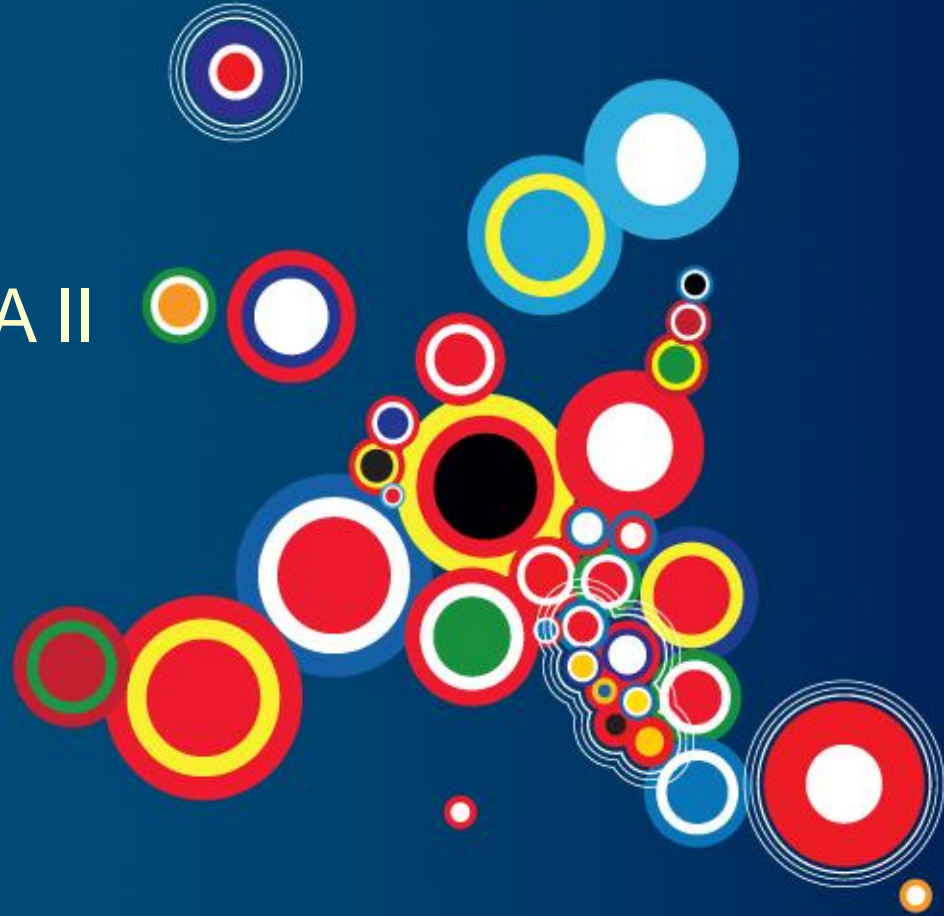


Monitoring system under IPA II

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Outline

- Role of Indicators under IPA II Regulation
- A framework of analysis
- Monitoring under IPA II
- Monitoring Modalities
- Categories of indicators
- Orientation proposed
- Monitoring platforms

Role of indicators in the framework of IPA II Regulation

- IPA II will continue to be implemented following rigorous and comprehensive monitoring rules. Cooperation will be further oriented towards a performance review of the progress achieved related to results at the strategic, sector and action level, in line with requirement of Art. 2.2 and Art. 2.3 of the IPA Regulation (No 231/2014):

Art. 2.2: “Progress towards achievement of the specific objectives set out in paragraph 1 shall be monitored and assessed on the basis of pre-defined, clear, transparent and, where appropriate, country-specific and measurable indicators that cover inter alia...” (*progress in democracy, economic development, acquis, territorial cooperation*).

