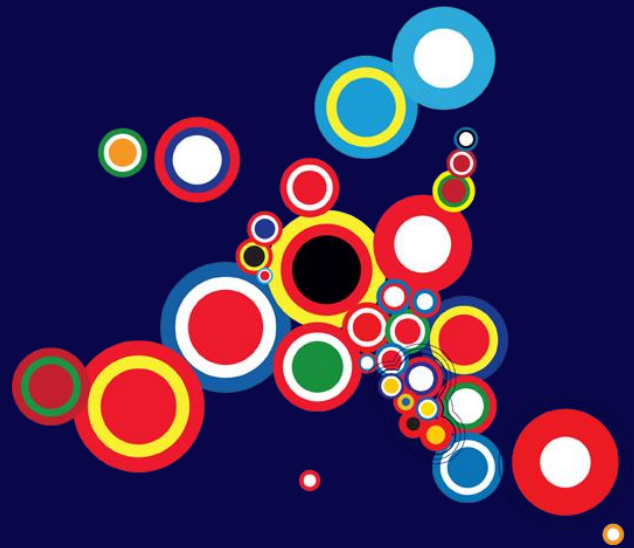




INSTRUMENT FOR PRE-ACCESSION ASSISTANCE (IPA II) 2014-2020

TURKEY

EVALUATION OF 2014, 2015 AND 2016 TURKEY ANNUAL PROGRAMS



Action summary

This stand-alone Action seeks to provide an assessment of the achievements of Actions related to different sectors under IPA II in Turkey. The evaluation will be carried out on individual interventions in indirect management under the annual programs 2014, 2015, 2016.

The main objective of the Action is to improve the overall management of IPA II financial assistance in Turkey. More specifically, through independent evaluations this Action aims to enhance the strategic link between the planning/programming, monitoring and evaluation activities of the National IPA Coordinator (NIPAC) office through a better dissemination of lessons learnt and of the results of IPA II interventions.

Action Identification	
Action Programme Title	Annual Action Programme for Turkey (2016)
Action Title	Evaluation of 2014, 2015 and 2016 Turkey Annual Programs
Action ID	IPA/2016/ 039-354/8/Turkey/Evaluation of 2014, 2015 and 2016 Turkey Annual Programs
Sector Information	
IPA II Sector	Democracy and Governance
DAC Sector	99810
Budget	
Total cost	EUR 1 429 000
EU contribution	EUR 1 045 000
Budget line(s)	22.020301
Management and Implementation	
Management mode	Indirect management
National authority or other entrusted entity	M. Selim USLU, PAO-CFCU Director Central Finance and Contracts Unit Address: Emek Mahallesi, T.C. Hazine ve Maliye Bakanlığı Kampüsü E Blok İnönü Bulvarı No:36, 06510 Çankaya/Ankara Tel: +90 312 295 49 00 Fax: +90 312 286 70 72 E-mail: pao@cfcu.gov.tr, selim.uslu@cfcu.gov.tr
Implementation responsibilities	Mr. Bülent ÖZCAN Director General General Directorate for Financial Cooperation and Project Implementation
Location	
Zone benefiting from the action	Turkey
Specific implementation area(s)	Turkey
Timeline	
Final date for concluding Financing Agreement(s) with IPA II beneficiary	N/A
Final date for concluding delegation agreements under indirect management	At the latest by 22 December 2020
Final date for concluding procurement and grant	3 years following the date of conclusion of the Financing Agreement, with the exception of cases listed under Article 114(2) of the Financial Regulation

contracts			
Final date for operational implementation	6 years following the conclusion of the Financing Agreement		
Final date for implementing the Financing Agreement (date by which this programme should be de-committed and closed)	12 years following the conclusion of the Financing Agreement		
Policy objectives / Markers (DAC form)			
General policy objective	Not targeted	Significant objective	Main objective
Participation development/good governance	<input type="checkbox"/>	✓	<input type="checkbox"/>
Aid to environment	✓	<input type="checkbox"/>	<input type="checkbox"/>
Gender equality (including Women In Development)	<input type="checkbox"/>	✓	<input type="checkbox"/>
Trade Development	✓	<input type="checkbox"/>	<input type="checkbox"/>
Reproductive, Maternal, New born and child health	✓	<input type="checkbox"/>	<input type="checkbox"/>
RIO Convention markers	Not targeted	Significant objective	Main objective
Biological diversity	✓	<input type="checkbox"/>	<input type="checkbox"/>
Combat desertification	✓	<input type="checkbox"/>	<input type="checkbox"/>
Climate change mitigation	✓	<input type="checkbox"/>	<input type="checkbox"/>
Climate change adaptation	✓	<input type="checkbox"/>	<input type="checkbox"/>

