related programmes with EU support	Women in reproductive age, paying particular attention to pregnant and lactating women, and adolescent girls (age range based on national definitions) and infants and children under 5 years of age, paying particular attention to children from 0-59 months[1] benefiting from EU assistance through nutrition programmes during the reporting year	Y	n	EC	Y
Agriculture and Food Security	Sustainable and inclusive Agriculture	Output	Agricultural and pastoral ecosystems where sustainable land management practices have been introduced with EU support (number of hectares)	Total number of hectares where, with support from the EU, farmers will have adopted sustainable land management practices aimed at reverting soil erosion, enhancing fertility, increasing biodiversity, improving water management or reducing chemical inputs.	N	n	EC	Y
Agriculture and Food Security	Sustainable and inclusive Agriculture	Output	Number of people receiving rural advisory services with EU support	Rural advisory services are the different activities that make knowledge available, strengthen capacities, empower rural people and promote innovations in the rural context.	Y	n	EC	Y
Agriculture and Food Security	Sustainable and inclusive Agriculture	Outcome	Number of women and men who have secure tenure of land with EU support	Land tenure is governed by a large scope of rights, from non-recognised occupation to formal, legally registered titles, in a continuum of rights that should be fully recognized. Formal titles are generally more accessible to industrial farms, whereas less than 5 % of farmers in developing countries benefit from formal titles. Systematic titling is a long and costly process that is not always indispensable to ensure a secure land tenure.	Y	n	EC	Y

Dimension/Sector	Sub-sector	Output/Outcome	Name of Indicator	Technical Definition of indicator	Possibility of gender disaggregation (Y/N)	Unit of measure (€, %, n., degree of, extent, etc.)	Source of information	Present in EU Results Framework
Agriculture and Food Security	Food security	Output	Number of food insecure people receiving assistance through social transfers supported by the EU	Food insecure (or vulnerable) individuals and/or households are defined preferably by the local authorities	Y	n	EC	Y
Border management	Customs	Output	Number of beneficiaries of training sessions for border law enforcement authorities		N	n	EC	N
Border management	Customs	Outcome	Extent to which a national government structure to co-ordinate, manage and direct international border management (in relation to customs) in-country and cross borders exists		N	qualitative	National texts, statistics, systems, etc. EC International data (i.e. World Customs Organisation)	N
Border management	Customs	Outcome	Degree of regulation of border agency collaboration (in relation to customs) at national and international level by Formal agreements and operational measures regulation		N	qualitative	National texts, statistics, systems, etc. EC International data (i.e. World Customs Organisation)	N
Border management	Customs	Outcome	Percentage change in the value of smuggled goods detected at the border		N	%	National texts, statistics, systems, etc. EC International data (i.e. World Customs Organisation)	N

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Dimension/Sector	Sub-sector	Output/Outcome	Name of Indicator	Technical Definition of indicator	Possibility of gender disaggregation (Y/N)	Unit of measure (€, %, n., degree of, extent, etc.)	Source of information	Present in EU Results Framework
Border management	Migration	Output	Number of lawyers and judges sensitized with the women's rights and children migrant victims of abuse or violence		N	n	EC	N
Border management	Migration	Output	Number of migrant women and children having benefited from one or more assistance services		N	n	EC	N
Border management	Migration	Output	Number of beneficiaries of training sessions for border law enforcement authorities		N	n	EC	N
Border management	Migration	Output	Number of beneficiaries of training sessions for asylum authorities		N	n	EC	N
Border management	Migration	Output	Number of judges, lawyers and prosecutors trained in asylum law		N	n	EC	N
Border management	Migration	Output	Number of refugees attending local language training		N	n	EC	N
Border management	Migration	Output	Number of returnees assisted with VET		N	n	EC	N
Border management	Migration	Output	Number of returning migrants provided with reintegration assistance, including legal aid assistance		N	n	EC	N

Dimension/Sector	Sub-sector	Output/Outcome	Name of Indicator	Technical Definition of indicator	Possibility of gender disaggregation (Y/N)	Unit of measure (€, %, n., degree of, extent, etc.)	Source of information	Present in EU Results Framework
Border management	Migration	Outcome	Number of Mobility Partnerships in place		N	n	EC	N (in DG NEAR Programme Statement)
Border management	Migration	Outcome	Number of recorded illegal border crossings		N	n	International data (i.e. IOM)	N
Border management	Migration	Outcome	Number of internally displaced people and returnees from readmission having started or extend business activities		N	n	National texts, statistics, systems, etc. EC NSAs International data (i.e. IOM)	N
Border management	Migration	Outcome	Number of internally displaced people provided with sustainable housing solutions		N	n	National texts, statistics, systems, etc. EC, EU MS International data (i.e. IOM)	N
Border management	Migration	Outcome	Extent to which a national government structure to coordinate, manage and direct international border management (in relation to migration) in-country and cross borders exists		N	qualitative	National texts, statistics, systems, etc. EC International data (i.e. IOM)	N
Border management	Migration	Outcome	Degree of regulation of border agency collaboration (in relation to migration) at national and international level by Formal agreements and operational measures regulation		N	qualitative	National texts, statistics, systems, etc. EC International data (i.e. IOM)	N

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Dimension/Sector	Sub-sector	Output/Outcome	Name of Indicator	Technical Definition of indicator	Possibility of gender disaggregation (Y/N)	Unit of measure (€, %, n., degree of, extent, etc.)	Source of information	Present in EU Results Framework
Border management	Migration	Outcome	Degree of public authorities understanding of challenges and key factors for the successful integration of returnees		N	qualitative	National texts, statistics, systems, etc. EC NSAs International data (i.e. IOM)	N
Border management	Migration	Outcome	Number of good practices identified at the local and national level for reintegration		N	n	National texts, statistics, systems, etc. EC NSAs	N
Border management	Migration	Outcome	Degree of respect of human rights by border management staff in fulfilling their duty		N	qualitative	National texts, statistics, systems, etc. NSAs International data (i.e. IOM)	N
Border management	Migration	Outcome	Number of regulatory frameworks and procedures for treatment of those under threat (asylum seekers, refugees, victims of trafficking, etc.)		N	n	National texts, statistics, systems, etc.	N
Border management	Migration	Outcome	Degree of application of regulatory frameworks and procedures for treatment of those under threat (asylum seekers, refugees, victims of trafficking, etc.)		N	qualitative	National texts, statistics, systems, etc. NSAs International data (i.e. IOM)	N
Border management	Migration	Outcome	Degree of Co-operation between operational border management staff and relevant decision making bodies (asylum agency, etc.).		N	qualitative	National texts, statistics, systems, etc. NSAs International data (i.e. IOM)	N
Border management	Migration	Outcome	Degree of standardisation/automation of migration-related processes at borders		N	qualitative	National texts, statistics, systems, etc. NSAs International	N

Dimension/Sector	Sub-sector	Output/Outcome	Name of Indicator	Technical Definition of indicator	Possibility of gender disaggregation (Y/N)	Unit of measure (€, %, n., degree of, extent, etc.)	Source of information	Present in EU Results Framework
							data (i.e. IOM)	
Border management	Migration	Outcome	Degree (nature and scope) of implementation of bilateral agreements concluded between migration origin and destination countries		N	qualitative	National texts, statistics, systems, etc. EC, EU MS International data (i.e. IOM)	N
Border management	Migration	Outcome	Number of IDPs provided with Durable Housing Solutions		N	n	National texts, statistics, systems, etc. EC, EU MS International data (i.e. IOM)	N
Border management	Various	Outcome	Level of compatibility of infrastructure and equipment (between central and regional level as well as between regions)		N	qualitative	National texts, statistics, systems, etc. EC International data (i.e. World Customs Organisation, IOM)	N
Border management	Various	Outcome	Degree of border related law enforcement functions' regulation by law, alignment with international standards		N	qualitative	National texts, statistics, systems, etc. International data (i.e. World Customs Organisation, IOM)	N
Border management	Various	Outcome	Degree of legal/regulatory texts alignment with international standards providing for inter-service and international border management co-operation		N	qualitative	National texts, statistics, systems, etc. International data (i.e. World Customs Organisation, IOM)	N

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Dimension/Sector	Sub-sector	Output/Outcome	Name of Indicator	Technical Definition of indicator	Possibility of gender disaggregation (Y/N)	Unit of measure (€, %, n., degree of, extent, etc.)	Source of information	Present in EU Results Framework
							Organisation, IOM)	
Border management	Customs	Outcome	Degree of inclusion of Regional mobility agreements in appropriate national law		N	qualitative	National texts, statistics, systems, etc. EC International data (i.e. IOM)	N
Border management	Various	Outcome	Degree of National's international border management strategy translation into action plans and concrete measures		N	qualitative	National texts, statistics, systems, etc. EC International data (i.e. IOM)	N
Border management	Various	Outcome	Extent to which Policies and strategies of border management agencies are in place at the highest executive levels		N	qualitative	National texts, statistics, systems, etc. EC International data (i.e. IOM)	N
Border management	Various	Outcome	Number of Legislative reviews related to co-operation in border management conducted		N	n	National texts, statistics, systems, etc.	N
Civil Society	Civil Society Capacities	Outcome	Percentage of CSOs publishing their governance structure and internal documents (statutes, codes of conduct etc.)		N	%	National NGO registries	N
Civil Society	Civil Society Capacities	Outcome	Percentage of CSOs making their (audited) financial accounts and annual reports publicly available		N	%	National NGO registries	N

Dimension/Sector	Sub-sector	Output/Outcome	Name of Indicator	Technical Definition of indicator	Possibility of gender disaggregation (Y/N)	Unit of measure (€, %, n., degree of, extent, etc.)	Source of information	Present in EU Results Framework
Civil Society	Civil Society Capacities	Outcome	Share of CSOs which have developed strategic plans		N	%	Surveys	N
Civil Society	Civil Society Capacities	Outcome	Share of CSOs which monitor and evaluate the implementation of their strategies and make this information publicly available		N	%	Surveys	N
Civil Society	Civil Society Capacities	Outcome	Number of CSOs' who use adequate argumentation and analysis for achieving advocacy goals		N	%	CIVICUS (evidence based advocacy indicator) and/or Based on survey/sample based on the use self-assessment in survey	N
Civil Society	Civil Society Capacities	Outcome	Share of CSOs taking part in local, national, regional and international networks		N	%	Surveys	N
Civil Society	Civil Society Capacities	Outcome	Degree of diversity in CSO sources of income		N	qualitative	Surveys	N
Conflict prevention, peace building and security	Human Rights	Output	Number of human rights defenders who have received EU support	Individuals, groups and organisations of society that promote and protect universally recognised human rights and fundamental freedoms having received EU support.	Y	n	EC	Y
Conflict prevention, peace building and security	Conflict prevention	Output	Number of individuals directly benefitting from EU supported programmes that specifically aim to support civilian post-conflict peacebuilding and/or conflict prevention	Number of people who are benefitting from EU interventions that are referring to the DAC sector codes: 15220 - Civilian peace building, conflict prevention and resolution ; 15240 - Reintegration and Small arms and light weapons control ; 15250 - Land mine clearance; 15261 Child soldiers/prevention and demobilisation. The number of	Y	n	EC	Y

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Dimension/Sector	Sub-sector	Output/Outcome	Name of Indicator	Technical Definition of indicator	Possibility of gender disaggregation (Y/N)	Unit of measure (€, %, n., degree of, extent, etc.)	Source of information	Present in EU Results Framework
				people refers to the beneficiaries directly affected by the intervention not the total of the country's population				
Education	Education	Output	Number of teachers trained with EU support		Y	n	EC	Y
Education	Education	Output	N. of educational institutions supported by the EU		N	n	EC	N
Education	Education	Output	N. of schools supported by the EU		N	n	EC	N
Education	Education	Outcome	Number of children enrolled in primary education with EU support	The number of students enrolled in any grade of primary education, regardless of the child's age.	Y	n	UNESCO	Y
Education	Education	Outcome	Number of children enrolled in secondary education with EU support	The number of students enrolled in any grade of secondary education (lower, upper), regardless of the child's age.	Y	n	UNESCO	Y
Employment and Social protection	Social inclusion	Output	N. of participants in projects promoting social inclusion supported by the EU		Y	n	EC	N
Employment and Social Protection	TVET/active labour market programmes	Output	Number of people who have benefitted from VET/ skills development and other active labour market programmes with EU support	It refers to people benefitting from learning pathways which aim to equip people with knowledge, know-how, skills and/or competences required in particular occupations or more broadly in the labour market' or interventions of labour market policy used to actively increase the access to employment opportunities of unemployed, inactive or those aiming to improve their	Y	n	EC	Y

Dimension/Sector	Sub-sector	Output/Outcome	Name of Indicator	Technical Definition of indicator	Possibility of gender disaggregation (Y/N)	Unit of measure (€, %, n., degree of, extent, etc.)	Source of information	Present in EU Results Framework
				employment status.				
Employment and Social Protection	Various	Output	Number of beneficiaries having attended vocational training centres		N	n	EC	N
Employment and Social Protection	TVET/active labour market programmes	Outcome	Level of private sector participation into TVET sector policy definition and financing		N	qualitative	National texts, statistics, systems, etc. EC	N
Employment and Social Protection	TVET/active labour market programmes	Outcome	Extent (nature and scope) of monitoring systems for Active Labour Market Programs		N	qualitative	National texts, statistics, systems, etc. EC	N
Employment and Social Protection	Various	Outcome	Number of International Labour Organization (ILO) Conventions ratified, by type of convention		N	n	ILO	N
Employment and Social protection	TVET/active labour market programmes	Outcome	Share of social assistance beneficiaries registered as unemployed involved in active labour market programs		Y	%	National texts, statistics, systems, etc.	N
Energy	Access to energy	Output	Kilometres of transmission /distribution lines built or upgraded with EU support	Power transmission infrastructure is considered distribution   if the lines connect transformers that directly supply households. Any line with a higher voltage than these distribution lines should be considered transmission, regardless of whether it is called sub-transmission   in the country in question.	N	km	EC	Y

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Dimension/Sector	Sub-sector	Output/Outcome	Name of Indicator	Technical Definition of indicator	Possibility of gender disaggregation (Y/N)	Unit of measure (€, %, n., degree of, extent, etc.)	Source of information	Present in EU Results Framework
Energy	Access to energy	Outcome	Quality of electricity supply		N	qualitative	WEF	N
Energy	Energy efficiency	Outcome	SMEs participation share in energy efficiency		N	%	National texts, statistics, systems, etc.	N
Energy	Renewable energy	Output	Renewable energy production supported by the EU	Additional quantity of electricity expressed in MWh per year produced from renewable sources (hydro, solar, wind, geothermal) thanks to EU funded interventions	N	n	EC	Y
Energy	Renewable energy	Outcome	SMEs participation share in renewable energy		N	%	National texts, statistics, systems, etc.	N
Energy	Renewable energy	Outcome	Number of people provided with access to sustainable energy services with EU support	Additional number of people having access to sustainable energy such as: electricity from renewable sources, ( wind; geothermal; solar; hydropower, bio-energy), improved cooking stoves bio-energy as a result of an EU funded intervention	N	n	EC	Y
Health	Health	Output	Number of births attended by skilled health personnel with EU support	Number of births attended by skilled health personnel (doctors, nurses or midwives) trained in providing lifesaving obstetric care, including giving the necessary supervision, care and advice to women during pregnancy, childbirth and the post-partum period; in conducting deliveries on their own; and in caring for newborns through EU support.	N	n	Household surveys and health facilities reporting system	Y

Dimension/Sector	Sub-sector	Output/Outcome	Name of Indicator	Technical Definition of indicator	Possibility of gender disaggregation (Y/N)	Unit of measure (€, %, n., degree of, extent, etc.)	Source of information	Present in EU Results Framework
Natural Resources, Environment and Climate Change	Biodiversity	Outcome	Extent to which national development plans and processes integrating biodiversity and ecosystem services values		N	qualitative	National texts, statistics, systems, etc. EC International data (i.e. UNEP, CBD)	N
Natural Resources, Environment and Climate Change	Biodiversity	Outcome	Degree of coherence between national policies, plans and budgets for biodiversity conservation with CBD/post-2010 Global Biodiversity Strategy nationalisation		N	qualitative	National texts, statistics, systems, etc. EC International data (i.e. UNEP, CBD)	N
Natural Resources, Environment and Climate Change	Biodiversity	Outcome	Degree of progress against national targets for Convention on Biological Diversity (CBD)/post-2010 Global Biodiversity Strategy		N	qualitative	National texts, statistics, systems, etc. International data (i.e. UNEP, CBD)	N
Natural Resources, Environment and Climate Change	Biodiversity	Outcome	Degree of progress in national implementation of the requirements of the Convention on International Trade in Endangered Species (CITES) Convention ensuring sustainable wildlife trade		N	qualitative	National texts, statistics, systems, etc. International data (i.e. UNEP, CITES)	N
Natural Resources, Environment and Climate Change	Biodiversity	Outcome	Degree of monitoring and reporting on information and data on biodiversity at the national level		N	qualitative	National texts, statistics, systems, etc. International data (i.e. UNEP)	N
Natural Resources, Environment and Climate Change	Sustainable Consumption Production	Outcome	Number of Micro, Small and Medium Enterprises (MSMEs) applying Sustainable Consumption and Production practices with EU support		N	n	EC	N