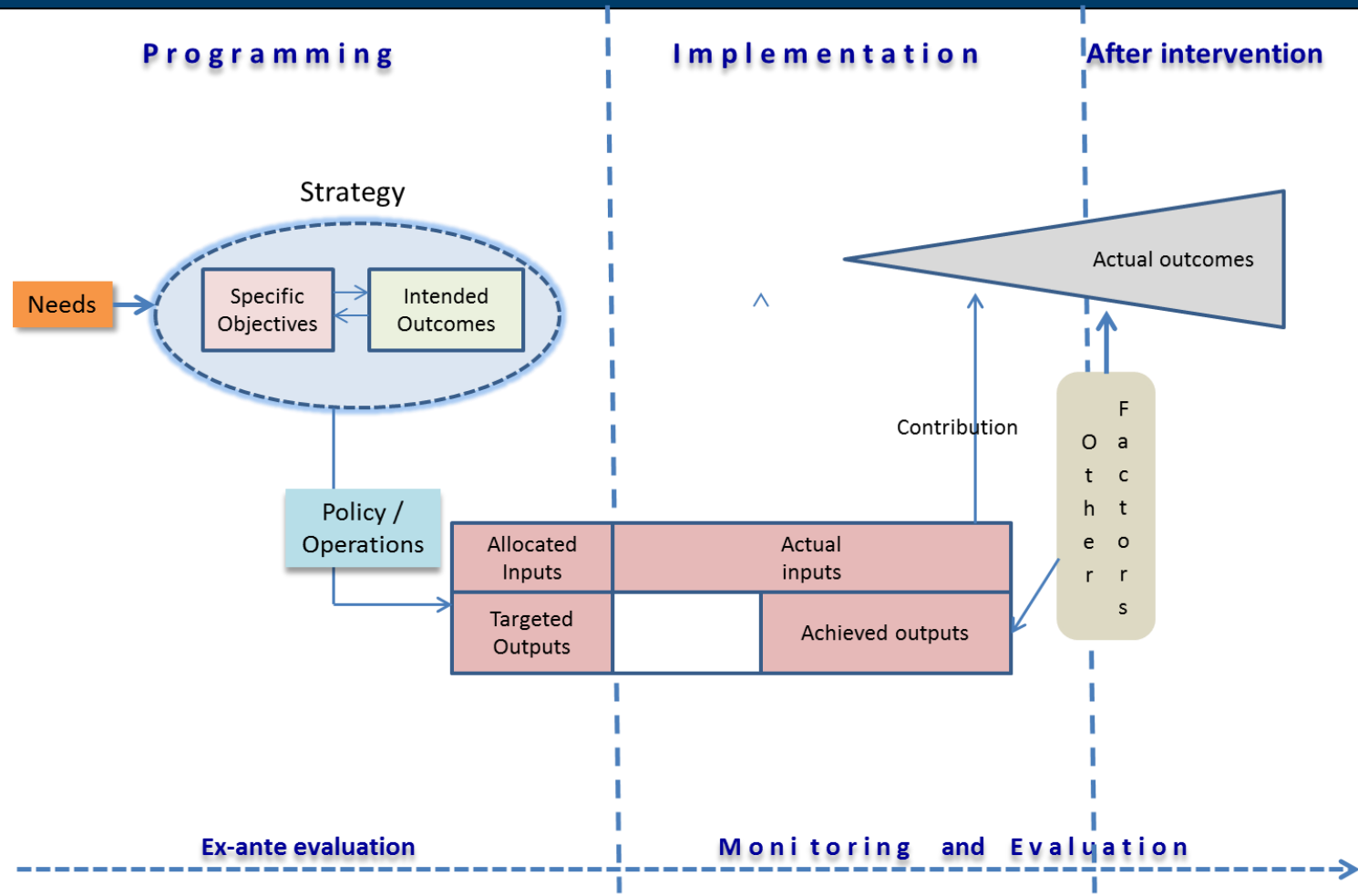
Art. 2.3: “The indicators referred to in par. 2 shall be used in order to monitor, assess and review performance, as appropriate.”