1. RATIONALE

PROBLEM AND STAKEHOLDER ANALYSIS

Turkey benefits from pre-accession assistance financed by the European Union under the Instrument for Pre-accession Assistance since 2007. The country was supported during 2007-2013 perspective and is currently receiving funding from IPA II facility for the years 2014-2020. While in the years 2007-2013 Turkey received EUR 4,700 million, IPA II financial envelope envisaged in the Revised Indicative Strategy Paper for Turkey for the period 2014-2020¹ totals EUR 3,533.9 million.

Turkish management and control system for the implementation of IPA funds is complex. The overall coordination role concerning the strategic planning, programming, monitoring, evaluation and reporting rests with the National IPA Coordinator (NIPAC, within the Ministry of Foreign Affairs, Directorate for EU Affairs). The National Authorising Office (NAO, within the Ministry of Treasury and Finance) is responsible for financial management and ensuring the legality and regularity of expenditure (for all IPA beneficiaries). In addition, budget implementation tasks are entrusted to several Turkish public bodies, including the Central Finance and Contracts Unit (CFCU) and the Operating Structures in charge of the management of the multi-annual programmes with split commitments.

A functioning Result Oriented Monitoring facility exists in Turkey, as a tool at the border of monitoring and evaluation assessing ongoing actions using DAC evaluation criteria. ROM enhances the accountability and the management capacities but is strongly focused on outputs and provides only a brief snapshot on the implementation of an intervention at a given moment. It supports internal monitoring and uses a consistent and highly structured methodology that ensures comparability of the collected data and information but concerns mostly project level interventions or small-scale programmes.

Aside from ROM, which is mostly an internal monitoring tool, EU assistance is subject to mandatory evaluation. Evaluation is a legal obligation and similarly applicable under indirect management as for other management modes of EU financial assistance. Article 34 of the new Financial Regulation stipulates that “evaluations shall assess the performance of the programme or activity, including aspects such as effectiveness, efficiency, coherence, relevance and EU added value”. Evaluations shall be based on the information generated by the monitoring arrangements and indicators established for the action concerned. Evaluation requirements are further detailed in the IPA II Regulation (234/2014) and IPA II Implementing Regulation (447/2014).

According to Article 22 of the IPA II Implementing Regulation No 447/2014, and Article 57 of the Framework Agreement between the European Commission and the Republic of Turkey, which entered into force on 22 June 2015 “*An IPA II beneficiary which has been entrusted budget implementation tasks of IPA II assistance shall be responsible for conducting evaluations of the programmes it manages.*”

In other words, any institution entrusted with budget implementation tasks as a beneficiary of IPA II assistance (indirect management) is responsible for conducting evaluations of the programmes it manages. The IPA II beneficiary institution shall, in consultation with the Commission, draw up an evaluation plan presenting the evaluation activities which it intends to carry out in the different phases of the implementation.

Overall, the main body responsible for evaluation is the National IPA Coordinator. In 2017, the NIPAC elaborated and published Guidelines on preparation of evaluation plans for IPA II entities in Turkey.

The Guidelines developed by the NIPAC follow the document published earlier in 2016 by DG Neighbourhood and Enlargement Negotiations (DG NEAR) titled *Guidelines on linking planning, programming, monitoring and evaluation* which is the first guidance document for third countries other than EU Member States that clearly outlines the role of evaluation and its causal association with planning, programming and monitoring. Until the publication of the above mentioned Guidelines Turkey, like other

¹ <https://ec.europa.eu/neighbourhood-enlargement/sites/near/files/20180817-revised-indicative-strategy-paper-2014-2020-for-turkey.pdf>

IPA beneficiaries, relied on a mix of documents addressing EU countries, including repository of papers and standards available from EVALSED.

Evaluation practice was further elaborated in the Manual of Procedures for the NIPAC Office and reflected in similar guidance documents for the Operating Structures. Simultaneously, a discussion was initiated on the source of financing of the upcoming evaluations of annual programmes in Turkey (Operating Structures have their dedicated Technical Assistance budget for such purpose).