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Dimension/Sector	Sub-sector	Output/Outcome	Name of Indicator	Technical Definition of indicator	Possibility of gender disaggregation (Y/N)	Unit of measure (€, %, n., degree of, extent, etc.)	Source of information	Present in EU Results Framework
Natural Resources, Environment and Climate Change	Climate change (general)	Outcome	Number of countries/regions with climate change strategies (a) developed and/or (b) implemented with EU support	This indicator refers to the total number of countries or regions supported in their development or implementation of strategies in the field of climate change and/or disaster risk reduction (DRR) with the EU support.	N	n	EC	Y
Natural Resources, Environment and Climate Change	Climate change mitigation	Outcome	Degree of progress in initiating and strengthening country based systems for Monitor, Verify and Report (MRV)		N	qualitative	National texts, statistics, systems, etc. EC International data (i.e. UNFCCC)	N
Natural Resources, Environment and Climate Change	Climate change mitigation	Outcome	Degree of progress in low emission development (LED) strategies adoption		N	qualitative	National texts, statistics, systems, etc. EC International data (i.e. UNFCCC)	N
Natural Resources, Environment and Climate Change	Climate change mitigation	Outcome	Degree of Progress in Nationally appropriate mitigation actions (NAMA) adoption		N	qualitative	National texts, statistics, systems, etc. EC International data (i.e. UNFCCC)	N
Natural Resources, Environment and Climate Change	Disaster risk reduction	Outcome	Degree of Progress in disaster risk reduction development strategies		N	qualitative	National texts, statistics, systems, etc. International data (i.e. UNISDR)	N
Natural Resources, Environment and Climate Change	Disaster risk reduction	Outcome	Number of national and local disaster risk reduction strategies		N	n	National texts, statistics, systems, etc. International data (i.e. UNISDR)	N

Dimension/Sector	Sub-sector	Output/Outcome	Name of Indicator	Technical Definition of indicator	Possibility of gender disaggregation (Y/N)	Unit of measure (€, %, n., degree of, extent, etc.)	Source of information	Present in EU Results Framework
Natural Resources, Environment and Climate Change	Disaster risk reduction	Outcome	Proportion of local governments that adopt and implement local disaster risk reduction strategies in line with the Sendai Framework for Disaster Risk Reduction 2015-2030		N	%	National texts, statistics, systems, etc. International data (i.e. UNISDR)	N
Natural Resources, Environment and Climate Change	Natural resources	Output	Number of hectares of protected areas managed with EU support	<i>Number of hectares of a protected area ("a clearly defined geographical space, recognized, dedicated and managed, through legal or other effective means, to achieve the long-term conservation of nature with associated ecosystem services and cultural values".) managed with EU support</i>	N	n	IUCN	Y
Natural Resources, Environment and Climate Change	Natural resources	Outcome	Extent to which national action plan related to multilateral environmental agreements supports accelerated investment in sustainably use natural resources		N	qualitative	National texts, statistics, systems, etc. EC International data (i.e. UNEP)	N
Natural Resources, Environment and Climate Change	Sustainable Consumption Production	Outcome	Degree of Progress of a national 10 years action plan on Sustainable Consumption Production (SCP) or similar planning document		N	qualitative	National texts, statistics, systems, etc. EC International data (i.e. UNEP)	N
Natural Resources, Environment and Climate Change	Sustainable Consumption Production	Outcome	Degree of mainstreaming of Sustainable Consumption Production (SCP) /including integrated waste management and re-source efficiency in national policies		N	qualitative	National texts, statistics, systems, etc. EC International data (i.e. UNEP)	N
Natural Resources, Environment and Climate Change	Sustainable Consumption Production	Outcome	Degree to which the EU is used as a source of standards and expertise on Sustainable Consumption Production (SCP)		N	qualitative	National texts, statistics, systems, etc. EC International data (i.e. UNEP)	N

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Dimension/Sector	Sub-sector	Output/Outcome	Name of Indicator	Technical Definition of indicator	Possibility of gender disaggregation (Y/N)	Unit of measure (€, %, n., degree of, extent, etc.)	Source of information	Present in EU Results Framework
Natural Resources, Environment and Climate Change	Sustainable Consumption Production	Outcome	Number of Micro, Small and Medium Enterprises (MSMEs) applying Sustainable Consumption and Production practices with EU support	Number of Micro, Small and Medium Enterprises (MSMEs) applying practices aim to do “more and better with less,” by reducing resource use, degradation and pollution along the life cycle of goods and services, while increasing the quality of life for all.	N	n	EC	Y
Natural Resources, Environment and Climate Change	Various	Outcome	Degree of influence of EU support on consideration in national policies of the socio-economic importance and development perspective of environment and climate change		N	qualitative	National texts, statistics, systems, etc. EC	N
Natural Resources, Environment and Climate Change	Water	Output	Waste water treatment capacity added		N	cubic metres/day	National texts, statistics, systems, etc. EC	N
Natural Resources, Environment and Climate Change	Water	Outcome	n. of households served by new waste-treatment plants		N	n	National texts, statistics, systems, etc. EC	N
Natural Resources, Environment and Climate Change	Water	Outcome	n. of solar water-heating systems and biomass-burning plants installed		N	n	National texts, statistics, systems, etc. EC	N

Dimension/Sector	Sub-sector	Output/Outcome	Name of Indicator	Technical Definition of indicator	Possibility of gender disaggregation (Y/N)	Unit of measure (€, %, n., degree of, extent, etc.)	Source of information	Present in EU Results Framework
Natural Resources, Environment and Climate Change	Water & sanitation	Outcome	Proportion of local administrative units with established and operational policies and procedures for participation of local communities in water and sanitation management	<p>This indicator builds on data that are already regularly collected by UN-Water GLAAS on the presence, at the national level, of clearly defined procedures in laws or policies for participation by service users.</p> <p>This indicator will also build on the data collected for the Status of Integrated Water Resources Management (IWRM) reporting in SDG target 6.5, in particular on the presence of formal stakeholder structures established at sub-catchment level.</p> <p>Because of the above, it is envisaged that this indicator will evolve and will be further qualified during the SDG period, focussing on sanitation, drinking water and hygiene first and then expanding on water resources management</p>	N	%	UN Water	N
Natural Resources, Environment and Climate Change	Water	Outcome	Degree of integrated water resources management implementation (0-100)	<p>Definition: This indicator reflects the extent to which integrated water resources management (IWRM) is implemented. It takes into account the various users and uses of water with the aim of promoting positive social, economic and environmental impacts on all levels, including transboundary, where appropriate.</p>	N	score	UN Water	N
Natural Resources, Environment and Climate Change	Water	Outcome	Proportion of transboundary basin area with an operational arrangement for water cooperation	<p>Definition: Proportion of surface area of transboundary basins that have an operational arrangement for transboundary water cooperation. Regular meetings of the riparian countries to discuss IWRM and exchange of information are required for an arrangement to</p>	N	%	UN Water	N

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Dimension/Sector	Sub-sector	Output/Outcome	Name of Indicator	Technical Definition of indicator	Possibility of gender disaggregation (Y/N)	Unit of measure (€, %, n., degree of, extent, etc.)	Source of information	Present in EU Results Framework
				be defined as “operational”.				
Public Administration Reform	Accountability	Outcome	Degree of public access to primary and secondary legislation		N	qualitative	National texts, statistics, systems, etc. EC NSAs International data (i.e. SIGMA)	N
Public Administration Reform	Accountability	Outcome	Share of oversight institutions’ recommendations to state administrative bodies implemented within two years		N	%	National texts, statistics, systems, etc. International data (i.e. SIGMA)	N
Public Administration Reform	Accountability	Outcome	% of draft laws with public consultation		N	%	National texts, statistics, systems, etc.	N
Public Administration Reform	Accountability	Outcome	Extent to which the overall structure of ministries and other bodies subordinated to central government is rational and coherent		N	qualitative	National texts, statistics, systems, etc. EC NSAs International data (i.e. SIGMA)	N
Public Administration Reform	Accountability	Outcome	Extent to which the right to access public information is enacted in legislation and applied in practice		N	qualitative	National texts, statistics, systems, etc. NSAs International data (i.e. SIGMA)	N

Dimension/Sector	Sub-sector	Output/Outcome	Name of Indicator	Technical Definition of indicator	Possibility of gender disaggregation (Y/N)	Unit of measure (€, %, n., degree of, extent, etc.)	Source of information	Present in EU Results Framework
Public Administration Reform	Accountability	Outcome	Extent to which the mechanisms to provide effective checks and balances and controls over public organisations are in place		N	qualitative	National texts, statistics, systems, etc. EC NSAs International data (i.e. SIGMA)	N
Public Administration Reform	Accountability	Outcome	Extent to which public authorities assume liabilities and guarantee redress		N	qualitative	National texts, statistics, systems, etc. EC NSAs International data (i.e. SIGMA)	N
Public Administration Reform	Elections	Output	Number of elections supported by the EU where the electoral process is perceived by independent observers as free and fair	Activities aimed at improving the quality of the electoral process (national parliamentary, presidential, or local elections, specific referendums). such as the updating of voter registers, domestic electoral observation and support to electoral commissions, while	N	n	EC	Y
Public Administration Reform	Various	Output	Number of individuals directly benefitting from Justice, Rule of Law and Security Sector Reform programmes funded by EU external assistance programmes		Y	n	National texts, statistics, systems, etc. EC NSAs	Y
Public Administration Reform	Justice	Output	Number of people directly benefitting from legal aid programmes supported by the EU	Number of people who received legal information, advice and assistance, number of people benefitting from legal representation, number of legal aid practitioners (providers) trained or otherwise supported.	Y	n	National texts, statistics, systems, etc. ECNSAs	Y

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Dimension/Sector	Sub-sector	Output/Outcome	Name of Indicator	Technical Definition of indicator	Possibility of gender disaggregation (Y/N)	Unit of measure (€, %, n., degree of, extent, etc.)	Source of information	Present in EU Results Framework
Public Administration Reform	Justice	Output	Number of court staff trained on electronic case management system		N	n	EC	N
Public Administration Reform	Justice	Output	Number of administrative judges trained on the application of the UN Convention on Human Rights and the European Convention on Human Rights		N	n	EC	N
Public Administration Reform	Justice	Outcome	Degree (nature and scope) of compliance with the Venice Commission's recommendations (of the Council of Europe) on judicial reform		N	qualitative	Council of Europe	N
Public Administration Reform	Policy Development and Co-ordination	Outcome	Ratio of new laws amended within one year of their adoption.		N	%	National texts, statistics, systems, etc. International data (i.e. SIGMA)	N
Public Administration Reform	Policy Development and Co-ordination	Outcome	Annual implementation backlog of planned commitments in the central planning document(s)		N	time	National texts, statistics, systems, etc. International data (i.e. SIGMA)	N
Public Administration Reform	Policy Development and Co-ordination	Outcome	Annual backlog in developing sectorial strategies.		N	time	National texts, statistics, systems, etc. International data (i.e. SIGMA)	N
Public Administration Reform	Policy Development and Co-ordination	Outcome	Ratio between total funds estimated in the sectorial strategies and total funding identified for the corresponding sectors within the medium-term budgetary framework		N	%	National texts, statistics, systems, etc. International data (i.e. SIGMA)	N

Dimension/Sector	Sub-sector	Output/Outcome	Name of Indicator	Technical Definition of indicator	Possibility of gender disaggregation (Y/N)	Unit of measure (€, %, n., degree of, extent, etc.)	Source of information	Present in EU Results Framework
Public Administration Reform	Policy Development and Co-ordination	Outcome	Ratio of regular agenda items submitted on time by ministries to the council of ministers (or equivalent) session		N	%	National texts, statistics, systems, etc. International data (i.e. SIGMA)	N
Public Administration Reform	Policy Development and Co-ordination	Outcome	Extent to which policy development process makes the best use of analytical tools		N	qualitative	National texts, statistics, systems, etc. EC NSAs International data (i.e. SIGMA)	N
Public Administration Reform	Policy Development and Co-ordination	Outcome	Extent to which public consultation is used in developing policies and legislation.		N	qualitative	National texts, statistics, systems, etc. EC NSAs International data (i.e. SIGMA)	N
Public Administration Reform	Policy Development and Co-ordination	Outcome	Extent to which primary and secondary legislation are made publicly available in a centralised manner.		N	qualitative	National texts, statistics, systems, etc. EC NSAs International data (i.e. SIGMA)	N
Public Administration Reform	Policy Development and Co-ordination	Outcome	Degree of completeness of financial estimates in sector strategies.		N	qualitative	National texts, statistics, systems, etc. EC International data (i.e. SIGMA)	N
Public Administration Reform	Policy Development and Co-ordination	Outcome	Extent to which reporting provides information on the outcomes achieved.		N	qualitative	National texts, statistics, systems, etc. EC International data (i.e. SIGMA)	N

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Dimension/Sector	Sub-sector	Output/Outcome	Name of Indicator	Technical Definition of indicator	Possibility of gender disaggregation (Y/N)	Unit of measure (€, %, n., degree of, extent, etc.)	Source of information	Present in EU Results Framework
Public Administration Reform	Policy Development and Co-ordination	Outcome	Degree of implementation of decisions made by political and administrative-level services in relation to public administration/rule of law		N	qualitative	National texts, statistics, systems, etc. EC NSAs International data (i.e. SIGMA)	N
Public Administration Reform	Policy Development and Co-ordination	Outcome	Number of law implementation reports discussed in the Parliament		N	n	National texts, statistics, systems, etc.	N
Public Administration Reform	Policy Development and Co-ordination	Outcome	Number of laws annulled on the basis of legal inconsistency or unconstitutionality in a given year		N	n	National texts, statistics, systems, etc.	N
Public Administration Reform	Policy Development and Co-ordination	Outcome	Number of laws sent back to the Government by the Parliament		N	n	National texts, statistics, systems, etc.	N
Public Administration Reform	Policy Development and Co-ordination	Outcome	Number of bodies reporting to the Council of Ministers, to the Prime Minister or to the Parliament		N	n	National texts, statistics, systems, etc.	N
Public Administration Reform	Public Financial management	Outcome	Expenditure composition outturn: Variance in expenditure composition by program, administrative or functional classification was less than xx% PEFA		N	%	PEFA	N
Public Administration Reform	Public Financial management	Outcome	Fiscal risk reporting: Audited annual financial statements for xx% public corporations are published within six months of the end of the fiscal year		N	%	PEFA	N

Dimension/Sector	Sub-sector	Output/Outcome	Name of Indicator	Technical Definition of indicator	Possibility of gender disaggregation (Y/N)	Unit of measure (€, %, n., degree of, extent, etc.)	Source of information	Present in EU Results Framework
Public Administration Reform	Public Financial management	Outcome	Extent to which the annual financial report includes full information and is made available in time to the Parliament		N	qualitative	National texts, statistics, systems, etc. EC International data (i.e. SIGMA)	N
Public Administration Reform	Public Financial management	Outcome	Share of organisations with annual internal audit plans conforming to national legal requirements		N	%	National texts, statistics, systems, etc.	N
Public Administration Reform	Public Financial management	Outcome	Extent to which public procurement legislation is complete and enforced		N	qualitative	National texts, statistics, systems, etc. EC International data (i.e. SIGMA)	N
Public Administration Reform	Public Financial management	Outcome	Degree (nature and scope) of comprehensiveness of systems for monitoring and reporting on public procurement proceedings and practices		N	qualitative	National texts, statistics, systems, etc. EC International data (i.e.; SIGMA)	N
Public Administration Reform	Public Financial management	Outcome	Actual processing time of complaints related to procurement compared with the maximum legal requirement		N	time	National texts, statistics, systems, etc. International data (i.e. SIGMA)	N
Public Administration Reform	Public Financial management	Outcome	Fiscal rule strength index.		N	qualitative	National texts, statistics, systems, etc. International data (i.e. SIGMA)	N
Public Administration Reform	Public Financial management	Outcome	Quality of internal audit reports.		N	qualitative	National texts, statistics, systems, etc. EC International data (i.e. SIGMA)	N

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Dimension/Sector	Sub-sector	Output/Outcome	Name of Indicator	Technical Definition of indicator	Possibility of gender disaggregation (Y/N)	Unit of measure (€, %, n., degree of, extent, etc.)	Source of information	Present in EU Results Framework
Public Administration Reform	Public Financial management	Outcome	Extent to which the State Audit Institutions use the standards to ensure quality audit work		N	qualitative	National texts, statistics, systems, etc. EC International data (i.e. SIGMA)	N
Public Administration Reform	Public Financial management	Outcome	General government budget balance.		N	amount	National texts, statistics, systems, etc. International data (i.e.; SIGMA)	N
Public Administration Reform	Public Financial management	Outcome	Public sector debt servicing cost.		N	amount	National texts, statistics, systems, etc. International data (i.e.; SIGMA)	N
Public Administration Reform	Public Financial management	Outcome	Number of complaints in relation to the number of tender notices published.		N	n	National texts, statistics, systems, etc. International data (i.e. SIGMA)	N
Public Administration Reform	Public Financial management	Outcome	Share of contracts awarded by competitive procedures.		N	%	National texts, statistics, systems, etc. International data (i.e. SIGMA)	N
Public Administration Reform	Public Financial management	Outcome	Share of State Audit Institutions' audit recommendations accepted and implemented by auditees.		N	%	National texts, statistics, systems, etc. International data (i.e. SIGMA)	N
Public Administration Reform	Public Financial management	Outcome	Degree of Transparency of taxpayer obligations and liabilities		N	qualitative	PEFA	N