Role of indicators in the framework of IPA

II Regulation

- Furthermore, art. 12 of the Common Implementing Regulation (Reg 236/2014) states that “The Commission shall regularly monitor its actions and review progress made towards delivering expected results, covering outputs and outcomes”.
- The monitoring and reporting framework is set up to shift the DG Enlargement monitoring culture from essentially focussing on financial execution performance (the review of which has been the main focus of monitoring platforms under IPA I) to results-based performance (where both outputs and outcomes need to be looked at), and this irrespective of the management mode.
- It is made clear that financial cooperation plays a facilitating role in putting forward the main policy objectives set out in the framework of the accession strategy. Performance has to be looked at, therefore, considering the synergetic action of the on-going policy dialogue and the financial cooperation.
- It is critical to distinguish those results that can be largely attributed to our action (basically outputs), and those to the achievement of which we can only pretend to contribute [outcomes, which other factors (and actors) can influence - see graph]

A framework of analysis



Role of Monitoring under IPA II

- (Operational) monitoring will play a critical role under IPA II, beside the traditional supervision of the IPA (and DIS, whenever applicable) system
- Three dimensions to consider:
 - Modalities: Result Oriented Monitoring (ROM); monitoring by the national authorities; internal EUD monitoring, others
 - Tools: performance indicators, reports
 - Monitoring platforms: Project/Programme Steering Committees (not IPA specific); IPA Monitoring Committees, Sector Monitoring Committees; Others

