

## ANNEX 1

### Support measure on monitoring, evaluation, audit and communication of the Facility for Refugees in Turkey

#### 1 IDENTIFICATION

|                                                  |                                                                                                  |
|--------------------------------------------------|--------------------------------------------------------------------------------------------------|
| <b>Beneficiary</b>                               | Turkey                                                                                           |
| <b>CRIS/ABAC Commitment references</b>           | 2017 / 40361                                                                                     |
| <b>Total cost</b>                                | EUR 14 300 000 million                                                                           |
| <b>EU Contribution</b>                           | EUR 14 300 000 million                                                                           |
| <b>Budget line</b>                               | 22.020302                                                                                        |
| <b>Management mode/<br/>Entrusted Entity</b>     | Direct management by the European Commission                                                     |
| <b>Final date for contracting</b>                | 31 December 2017 except for audit and evaluation activities to be contracted by 31 December 2018 |
| <b>Final date for operational implementation</b> | 30 June 2021                                                                                     |
| <b>Programming Unit</b>                          | DG NEAR A5 - Turkey                                                                              |
| <b>Implementing Unit/ EU Delegation</b>          | EU Delegation to Turkey                                                                          |

## 2 DESCRIPTION OF THE SUPPORT MEASURE

Turkey is currently hosting more than 2.7 million refugees, the majority of which are of Syrian origin. To support Turkey in its efforts to face that challenge, comprehensive cooperation based on shared responsibility, mutual commitments and delivery between the Union and Turkey was agreed upon within the framework of the 29 November 2015 EU-Turkey Statement. The Union and its Member States decided to increase cooperation with Turkey and step up their political and financial commitment substantially within the established framework. In response, the Commission has established the Facility for Refugees in Turkey ('the Facility') as a mechanism to coordinate the mobilisation of resources under the Union budget and contributions from the Member States amounting to a total of EUR 3 billion for the period 2016-17.

Assistance coordinated under the Facility supports the provision of immediate humanitarian and development assistance to refugees and host communities in Turkey. International Financial Institutions (IFIs) and Non-Governmental Organisations (NGOs) are working with the Turkish authorities and the European Commission in providing support to both refugees and host communities.

The Facility focuses on six priority areas: humanitarian assistance, migration management, education, health, municipal infrastructure and socio-economic support. Actions funded under the Facility are implemented under different instruments (European Civil Protection and Humanitarian Aid Operations (ECHO), Instrument for Pre-Accession Assistance (IPA), Instrument contributing to Stability and Peace (IcSP), The European Union Regional Trust Fund in response to the Syrian crisis (EUTF), in a complementary and coordinated manner. The instruments are managed by different services within the Commission (DG NEAR/EU Delegation, ECHO, EEAS) and are implemented with the involvement of numerous implementing partners (Turkish authorities, international financing institutions, international organisations and NGOs), under different contractual arrangements.

By the end of February 2017, out of a total of EUR 3 billion, EUR 2.2 billion has been allocated for both humanitarian and non-humanitarian assistance under the Facility. Of this, EUR 1.5 billion has been contracted and EUR 750 million has been disbursed. Now that the mobilisation of Facility assistance is under way, it is essential to set up a comprehensive, accurate, reliable and efficient monitoring, evaluation, audit and communication capability of the Facility so as to ensure that it delivers on its commitments and effectively communicates its achievements.

As a basis to the monitoring and evaluation system ('M&E System'), the European Commission is finalising the Facility's Results Framework which spells out the envisaged outputs and outcomes, and defines the intended impact of the Facility. The Results Framework is designed as a living document that will allow for the continuous review of the relevance and results of Facility-funded interventions.

### *List of components provided for under the support measure:*

| Direct management         |                |
|---------------------------|----------------|
| Monitoring and evaluation | EUR 11 800 000 |
| Audit                     | EUR 2 000 000  |
| Communication             | EUR 500 000    |
| TOTAL                     | EUR 14 300 000 |

### ***(1) Description of the measure, objective, expected results and key performance indicators***

The **overall objective** of the support measure is to ensure tracking and measuring results, verification of the proper use of funds, and communication on the implementation of funded interventions. There will be three key components under this measure:

- A. Monitoring and evaluation component;
- B. Audit component;
- C. Communication component.

#### **A. Monitoring and evaluation component**

The **objective of the monitoring and evaluation ('M&E') component** is to set up a results-based M&E System for the Facility. This M&E System will track progress of Facility-funded interventions against defined targets, and will measure the level of achievement of outcomes at the broader level of priority areas and the Facility itself.

Under this component, the following activities will take place:

1. **Definition of baseline and targets:** Specialised expertise will be mobilised to define baseline and targets at the Results Framework level to ensure effective monitoring and evaluation to track progress.