Dimension/Sector	Sub-sector	Output/Outcome	Name of Indicator	Technical Definition of indicator	Possibility of gender disaggregation (Y/N)	Unit of measure (€, %, n., degree of, extent, etc.)	Source of information	Present in EU Results Framework
Public Administration Reform	Public Financial management	Outcome	Number of countries where overall public financial management has improved	[1] The Lancet Series on Nutrition of 2008 identified the first '1000 days' as a 'crucial window of opportunity' for preventing and addressing under nutrition. benefiting from EU assistance through nutrition programmes during the reporting year	N	n	National texts, statistics, systems, etc.	Y
Public Administration Reform	Public Financial management	Outcome	Degree of multi-year perspective in fiscal planning, expenditure policy and budgeting		N	qualitative	PEFA	N
Public Administration Reform	Public Financial management	Outcome	Degree of Predictability in the availability of funds for commitment of expenditures		N	qualitative	PEFA	N
Public Administration Reform	Public Financial management	Outcome	Competition rate on the public procurement market (includes concession award procedures)	N. of bids per tender	N	n	National texts, statistics, systems, etc.	N
Public Administration Reform	Public Financial management	Outcome	Strength of competition on the public procurement market (public works, including maintenance)	Average distance between the winning bid and the worst losing bid: $\Sigma(\text{Award-winning bid} - \text{worst losing bid})/\text{Number of procedures}$ . It is important to verify a. whether the data needed is collected and b. whether it is possible to routinely calculate the indicator	N	amount	National texts, statistics, systems, etc.	N
Public Administration Reform	Public Service and Human Resource Management	Outcome	Degree (nature and scope) of merit principle application in recruitment of public servants		N	qualitative	National texts, statistics, systems, etc. EC NSAs International data (i.e. SIGMA)	N

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Dimension/Sector	Sub-sector	Output/Outcome	Name of Indicator	Technical Definition of indicator	Possibility of gender disaggregation (Y/N)	Unit of measure (€, %, n., degree of, extent, etc.)	Source of information	Present in EU Results Framework
Public Administration Reform	Public Service and Human Resource Management	Outcome	Degree (nature and scope) of application of integrity and anti-corruption system of the public service		N	qualitative	National texts, statistics, systems, etc. EC NSAs International data (i.e. SIGMA)	N
Public Administration Reform	Public Service and Human Resource Management	Outcome	Degree of turnover of senior managerial civil servants at the level of the central administration within six months of a change of Government		N	qualitative	National texts, statistics, systems, etc. EC NSAs International data (i.e. SIGMA)	N
Public Administration Reform	Public Service and Human Resource Management	Outcome	Extent to which the scope of public service is adequate, clearly defined and applied in practice		N	qualitative	National texts, statistics, systems, etc. EC NSAs International data (i.e. SIGMA)	N
Public Administration Reform	Public Service and Human Resource Management	Outcome	Extent to which political influence on the recruitment and dismissal of senior managerial positions in the public service is prevented		N	qualitative	National texts, statistics, systems, etc. EC NSAs International data (i.e. SIGMA)	N
Public Administration Reform	Public Service and Human Resource Management	Outcome	Share of senior officials appointed on the basis of open competition		Y	%	National texts, statistics, systems, etc. International data (i.e.; SIGMA)	N
Public Administration Reform	Public Service and Human Resource Management	Outcome	Degree (nature and scope) of compliance with GRECO recommendations (Council of Europe's Group of States against Corruption)		N	qualitative	Council of Europe	N

Dimension/Sector	Sub-sector	Output/Outcome	Name of Indicator	Technical Definition of indicator	Possibility of gender disaggregation (Y/N)	Unit of measure (€, %, n., degree of, extent, etc.)	Source of information	Present in EU Results Framework
Public Administration Reform	Service delivery	Outcome	Regulatory simplification - Time required to enforce a contract		N	time	World Bank	N
Public Administration Reform	Service delivery	Outcome	Regulatory simplification - Time required to start-up a company		N	time	World Bank	N
Public Administration Reform	Service delivery	Outcome	Number of start-up procedures to register a business	Start-up procedures are those required to start a business, including interactions to obtain necessary permits and licenses and to complete all inscriptions, verifications, and notifications to start operations. Data are for businesses with specific characteristics of ownership, size, and type of production.	N	n	World Bank	N
Public Administration Reform	Service delivery	Outcome	Share of institutions where customer satisfaction surveys are conducted on a regular basis (at least every two years)		N	%	National texts, statistics, systems, etc. International data (i.e. SIGMA)	N
Public Administration Reform	Service delivery	Outcome	Number of one-stop-shops that provide services for more than three different public institutions		N	n	National texts, statistics, systems, etc.	N
Public Administration Reform	Service delivery	Outcome	Extent to which policy and administrative preconditions for e-service delivery are applied		N	qualitative	National texts, statistics, systems, etc. EC NSAs International data (i.e. SIGMA)	N

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Dimension/Sector	Sub-sector	Output/Outcome	Name of Indicator	Technical Definition of indicator	Possibility of gender disaggregation (Y/N)	Unit of measure (€, %, n., degree of, extent, etc.)	Source of information	Present in EU Results Framework
Public Administration Reform	Service delivery	Outcome	Extent to which the legal framework for good administration is in place and consistently applied		N	qualitative	National texts, statistics, systems, etc. ECNSAs International data (i.e. SIGMA)	N
Public Administration Reform	Strategic framework for public administration reform	Outcome	Extent to which the scope of PAR central planning document(s) is complete.		N	qualitative	National texts, statistics, systems, etc. EC International data (i.e. SIGMA)	N
Public Administration Reform	Strategic framework for public administration reform	Outcome	Extent to which a comprehensive PAR reporting and monitoring system is in place		N	qualitative	National texts, statistics, systems, etc. EC International data (i.e. SIGMA)	N
Public Administration Reform	Strategic framework for public administration reform	Outcome	Extent to which accountability for PAR functions is established		N	qualitative	National texts, statistics, systems, etc. EC International data (i.e. SIGMA)	N
Public Administration Reform	Strategic framework for public administration reform	Outcome	Ratio of central planning documents featuring PAR objectives and priorities in a uniform and coherent way		N	%	National texts, statistics, systems, etc. International data (i.e. SIGMA)	N
Public Administration Reform	Strategic framework for public administration reform	Outcome	Percentage of fulfilled PAR objectives		N	%	National texts, statistics, systems, etc. International data (i.e. SIGMA)	N
Public Administration Reform	Strategic framework for public administration reform	Outcome	Share of resourced and costed PAR measures		N	%	National texts, statistics, systems, etc. International	N

Dimension/Sector	Sub-sector	Output/Outcome	Name of Indicator	Technical Definition of indicator	Possibility of gender disaggregation (Y/N)	Unit of measure (€, %, n., degree of, extent, etc.)	Source of information	Present in EU Results Framework
	Administration reform						data (i.e. SIGMA)	
Public Administration Reform	Strategic framework for public administration reform	Outcome	Ratio of central planning documents featuring public administration reform related objectives and priorities		N	%	National texts, statistics, systems, etc. International data (i.e. SIGMA)	N
Public Administration Reform	Strategic framework for public administration reform	Outcome	Share of resourced and costed activities related to public administration reform measures		N	%	National texts, statistics, systems, etc. International data (i.e. SIGMA)	N
Territorial cooperation and regional development	Territorial cooperation and regional development	Output	N. of municipalities benefitting from Territorial cooperation/CBC programmes		N	N.	EC	√
Trade, investment and Private sector development	Investment	Outcome	Number of documented interests by investors from the EU and from the partner countries		N	n	National texts, statistics, systems, etc. EC	N
Trade, investment and Private sector development	Investment	Outcome	Number of new laws/ regulations/ amendments/ codes/ government policies on investment policy drafted		N	n	National texts, statistics, systems, etc.	N
Trade, investment and Private sector development	Investment	Outcome	Investment Reform Index		N	score	OECD	N

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Dimension/Sector	Sub-sector	Output/Outcome	Name of Indicator	Technical Definition of indicator	Possibility of gender disaggregation (Y/N)	Unit of measure (€, %, n., degree of, extent, etc.)	Source of information	Present in EU Results Framework
Trade, investment and Private sector development	Private sector development	Output	Number of quality schemes adopted by economic operators with EU support	This indicator aims to measure the number of (re)new(ed) conformity schemes-related certifications, accreditations, approvals or recognitions obtained by economic operators for their products, services or systems following relevant support from the EU.	N	n	ISO	Y
Trade, investment and Private sector development	Private sector development	Output	Number of companies/PSD organisations supported by the EU		N	n	EC	N
Trade, investment and Private sector development	Private sector development	Output	Number of private sector representatives and of intra- and extra-regional investors attending workshops, training events, seminars, conferences, etc., disaggregated by sex		Y	n	EC	N
Trade, investment and Private sector development	Private sector development	Outcome	Number of firms with access to credit with EU support	Access to credit refers to the use of a formal credit line (from a formal financial institution) by a private enterprise, as measured by the "number of small and medium enterprise (SMEs) with an outstanding loan".	Y	n	GPFI, World Bank, IMF	Y
Trade, investment and Private sector development	Private sector development	Outcome	Number of countries where the business environment has improved with EU support	Distance to frontier indicator" shows the quality of the business environment in a particular country. It indicates how much the regulatory environment for local entrepreneurs in each economy has changed over time in absolute terms.	N	n	World Bank	Y
Trade, investment and Private sector development	Private sector development	Outcome	Number of new businesses registered	New businesses registered are the number of new limited liability corporations registered in the calendar year.	N	n	World Bank	N

Dimension/Sector	Sub-sector	Output/Outcome	Name of Indicator	Technical Definition of indicator	Possibility of gender disaggregation (Y/N)	Unit of measure (€, %, n., degree of, extent, etc.)	Source of information	Present in EU Results Framework
Trade, investment and Private sector development	Private sector development	Outcome	Total tax rate (% of commercial profits)	Total tax rate measures the amount of taxes and mandatory contributions payable by businesses after accounting for allowable deductions and exemptions as a share of commercial profits. Taxes withheld (such as personal income tax) or collected and remitted to tax authorities (such as value added taxes, sales taxes or goods and service taxes) are excluded.	N	%	World Bank	N
Trade, investment and Private sector development	Trade	Outcome	Number of Deep and Comprehensive Free Trade Agreements (DCFTA) and Agreements on Conformity Assessment and Acceptance of industrial products (ACAA)		N	N.	EC	N (in DG NEAR Programme Statement)
Trade, investment and Private sector development	Trade	Outcome	Number of enterprises registered online in the Trade registry		N	n	National texts, statistics, systems, etc. EC International data (i.e. World Bank)	N
Trade, investment and Private sector development	Trade	Outcome	Number of countries whose capacity to trade across borders has improved with EU support	Logistics performance indicator, based on a worldwide survey of operators on the ground (global freight forwarders and express carriers), providing feedback on the logistics "friendliness" of the countries in which they operate and those with which they trade.	N	n	National texts, statistics, systems, etc. EC	Y

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Dimension/Sector	Sub-sector	Output/Outcome	Name of Indicator	Technical Definition of indicator	Possibility of gender disaggregation (Y/N)	Unit of measure (€, %, n., degree of, extent, etc.)	Source of information	Present in EU Results Framework
Trade, investment and Private sector development	Trade	Outcome	Lead time to export, median case (days)	Lead time to export is the median time (the value for 50 percent of shipments) from shipment point to port of loading. Data are from the Logistics Performance Index survey. Respondents provided separate values for the best case (10 percent of shipments) and the median case (50 percent of shipments). The data are exponentiated averages of the logarithm of single value responses and of midpoint values of range responses for the median case.	N	time	World Bank	N
Trade, investment and Private sector development	Trade	Outcome	Lead time to import, median case (days)	Lead time to import is the median time (the value for 50 percent of shipments) from port of discharge to arrival at the consignee. Data are from the Logistics Performance Index survey. Respondents provided separate values for the best case (10 percent of shipments) and the median case (50 percent of shipments). The data are exponentiated averages of the logarithm of single value responses and of midpoint values of range responses for the median case.	N	time	World Bank	N
Trade, investment and Private sector development	Trade	Outcome	N. of Ministerial Decisions adopted to facilitate trade and liberalise trade in services		N	n	National texts, statistics, systems, etc.	N
Transport	Transport	Output	Total length of road constructed /rehabilitated /maintained with EU support (kms)	km of classified roads (the primary, secondary, and tertiary networks)	N	km	EC	Y
Transport	Transport	Outcome	Number of people with access to all season roads with EU support	Access to an all-season road is measured as the proportion of people who live within 2 kilometres (typically equivalent to a 20-minute walk) of an all-season road.	N	n	Household surveys and health facilities reporting system	Y

Dimension/Sector	Sub-sector	Output/Outcome	Name of Indicator	Technical Definition of indicator	Possibility of gender disaggregation (Y/N)	Unit of measure (€, %, n., degree of, extent, etc.)	Source of information	Present in EU Results Framework
Transport	Transport	Outcome	Fatalities on state and regional roads	This indicator can be calculated either as percentage of accidents resulting in death/number of total accidents or as number of deaths in car accidents per million people. The accidents, depending on data availability, may refer to the entire road networks; in the opposite case, it might be used as an outcome indicator, although with care) or only to the roads which have been the object of an intervention (outcome indicator).	N	%/n	National texts, statistics, systems, etc.	N
Transport	Transport	Outcome	Degree of influence of EU support on consideration of standards and requirements on aviation safety		N	qualitative	National texts, statistics, systems, etc. EC	N
Transport	Transport	Outcome	Level of implementation and enforcement of maritime law		N	qualitative	National texts, statistics, systems, etc. EC International data (i.e. IMO)	N
Vulnerable groups	Gender	Output	N. of participants in projects promoting gender equality supported by the EU		Y	n	EC	N
Vulnerable groups	Gender	output	Change (increase or decrease) in dedicated funding to improving results for girls and women	Amount of funding to improve gender equality	Y	amount	EC	N
Vulnerable groups	Gender	output	N# of staff, disaggregated by level, trained on gender equality per year, and reporting changes in the way that they work.	No of staff in the EC, beneficiary/partner countries trained on gender equality issues	Y	n	EC	N
Vulnerable groups	Gender	outcome	Number of legal frameworks in place to promote, enforce and monitor equality and non-discrimination on the basis of sex		N	n	National texts, statistics, systems, etc. International data (i.e. UN Women)	N

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Dimension/Sector	Sub-sector	Output/Outcome	Name of Indicator	Technical Definition of indicator	Possibility of gender disaggregation (Y/N)	Unit of measure (€, %, n., degree of, extent, etc.)	Source of information	Present in EU Results Framework
Vulnerable groups	Gender	outcome	Number of legal framework (including customary law) guarantees women's equal rights to land ownership and/or control		N	n	National texts, statistics, systems, etc. International data (i.e. UN Women)	N
Vulnerable groups	Gender	outcome	Number of laws and regulations that guarantee women aged 15-49 years access to sexual and reproductive health care, information and education		N	n	National texts, statistics, systems, etc. International data (i.e. UN Women)	N
Vulnerable groups	Gender	outcome	Number of legal frameworks in place to promote, enforce and monitor equality and non-discrimination on the basis of sex		N	n	National texts, statistics, systems, etc. International data (i.e. UN Women)	N
Vulnerable groups	Gender	outcome	Number of partner countries that have produced a national Gender Equality Index (EIGE)		N	n	National texts, statistics, systems, etc. International data (i.e. UN Women)	N
Vulnerable groups	Gender	outcome	Extent (nature and scope) of gender-responsive budgeting at local and national level		N	qualitative	National texts, statistics, systems, etc. EC NSAs International data (i.e. UN Women)	N
Vulnerable groups	Gender	outcome	Extent (nature and scope) of quota systems to address discriminatory practices and improve women's representation in government institutions and decision making positions		N	qualitative	National texts, statistics, systems, etc. EC International data (i.e. UN Women)	N