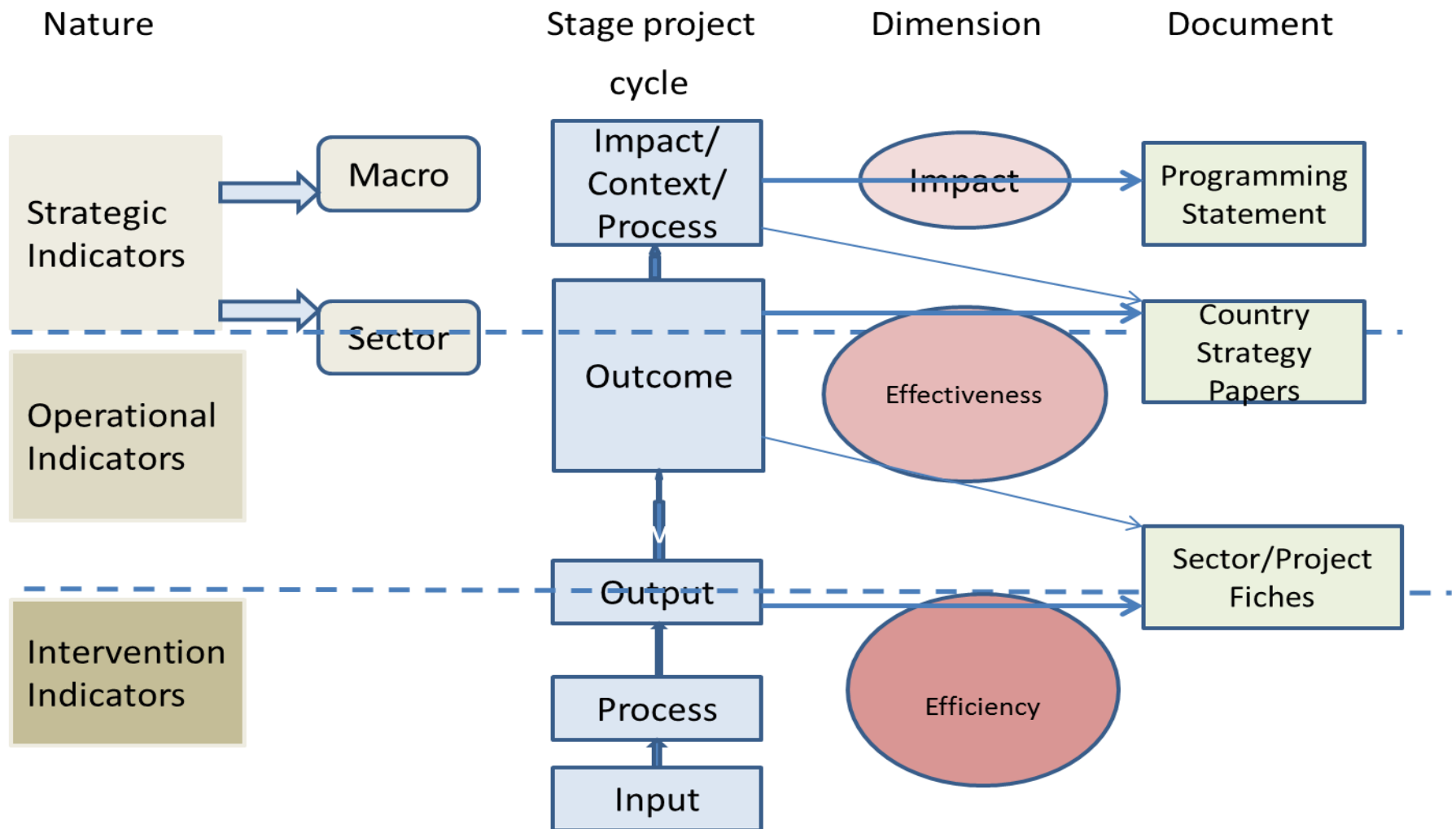
Monitoring Modalities

- **ROM:** regular (normally annual), quick (one week) independent snapshot on project performance provided by external monitors
- **Monitoring by the national authorities,** as per internal strategies and plans
- **Internal EUD monitoring:** meetings with stakeholders and beneficiaries; field visits, whenever necessary on the spot checks

Categories of Indicators

- **Purely context indicators:** just to set the background: no targets, since the likelihood to influence them is very modest - for CSP
- **Context/impact (longer term results) indicators** that we can aim at influencing: we can set targets: for CSP
- **Outcome/result (from immediate to medium term results) indicators** that we can aim at influencing: we can set targets; for CSP or (when more specific) - for Action programmes
- **Output indicators** the realisation of which can be attributed to our intervention: we have to set targets, the baseline value depending on the topic and or definition of the indicator (ex: additional jobs in supported companies: no baseline; n. of employees in supported companies: baseline required) - for Action programmes
- **Process indicators** that can describe the way things are happening (decentralisation process, comitology, contracting and payment rates) and approaches that are influenced by our intervention and/or policy dialogue (civil society dialogue, consultative processes)
- **Inputs** that describe the resources deployed and activities implemented (financial allocations, national co-financing, but also trainings, TA delivered, etc.)

Categories of indicators and utilisation



Orientation proposed on indicators

- Go for a common set of context, impact and outcome (higher level) indicators for all countries, whenever possible (ideally up to 80%) to ensure easier tracking and comparability. Different indicators can be used to reflect country specificities or lack of availability of data. Output (lower level) indicators should be limited since they might be more difficult to aggregate and less meaningful. Whenever available, indicators and targets agreed upon in the framework of national or regional strategies (SEE 2020) can be taken on board, possibly balanced by other indicators and more realistic targets
- Targets should be set up in a realistic and participative way: let's avoid a purely political process (politicians might set out too ambitious targets for political reasons only) or a too technocratic approach without endorsement at political level.
- We should be modest and be aware that we can claim attribution only for the outputs we deliver (works and supplies funded, trainings delivered, NGO's or companies supported, and the like)
- In order to enable the possibility of assessing the actual contribution, and therefore the impact generated, we need solid evidence stemming from project evaluations. Sufficient resources (human and monetary) need to be secured in this respect to ensure proper monitoring during project life and evaluation at a later stage.
- A note has been drafted to the attention of NIPACs suggesting a list of common indicators to be used and monitored over time, including those ones for which targets need to be set out