As mentioned above, while direct responsibility for the evaluation of multi-annual programmes rests with the respective Operating Structures (under NIPAC coordination), for annual programmes such mandate remains with the NIPAC Secretariat (Directorate for EU Affairs, DEUA).

Since no evaluations have been so far conducted for projects under indirect management under the AAP of years 2014, 2015 and 2016, this Action aims to close this hiatus.

OUTLINE OF IPA II ASSISTANCE

This stand-alone Action seeks to provide an objective assessment of the achievements of the implementation of specific 2014, 2015, 2016 Actions in sectors supported within the framework of IPA II in Turkey.

The overall objective of the Action is to enhance the strategic linkage between planning, programming, monitoring and evaluation of the NIPAC office (with feedback to the Presidency Office) while specifically addressing improvement in the dissemination of the lessons learnt and the results of IPA II interventions.

The evaluation exercise will assess the achievements and constraints at action levels, from which strategic conclusions will be drawn to better inform the various stages of the programming and project management cycle as a whole. Where relevant, clusters of activities or single activities from an individual sector will be subject to evaluation. The exact scope, objectives and other arrangements will be developed during the contracting phase.

In accordance with DG NEAR Guidelines on linking planning/programming, monitoring and evaluation the following evaluation criteria will be used: relevance, effectiveness, efficiency, impact, sustainability (OECD DAC) and coherence, EU-added value, equity, complementarity and coordination (EU criteria).

RELEVANCE WITH THE IPA II STRATEGY PAPER AND OTHER KEY REFERENCES

The revised Indicative Strategy Paper for Turkey does not cover evaluation activities since its role is rather to set a frame for financial assistance over the period 2014-2020, to identify priorities and sequencing for the reforms and investments and to ensure a coherent and consistent approach in line with the enlargement agenda. In turn, evaluation is a horizontal function or a subset of technical assistance domain which aims to strengthen the country's management and control system, including accountability and, more importantly, provide a judgment on the quality of public interventions against applicable criteria and with the use of good practice standards.

The need for evaluation is embedded in the relevant EU legislation. It stems from Article 34 of the Financial Regulation 1046/2018, which establishes main requirements for the evaluation of all EU-funded programmes and actions. Articles 1 and 14 of IPA II Regulation 231/2014, Articles 12 and 17 of the Common Implementing Regulation 236/2014 and Article 21-22 of the IPA II Implementing Regulation 447/2018 introduce major obligations and requirements concerning evaluation of actions supported by IPA II. In addition to those, the Framework Agreement between Turkey and the European Commission establishes general principles of IPA II assistance evaluation. Notably, Articles 55-57 of the Framework Agreement require that the NIPAC shall coordinate evaluation activities by the establishment of an Evaluation Plan alongside the objectives of evaluation, its criteria and type of evaluation exercised to be conducted vis-à-vis different phases of the implementation of action programmes.

LESSONS LEARNED AND LINK TO PREVIOUS FINANCIAL ASSISTANCE

A number of evaluations on the *Transition Assistance and Institution Building* Component of IPA I for the years 2007-2013 were carried out by the European Commission in the past and also by the NIPAC, highlighting the frequent lack of strategic focus of the project-based programming, weakening the prospects for achieving long-term impact. This was because most of IPA Component 1 projects were stand-alone

actions, prepared annually to address current issues, thus lacking sound sequencing and continuity. That was exacerbated by poor institutional ownership and insufficient linkages to national policy agendas. The introduction of sector-based approach aimed at turning that situation around, where annual programming was sequenced across the sectors covered by IPA II assistance over the entire perspective, while multi-annual programmes were closer linked to specific sectors of IPA II beneficiary countries.

Although IPA II introduced a more demanding monitoring and evaluation framework, the majority of evaluations were conducted by the Commission only, mostly due to long overdue start of the implementation of IPA II.