Dimension/Sector	Sub-sector	Output/Outcome	Name of Indicator	Technical Definition of indicator	Possibility of gender disaggregation (Y/N)	Unit of measure (€, %, n., degree of, extent, etc.)	Source of information	Present in EU Results Framework
Vulnerable groups	Minorities	Output	Number of local integration actions implemented with the support of minorities facilitators	Number of employed people who identify as belonging to a minority group	N	n	National texts, statistics, systems, etc. NSAs	N
Vulnerable groups	Minorities	Outcome	Number of approved minorities (i.e. Roma, other) integration actions plans at municipal level elaborated in consultation with the minorities communities and successfully implemented	Number of employed people who identify as belonging to a minority group	N	n	National texts, statistics, systems, etc.	N
Vulnerable groups	Minorities	Outcome	Degree of implementation of minorities (i.e. Roma, other) integration actions plans at municipal level	Number of employed people who identify as belonging to a minority group	N	qualitative	National texts, statistics, systems, etc. NSAs EC	N
Vulnerable groups	Minorities	Outcome	Extent to which policy making on minorities integration by local and national authorities is evidence-based	Number of employed people who identify as belonging to a minority group	N	qualitative	National texts, statistics, systems, etc. NSAs EC	N
Vulnerable groups	Minorities	Outcome	Number of innovative measures adopted/practices established for minorities' integration	Number of employed people who identify as belonging to a minority group	N	n	National texts, statistics, systems, etc. NSAs	N
Vulnerable groups	Minorities	Outcome	Employment rate of minority groups	Number of employed people who identify as belonging to a minority group	Y	n	National texts, statistics, systems, etc.	N
Vulnerable groups	Minorities	Outcome	Minority citizens capable of work who have actually found a job as a result of EU support related activities	Number of trained individuals from minority groups who have found a job within six months from the end of the training/Number of trained individuals from minority groups. This indicator can be used only if there is already in place a routine procedure tracking down employment of training participants after completion of training	Y	%	National texts, statistics, systems, etc. EC	N

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Dimension/Sector	Sub-sector	Output/Outcome	Name of Indicator	Technical Definition of indicator	Possibility of gender disaggregation (Y/N)	Unit of measure (€, %, n., degree of, extent, etc.)	Source of information	Present in EU Results Framework
Other	Other	Outcome	Number of on-going regional technical policy dialogues supported in the Southern Neighbourhood countries		N	n	EC	N (in DG NEAR Programme Statement)
Other	Other	Outcome	Number of comprehensive agreements and individual ENP Action Plans in place with interested neighbouring countries		N	n	EC	N (in DG NEAR Programme Statement)

## ANNEX 10: EXAMPLES OF (LEVEL 3) INTERVENTION/ORGANISATIONAL PERFORMANCE INDICATORS RELEVANT FOR DG NEAR (ENI & IPA II)

The original Excel file can be found at: <https://myintracomm.ec.europa.eu/dg/near/whatwedo/monitoring-reporting-evaluation/Pages/Monitoring-evaluation.aspx>

Performance area	Indicators	Present in EU Results Framework
Quality of project documents as assessed by DG International Cooperation and Development's internal Quality Support Groups	% of project documents assessed as satisfactory (yearly)	Y
DG International Cooperation and Development's internal assessment of ongoing projects (activities)	% of projects with red traffic lights concerning progress of implementation	Y
DG International Cooperation and Development's internal assessment of ongoing projects (results)	% of projects with red traffic lights concerning the achievement of objectives	Y
Budget execution (commitments)	EU international cooperation and development assistance committed (value and % of execution of available budget)	Y
Budget execution (payments)	Value of EU international cooperation and development assistance paid (value and % of execution of available budget)	Y
Time needed to disburse	% of invoices paid within the period of 30 days within the framework of EU international cooperation and development assistance	Y
Gender mainstreaming	Proportion of EU funded cooperation and development initiatives promoting gender equality and women's empowerment	Y
Leverage of blending operations	Leverage of EU blending operations financed by EU international cooperation and development assistance, measured as: (a) Investment leverage ratio; (b) Total eligible Financial Institution leverage ratio; (c) Private loans/equity leverage ratio	Y
Climate change	Amount and share of the EU funded international cooperation and development assistance contributing to (a) protecting biodiversity; (b) climate change (adaptation and mitigating)	Y
Trade Facilitation	Amount of the EU funded international cooperation and development assistance contributing to trade facilitation	Y
Sector approach up taking	Degree of implementation of sector approaches in Enlargement countries	N
Rejection rate	% of files submitted for ex-ante approval under decentralised management and rejected at the first submission	N

## ANNEX 11: CHECKLIST FOR ON THE SPOT CHECK MONITORING - SERVICES

Action No and Title	
Contract No	
Contract Title	
Beneficiary	
Contractor	
Budget (EU+beneficiary) [EUR]	
Control Period	Start date (Month/Year) – Foreseen end date (Month/Year)
Date of Mission	
Persons Interviewed	

### Preliminary Desk Review

Before going on an on the spot check monitoring mission, the member of staff should review the following documents and information:

- The Action document, to see what the indicators for each of the levels of the intervention logic are. These are expected to those used in performance measurement
- Under indirect management, DIS documents on the control system (MoPs, PIM, PIGs in order to be familiarised and make assessment about effectiveness of designated controls to which the intervention/s under monitoring is subject.)
- Copy of the contract, Contract addenda, and/or administrative orders issued to date – if any (check with Contracting Authority, if different from EUD); (signed original)
- Minutes of Steering Committee or other Review Meetings
- Progress Reports by the Contractor
- Other partners' monitoring plans and reports
- Minutes of previous meetings (in order to make an assessment if the interventions are implemented as envisaged in the AD/PF and contract and if there is any critical issue reported by the partners)
- Any other document reviewed by the staff:

NB: The monitoring of the service contracts in DIS approach should be based on interviews with the Contractor and if necessary with the Beneficiary institution. The Task manager should complete the checklist and, in the conclusions

section, express his/her opinion on the performance of the contract based on the cross-checking of the statements of actors involved.

	Confirm	Comments and Suggestions
<b>OPERATIONAL PROGRESS - OM</b>	<b>Y/N/Na</b>	
<u>Deliverables:</u>		
1.		<ul style="list-style-type: none"> <li>Does the Consultant deliver the <b>Specific deliverables on a timely basis</b>, and (from a quantitative and qualitative point of view) as required under the ToR and the AD/PF?</li> <li>Does the intervention effectively generates the intended outputs and directly (specific objective/outcome level) and indirectly (overall objective/impact level) influences the intended changes?</li> </ul>
<u>Technical/Financial Reports:</u>		
2.		<ul style="list-style-type: none"> <li>Do the contracting authority and the Beneficiary approve the key documents/reports/deliverables on time?</li> <li>Are the agreed format and periodicity of reports respected?</li> <li>Is the substance of the reports satisfactory?</li> <li>Do these deliverables report on the indicators defined during programming? Or are they just activity reports?</li> <li>Are there delays due to the approval of any administrative order/side letter, addendum or report?</li> <li>Is the number of riders/administrative orders (= side letters) issued since the commencement in line with the number of those received by the EUD</li> <li>Are the missing deliverables acceptable?</li> </ul>
<u>Intervention Management (general)</u>		
3.		<ul style="list-style-type: none"> <li>Do the key intervention actors have a clear understanding of the division of tasks between the different partners EUD, contracting authority, National coordinating authority, ROM?</li> <li>Do the key intervention actors understand and correctly apply relevant PRAG and contractual rules (e.g. claiming of expenditures under incidentals) and procedures (e.g. addenda, side letters)?</li> <li>Do the intervention actors meet frequently enough (e.g. monthly management meetings), possibly together with relevant national institutions and EUD?</li> <li>Are possible interdependencies between intervention</li> </ul>

	Confirm	Comments and Suggestions
<p>components (incl. sequencing issues) being adequately managed, e.g. by SC meetings common to these components?</p>		
<p><u>Intervention Management (beneficiary institution)</u></p>		
4.	<ul style="list-style-type: none"> <li>• Does the intervention enjoy sufficient high-level support in the beneficiary institution, so that all relevant parts of this institution participate to the extent required, including decentralised structures where relevant?</li> <li>• Has the right beneficiary institution staff been appointed as counterparts, and are they effective? Are they committed to the intervention and do they own it?</li> <li>• Was the right beneficiary institution staff (profile, quantity of persons) appointed as participants?</li> <li>• Has the beneficiary institution made facilities available to the consultant as required under the ToR?</li> <li>• Does the Beneficiary effectively benefit from the knowledge transferred ?</li> <li>• Are the relevant stakeholders (incl. SPOs) invited and regularly participate in SC/monthly management/other meetings?</li> <li>• Are TA staff accompanied by the staff of the Beneficiary in case monitoring is required (for TA contracts relating to supervision of works/ grants/supplies)?</li> <li>• Is sustainability being properly ensured? Any anticipation of any future step (HR or budget or regulatory/legislative) to contribute to sustainability?</li> </ul>	
<p><u>Intervention Management (Contracting Authority)</u></p>		
5.	<ul style="list-style-type: none"> <li>• Is the communication/Co-operation amongst the key actors in particular with the contracting authority satisfactory?</li> <li>• Is the contracting authority (when different from the EUD) constructive in handling intervention re-design issues (addenda, side letters etc.), and interprets the PRAG flexibly enough?</li> </ul>	
<p><u>Monitoring &amp; Evaluation</u></p>		
6.	<ul style="list-style-type: none"> <li>• Are responsibilities for internal monitoring and evaluation clearly defined?</li> <li>• What is the quality and frequency of monitoring events by the Contracting Authority (existence of standardised checklists, regularity/intensity of monitoring, rules for taking remedial/follow up actions, etc.)?</li> </ul>	

	Confirm	Comments and Suggestions
	<ul style="list-style-type: none"> <li>Does the contracting authority provide feedback to the Beneficiary and if so how useful are its recommendations? And those of the ROM ?</li> <li>If so, are effective and timely remedial actions taken by the Beneficiary?</li> <li>Does the contracting authority provide feedback to EC/EUD programme managers? If so, how useful is it? And what is usually its focus (results-oriented, administrative, financial)?</li> <li>How helpful is the line Ministry (whenever relevant) in terms of operational monitoring of the service contract implementation as well as interdependent components?</li> <li>Do monitoring reports reflect the reality and properly outline the main problems and their solutions (compared with your own findings)?</li> <li>What type of monitoring of the services contract implementation does the Beneficiary itself perform using the AD/PF and ToR as a guide?</li> </ul>	
		<p><u>Visibility</u></p> <ul style="list-style-type: none"> <li>Are the Visibility Guidelines properly applied?</li> </ul> <p>7. <ul style="list-style-type: none"> <li>How effective are intervention visibility and the visibility strategy?</li> <li>Were all relevant actors invited to the intervention's visibility events? Were participation (and, where relevant, media coverage) adequate?</li> </ul></p>
		<p><u>Financial issues</u></p> <ul style="list-style-type: none"> <li>Was the consultant informed of the various instructions applicable, e.g. on use of incidentals, rules for per diems, daily subsistence allowance (invoice requirement), etc.?</li> </ul> <p>8. <ul style="list-style-type: none"> <li>Are there any disbursement issues? Have relevant advances been timely paid to the consultant?</li> <li>Did the consultant receive VAT exemption forms on time?</li> <li>Any dispute with the contracting authority regarding financial aspects?</li> </ul></p>
		<p><u>Relevance</u></p> <ul style="list-style-type: none"> <li>Do all key stakeholders still demonstrate effective commitment (ownership)?</li> <li>Are there new factors in the opportunity framework (enabling and limiting factors) that might influence the</li> </ul>

	Confirm	Comments and Suggestions
<p>achievement of the intended changes? If so, how is the intervention going to react on them? Is a revision of the design needed? If so, in what terms? If so, has there been any dialogue between the contracting authority and the beneficiary to jointly define a response action/strategy?</p> <ul style="list-style-type: none"> <li>• Are there new synergy possibilities with other EU/other donors' interventions?</li> </ul>		
<p><u>Efficiency</u></p> <ul style="list-style-type: none"> <li>• Are the chosen implementation mechanisms (incl. choice of implementation modalities, entities and contractual arrangements) conducive for achieving the expected results?</li> <li>• Inputs                             <ul style="list-style-type: none"> <li>a) Do the resources correspond to the needs of the action?</li> <li>b) Do local partners provide the inputs (human or physical) that would be required to enable the action to be effective?</li> <li>c) To what degree are resources (inputs) available on time from other stakeholders?</li> </ul> </li> <li>• Delays                             <ul style="list-style-type: none"> <li>a) If there are delays, how important are they?</li> <li>b) Have the reasons been identified?</li> <li>c) Are the revisions of planning been properly implemented?</li> </ul> <p>Have the outputs been produced/ delivered in a cost-efficient manner?</p> </li> </ul>	<p>9.</p>	
<p><u>Effectiveness</u></p> <ul style="list-style-type: none"> <li>• Has the expected progress in terms of outputs being properly achieved?</li> <li>• Is the quality of outputs satisfactory?</li> <li>• Are the outputs still likely to lead to the expected outcomes?</li> <li>• Are there evidences that the action supports the implementation or the development (or its changes) of the partners' policy/actions?</li> </ul>		
<p><u>Sustainability</u></p> <ul style="list-style-type: none"> <li>• Is an adequate level of human and institutional capacity (avoiding unnecessary parallel mechanisms) put in place in order to continue delivering the action's benefits?</li> </ul>		

	Confirm	Comments and Suggestions
<ul style="list-style-type: none"> <li>Are the relevant authorities taken/expected to take the financial measure to ensure the continuation of services after the end of the action?</li> </ul>		
<b>Explanatory Comments</b>		
9. Please report if any	OM/PM	

Comments:

- i) Provide your overall assessment about functioning and effectiveness of the controls systems commissioned by the CA and your recommendation for their improvement.
- ii) Indicate and comment on specific findings concerning compliance issues,
- iii) Propose action/s to address the identified issue effectively as follows:

Follow-up Table:

Nr	Finding	Follow-up recommended action	Timeframe for action	Person/unit concerned
1				
2				

**CHECKED BY:**

Operational manager:

*(name, signature, date)*

Conclusion(s):

ANNEXES

Procurement manager:

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*(Name, signature, date)*

Conclusion(s):

## ANNEX 12: CHECKLIST FOR ON THE SPOT CHECK MONITORING - SUPPLY DIS

Programme No and Title
Contract No and Title
Publication Reference
Beneficiary
Contractor(s)
Contract signature date
Contract duration
Overall contract value
Value of the supplies subject of the site visit
Date and place of visit

### Preliminary Desk Review

Before going on a site visit there are essential documents and information the member of staff should gather. These include:

- |  |   |   |    |
|--|---|---|----|
| - Copy of the contract (signed original);  | √ | X |    |
| - Contract addenda and/or administrative orders issued to date – if any (check with Contracting Authority);                      | √ | X | NA |
| - Provisional and/or Final acceptance certificates, with supporting documents - if available (check with Contracting Authority); | √ | X | NA |
| - Certificates of Origin for all items not covered by derogation – If available (check with Contracting Authority);              | √ | X | NA |
| - Beneficiary inventory list showing the purchased equipment;  | √ | X |    |

In addition to the above mentioned documents, training reports and copies of technical and quality documents/manuals required in the tender dossier, such as ISO and CE certificates can also be requested or obtained on-site.