Monitoring platforms – Steering Committees

- Regulated by PRAG and, as appropriate, by Financing Agreements. They look after project/programme implementation. Made up of the main stakeholders (NIPAC, EUD, beneficiary Ministry/agency, contracting authority, other stakeholders, as appropriate). They review project implementation and discuss achievements, problems and corrective measures to take, whenever necessary

Monitoring Platforms - IPA Monitoring Committee

- According to the Draft Framework Agreement, under IPA II, the IPA monitoring committee, to be set up no later than six months after the entry into force of the first Financing Agreement shall review the overall effectiveness, efficiency, quality, coherence, coordination and compliance of the implementation of all actions towards meeting the objectives set out in the Financing Agreements and the country strategy papers. For this purpose, it shall, where relevant, base itself on the information provided by the sectoral monitoring committees.
- The IPA monitoring committee may make proposals to the Commission, the NIPAC and the NAO for ensuring better coherence and coordination of IPA II assistance as provided for in the country strategy papers and, if relevant, the multi-country strategy papers or in the IPA II Regulation, and to enhance the overall efficiency, effectiveness, impact and sustainability of such assistance.
- The IPA monitoring committee shall be composed of representatives of the Commission, the NIPAC and other relevant national authorities and bodies of the IPA II beneficiary and, where relevant, international organisations, including international financial institutions and other stakeholders, such as civil society and private sector organisations.

Monitoring platforms - Sector Monitoring Committee

- According to the Draft Framework Agreement, under IPA II, Sectoral Monitoring Committee, which can be set up per policy area or programme, is composed of representatives of relevant national authorities and bodies, other stakeholders such as economic, social and environmental partners and international organisations, such as International Financial Institutions. They meet in principle at least once a year. Their role is regulated by art. 56 of the Draft Framework Agreement. They are compulsory under DIS mode, but they can be set up also under centralised management.
- It shall review the effectiveness, efficiency and quality of the implementation of the actions in the policy area or programme and their consistency with the relevant national and, whenever relevant, regional sector strategies. It shall measure progress in relation to achieving the objectives of the actions and their expected outputs, results and impact by means of indicators related to a baseline situation, as well as progress with regard to financial execution.

Monitoring platforms - Sector Monitoring Committee

- More specifically, inter alia, it will be responsible for:
 - ✓ reviewing the progress towards meeting the objectives, achieving the planned outputs and results, and assessing the impact and sustainability of the on-going programmes and actions while ensuring coherence with the on-going policy dialogue ,the related national and regional sector strategies and multi-country and/or regional activities in the country ;
 - ✓ review annual reports on implementation, evaluation reports and results oriented monitoring (ROM) reports, whenever available, detailing the financial and operational progress of the programmes;
 - ✓ examine relevant findings and conclusions as well as proposals for remedial follow-up actions stemming from the on-the-spot checks, monitoring and evaluations if available ;
 - ✓ Operational conclusions, including any recommendations, will be drawn at the end of the sectoral monitoring committees meetings. These conclusions shall be subject to adequate follow-up and a review in the following committee meetings and shall be the basis for reporting to the IPA monitoring committee on progress made in accordance with Article 55(2).

Monitoring process

- ELARG A to gather and monitor macro and sector indicators produced by international sources
- NIPAC to gather and monitor indicators coming from national (administrative) sources and project/programme implementation
- Data to be reported by NIPACs according to an ELARG defined reporting template to be submitted by February 15th each year
- Dynamics of indicators to be discussed within Sector/IPA Monitoring Committees set out in the Framework of IPA II (and regulated by the Framework Agreement to be signed by DG ELARG and IPA II beneficiaries)
- DG ELARG/A will make an annual assessment of the evolution of indicators at country and aggregate level
- DG ELARG will report internally (through AOSD and Annual Activity Report) and externally (IPA Annual Report) on achievements of the implementation of policy dialogue and financial cooperation
- DG ELARG will summarise main achievements and outstanding issues in the implementation of the accession policy subject to follow up in the framework of the Enlargement package (October of each year)