2. **Third-party monitoring:** Structured, comprehensive, regular and independent monitoring missions to track progress in implementation, assess the performance of actions, identify potential problems in the implementation and propose corrective measures if required. Implementation of this monitoring is to be ensured by independent experts following monitoring guidelines, manuals and agreed reporting modalities.

3. **Ad-hoc monitoring:** Ad-hoc monitoring missions for the purposes of troubleshooting, on-the-spots checks, technical support and training on monitoring to the EU Delegation and the Turkish authorities, quality checks on sources of verification. Ad-hoc monitoring missions will be undertaken by independent experts.

4. **On-line monitoring platform:** The M&E System will include an on-line data platform to facilitate the collection, aggregation, storage, analysis and visualisation of data under various angles of inquiry. The progress data generated at project level will be regularly fed into this common on-line monitoring platform.

5. **Evaluations:** Mid-term and final evaluations of on-going and completed actions will be conducted to assess the performance of actions, particularly as concerns their relevance, effectiveness, impact and sustainability. Moreover, evaluations will provide the Commission with lessons learnt and recommendations to improve support under the Facility.

Thematic evaluations will be conducted to assess the quality and performance of actions under priority areas with specific themes that cut across programmes, institutions and sectors (e.g. education, health and socio-economic thematic evaluations). In addition, operationally focussed reviews may be deployed as needs arise in cases where issues persist and adopted measures are not effective.

The M&E System will need to accommodate various monitoring requirements under different financial instruments and methods of implementation. For the monitoring of grant contracts under direct management with Turkish authorities<sup>1</sup>, comprehensive monitoring means – third-party monitoring, ad-hoc monitoring, technical support and quality support for M&E - are foreseen. ECHO has specific monitoring arrangements in place. Under the interventions managed by EUTF for Syria and IFIs, relevant implementing partners will be responsible for their own monitoring and, therefore, are in the process of setting up their monitoring systems. ECHO, EUTF for Syria and IFIs will not actively use the monitoring system of the Facility. However, they will report on the results of their selected indicators on a quarterly basis. The technical assistance team will support European Union Delegation to Turkey in incorporating those findings into the overall progress reports on the Facility. The Facility on-line monitoring platform should allow the tracking of the key results-indicators of the Facility at a glance.

Mid-term and final evaluations of selected interventions and thematic evaluations of selected priority areas will also be part of this M&E System.

Third party monitoring, ad hoc monitoring assessments, reviews as well as evaluations aim to assess external and internal coherence, including complementarity and synergies between the measures and interventions.

The **expected results of this component** will be an evidence-based assessment of the performance of the actions as well as an indication of the potential impact of the Facility

#### B. Audit component

The audit methodology to be used is based on the experience gained in the auditing of IPA, IPA II and other external actions, as well as the experience of the EU Delegation in Turkey.

The **objective of the audit component** is to provide reasonable assurance of the correct implementation of Union funds in the framework of the Facility and the regularity and legality of underlying transactions, as well as respect of the principle of sound financial management. This component covers audits, verification missions and expenditure verification of interventions financed from any of the instruments and funds mobilised under the Facility as need arises.

Audits will be closely coordinated with other Commission services and instruments involved in the Facility, avoiding duplication, while ensuring comprehensive coverage of the Facility.

The audits indicatively foreseen may be stand-alone or a combination of:

1. Financial audits, for certification of accuracy of final accounts and other statements of expenditure (including verification of assets where appropriate).
2. Audits to investigate allegations of mismanagement of Union funds (ad hoc or following allegations).
3. Verifications of projects implemented.
4. Expenditure verifications as provided for in grant agreements.

The **expected result of this component** is to contribute to the verification of implementation and the proper management of Union funds.

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<sup>1</sup> The grant agreements under direct management with the Ministry of National Education, the Ministry of Health and the Directorate General for Migration Management.

### C. Communication component

The **objective of the communication component** is to undertake communication activities that are based on a specific communication strategy validated by the Facility Steering Committee in line with the requirements of the Communication and Visibility Manual for European Union External Action.

Resources under this component include various communication and visibility activities, such as organisation of events, preparation and execution of press trips for journalists from the Union and Turkey, and design, production and dissemination of audio-visual materials including short films, documentaries, radio clips and podcasts, and printed materials regarding the Facility.

The **expected results of this component** are: increased awareness, visibility and understanding of the Facility among the general public, the media, policy makers and other stakeholders in Turkey in particular as well as European audiences. The component also aims to raise the profile of the Union in its efforts in helping Syrian refugees in Turkey.