	Confirm	Comments and Suggestions
<b>OPERATIONAL PROGRESS - OM</b>	Y/N/Na	

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<u>Implementation Schedule:</u>		
1.	<ul style="list-style-type: none"> <li>Are there any delays in the implementation schedule?</li> <li>If yes, are there penalties being sought?</li> </ul>	TM
2.	<ul style="list-style-type: none"> <li>Is <b>all</b> equipment delivered/installed? And is the place of installation in-line with the contract?</li> </ul>	TM
3.	<ul style="list-style-type: none"> <li>Are physical conditions of place where the equipment is installed acceptable?</li> </ul>	TM
4.	<ul style="list-style-type: none"> <li>Is the equipment being used? How frequently (supporting documents)?</li> <li>If not, why?</li> </ul>	TM
5.	<ul style="list-style-type: none"> <li>Is the equipment being used for the purpose laid down in the Project Fiche (and other relevant project-related documents)?</li> <li>If not, why?</li> </ul>	TM
6.	<ul style="list-style-type: none"> <li>Is the equipment being used by the appropriate staff (supporting documents)?</li> <li>If not, why?</li> </ul> <p><b>Note:</b> On a representative sample basis, it should be checked who, function wise, is using the equipment (no names required).</p>	TM
7.	<ul style="list-style-type: none"> <li>Are brands, models and quantities in-line with the contract? Is the equipment new (as opposed to 2<sup>nd</sup> hand)?</li> </ul> <p><b>Note:</b> These should be checked item by item. A more technical check should be made to customized products.</p>	TM
8.	<ul style="list-style-type: none"> <li>Are visibility logos applied to the items?</li> </ul>	TM
9.	<ul style="list-style-type: none"> <li>If visible on the equipment (or accompanying documents, or original box), is the information regarding origin in-line with the contract?</li> <li>If not, why?</li> </ul>	TM
10.	<ul style="list-style-type: none"> <li>If applicable, have technical manuals (explaining how to use the equipment) delivered?</li> </ul>	TM
11.	<ul style="list-style-type: none"> <li>If applicable, has appropriate training been provided (supporting documents: who trained whom, where, when, for how long)?</li> </ul>	TM
12.	<ul style="list-style-type: none"> <li>Have any monitoring visits been executed by contracting authority/EUD (if different)/BENEF/ROM?</li> <li>If yes, when and by whom? What was the monitoring visit's scope (was the equipment checked item by item)?</li> </ul>	

**Beneficiary comments**

12	Overall opinion on contractor performance, (including training and warranty)?
13	Overall opinion of the user on the suitability of the purchased equipment to the beneficiary's needs.
14	Support from Contracting Authority (e.g. in case the contractor failed to deliver all supplies on time, delivered defective equipment or provided unsatisfactory training, or did not otherwise comply with contractual provisions on issues such as visibility or warranty)

IRREGULARITIES / WRONGDOINGS	
Explanatory Comments	
15.	Please report if any <span style="float: right;">TM/PM</span>

Comments:

- iv) Provide your overall assessment about functioning and effectiveness of the controls systems commissioned by the CA and your recommendation for their improvement.
- v) Indicate and comment on specific findings concerning compliance issues,
- vi) Propose action/s to address the identified issue effectively as follows:

Follow-up Table:

Nr	Finding	Follow-up recommended action	Timeframe for action	Person/unit concerned
1				
2				

**CHECKED BY:**

Task manager:

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*(Name, signature, date)*

Conclusion(s):

Procurement manager:

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*(Name, signature, date)*

Conclusion(s):

## ANNEX 13: CHECKLIST FOR ON THE SPOT CHECK MONITORING - WORKS

Programme No and Title	
Contract No	
Contract Title	
Beneficiary	
Contractor	
Supervisor / The Supervisor	
Contract Value (EU+beneficiary) [EUR]	
Contract Duration	
Monitoring Period	Start date (Month/Year) – Foreseen end date (Month/Year)
Date of Mission	
Persons Interviewed	

### Preliminary Desk Review

Before going on an on the spot check monitoring mission, the member of staff should review the following documents and information:

- Under indirect management, DIS documents on the control system (MoPs, PIM, PIGs in order to be familiarised and make assessment about effectiveness of designated controls to which the project/s under monitoring is subject.)
- Copy of the contract, Contract addenda, and/or administrative orders issued to date – if any (check with Contracting Authority); (signed original)
- Minutes of Steering Committee Meetings
- Provisional and/or Final acceptance certificates- if available (in order to check if it is in line with the physical progress that you observe and test)
- (Monthly) Progress Reports by the Contractor / Supervisor (the Supervisor) inclusive of contracting authority (if different than EUD) and the beneficiary assessments
- National authorities monitoring plans (if relevant) and reports (and if possible CA files, including critical correspondence between it, the line Ministry and the supervisors (if any) in order to make an assessment if the controls are conducted in line with the manuals and plans and if there is any critical finding reported by them and any reports provided for on the spot check performed by contracting authority, if applicable

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- Minutes of previous meetings (in order to make an assessment if the projects are implemented as envisaged in the AD/PF and contract and if there is any critical issue reported by the contractor / supervisor, line Ministry, CA and they are consistent )
- Monitoring Maps

Any other document reviewed by the staff:

	Confirm	Comments and Suggestions
<b>PREPERATORY WORKS / CONDITIONALITIES</b>		
<u>Land availability / Permits:</u>		
1.	<ul style="list-style-type: none"> <li>• Is the land available? (If not, has it been reported by the relevant authority (Supervisor, line Ministry, CA), and any action taken, if not, what is the justification?)</li> <li>• Is construction permit obtained?</li> <li>• If required, is the environmental permit obtained?</li> <li>• Any other required permits? If yes, are they obtained?</li> </ul>	TM / PM
<b>CONTRACT MANAGEMENT</b>		
<u>Progress meetings:</u>		
2.	<ul style="list-style-type: none"> <li>• Are they held regularly as stipulated in the contract?</li> <li>• Do participants who are envisaged in the contract regularly attend to the meetings? (E.g. Supervisor, Contractor, Contracting Authority, line Ministry, end recipient, etc.)?</li> <li>• Are progress meetings properly recorded and meeting notes shared with the relevant institutions timely?</li> <li>• Do they provide any value added to address the issues effectively?(if not, how it could it be improved?)</li> <li>• If so envisaged in the contract, are progress meetings held at different sites/provinces/regions in a rotational basis (if the works are distributed to more than one site/province/region).</li> </ul>	TM
<b>REPERATORY WORKS / CONDILITIES</b>		
<u>Site meetings:</u>		
3.	<ul style="list-style-type: none"> <li>• Site meetings between the Supervisor and the Contractor are held at regular time intervals as stipulated in the contract.</li> <li>• Do participants who are envisaged in the contract regularly attend to the meetings? (E.g. Supervisor, Contractor, end recipient, etc.)?</li> <li>• Are site meetings properly recorded and meeting notes shared with the relevant institutions timely?</li> <li>• Any problems in communication between Supervisor and Contractor? Can they easily discuss and address the</li> </ul>	TM

	Confirm	Comments and Suggestions
detected issues?(if not, how it could it be improved?)		
<u>The Supervisor (whenever it exists):</u>		
4.	<ul style="list-style-type: none"> <li>Is Supervisor at site in a permanent basis?</li> <li>Are resources of the Supervisor team sufficient to carry over proper supervision over the construction?</li> <li>Is the Supervisor fully aware of the issues on site?</li> <li>Any problems in communication between Supervisor and Contractor? Can they easily discuss and address the detected issues? (If not, how it could it be improved?)</li> <li>Information provided through regular progress reports prepared by the Supervisor is consistent with your overall observation and findings with regard to the physical progress.</li> </ul>	
<b>CONTRACT EXECUTION</b>		
<u>Design:</u>		
5.	<ul style="list-style-type: none"> <li>Has there been any change in the original/approved design? If yes, justified?</li> </ul>	
<u>Physical Progress:</u>		
6.	<ul style="list-style-type: none"> <li>Is there any delay in the work schedule? If yes, proper corrective taken?</li> <li>With regard to contract variations: Are there any? If yes, are reasons properly documented by the Contractor and agreed by the Supervisor (as provided for in the contract)?</li> </ul>	
<u>Financial Progress:</u>		
7.	<ul style="list-style-type: none"> <li>Are interim payment certificates properly approved by the Supervisor and corresponding payments timely made by the CA (as provided for in the contract)?</li> <li>Are determinations and valuations of the variations (if any) properly documented by the Supervisor in line with the contract?</li> </ul>	PM
<u>Environmental aspects:</u>		
8.	<ul style="list-style-type: none"> <li>Are the environmental requirements observed as provided for in the contract?</li> </ul>	TM
<u>Health and safety:</u>		
9.	<ul style="list-style-type: none"> <li>Are the health and safety requirements observed as provided for in the contract?</li> </ul>	TM
<u>Quality controls:</u>		
10.	<ul style="list-style-type: none"> <li>Are the test reports, site quality checks recorded and documented as provided for in the contract?</li> <li>During your visit to the site, did you come across any activity / work item that is not in line with general layout</li> </ul>	TM

	Confirm	Comments and Suggestions
<ul style="list-style-type: none"> <li>of the project?</li> <li>Have you <b>observed</b> any noticeable defect or deficiency on executed part and/or items and/or materials of the project that may constitute/be considered an issue of critical technical and/or financial contractual non-compliance? If yes, check if it is also properly documented by the Supervisor and/or CA.</li> </ul>		
<p><u>Claims:</u></p> <ul style="list-style-type: none"> <li>Have they been timely submitted and duly documented by the Contractor?</li> <li>Have they been timely processed and notified by the Supervisor following the steps envisaged under the contract?</li> <li>If the claim is accepted, will it cause any price increase and/or any time extension beyond the eligibility deadlines of the project?</li> <li>If the claim not accepted, is it probable to turn into a dispute?</li> <li>Are current disputes?</li> </ul>	TM/PM	
<b>OTHER ISSUES</b>		
<p><u>Visibility:</u></p> <ul style="list-style-type: none"> <li>Are Visibility rules observed as provided for in the contract?</li> </ul>	TM	
<p><u>Rule of Origin:</u></p> <ul style="list-style-type: none"> <li>During your visit did you notice any material which does not meet the rule of origin rule?</li> </ul>	TM	
<b>IRREGULARITIES / WRONG DOINGS</b>		
Explanatory comments		
<p>9. Please report if any</p>	TM/PM	

Comments:

- vii) Provide your overall assessment about functioning and effectiveness of the controls systems commissioned by the CA and your recommendation for their improvement.
- viii) Indicate and comment on specific findings concerning compliance issues,
- ix) Propose action/s to address the identified issue effectively as follows:

Follow-up Table:
------------------

Nr	Finding	Follow-up recommended action	Timeframe for action	Person/unit concerned
1				
2				

**CHECKED BY:**

Task manager: \_\_\_\_\_

*(Name, signature, date)*

Conclusion(s):

Procurement manager: \_\_\_\_\_

*(Name, signature, date)*

Conclusion(s):

## ANNEX 14: CHECKLIST FOR OVERALL ON THE SPOT CHECK MONITORING - GRANT SCHEMES\* (DECENTRALISED)

\* Objective of this checklist is to have a regular overall global assessment of the implementation of the entire grant scheme. It is expected to be filled in bi-annually.

Action No and Title
Name of the Beneficiary Institution
Number of Grant Contracts
Committed Amount
Disbursed Amount
Period Covered by the Checklist

		Confirm/ N/Na	Comments and Suggestions
<b><i>OPERATIONAL ISSUES</i></b>			
1	Key players in the management of the project were present in the meeting		
2	A mechanism for monitoring individual projects is in place (e.g. operation manuals, procurement manuals, monitoring manuals, detailed checklists, etc. are available).		
3	There is a clear division of responsibilities for implementation, monitoring (data collection, analysis and reporting) and evaluation between the involved parties (contracting authority (if different than EUD), programme beneficiary, technical assistance team, regional units-if applicable)		
4	Is there a management information system established for the purposes of the grant scheme?, Is it is fully operational?		
5	All projects have gone through regularly updated risk assessment and related measures are taken.		
6	The contracting authority and/or programme beneficiary		

	Confirm/ N/Na	Comments and Suggestions
		conducts regular monitoring visits to the projects.
7		Grant scheme achievements (via reporting on indicators) are closely followed up by the contracting authority and/or programme beneficiary (please provide details)
8		The ownership level of the programme beneficiary is overall satisfactory.
9		The contracting authority and/or programme beneficiary has provided post-grant contract management training to the grant beneficiaries.
10		A mechanism is in place for ensuring that grant beneficiaries are able to receive correct and consistent information about contract management when required.
11		All monitoring reports are provided to relevant parties (i.e. Beneficiary, contracting authority and line Ministry) in a timely manner.
12		Grant beneficiaries are debriefed in written about the conclusions of monitoring visits by the contracting authority/line Ministry and/or programme beneficiary.
13		Are there any deviations from the objectives of the overall programme? <sup>1</sup>
14		Are there any factors that may negatively affect the efficiency of the implementation of the project?
15		Are there any factors which may negatively affect the purpose of the programme? (Effectiveness)

<sup>1</sup> Relevance: The appropriateness of project objectives to the real problems, needs and priorities of the intended target groups and beneficiaries that the project is supposed to address, and to the physical and policy environment within which it operates.

Efficiency: How well means and activities were converted into results, and the quality of the results achieved. This generally requires comparing alternative approaches to achieving the same results, to see whether the most efficient process has been adopted.

Effectiveness: The contribution made by the project's results to the achievement of the project purpose, e.g. benefits accruing to target groups, how assumptions have affected project achievements.

Impact: The effect of the project on its wider environment, and its contribution to the wider sector objectives summarised in the project's Overall Objective and on the achievement of the overarching policy objectives of the EC.

Sustainability: The likelihood of a continuation in the stream of benefits produced by the project after the period of external support has ended. Key factors that impact on the likelihood of sustainability include ownership by beneficiaries, policy support/consistency, appropriate technology, environment, socio-cultural issues, gender equity, institutional management capacity and economic and financial viability. Sustainability is not an issue to be considered only near project completion but begins with project design and continues throughout project implementation.

		Confirm/ N/Na	Comments and Suggestions
16	Are there any factors which may limit or hinder the expected impact of the project on the wider environment to date?		
17	Are there any factors which may limit the potential sustainability of the project outcomes? (e.g. caused by internal and external factors)		
18	Is there any qualitative or quantitative change in the target groups and final beneficiaries as stipulated in the description of action.		
19	Are there any delays in the implementation schedule		
20	Activities and results so far are in line with the description of action.		
21	Are internal monitoring and evaluation procedures applied consistently?		
22	Are there any changes in the role of the partner or associate. (if applicable)		
23	Communications with partner institutions have been regular and effective		
24	The direct beneficiaries are satisfied with the project and are aware of the objectives of the project.		
25	The project sufficiently considers gender related issues (i.e. gender-based discrimination and equal opportunities), if relevant.		
26	The project takes into account environmental aspects sufficiently, if relevant.		
27	Visibility rules are respected in the project.		
28	The project has created multiplier effects (e.g. new ideas or projects for future, replication of project outcomes, indirect beneficiaries)		
29	The project team is taking specific steps to ensure the sustainability of the project.		
30	Action points agreed in the previous monitoring visits are executed or in progress (if applicable).		
31	a) The project is being implemented without any modifications. (Please specify modifications, if exists)		
	b) The project is being implemented without any addendum.		

	Confirm/ N/Na	Comments and Suggestions
(Please specify addendum if exist)		
32		a) Beneficiary has participated in a post-grant contract training from Contracting Authority/Beneficiary b) Beneficiary is effectively using MIS system established for monitoring the grant scheme
33		There are no potential problems that may arise in future to TM's knowledge.
<b>CONTRACTUAL &amp; FINANCIAL ISSUES</b>		
34		Internal documents/records on project activities provide sufficient details to prove the implementation of activities (signed timesheets, press coverage of activities, project fliers etc.)
35		There are no current or expected changes of the legal status of the Beneficiary or its Partners (change of legal status, merge or acquisition, procedure for liquidation).
36		There is no change in the project location.
37		The project team is still in place as in the description of action.
38		There are no deviations or overruns in the contract budget.
39		VAT exemption is obtained and is in use properly (if applicable).
41		All financial and commercial transactions are made with invoices (see a sample of invoices)
42		Regarding tender procedures, if applicable, tender dossiers, all procurement related files are available.
43		Rule of origin is respected in equipment purchases (especially for contracts above €5000).
44		The purchased equipment/supplies physically exist and are used in line with the project purposes.
45		There are no changes in the project that would require an addendum to the contract since the last monitoring visit.
46		There are no irregularities or fraud cases to TM's knowledge.

**SECTOR MANAGER**

*(name, signature, date)*

Comments / Conclusions:

**C&F MANAGER**

*(name, signature, date)*

Comments / Conclusions:

Follow-up Table:

Nr	Finding	Follow-up recommended	action	Timeframe for action	Person/unit responsible
1					
2					

## ANNEX 15: CHECKLIST FOR ON THE SPOT CHECK MONITORING - GRANTS (DECONCENTRATED)

Action No and Title
Contract No and Title
Name(s) of Beneficiary and Partner Institution(s)
Project location
Budget (indicate EU contribution separately)
Visit date
Persons interviewed

	Confirm Y/N	Comments and Suggestions
<b>OPERATIONAL ISSUES</b>		
1 There is no change in the project team		
2 There is no qualitative or quantitative change in the target groups and final beneficiaries as stipulated in the description of action.		
3 There are no delays in the implementation schedule		
4 Activities and results so far are in line with the description of action.		
5 Are internal monitoring and evaluation procedures applied consistently? (when/if applicable)		
6 Are responsibilities for implementation, monitoring (data collection, analysis and reporting) and evaluation between the involved parties (partner, EUD, programme beneficiary) clearly defined?		
7 Grant scheme achievements are soundly reported (i.e. going beyond activities held)		
8 There are no changes in the role of the partner or associate. (if applicable)		

		<b>Confirm Y/N</b>	<b>Comments and Suggestions</b>
9	The direct beneficiaries are satisfied with the project and are aware of the objectives of the project.		
10	The project sufficiently considers gender issues such as mainstreaming, gender-based discrimination and equal opportunities.		
11	The project takes into account environmental aspects sufficiently		
12	Visibility rules are respected in the project.		
13	Direct and indirect beneficiaries are aware of EU funding for the project.		
14	The project has created multiplier effects (e.g. new ideas or projects for future, replication of project outcomes, indirect beneficiaries)		
15	The project team is taking specific steps to ensure the sustainability of the project.		
16	Actions points agreed in the previous monitoring visits are executed or in progress (if applicable).		
17	There are no potential problems that may arise in future to TM's knowledge.		
<b>CONTRACTUAL/FINANCIAL ISSUES</b>			
18	There are no deviations or overruns in the contract budget.		
19	VAT exemption is obtained and is in use properly (if applicable).		
20	Payments to project staff/contractors are made via bank transfer or signing receipt against payment		
21	Rule of origin is respected in equipment purchases (especially for contracts above €5000).		
22	List of expenditure exists and is updated		
23	The purchased equipment/supplies physically exist and are used in line with the project purposes.		
24	There are no changes in the project that would require an addendum to the contract since the last monitoring visit.		