In 2016-2017 the Commission undertook a midterm evaluation of assistance across all IPA II beneficiaries. Although at the time of the evaluation exercise most of the programmes were in a very early stage of implementation some important conclusions were made. In addition, in 2018 the Commission commissioned a separate evaluation exercise to review IPA II Sector Approach. Key findings of both reviews are summarised below:

- Where IPA II sectors and national sectors coincide and have clear homogeneity, coherence of EU and national funding is evident and promises improved performance.
- Though sector-based approach is a significant improvement in terms of structuring EU assistance and improving programming, there was uncertainty concerning sector approach planning that resulted in variegated quality of strategic documents and variegated ownership across the recipients.
- Integration of horizontal themes into programming in-country is hampered by the time available in the programming cycle for consultations with external stakeholders and also their capacities to constructively engage in the process.
- The introduction of indirect management with the beneficiary country in all cases improved ownership of the supported actions but overall efficiency suffered due to escalating backlog in procurement.
- Despite the introduction of sector level monitoring standards, the monitoring facility remained incomplete (even in key priority sectors) due to uncertainty as to how to transform the concept into practice. Also, in many cases the participation of CSOs and non-state actors in programme monitoring is constricted or marginalised thus compromising the principle of partnership.
- In general, the quality of indicators in country programmes and Action Documents were deemed to be an issue of concern, partially due to the lack of capacity of the country/sector systems to produce, collect and analyse data appropriate for this level.
- The novelties of IPA II (sector approach, sector budget support programmes, new performance framework, etc.) in general provided the frame for more synergies among at least the bilateral actions and for increased leverage.
- Turkey's experience with Components III-V of IPA I successfully laid down the foundation for reasonable quality of sectoral monitoring. Lessons learned from the implementation of those components could serve as an example for other IPA II sectors and beneficiaries.
- Inefficiency was noted in parts of the indirect management system in Turkey that have accumulated in the system, affecting programme relevance, effectiveness and potential impact.
- IPA policy dialogue and accession dialogue were not strongly linked albeit sector-based approach was meant to strengthen such.

2. INTERVENTION LOGIC

LOGICAL FRAMEWORK MATRIX

OVERALL OBJECTIVE	OBJECTIVELY VERIFIABLE INDICATORS	SOURCES OF VERIFICATIONS	
To improve the overall management of IPA assistance in Turkey.	Evaluation function works, and delivers results that timely feeds decision making	DEUA records	
SPECIFIC OBJECTIVE (OUTCOMES)	OBJECTIVELY VERIFIABLE INDICATORS	SOURCES OF VERIFICATIONS	ASSUMPTIONS
To improve the strategic link between the planning/programming, monitoring and evaluation activities of the NIPAC office	% of the evaluation recommendations addressed in the follow up action plans	Tracking means of the implementation of evaluation action plan	Commitment of beneficiary country to reach objectives
RESULTS (OUTPUTS)	OBJECTIVELY VERIFIABLE INDICATORS	SOURCES OF VERIFICATIONS	ASSUMPTIONS
Evaluation plan consulted and agreed with the EC and Evaluation Reference Group Evaluation reports and follow up action plans published on DEUA website and printed	% of planned evaluations implemented successfully and available to the public Number of individuals accessing the results of evaluation	Contractor's records DEUA accounts Register of downloads of evaluation report Attendance register for conferences, seminars, etc. Register of downloads of evaluation report	Interest of the broader public in programmes supported through IPA II Sufficient resources committed in IPA entities to partake in evaluation Adequate and response rate quality of feedback from beneficiaries of IPA II assistance

DESCRIPTION OF ACTIVITIES

The Action will feature an Inception phase. At this stage, the NIPAC secretariat (DEUA) will identify an evaluation plan including mainly mid-term and/or ex post evaluation for individual interventions in the sectors that are covered under annual programmes as mentioned above. The evaluation plan, detailing the scope, purpose and timeline of the evaluations to be conducted, will be discussed with the Evaluation Reference Group, in consultation with the European Commission.

A dedicated Evaluation Reference Group will be organised for each of the evaluation activities identified in the plan. The Evaluation Reference Group will be chaired by an appointed representative of the NIPAC Secretariat and will include members from each relevant interlocutors in respective sectors, including Lead Institution, Key Beneficiary, CA (CFCU), Commission and other key stakeholders as appropriate. The role of the Evaluation Reference Group will be to steer the evaluation process, review from a qualitative point of view all the outputs (e.g. inception report, field notes, draft final report), facilitate evaluator's access to documentation, and ensure a proper follow-up of the recommendations of the final report after completion of the evaluation.