The key performance indicators for this support measure are as follows:

| Indicator                                                                                                       | <i>Targets</i> |            |            |
|-----------------------------------------------------------------------------------------------------------------|----------------|------------|------------|
|                                                                                                                 | Year 2017      | Year 2018  | Year 2019  |
| Facility monitoring system and on-line monitoring platform designed and operational                             | 4Q             | continuous | continuous |
| % of third party monitoring                                                                                     | continuous     | continuous | continuous |
| Number of evaluations launched/completed                                                                        | -              | 1Q         | 4Q         |
| Number of audits launched/completed                                                                             | continuous     | continuous | continuous |
| Number of communication events (visibility activities, press trips, event organisations etc) launched/completed | 2Q             | continuous | continuous |

#### ***(2) Assumptions and conditions***

The overall operating environment for the implementation of Facility assistance should continue to be conducive. Transparent and open communication among all Facility stakeholders is a prerequisite to the effective monitoring, evaluation, audit and communication activities referred to under this support measure. Implementing partners should assume their obligations under the required monitoring and evaluation arrangements of the Facility. Security in the target regions should remain stable and access to the target population should be ensured for monitoring and evaluation purposes. Baseline data and

identification of yearly targets should be available so as to enable accurate performance measurement.

### ***(3) Implementation arrangements for the measure***

The support measure shall be managed under direct management by the EU Delegation to Turkey.

#### ***(a) Essential elements of the action (for direct management)***

##### **Procurement:**

The **global** budgetary envelope reserved for the support measure is EUR 14 300 000. The indicative allocations per component are as follows:

#### 1. Component A: Monitoring and evaluation

(a) global budgetary envelope reserved: EUR 11 800 000

(b) indicative number and type of contracts:

Indicatively, EUR 2 600 000 will be used for evaluation activities (activity 5) to be contracted either through one service contract under a procurement procedure or through specific contracts under Framework Contracts (up to five).

Indicatively, EUR 8 200 000 will be used for monitoring activities (activities 1 to 3) to be contracted through one service contract under a procurement procedure.

Indicatively, EUR 1 000 000 will be used for the development of an on-line monitoring platform (activity 4) through specific contracts under Framework Contracts (up to four) or one service contract.

(c) indicative time frame for launching the procurement procedure:

The procurement procedures will be launched throughout the period 2017-2018 with regards to evaluations and through 2017 with regards to monitoring, as necessary.

#### 2. Component B: Audit

(a) global budgetary envelope reserved: EUR 2 000 000

(b) indicative number and type of contracts:

Indicatively 40 assignments (or less if combined for cost effectiveness) will be contracted through either specific contracts under Framework Contracts or tender procedures.

(c) indicative time frame for launching the procurement procedure:

The procurement procedures will be launched throughout the period 2017 -2018 as necessary.

#### 3. Component C: Communication

(a) global budgetary envelope reserved: EUR 500 000

(b) indicative number and type of contracts:

Indicatively 20 communication activities will be contracted through Framework Contracts.

(c) indicative time frame for launching the procurement procedure:

The requests for services will be launched throughout the period 2017 as necessary.

### **3 BUDGET**

#### **INDICATIVE BUDGET TABLE**

|              |                                                                                                           |
|--------------|-----------------------------------------------------------------------------------------------------------|
| EUD Turkey   | Support measure on monitoring, evaluation, audit and communication of the Facility for Refugees in Turkey |
| <b>TOTAL</b> | <b>14 300 000 EUR</b>                                                                                     |

### **4 METHODS OF IMPLEMENTATION AND GENERAL RULES FOR PROCUREMENT AND GRANT AWARD PROCEDURES**

#### **DIRECT MANAGEMENT**

This measure shall be implemented by direct management by the Commission / Union Delegations in accordance with Article 58(1)(a) of Regulation (EU, Euratom) No 966/2012 and the corresponding provisions of Delegated Regulation (EU) No 1268/2012.

Procurement shall follow the provisions of Part Two, Title IV, Chapter 3, of Regulation No 966/2012, and Part Two, Title II, Chapter 3, of Delegated Regulation (EU) No 1268/2012.

Parts One and Three of the Regulation (EU, Euratom) No 966/2012 and of Delegated Regulation (EU) No 1268/2012 shall apply to external actions, except as otherwise provided in Part Two, Title IV, of Financial Regulation applicable to the general budget of the Union and its rules of application (July 2016)

The Commission may also use services and supplies under Framework Contracts concluded following Part One of Regulation (EU, Euratom) No 966/2012.

### **5 PERFORMANCE MONITORING ARRANGEMENTS**

As part of its performance measurement framework, the Commission shall monitor and assess progress towards achievement of the specific objectives set out in Regulation (EU) No 231/2014 of the European Parliament and of the Council<sup>2</sup> on the basis of pre-defined, clear, transparent measurable indicators. The progress reports referred to in Article 4 of Regulation (EU) No 231/2014 shall be taken as a point of reference in the assessment of the results of IPA assistance.

The Commission will collect performance data (process, output and outcome indicators) from all interventions which will be aggregated and analysed in terms of tracking the progress versus the targets and milestones established for each component of the support measure.

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<sup>2</sup> Regulation (EU) No 231/2014 of the European Parliament and of the Council of 11 March 2014 establishing an Instrument for Pre-accession Assistance (IPA II) (OJ L 77, 15.03.2014, p. 11).