	Confirm Y/N	Comments and Suggestions
OTHER		
25		Grant beneficiary's and partners' contribution to the project budget is visible in the project account (not obligatory).
26		There is a sound double-entry basis book keeping system
27		There is a single bank account for the project. A sub-account is available for the income generated (if applicable)
28		Procurement activities were conducted in line with Annex IV <sup>2</sup>
29		No conflict of interest in selection tendering and selection process is identified
30		Supporting documents are classified on the basis of budget line/invoice date and number.
31		Whenever possible, expenditures are made via bank transfer or signing receipt against payment. If not explain the reason.
32		No expenditure has been affected for purposes other than those stated in the contract and there are no deviations or overruns in the contract budget. (Explain the budget transfer conditions as per Article 9.2 of GC)
33		There is no profit obtained from the grant. If there is, this must be clearly visible in the bank accounts.  (Bank interest is allowed!)
34		Social security contributions and withholding taxes of project staff have been paid.
35		Salaries are paid against a valid contract and in line with its provisions <sup>3</sup>
36		Correct per diem rate is used.  Per diems are supported with proper documentation.
37		Beneficiary keeps the Boarding Passes.

<sup>2</sup> Verify market surveys, tender dossiers, clarifications, evaluation and observers' reports if they are in conformity with relevant grant contract provisions (objective/legality/financial/activity and quantity ceilings) the rules laid down in Annex IV are respected.

<sup>3</sup> if contracts are properly drafted (description of job, reporting requirement, gross and net salary, duration, name of person, date of contract, method of salary payment) and signed; SSC are regularly paid, withholding taxes are collected and paid

		Confirm Y/N	Comments and Suggestions
38	Inventory of equipment is available and the ones procured by EU funds are visible in the list.		
39	Equipment / works carried out are visible and procured equipment is used in line with the project purposes		
40	No equipment that are not second hand or used has been identified		
41	If contingency reserve is used, prior agreement of the Contracting Authority is available.		
42	No ineligible expenditure has been identified among the checked sample <sup>4</sup>		

**SECTOR MANAGER**

*(Name, signature, date)*

Comments/Conclusions
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**C&F MANAGER**

*(Name, signature, date)*

<sup>4</sup> verify invoices if:

- Activities are carried out or financed with project funds are provided for in the contractual basis. It be will checked if the expenditure has not been effected for private purposes or a purpose not related with the project;
- the expenditure comes under one of the budget headings of the project;
- There is no overrun in the budget headings of the project. If there is, check that the overruns remain within the agreed margins, and if the CA is informed and/or authorised in time in accordance with the contract-GCs whichever is appropriate in terms of types of the contracts.
- Expenditure is substantiated by appropriate documents and correctly entered in the accounts and reports
- Expenditure has been incurred and disbursed within the periods authorised under the contract for operations effected within the period covered by the contract
- the expenditure incurred is not listed as ineligible expenditure in the contractual basis of the project
- the expenditure incurred is in accordance with the contractual basis of the project and the legal system of the country

Comments/Conclusions

Follow-up Table:

Nr	Finding	Follow-up recommended	action	Timeframe for action	Person/unit concerned
1					
2					

## ANNEX 16: MONITORING BY NATIONAL AUTHORITIES IN IPA II

Monitoring, when related to spending programmes, generally refers to the on-going collection, analysis and use of information, both quantitative and qualitative, about project/programme progress and the results being achieved. It supports effective and timely management decision making, learning by project stakeholders, and accountability for results and the resources used. It also aims at measuring progress in relation to achieving the objectives of the actions and their expected outputs, results and impact by means of SMART indicators related to a baseline situation. Monitoring can also refer to regular review of the system put in place to deliver assistance, by the donor agency or by the Government to which management responsibilities have been entrusted<sup>5</sup>. These guidelines do not apply to the Annex B of the Framework Agreement.

In the case of IPA II, a monitoring strategy should be set out by the relevant institutions stating what to monitor, how, based on which principles, with which resources, according to which plan, how frequently. These requirements will be stronger under decentralised management. The entrustment decision may provide complementary specific guidance in this respect.

Specific monitoring platforms and modalities are more specifically regulated by the IPA Implementing Regulation (REG 447/2014) and the Framework Agreement. The main monitoring platforms are the IPA Monitoring Committee (at system/instrument level), and the Sector Monitoring Committee, at sector level. These platforms complement the usual Steering Committees taking place at Action level and other specific platforms put in place.

With regard to monitoring under IPA II, the monitoring modalities mentioned in the general part of these guidelines are equally applicable, with some specificities. The following can be prescriptions and recommendations.

### 1. ACTION MONITORING

This consists of several aspects:

- analysis and commenting on reporting documents and data;
- attendance to (Action) Steering Committee<sup>6</sup> meetings;
- meetings/contacts with project teams, beneficiaries, and other stakeholders ;
- Site visits to discuss status of implementation. They normally involve discussions with operational staff, beneficiaries, stakeholders, visit to premises where activities are taking place, discussion on activities under implementation and status of output delivery and preliminary results achieved. NIPAC/Operating Structures perform monitoring at Action level focusing on the operational dimension - *is implementation timely and conducive to expected results?* While operating structures will perform a more systematic monitoring of the actions for which they have management responsibilities, NIPAC will perform them in a more selective basis, also in consideration of the possibility of ensuring complementarity with the external ROM.

<sup>5</sup> In the framework of the implementation of a policy, like the Enlargement Strategy or the European Neighbourhood Policy, as far as DG NEAR is concerned, monitoring also refers to the modalities put in place (ad hoc committees, reporting) to review the process of implementation of reforms related to the specific partnership agreement existing among the players (EC and the partners countries) within action plans or negotiating chapters. These guidelines do not address this dimension.

<sup>6</sup> According to DEVCO PCM Guidelines, "A project 'Governing Body' or 'Steering Committee' is often required to make strategic decisions on project scope, including required changes in objectives, targets, budget, management arrangements, etc. Such a governing body/committee might therefore meet to review project progress and performance on a periodic basis (i.e. six-monthly or annual), and make the necessary decisions to keep the project 'on track'.

- on the spot checks: these are more structured project visits, normally involving, beside the activities described in the point above, the formal filling of a check list and some formal checks (presence and utilisation of deliverables; verification of presence of stickers on donor funding; verification of status of implementation of works, whenever relevant; checking of contractual or financial documents, if appropriate). On the spot checks are only implemented by internal monitors, ideally combining operational and C&F staff. These will normally be implemented by the contracting authority prior to the issuing of the final acceptance on works and supply contracts. The contractual/financial part is not part of the responsibilities of external monitoring, represented in the Commission practice by the Results Oriented Monitoring (ROM).
- CFCU/Contracting Authorities, while in decentralised management, perform monitoring at contract level, focusing on procurement, legality/regularity – are resources used timely and in line with the rules?
- Risk assessment, addressing both context/operational issues and legality/regularity concerns, beside the financial risk, is carried out at contract level at least once per year by the contracting authorities; at project level only by NIPAC;
- Under indirect management, a monitoring plan is set out by the different institutions, in coordination with the EC and the NAO and shared with the other institutions for possible fine tuning;
- **Check list for on the spot checks:** under indirect management, these should be filled following on the spot checks carried out based on a set of questions/issues to be investigated during the visit. Specific questions might address with reference to the different project components and contracts involved (service, work, supply, grant)<sup>7</sup>.
- Bi-annual reports are issued at the attention of the NAO and the Commission;
- Main findings and recommendations and actions taken on past monitoring are reported on to the EC and discussed in SMC/IPA MC, as appropriate, possibly addressing the content indicated under the general part.
- Intensity in monitoring activities should depend on the management mode, activities at stake, costs effectiveness considerations, risk and complementarity with ROM. Tentatively, 100% of projects for SC attendance; 100% of supply/works contracts for CFCU/CA before final acceptance

TABLE 1: INTENSITY OF MONITORING ACTIVITIES

Project monitoring modalities	Direct Management			Indirect management				
	EUD	NIPAC	ROM contractor	EUD	NIPAC	OS	CA	ROM contractor
Steering Committees	***	***		***	***	***	***	
Monitoring activities/missions	**	*			**	**	*	
ROM			**					**
Meetings with contractors	*						*	
On the spot checks	**			**		**	**	

<sup>7</sup> An example is provided in the Annex.

## 2. DATA PRODUCTION AND MONITORING OF INDICATORS

It is expected that a system tracking inputs used (human and financial resources), activities performed (as per relevant Action document), outputs produced, and preliminary results achieved will be put in place at action level. Depending on the management mode and on the size of the financial cooperation, a proper system might be designed by the responsible entities (Commission services and/or national authorities, under indirect management). Data produced, and most specifically indicators, will feed the other monitoring dimensions and the reporting. Under centralised management the EUD will have responsibility for collecting data that are action specific. The NIPAC office will ensure the collection of data produced by the relevant national authorities in order to forward them to the Delegation. Under indirect management the data collection on indicators related to Action documents will be the sole responsibility of the NIPAC, which will have to forward them to the EU Delegation. The concerned indicators are those at operational level that will have been encoded in the MIS following the signature of the Financing Agreement. The NIPAC might wish to report on other indicators in its annual report. Indicators used and produced might be revised if during the implementation of the programmes it will be found out that:

- there are no data sources for calculating one or more indicators;
- one or more indicators are not relevant for the programme monitoring;
- New indicators are needed<sup>8</sup>.

## 3. SECTOR STRATEGIC MONITORING

According to the IPA specific regulation, this takes place through the Sector Monitoring Committees (art. 19 of Reg n. 447/2014 and art. 53 FA). These committees:

- meet at least twice a year;
- set up at policy of programme level;
- Chaired by a senior representative of the IPA II beneficiary;
- Are made up of representatives of CE, NIPAC, other national authorities, stakeholders and IFIs;
- According to art. 53(8) "shall also consider the work of SMC established under (EC) n. 1085/2006" according to policy/sector. Under IPA II they shall cover topics typically discussed under SMC held for components III, IV and V under IPA I and those addressed by sector monitoring sub-committees under TAIB;
- when appropriate, may be set up on an ad hoc basis under other implementation methods;
- look after effectiveness, efficiency, quality, coherence coordination and compliance for the implementation of action at policy or programme level, also looking at progress made, looking at indicators, but also results of evaluations, monitoring and on the spot checks;
- they shall adopt its own rules of procedures;
- They should discuss in a holistic way issues related to the implementation of sector reforms, implementation of project/programme activities (also based on findings from monitoring and ROM activities); review of specific requirements foreseen by the programme (like fulfilment of conditionalities and/or degree of realisation of targets);
- (Concise) operational conclusions will have to be drawn up immediately after the meetings and signed off by the most senior representative of the national authorities and the EUD;
- For countries previously already under DIS, SMC could be conveyed with an agenda integrating topics related to Sector monitoring sub-committees previously organised under TAIB component of

<sup>8</sup> Please also refer to DG NEAR indicators guidelines on this.

IPA I and to Sector Monitoring Committees under Components III and IV, per sector. If deemed more appropriate, rather than having an agenda integrating elements of discussions stemming from the previous Regulation and other related to the new one (the preferred approach), two meetings back to back could be organised. The agenda should cover, in principle, the following aspects:

- State of play on sector strategies (focus on chapters, whenever relevant) and main issues at stake;
- State of play on financial cooperation programming and implementation (overview of status of programming; contracting; payments; risky projects; performance so far) – no specific discussion project level shall be foreseen in these committees, since they are supposed to take place at the level of the project Steering Committees. Approval of major projects (if relevant);
- Monitoring and evaluation findings (main findings and conclusions coming up from sector/thematic evaluations or ROM, if relevant; follow-up taken/plans; indicators);
- Operational conclusions.
- With regards to the timing, SMC could ideally take place in October-November, in preparation of Annual reporting, to discuss sector issues to be reported on; and April-May, to follow-up on past recommendations of SMC and IPA MC;
- In the case of sector interventions taking fundamentally place in the framework of a Sector Approach, especially in Sector Budget Support, the specific meetings foreseen to review programme implementation could be merged with the Sector Monitoring Committee, if deemed appropriate.

#### 4. SYSTEM MONITORING

IPA system monitoring can take different forms:

- Supervision meetings involving the main partners at EC and beneficiary levels;
- Performance audits implemented either by the EC HQ audit unit or by the national responsible entities (Audit Authority);
- Supervision missions organised by the EC HQ;
- IPA Monitoring Committee. This committee is regulated by art. 18 of Reg 448/2014 and art. 52 of the Framework Agreement). This committee:
  - meets at least once a year;
  - is co-chaired by the Commission and NIPAC
  - is made up of representatives of CE, NIPAC, other national authorities, stakeholders and IFIs
  - According to art. 52(1) "shall also fulfil the responsibilities of the IPA MC under Regulation (EC) n. 1085/2006". In practical terms, it should take over the responsibilities of the former TAIB (for IPA I component) and Joint Monitoring Committees (for all IPA components).
  - looks after effectiveness, efficiency, quality, coherence coordination and compliance, also taking into account results of monitoring and evaluations;
  - It shall adopt its own rules of procedures.
  - In terms of timing, the meeting could take place after the finalisation of the reporting phase (March) to provide Commission feedback and discuss follow-up actions.
  - Agenda points to discuss could be articulated around these points:
    - Results of implementation

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- Financial execution (contracting; payments; procurement; rejection rates (if relevant); risky projects, reallocations);
- Monitoring and evaluation (finding from monitoring and evaluations; follow-up taken
- Management and control system (state of play on outstanding issues; audit findings; irregularities and recoveries; entrustment process (under DIS));
- Operational Conclusions. They should be exchanged among the parties and agreed upon in the two weeks following the meeting.

Should it be considered necessary, IPA MC can be conveyed more than once per year.

The following table summarises the main characteristics of the different monitoring modalities.

**TABLE 2: MODALITIES OF MONITORING UNDER IPA II**

	Strategic	Operational	Contractual/ Financial
<b>1a - Intervention's monitoring - internal</b>			
<i>Meetings with contractors (implementing partners)</i>	-	EUD (in centralised management), Line Ministries (in decentralised management)	Contracting Authority (CA) (EUD in centralised management)
<i>Action Steering committee</i>	NIPAC, EUD, line Ministries, contracting authority, contractors, beneficiaries, stakeholders		
<i>Internal monitoring missions</i>	-	EUD, NIPAC; line Ministries	CA
<i>On the spot checks</i>	-	EUD	EUD/CAs
<b>1b - Intervention's monitoring - external</b>			
<i>ROM</i>	-	Contractor	-
<b>2 - Strategic monitoring</b>			
<i>Sector Monitoring Committees</i>	National coordinating authorities, CAs, line Ministries, EC, stakeholders		
<b>3 - System monitoring</b>			
<i>Supervision meetings</i>	-	-	NIPAC; EC HQ
<i>Performance audits</i>	-	-	NAO/AA; EC HQ
<i>Supervision missions</i>	NAO, EC HQ		
<i>IPA Monitoring Committees</i>	NAO*, NIPAC, Audit Authority*, CAs*, line Ministries, EC, stakeholders		

\*: under indirect management

These monitoring activities are informed by relevant data production and gathering to be ensured by the relevant entities: i) International Organisations for impact/context indicators, ii) National administrative

services and statistical offices for outcome indicators, and iii) monitoring information systems at Action level for output indicators.

Monitoring reporting is set at different levels: Reporting at Programme level, under IPA II, where NIPAC (office/unit) is responsible for preparing the AIR & Final Implementation Report, based on examination by IPA MC and inputs from AIRs of Action Programmes and Sectorial OPs.

NIPACs are to submit AIR IPA II to the European Commission **by 15 February each year**.

By summarizing the final reports issued under Action Programmes and Sector Operational Programmes the Final Report on Implementation of IPA II assistance is elaborated.

**Final Report on Implementation of IPA II assistance is to be drawn up** under the coordination of NIPAC with inputs from the bodies of the operating structures; it should cover the whole period of implementation of IPA II programme (2014-2020).