The Action will be implemented through one or more service contracts, as appropriate. Terms of reference will be developed by the NIPAC consistently with the evaluation plan, in cooperation with the LIs responsible for specific Actions or Activities. Should the evaluation plan need to be updated to factor in the state of play of the actions or activities to be evaluated, the ToR will be accordingly modified as needed.

In the inception period the evaluators will develop the detailed evaluation methodology defining the specific evaluation questions, judgment criteria and indicators, sources of information and the data collection tools that will be applied, based on DG NEAR guidelines on linking planning/programming, monitoring and evaluation.

Research phase will include desk and field work. Since each evaluation is an interactive and iterative process, debriefings with the Evaluation Reference Group members will be held after completion of specific milestones set for the assignment under each phase.

At this phase the evaluators will also be able to hear initial feedback from the key evaluation stakeholders on the preliminary findings.

Draft evaluation report will be submitted to the Evaluation Reference Group for discussion and opinions. Concerned services will have an opportunity to provide their feedback to evaluation findings and recommendations, which will be annexed to the report in the form of a table for treating the comments. The final evaluation report will be approved by the Contracting Authority.

Dissemination phase will include sharing evaluation findings with the broader public during a conference/seminar and publication of the report on the internet to allow stakeholders to familiarise themselves with the outcomes of IPA II interventions.

RISKS

The main risk concerns deferred tendering and differed actual implementation of this assignment as the evaluation findings should be ideally used in fine-tuning of the Actions implemented from 2019 and 2020 budget lines, and further - for the programming of IPA III actions. The DEUA shall closely work with the EUD to establish an effective timeframe for the evaluation exercise.

Also, the DEUA has limited experience in steering similar assignments. Therefore, the role of the Evaluation Reference Group will be particularly important and DEUA shall endeavour to develop its internal capacity.

There are no other major risks that relate to this Action.

CONDITIONS FOR IMPLEMENTATION

No specific conditions are required for this purpose except for the designation of members and the establishment of an Evaluation Reference Group consisting of representatives of the NIPAC, DEUA, EU Delegation, NAO. Other parties/bodies may join if required. The Reference Group will endorse the scope of the evaluation proposed by the NIPAC and will steer the entire evaluation process.

3. IMPLEMENTATION ARRANGEMENTS

ROLES AND RESPONSIBILITIES

The main beneficiary of the Action is the NIPAC Secretariat (DEUA). It will establish the Evaluation Reference Group which will include all relevant stakeholders, including the CFCU and a representative of the EU Delegation to Ankara. The Evaluation Reference Group will steer the evaluation process while the contract will be managed by the DEUA.

The Central Finance and Contracts Unit (CFCU) is the Contracting Authority of the Action. The Contracting Authority will be responsible for tendering, contracting, administration, financial management, including payments of Action activities. The DEUA will be the evaluation manager and responsible for the overall supervision of the Action, including the review and final approval of the reports.

IMPLEMENTATION METHOD(S) AND TYPE(S) OF FINANCING

The implementation of Action will be carried out through one service contract with duration of up to 12 months (indicative).

4. PERFORMANCE MEASUREMENT

METHODOLOGY FOR MONITORING (AND EVALUATION)

This Action itself is expected to result in the production of an evaluation report on Actions co-financed from IPA II funds based on data from the monitoring systems and information/data induced by the Contractor.

In line with the IPA II Implementing Regulation 447/2014, an IPA II beneficiary who has been entrusted budget implementation tasks of IPA II assistance shall be responsible for conducting evaluations of the programmes it manages.

The European Commission may carry out a mid-term, a final or an ex-post evaluation for this Action or its components via independent consultants, through a joint mission or via an implementing partner. In case a mid-term or final evaluation is not foreseen, the European Commission may, during implementation, decide to undertake such an evaluation for duly justified reasons either on its own decision or on the initiative of the partner. The evaluations will be carried out as prescribed by the DG NEAR guidelines for evaluations. In addition, the Action might be subject to external monitoring in line with the European Commission rules and procedures set in the Financing Agreement.

INDICATOR MEASUREMENT

The underlying table might be adjusted during the contracting phase depending on the evaluation plan of actions for 2014, 2015 and 2016. .