## ANNEX 17: EVALUATION TASK-BUDGET TEMPLATE

The original Excel file can be found at:

<https://myintracomm.ec.europa.eu/dg/near/whatwedo/monitoring-reporting-evaluation/Pages/Monitoring-evaluation.aspx>

### WORKING DAYS

### TRAVELS

### PER DIEM

	TL	Exp. 2	Exp. 3	Junior	Total	TL	Exp. 2	Exp. 3	Junior	Total	TL	Exp. 2	Exp. 3	Junior	Total
<b>1. DESK PHASE</b>	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
<b>Structuring Phase (Inception)</b>	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
International/regional travels					0.0					0.0					0.0
Briefing session					0.0					0.0					0.0
Data collection & inventory (elaboration )					0.0					0.0					0.0
First documentary review					0.0					0.0					0.0
Key documents analysis (for IL & EQs) & preparing first draft intervention logic					0.0					0.0					0.0
Defining draft evaluation questions (& JC)					0.0					0.0					0.0
Preliminary interviews					0.0					0.0					0.0
International/regional travels					0.0					0.0					0.0
Team meeting					0.0					0.0					0.0
Reference Group meeting presentation of intervention logic + Evaluation Questions (including preparation) This can also be the occasion to have interviews					0.0					0.0					0.0
<b>Preparation of the Inception Note :</b>					0.0					0.0					0.0
Analysis of EU policy and legal framework relevant to the object of the evaluation					0.0					0.0					0.0
Finalisation and analysis of IL's diagram					0.0					0.0					0.0
Analysis of ex-post IL: EC inventory of spending interventions					0.0					0.0					0.0
Finalisation of evaluation matrix (JCs, indicators)					0.0					0.0					0.0
Define data collection methods and tools for the rest of evaluation and detailed work plan					0.0					0.0					0.0



Case studies selection					0.0					0.0					0.0
Inception Note finalisation					0.0					0.0					0.0
Quality control					0.0					0.0					0.0
Submission Inception Note					0.0					0.0					0.0
International/regional travels					0.0					0.0					0.0
Reference Group meeting. This can also be the occasion to have interviews					0.0					0.0					0.0
Final Inception Note					0.0					0.0					0.0
<b>Desk phase Report</b>	<b>0.0</b>														
Interviews desk based (by phone, skype, etc.)					0.0					0.0					0.0
Documentary review (catch up)					0.0					0.0					0.0
Survey drafting & management, if relevant					0.0					0.0					0.0
<b>Elaboration of desk phase report</b>					0.0					0.0					0.0
Methodology Chapter					0.0					0.0					0.0
Survey analysis, if relevant					0.0					0.0					0.0
Case studies- Doc review "field countries" and writing case study notes					0.0					0.0					0.0
Desk report : Preliminary answer of EQs and Hypotheses to be tested in the field					0.0					0.0					0.0
Methodology for field (including tools development)					0.0					0.0					0.0
Report writing (incl. annexes)					0.0					0.0					0.0
Putting all together					0.0					0.0					0.0
Quality control					0.0					0.0					0.0
Submission Desk report					0.0					0.0					0.0
International/regional travels					0.0					0.0					0.0
Meeting with the Reference Group (including preparation) This can also be the occasion to have interviews					0.0					0.0					0.0
Final Desk Phase Report					0.0					0.0					0.0
<b>2. FIELD PHASE</b>	<b>0.0</b>														
National experts identification & contracting, if relevant					0.0					0.0					0.0
Logistical preparation of the missions					0.0					0.0					0.0
Fine-tuning field tools (questionnaires, information matrix)					0.0					0.0					0.0
Field phase preparation (additional reading, etc.)					0.0					0.0					0.0

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International/regional travels					0.0					0.0					0.0
Data collection in country/region					0.0					0.0					0.0
Elaboration of country notes, if relevant					0.0					0.0					0.0
Synthesis of Field mission results					0.0					0.0					0.0
International/regional travels (if the debriefing is also to be held elsewhere other than the relevant country visited)					0.0					0.0					0.0
Meeting with the Reference Group - Presentation of Preliminary findings					0.0					0.0					0.0
<b>3. SYNTHESIS PHASE</b>	<b>0.0</b>														
<b>Volume 1:</b>					0.0					0.0					0.0
Context, policies + methodology					0.0					0.0					0.0
Synthesis report writing : EQs					0.0					0.0					0.0
Synthesis report writing : C&R					0.0					0.0					0.0
Executive summary					0.0					0.0					0.0
Synthesis report: putting all together					0.0					0.0					0.0
<b>Annexes</b>					0.0					0.0					0.0
Methodology					0.0					0.0					0.0
Bibliography, people met, .....					0.0					0.0					0.0
Quality control					0.0					0.0					0.0
Submission of 1st version Draft Final Report					0.0					0.0					0.0
International/regional travels					0.0					0.0					0.0
Meeting with the Reference Group - Presentation of Draft Final report (findings, conclusions, recommendations)					0.0					0.0					0.0
Draft Final Report - 2nd version					0.0					0.0					0.0
Submission of 2nd version Draft Final Report					0.0					0.0					0.0
Final Report					0.0					0.0					0.0
International/regional travels					0.0					0.0					0.0
Seminar - Presentation of 2nd Draft Final report (findings, conclusions, recommendations), if relevant					0.0					0.0					0.0
Translation of summaries, if relevant					0.0					0.0					0.0
<b>TOTAL</b>	<b>0.0</b>														

## ANNEX 18: EVALUATION APPROACHES AND METHODS

When launching and managing an evaluation, the evaluation manager should start by fully understanding the questions, the nature of the intervention to be evaluated, in order to form an idea of which might be useful methods. On this basis, she will frame the Terms of Reference and then decide the amount of resources, the timeframe, and how and when to start planning for an evaluation.

But when the tendering bids come in and even more when the evaluation manager interacts with the evaluator on the evaluation design and during the evaluation research, then things change: the evaluation manager should select them with an open mind, allowing for innovation and creativity, and keep in mind that many approaches are used in unexpected ways. For example, it is better to focus on contribution, rather than attribution questions for budget control. Coherently, counterfactual approaches are not, in principle, appropriate. It should be kept in mind, however, that a counterfactual approach has been used in a number of evaluations of budget support (for example, some of those examined in Rønsholt, 2014). What to do? Evaluation managers can use various tools: look up the approaches, methods, and techniques proposed in the numerous available sources (Box 3.3 in the main text) or, request rapid feedback (taking care, during procurement procedures to respect the confidentiality of bidders and their intellectual property) from the Evaluation Unit or expert networks.

### 1. COUNTERFACTUAL APPROACH TO IMPACT EVALUATION

The counterfactual approach answers **causal questions**, namely those asking **whether** the observed changes are produced by the intervention and **how much** of the observed change is attributable to the intervention. By comparing the actual situation with an hypothetical, counterfactual one, it establishes causal relationships, but fails to explain how the intervention caused the change. Depending on the method used to reconstruct the counterfactual situation, an impact evaluation performed with a counterfactual approach may need to be planned at the phase of intervention design (in the case of randomized control trials) or can be performed later on (for example, if the method used is a propensity score matching). In all cases, it is necessary to gather data on both participants and non-participants in the programme. The counterfactual approach is best suited to interventions which plausibly have a linear causal chain (*simple* interventions) and which can be conceived of as *treatments* of individual, fungible individual cases.

#### Basic readings

Donald T. Campbell (1969) “Reforms as experiments” in *American Psychologist*, vol. 24 n. 4

Agodini, R., Dynarski, M., 2004, “Are Experiments the Only Option? A Look at Dropout Prevention Programs”, in *Review of Economics and Statistics*, vol. 86, n. 1, February.

Berk, R., 2005, *Randomized Experiments as the bronze standard*, Department of Statistics, UCLA, available at:

<http://repositories.cdlib.org/uclastat/papers/2005080201/>

#### Resources

The Campbell Collaboration provides access to experimental evaluations  
<http://www.campbellcollaboration.org>

## 2. THEORY-BASED EVALUATION

This approach addresses **causal questions** focusing on explaining **how** the intervention produced the observed changes. It also addresses **normative questions and descriptive questions**, about **what** the intervention produces. The approach is compatible with both quantitative and qualitative methods. Depending on the specific method used, the approach is more or less prone to provide a precise answer to questions about the share of the observed change which can be attributed to the intervention. The approach posits that interventions always cause effects—or, in other words, the approach is capable of detecting unexpected effects. This requires quite extensive empirical research. The approach may be used with *simple*, *complicated*, and *complex* interventions.

### Basic readings

Chen, H., 1990, *Theory-driven evaluations*. London: Sage;

Donaldson, S. I., 2007, *Program Theory-Driven Evaluation Science: Strategies and Applications*. New York: Lawrence Erlbaum.

Weiss, C. H. (1997) “Theory -based evaluation: Past, Present and Future”, in Rog, D.J. (ed.), 1997, “Progress and Future Directions in Evaluation” *New Directions for Evaluation*, n. 76, Jossey Bass, San Francisco

Rogers, P., 2008, “Using Programme Theory to Evaluate Complicated and Complex Aspects of Interventions”, *Evaluation vol. 14*, n.1

Weiss, C., H., 1995, “Nothing as practical as a good theory: Exploring theory based evaluation for comprehensive community initiatives for children and families”, in Connell, J., A. Kubisch, L. Shorr e C., Weiss (eds.) *New approaches to evaluating community initiatives*, New York, The Aspen Institute

## 3. REALIST EVALUATION

Realist evaluation addresses **causal questions** by explaining **how, under which circumstances, and for whom interventions work**, by testing formalised **configurations of contexts** (groups of individuals or organisations interacting with the interventions, characterised by a common bunch of features), **mechanisms** (individual choices, decisions, and thinking), and **outcomes**. The approach is compatible with a wide array of quantitative and qualitative methods and is particularly useful when evaluating the outcomes of an interventions operating across different groups of individuals or organisations. It can be used with complicated and complex interventions.

### Basic readings

Pawson, R. (2006). *Evidence-Based Policy. A Realist Perspective*. Sage: London

Pawson, R. e N. Tilley (1997) *Realistic Evaluation* Sage: London

Tilley, N. (2000) “Realistic Evaluation: An Overview” Presented at the *Founding Conference of the Danish Evaluation Society*, September 2000

## 4. PARTICIPATORY EVALUATION

This is a very wide family of approaches, particularly appropriate to the task of answering **descriptive questions**. It may be used, however, along with other approaches to help answer other types of questions. The approaches are characterised by the common intent to deeply



involve stakeholders in the main evaluation tasks, such as expressing a judgment. In participatory approaches, project front-line staff and/or (intended and not intended) beneficiaries do not merely act as providers of information or as users of evaluation findings. Rather, they are called to actively participate in designing and conducting parts of the research and to express their own informed judgment, using **their own criteria**. The distinctive feature of participatory approaches, therefore, is not the *fact* that evaluators seek out stakeholders—and, therefore, does not consist in the use of techniques such as focus groups. Rather, it is in the *type* of stakeholder involvement: in a participatory evaluation control over key aspects of the evaluation shifts from top programme management and evaluators on one hand to beneficiaries and citizens, on the other. This type of evaluation (with the exception of the “quick and dirty” family of methods, such as Rapid Rural Appraisal) is time-consuming and may be expensive, because it requires extensive fieldwork by very skilled professionals. It, however, adds value in that it emphasizes and makes explicit the knowledge of front-line workers and of beneficiaries of interventions. By sharing with these people control over part of all the main evaluative tasks, in addition, these approaches aim at creating a climate of empowerment and trust which should make the emergence of information easier and less traumatic. In this way, participatory methods aim at discovering aspects of outcomes and of programme implementation which would otherwise remain hidden.

### Basic readings

House, E.R. and Howe, K., 2007 “Deliberative Democratic Evaluation”, in Ryan, K. E., De Stefano, L. (eds.), 2000, *Evaluation as a Democratic Process*, in *New Directions for Program Evaluation*, n. 85, Jossey Bass, San Francisco

Stake, R. 1975. *Program Evaluation, particularly Responsive Evaluation*. Occasional paper No 5. College of Education, Western Michigan University

Fetterman, D. M., Shakeh, J.K., Wandersman, A. (eds), 1996, *Empowerment Evaluation. Knowledge and Tools for Self-Assessment and Accountability*. London: Sage

Chambers, R. 1997. *Whose Reality Counts? Putting the First Last*. London: Intermediate Technology Publications

Chambers, R. 2008, *Revolutions in Development Inquiry*, London: Earthscan

Chouinard J.A. (2013), *The Case for Participatory Evaluation in an Era of Accountability*, «American Journal of Evaluation», 34 (2), pp. 237-253.

## 5. POSITIVE APPROACHES

This family of approaches answers **descriptive, causal** (mainly **contribution** and **explanation**) and, to a certain extent, **normative** questions. They start from identifying and describing **success** in a programme or organisation—the best performance, the best outcome—in order to understand when a programme or organization works, under which circumstances, through which stakeholders’ behaviour. By (pleasantly) surprising stakeholders with the focus on success, these approaches increase trust and the willingness to provide information. They can, thus, achieve findings which might remain untold. They can work with complicated and complex interventions.

### Basic readings

Stame, N. (2014) ‘Positive Thinking Approaches to Evaluation and Program Theories’ *The Canadian Journal of Program Evaluation* Vol.29, No2

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Cooperrider D.L., Sorensen P.F.J., Whitney D, Yaeger T.F. (a cura di) (2000), *Appreciative Inquiry: Rethinking Human Organization Towards a Positive Theory of Change*, Stipes, Champaign IL.

Coghlan A., Preskill H., Catsambas T. (a cura di) (2003), *Using appreciative inquiry in evaluation*, «New Directions for Evaluation», Jossey-Bass, San Francisco.

Preskill H., Catsambas T. (2006), *Reframing Evaluation through Appreciative Inquiry*, Sage, Thousand Oaks.

Mac Coy D. (2014), *Appreciative Inquiry and Evaluation—Getting to What Works*, «Canadian Journal of Program Evaluation », 29 (2), pp. 104–127.

## ANNEX 19: EVALUATION QUESTIONS, TYPES OF EVALUATIONS IN DG NEAR PRACTICE AND POSSIBLE APPROACHES TO EVALUATION

Strategic evaluations (thematic/sector, Strategic/instruments, budget support, and country strategy) have complex evaluands (objects of evaluation) which can only be satisfactorily analysed through a combination of techniques, methods, and approaches. No one approach or method suffices to answer the number of evaluation questions which characterise DG NEAR evaluations: it is necessary to use a mixed method approach (Bamberger, 2012).

Type of questions	Type of evaluation				
	Thematic/sector	Strategic/ instrument	Budget Support <sup>9</sup>	Country	Project
<b>Descriptive</b>	Theory-based evaluation, Positive approaches, Realist synthesis, Systematic reviews	Theory-based evaluation, Positive approaches, Realist evaluation, Realist synthesis, Systematic reviews	Theory-based evaluation, Positive approaches	Theory-based evaluation, Positive approaches, Participative approaches, Realist evaluation	Theory-based evaluation, Positive approaches, Participative approaches, Realist evaluation
<b>Causal</b>	<i>Specific questions</i>				
<b>Attribution</b>	Systematic reviews	Systematic reviews			Counterfactual approach (when the nature of the project allows it)
<b>Contribution</b>	Theory-based evaluation, contribution analysis, positive approaches, Systematic reviews	Theory-based evaluation, contribution analysis, positive approaches, Systematic reviews	Theory-based evaluation, Contribution analysis	Theory-based evaluation, contribution analysis, positive approaches	Theory-based evaluation, contribution analysis, positive approaches, Participatory evaluation approaches,

<sup>9</sup> A specific methodological approach for evaluations of budget support was developed by DAC-OECD (van den Linden and Valmarana, 2011). The approach systematises choices and activities and provides suggestions on the choice of methods and techniques.

Type of questions	Type of evaluation				
	Thematic/sector	Strategic/ instrument	Budget Support <sup>9</sup>	Country	Project
	Realist synthesis				Outcome mapping
Explanation	Theory-based evaluation, Positive approaches, Realist synthesis, Systematic reviews	Theory-based evaluation, Positive approaches, Realist synthesis, Systematic reviews	Theory-based evaluation, Positive approaches	Theory-based evaluation (individual components), Positive approaches (individual components), Participative approaches (for individual components at the appropriate scale), Realist evaluation (for individual components)	Theory-based evaluation, Positive approaches, Participative evaluation approaches, Realist evaluation
<b>Normative</b>	<i>Evaluation criteria</i>				
Relevance	Theory-based evaluation, Positive approaches, Systematic reviews	Theory-based evaluation, Positive approaches, Systematic reviews	Theory-based evaluation, Positive approaches	Theory-based evaluation, Positive approaches	Theory-based evaluation, Positive approaches
Effectiveness	Theory-based evaluation, Positive approaches, Participative approaches, Realist synthesis, Systematic reviews	Theory-based evaluation, Positive approaches, Participative approaches, Realist synthesis, Systematic reviews	Theory-based evaluation, Positive approaches	Theory-based evaluation, Positive approaches, Counterfactual approach (individual components when applicable), Participative	Theory-based evaluation, Counterfactual approach, Positive approaches, Participative approaches, Realist evaluation

Type of questions	Type of evaluation				
	Thematic/sector	Strategic/ instrument	Budget Support <sup>9</sup>	Country	Project
				approaches (at appropriate scale), Realist evaluation (individual components)	
Efficiency	Value for money, Positive approaches, Systematic reviews, Realist synthesis	Value for money Positive approaches Systematic reviews Realist synthesis		For individual components of the strategy - Value for money  Positive approaches	Value for money (Cost-effectiveness analysis, cost-utility analysis, cost-benefit analysis, social return on investment) Positive approaches
Impact	Theory-based evaluation, Counterfactual approach (for case studies, when applicable), Positive approaches, Participative approaches (for case studies, when applicable), Realist evaluation (for case studies, when applicable), Realist synthesis, Systematic reviews	Theory-based evaluation, Counterfactual approach (for case studies, when applicable), Positive approaches, Participative approaches (for case studies, when applicable), Realist evaluation (for case studies, when applicable), Realist synthesis, Systematic reviews	Theory-based evaluation, Counterfactual approach (when applicable), Positive approaches, Realist evaluation (when applicable)	Theory-based evaluation, Positive approaches, Counterfactual approach (individual components when applicable), Participative approaches (at the appropriate scale), Realist evaluation (individual components)	Theory-based evaluation, Counterfactual approach, Positive approaches, Participative approaches, Realist evaluation
Sustainability <sup>10</sup>	Sustainability assessment	Sustainability assessment	Sustainability assessment	Sustainability	Sustainability assessment