Indicator	Baseline (value + year)	Target 2020	Final Target (2021)	Source of information
Outcomes				
Evaluation function works, and delivers results that timely feeds decision making.	0 (2019)	To be in accordance with the final evaluation plan	To be in accordance with the final evaluation plan	IT system of the DEUA EU system audits of IPA system in Turkey
Outputs				
% of planned evaluations implemented successfully and available to the public; Number of downloads of the Evaluation Report	0 (2019)	The final target date will be set under the contracting of the evaluations as such. All evaluations shall be implemented.	The final target date will be set under the contracting of the evaluations as such. All evaluations shall be implemented.	Records of evaluation (Contractor and DEUA)
Number of individuals accessing the results of evaluation (Number of debriefing/dissemination events of evaluation activities with key stakeholders and larger audience.)	0 (2019)	To be in accordance with the final evaluation plan and the terms of reference for the contracting	To be in accordance with the final evaluation plan and the terms of reference for the contracting	Records of evaluation (Contractor and DEUA)

5. SECTOR APPROACH ASSESSMENT

Not applicable.

6. CROSS-CUTTING ISSUES

GENDER MAINSTREAMING

There are no special arrangements or targets for gender mainstreaming for the implementation of the Action. The evaluations will be planned using the Guidance Note “Evaluation with Gender as a Cross-Cutting Dimension” prepared jointly by DG International Cooperation and Development (DEVCO), NEAR and Foreign Policy Instruments (FPI). The actual assignment will analyse gender mainstreaming aspects during the evaluation exercise, suggesting gender-sensitive indicators to be reviewed. These will concern (indicatively): gender mainstreaming in policy-making and planning, leadership in the management and implementation of Actions and Activities, organisational culture, financial resource tracking, equal representation in the events supported by IPA II, etc.

EQUAL OPPORTUNITIES

Similarly to gender mainstreaming, the Action will review earlier commitments concerning respect for equal opportunities given during the implementation of the evaluated Actions.

MINORITIES AND VULNERABLE GROUPS

Similarly to gender mainstreaming and review of equal opportunities, the Action will evaluate earlier commitments concerning respect for minorities and vulnerable groups given during the implementation of the evaluated Actions.

ENGAGEMENT WITH CIVIL SOCIETY (AND IF RELEVANT OTHER NON-STATE STAKEHOLDERS)

Civil Society Organisations (CSOs) are important players in the design, implementation and monitoring and evaluation of EU-funded interventions. CSOs will be subject of the evaluation exercise (where relevant) and in addition to that will be invited to all events aimed at sharing and the dissemination of the results of the planned evaluation.

ENVIRONMENT AND CLIMATE CHANGE (AND IF RELEVANT DISASTER RESILIENCE)

The Action will review how the supported Activities contributed to respecting climate change and resilience against disasters, where relevant.

7. SUSTAINABILITY

The Action itself has an inherent feature of sustainability - not only will analyse the sustainability of the supported Actions but will also contribute to the future sustainability and efficacy of the planned interventions.

8. COMMUNICATION AND VISIBILITY

Communication and visibility will be given high importance during the implementation of the Action. The implementation of the communication activities shall be funded from the amounts allocated to the Action.

All necessary measures will be taken to publicise the fact that the Action has received funding from the EU in line with the Communication and Visibility Manual for EU External Actions. Additional Visibility Guidelines developed by the European Commission (DG NEAR) will have to be followed, including those pertaining to the dissemination of evaluation findings and recommendations.

Visibility and communication actions shall demonstrate how the intervention contributes to the agreed programme objectives and the accession process. Actions shall be aimed at strengthening general public awareness and support of interventions financed and the objectives pursued. The actions shall aim at highlighting to the relevant target audiences the added value and impact of the EU's interventions and will promote transparency and accountability on the use of funds.

Necessary measures to ensure continuous, consistent and effective communication with target audiences along the implementation period will be taken. In order to reach the target groups of the programme, comprehensive communication and visibility activities will be conducted by the DEUA after the assignment has commenced.

ANNEX

Indicative Action Budget Breakdown and Planning For Contracting Procedures

IMPLEMENTATION MODALITIES	BUDGET (EUR)		TIMELINE	
	Total	EU contribution	Launch of procedure	Contract signature ²
PROCUREMENT (NO DETAILS PER TYPE OF CONTRACT SHOULD BE PROVIDED)				
Service	1.429.000	1.045.000	Q4 2019	Q4 2020
TOTAL	1.429.000	1.045.000		

Timeline: QUARTER (Q1, Q2, Q3, Q4) YEAR