<sup>10</sup> Just as vast, and widening, as sustainability questions is the array of approaches to assessing sustainability. In addition to the approaches to evaluating socio-economic, institutional, and political interventions, there are approaches which are specific to the environmental issues involved in sustainability: Environmental Impact Assessment (EIA), Social Impact Assessment (SIA), Life Cycle Assessment (LCA), Triple Bottom Line (TBL) Sustainability Reporting, Principle-Criteria-Indicator, Certification of Sustainable Production, Pressure-State-Response (PSR), as well as accounting systems, among which the

Type of questions	Type of evaluation				
	Thematic/sector	Strategic/ instrument	Budget Support <sup>9</sup>	Country	Project
	approaches, Theory-based evaluation, Positive approaches, Realist synthesis, Systematic reviews	approaches, Theory-based evaluation, Positive approaches, Realist synthesis, Systematic reviews	approaches, Theory-based evaluation, Positive approaches, Participative approaches, Realist evaluation, Realist synthesis, Systematic reviews	assessment approaches, Theory-based evaluation, Positive approaches, Participative approaches, Realist evaluation (all best applied to individual components)	approaches, Theory-based evaluation, Positive approaches, Participative approaches, Realist evaluation
Coherence	Theory-based evaluation, Positive approaches	Theory-based evaluation, Positive approaches	Theory-based evaluation, Positive approaches, Participative approaches		Theory-based evaluation, Positive approaches, Participative approaches
EU-added value	Theory-based evaluation, Positive approaches, Participative approaches (if possible at the relevant scale), Comparisons with counterfactual approach when possible	Theory-based evaluation, Positive approaches, Participative approaches (if possible at the relevant scale), Comparisons with counterfactual approach when possible	Theory-based evaluation, Positive approaches, Comparisons with counterfactual approach when applicable	Comparisons with counterfactual approach when applicable	Theory-based evaluation, Positive approaches, Participative approaches, Comparisons with counterfactual approach whenever possible
Utility	Theory-based evaluation, Positive approaches, Realist synthesis, Systematic reviews	Theory-based evaluation, Positive approaches, Realist synthesis, Systematic reviews	Theory-based evaluation, Realist evaluation, Positive approaches	Theory-based evaluation, Positive approaches, Participative approaches, Realist evaluation	Theory-based evaluation, Positive approaches, Participative approaches, Realist evaluation
Complementarity	Theory-based evaluation,	Theory-based evaluation,	Theory-based evaluation,	Theory-based	Theory-based evaluation,

System of Integrated Environmental and Economic Accounting (SEEA) (O'Connell and al., 2013). The utilisation of each approach changes depending on the level of the analysis: project, local area, country, region, or international.

Type of questions	Type of evaluation				
	Thematic/sector	Strategic/ instrument	Budget Support <sup>9</sup>	Country	Project
	Positive approaches, Realist synthesis, Systematic reviews	Positive approaches, Realist synthesis, Systematic reviews	Realist evaluation, Positive approaches	evaluation, Positive approaches, Participative approaches, Realist evaluation	Positive approaches, Realist evaluation (?), Participative approaches
Coordination	Theory-based evaluation, Positive approaches, Realist synthesis, Systematic reviews	Theory-based evaluation, Positive approaches, Realist synthesis, Systematic reviews	Theory-based evaluation, Realist evaluation, Positive approaches	Theory-based evaluation, Positive approaches, Participative approaches, Realist evaluation	Theory-based evaluation, Positive approaches, Realist evaluation (?), Participative approaches
Equity	Theory-based evaluation, Positive approaches, Realist synthesis, Systematic reviews	Theory-based evaluation, Positive approaches, Realist synthesis, Systematic reviews	Theory-based evaluation, Realist evaluation, Positive approaches	Theory-based evaluation, Positive approaches, Participative approaches, Realist evaluation	Theory-based evaluation, Positive approaches, Participative approaches, Realist evaluation
Acceptability	Theory-based evaluation, Positive approaches, Realist synthesis, Systematic reviews	Theory-based evaluation, Positive approaches, Realist synthesis, Systematic reviews		Theory-based evaluation, Positive approaches, Participative approaches,	Theory-based evaluation, Positive approaches, Participative approaches, Theory-based evaluation, Positive approaches, Participative approaches, Realist evaluation,

## ANNEX 20: QUALITY ASSESSMENT GRID FOR A PROJECT / PROGRAMME EVALUATION REPORT AND GUIDELINES FOR ITS FULFILMENT

<b>Evaluation title</b>	
<b>Evaluation managed by</b>	<b>Type of evaluation</b>
<b>CRIS ref. of the Eval. contract</b>	<b>Evaluation ref</b>
<b>EUD/Unit in charge</b>	<b>Evaluation Manager</b>
<b>Evaluation Team Leader</b>	<b>Evaluation Contractor</b>
<b>Evaluation expert(s)</b>	
<b>Evaluation dates</b>	<b>Start :</b> <b>End :</b>
<b>DAC code</b>	
<b>Report date</b>	
<b>Project title</b>	
<b>CRIS reference(s)</b>	

	Very weak	Weak	Good	Very good	Excellent
<b>1. Meeting needs:</b>					
a. Does the report describe precisely what is to be evaluated, including the intervention logic?					
b. Does the report cover the requested period, and clearly includes the target groups and socio-geographical areas linked to the project / programme?					
c. Has the evolution of the project / programme been taken into account in the evaluation process?					
d. Does the evaluation deal with and respond to all ToR requests? If not, are justifications given?					
<b>2. Appropriate design :</b>					
a. Does the report explain how the evaluation design takes into account the project / programme rationale, cause-effect relationships, impacts, policy context, stakeholders' interests, etc.?					
b. Is the evaluation method clearly and adequately described in enough detail?					
c. Are there well-defined indicators selected in order to provide evidence about the project / programme and its context?					
d. Does the report point out the limitations, risks and potential biases associated with the evaluation method?					
<b>3. Reliable data :</b>					
a. Is the data collection approach explained and is it coherent with the overall evaluation design?					
b. Have data collection limitations and biases been explained and discussed?					

	Very weak	Weak	Good	Very good	Excellent
c. Are the sources of information clearly identified in the report?					
d. Are the data collection tools (samples, focus groups, etc.) applied in accordance with standards?					
e. Have the collected data been cross-checked?					
<b>4. Sound analysis :</b>					
a. Is the analysis based on the collected data?					
b. Does the analysis focus well on the most relevant cause/effect assumptions underlying the intervention logic?					
c. Is the context taken into account adequately in the analysis?					
d. Are inputs from the most important stakeholders used in a balanced way?					
e. Are the limitations of the analysis identified, discussed and presented in the report, as well as the contradictions with available knowledge, if there are any?					
<b>5. Credible findings :</b>					
a. Are the findings derived from the qualitative and quantitative data and analyses?					
b. Is there a discussion whether the findings can be generalised?					
c. Are interpretations and extrapolations justified and supported by sound arguments?					
<b>6. Valid conclusions :</b>					
a. Are the conclusions coherent and logically linked to the findings?					
b. Does the report draw overall conclusions on each of the five DAC criteria?					
c. Are conclusions free of personal or partisan considerations?					
<b>7. Useful recommendations :</b>					
a. Are the recommendations consistent with the conclusions?					
b. Are recommendations operational, realistic and sufficiently explicit to provide guidelines for taking action?					
c. Are the recommendations drafted for the different target stakeholders of the evaluation?					
d. When necessary, have the recommendations been clustered and prioritised?					
<b>8. Clear report :</b>					
a. Does the report include a relevant and concise executive summary?					
b. Is the report well-structured and adapted to its various audiences?					
c. Are specialised concepts clearly defined and not used more than necessary? Is there a list of acronyms?					
d. Is the length of the various chapters and annexes well balanced?					

**Legend:** ■ *very weak* = criteria mostly not fulfilled or absent ■ *weak* = criteria partially fulfilled ■ *good* = criteria mostly fulfilled ■ *very good* = criteria entirely fulfilled ■ *excellent* = criteria entirely fulfilled in a clear and original way

<b>Comments on meeting needs (1):</b>
<b>Comments on appropriate design (2):</b>
<b>Comments on reliable data (3):</b>
<b>Comments on sound analysis (4):</b>
<b>Comments on credible findings (5):</b>
<b>Comments on valid conclusions (6):</b>
<b>Comments on useful recommendations (7):</b>
<b>Comments on clear report (8):</b>
<b>Comments on the overall quality of the report</b>

## **Guidelines for filling in the quality assessment grid**

Filling in the quality assessment grid consists in rating all sub-criteria separately in order to provide an overview of the quality of the report in terms of its validity and reliability, and to provide a basis for overall quality assessment of the report.

The rating uses a five-level scale as follows:

- very weak = criteria mostly not fulfilled or absent
- weak = criteria partially fulfilled
- good = criteria mostly fulfilled
- very good = criteria entirely fulfilled
- excellent = criteria entirely fulfilled in a clear and original way

### **1. Meeting requirements**

Meeting the requirements includes the necessity for both a correspondence with the needs expressed in the Terms of Reference and relevance of the scope of the evaluation in terms of the period, the persons and the areas encompassed in the report.

- a) This sub-criterion covers several points. The project / programme under evaluation (hereafter “the intervention”) has to be clearly identified. In particular, the report should describe the logic of cause-and-effect links between inputs, activities, outputs, and further intended effects. These elements should be summarised in a logical framework which has to be analysed and interpreted. The evaluation report also has to provide information about the context, and especially the external factors contributing to the success or failure of the intervention. If there are discrepancies between the intervention actually implemented and what was initially decided upon, it has to be clearly stated.
- b) This sub-criterion concerns the scope of the evaluation. It depends on the project itself but also on the Terms of Reference (ToR). The scope of the evaluation encompasses the areas to be addressed by the evaluation. The limits of the scope have to be defined according to the logic of intervention.
- c) The project has probably evolved during the period considered by the evaluation and it is of primary importance to consider any change that has occurred at the level of the overall strategy, the objectives, the activities implemented, the budget, etc. during the evaluation process.
- d) ToR of the evaluation presents the requirements the study should meet. The report has to respond to and deal with everything that has been asked in the ToR. It is not possible to assess this item without the ToR.

### **2. Appropriate design**

This criterion relates to the technical qualities of the evaluation. The evaluation design is the result of a range of methodological choices derived from evaluation questions. It is important that every methodological choice be explained and justified in the report.

- a) The design of an evaluation should take account of several elements: (i) the rationale of the project and its cause-and-effect relations; (ii) the policy context of the project (elements that should be described according to criteria 1.); (iii) the impacts of the project; and (iv) the interests of the various stakeholders of the evaluation (including evaluation managers, direct and indirect beneficiaries of the project, decision makers, etc.). The way the evaluation team has taken these elements into account while building the evaluation process has to be explained clearly in the report.
- b) The evaluation process as well as the method and the tools used in the evaluation process have to be clearly described. The report has to present the strengths and weaknesses of the methods and tools.
- c) The indicators have to be identified and chosen in order to make it possible to provide evidence regarding the five DAC criteria (relevance, efficiency, effectiveness, impact, sustainability). The indicators have to be relevant for the project itself as well as for the context of the project.
- d) The report also has to present clearly the limitations, risks and biases of the method applied, of the tools used and of the whole evaluation process. Tools should be described in terms of their strengths and weaknesses. Weaknesses and limitations should be discussed in order to justify the options taken for solving the problems encountered.

### 3. Reliable data

Evaluators use existing data (secondary data) or primary data which they have collected for the purpose of the evaluation. In the latter case, the method applied to collect and process data is a key factor in assessing its reliability and, ultimately, its validity.

- a) The methodological approach as well as the choice of data collection tools should be clearly presented and consistent with the design of the whole evaluation process. The data collection approach should be in line with the purpose of the evaluation and should make it possible to meet the requirements of the ToR.
- b) There should be enough information to identify and assess the reliability and adequacy of the sources of information chosen.
- c) If the data collection involves the selection of case studies, the gathering of focus groups or the drawing of a sample for a questionnaire survey, for instance, then the relevant step should be taken on the basis of a typology or in line with established criteria. The choice of the data selection sources should be clearly presented in the report, together with the reasons why they have been selected.
- d) In order to achieve reliability, the data gathered should be verified and the various information sources cross-checked. This means that the evaluation team has to compare similar data from different sources in order to check the correspondence between the findings.
- e) The report has to present the limitations and biases of the data collection tools. Tools should be described in terms of their strengths and weaknesses. Weaknesses and limitations should be discussed in order to justify the options taken for solving the problems encountered.

#### 4. Sound Analysis

The analysis approach has to be relevant as regards the type of data collected, and has to follow the instructions given in the relevant technical manuals. These elements have to be clearly presented in the report.

- a) The data used in the analysis should be clearly identified. The coherence between the collected data and their analysis is an important factor in assessing the validity of the report.
- b) The analysis should verify the most relevant cause-and-effect relationships and assess the assumptions underlying the intervention logic.
- c) The context surrounding and influencing the project has to be described (Criterion 1.) and taken into account in the design of the evaluation (Criterion 2.). It is particularly important that the context be taken into account in the analysis because it helps in interpreting data correctly.
- d) The evaluation encompasses a wide range of stakeholders: the evaluation managers, the evaluation team, the project designer, the project manager, the direct and indirect beneficiaries of the project, decision makers, etc. All of them are likely to provide inputs into the analysis, either formally or informally. In any case, their key inputs should be used and presented in a balanced and impartial way.
- e) The report has to present limitations and biases of the analysis tools and techniques, as well as possible contradictions with available knowledge. Analysis tools should be described in terms of strengths and weaknesses. Weaknesses and limitations should be discussed in order to justify the options taken for solving the problems encountered.

#### 5. Credible findings

In order to be credible, findings have to logically follow and be justified by the data analysis and interpretations based on carefully presented explanatory hypotheses.

- a) Data has been collected and analysed with the aim of generating findings that help to conclude on the five DAC criteria. The coherence between what has been found in the analysis and what is presented in the findings is an important factor to assess the validity and reliability of the report. Findings have to logically follow and be justified by data, analysis and interpretations through carefully described logical reasoning.
- b) Findings derive from the data provided by the different information sources (interviews, questionnaires, focus groups, etc.). The report has to assess whether they can apply to the project as a whole. It has to show clearly on which basis findings have been generalised.
- c) The findings contain a part of interpretation and extrapolation that should be explained and verified.

## 6. Valid conclusions

Conclusions are more than results because they involve a judgement on the merits and worth of the project /programme. The quality of this value judgement is a condition for the quality of the evaluation as a whole. Value judgements need to be clearly presented in the report.

- a) Conclusions have to be based clearly on the findings. The process leading to the conclusions has to be presented in a transparent way, as does the validity of the conclusions.
- b) The approach has to follow the five DAC evaluation criteria applying to projects: relevance, effectiveness, efficiency, impact and sustainability. Conclusions should be provided for each of these five criteria.
- c) An important characteristic of external evaluations is that they should be independent. This is very important for the impartiality of the report. To be able to assess this sub-criterion, it is necessary to check whether conclusions are sufficiently explicit and whether controversial points are presented in a fair and balanced way.

## 7. Useful recommendations

Recommendations represent the core final messages of the report and the commissioning body will have to give a response to them. This is why it is of primary importance to have clear recommendations stated in enough detail to be implemented correctly.

- a) Recommendations should be based on the conclusions without being mixed with them. They should be written in a separate section mentioning how each recommendation is derived from conclusions.
- b) Recommendations have to be explained in enough detail to be implemented correctly. Practical problems and constraints that were taken into account in the formulation of recommendations should be mentioned.
- c) As mentioned in Criterion 4., the evaluation concerns several stakeholders and some of them will be responsible for putting the recommendations into practice. It should therefore be clear in the report who each recommendation is intended for. The formulation of the recommendations should be adapted for its intended use.
- d) If some recommendations are more important than others, they should be prioritised. If a group of recommendations concerns the same stakeholder or the same area of actions, they should be clustered.

## 8. Clear report

The final report is one of the means through which stakeholders will use the evaluation and learn from it. The readability of the report will depend on the quality of its presentation.

- a) The report should include an executive summary, presenting at least the key findings, the main conclusions and recommendations in a balanced and impartial way. This executive summary should be clear enough to be read without the need to refer to the rest of the report.
- b) The report should be well structured and signposted. It has to be readable for every relevant target reader. Tables and graphs should be used to enhance the readability of the report.
- c) The evaluation team should avoid excessive use of specialised terms in the report because they are a barrier to understanding for most readers. It is also important to provide the readers with a list of acronyms.
- d) The report has to deal with important issues but also with context presentation and with some details necessary for understanding the core messages. The evaluation team should ensure that there is enough balance between the lengths of sections dealing with the most important issues and the length of sections of minor importance. Balance should also be found between the length of the main report and its annexes.

## ANNEX 21: EVALUATION RECOMMENDATIONS FOLLOW-UP TEMPLATE

**Title of the Evaluation**

**Follow-up table**

Recommendations, Final report	Responses, DGNEAR: (i) accepted or not; action already taken	Actions to be undertaken, by when	Follow-up