

Global Europe Results Framework Indicator Methodology Note

1. Indicator name
<p>GERF 2.22: Number of EU-funded interventions reporting improvement of compliance of Border and Security Systems with EU / Schengen Acquis</p>
2. Technical details
<p><i>Please use the information provided in OPSYS or the SWD.</i></p> <p><u>Results Dashboard code(s)</u>: 65239.</p> <p><u>Unit of measure</u>: Number of (#).</p> <p><u>Type of indicator</u>: Quantitative (not Qualitative) – Numeric (not Percentage); Actual ex-post (not estimated or ex-ante); Cumulative (not annual); Direct (not indirect).</p> <p><u>Level of measurement</u>: Specific Objective – Outcome; Direct Output; Output.</p> <p><u>Disaggregations</u>: None</p> <p><u>DAC sector codes</u>: 15210 – Security system management and reform.</p> <p><u>Main associated SDG</u>: 10.7 Facilitate orderly, safe, regular and responsible migration and mobility of people, including through the implementation of planned and well-managed migration policies.</p> <p><u>Other associated SDGs</u>: 16.3 rule of law and justice; 16.6 accountable institutions; 16.10 protect fundamental freedoms; 17.9 capacity building.</p> <p><u>Associated GERF Level 1 indicator</u>: 1.18 Number of countries with migration policies that facilitate orderly, safe, regular and responsible migration and mobility of people (SDG 10.7.2).</p> <p><u>Associated GERF Level 3 indicators</u>:</p> <p>3.3 Amount and share of EU-funded external assistance contributing to strengthening investment climate</p> <p>3.7 Amount and share of EU-funded external assistance directed towards migration and forced displacement-related interventions</p> <p>3.13 Number and share of EU- external interventions promoting gender equality and women’s empowerment</p> <p>3.14 Number and share of EU-funded external interventions promoting disability inclusion</p> <p>3.15 Amount and share of EU-funded external assistance directed towards reducing inequalities</p> <p>3.16 Amount and share of EU-funded external assistance qualifying as ODA</p>
3. Policy context and Rationale
<p>Article 7 of Protocol 19 of the Treaty on European Union (TEU) and the Treaty on the Functioning of the European Union (TFEU) establish that "for the purposes of the</p>

negotiations for the admission of new Member States into the European Union, the Schengen acquis and further measures taken by the institutions within its scope shall be regarded as an acquis which must be accepted in full by all States candidates for admission".

The general objective of IPA III laid down in Article 3 of the IPA III Regulation is to support the candidate and potential candidate countries in adopting and implementing the political, institutional, legal, administrative, social and economic reforms required to comply with the EU values and to progressively align to the EU rules, standards, policies and practices (the 'acquis') with a view to future EU membership thereby contributing to mutual stability, security, peace and prosperity.

"In complementarity with the Integrated Border Management Fund, IPA III assistance will also focus on increasing operational capacities, fostering further compliance of law enforcement institutions with rule of law and good governance principles, and stepping up international police cooperation. [...] IPA III will work towards supporting the development of systems that could enhance information and data exchange at regional level. This includes the establishment of National Coordination Centres for Border Control (NCCs) in line with EU/Schengen acquis (the EUROSUR framework) and a regional Western Balkans network between them. Moreover, IPA III will also support the establishment and deployment of interoperable national biometric registration/data sharing systems that can facilitate exchange of information/data between Western Balkans partners, and could be connected to EU systems, such as Eurodac, upon accession to the EU. With regard to the right to asylum, IPA III beneficiaries will receive support to strengthen and develop their capacity to examine applications for international protection [...] as well as efficient referral mechanisms. [...] It is also important to develop integration strategies and programmes for beneficiaries of international protection; as well as information campaigns and other initiatives to address negative public attitudes towards migrants and refugees. [...] In the area of legal migration, the beneficiaries will be eligible receive support to implement temporary and circular migration for specific professions, [and] mitigating measures to manage the possible negative effects of emigration from IPA III benefiting countries will be supported, while also engaging diaspora from the region to support the socio-economic development of their home countries" (IPA III Programming Framework, pp. 17-18).

One of the objectives of the NDICI laid down in Article 27 of the Regulation is "to support the implementation of the European Neighbourhood Policy [...] and the implementation of regional cooperation frameworks, such as cross-border cooperation, transnational and maritime cooperation as well as the external aspects of relevant macro-regional and sea basin strategies and policies in the eastern and southern neighbourhood..."

4. Logframe inclusion

If an intervention generates the result measured by this indicator, then it must be reported in OPSYS. Corporate targets have been set for the indicators used to monitor the Strategic Plan and the Multiannual Financial Framework (see Section 9). Progress towards these targets is reported annually in the Annual Activity Plan (for the

Strategic Plan) and the Programme Performance Statements (for the Multiannual Financial Framework). These values are calculated by aggregating the results reported in OPSYS. These reports ultimately contribute to the Annual Management Performance Report submitted by the European Commission to the Council and Parliament during the annual budgetary discharge procedure. If targets are not met, explanations must be provided. Therefore, it is crucial that all results are recorded in OPSYS.

There are two ways of doing this:

1. Include the indicator directly in the logframe (recommended approach);
2. Match the indicator to the closest logframe indicator (only if the indicator was not originally included in the logframe and modification is not possible).

Why? The matching functionality in OPSYS only accommodates reporting current values and does not yet support encoding baselines and targets. This is a significant drawback because targets are a valuable piece of information, especially at the beginning of a Multiannual Financial Framework. Indeed, results take time to materialise as they are the last step in the chain, appearing only after programming, commitments, contracting, and spending have occurred. Targets allow to see what results are expected long before they materialise, which is reassuring to the different stakeholders concerned with accountability. **Therefore, include all corporate indicators directly in the logframe whenever possible, and reserve the matching functionality only for cases when this is not feasible.**

5. Values to report

The following values must be determined in line with the definitions provided in Section 6.

Baseline value: the value measured for the indicator in the baseline year. The baseline value is the value against which progress will be assessed.

Current value:

- **For logframe indicators:** the most recent value for the indicator at the time of reporting. The current value includes the baseline value which is reported separately for logframe indicators in OPSYS.
- **For matched indicators:** the most recent value for the results achieved at the time of reporting since the start of implementation of the intervention. This value is obtained by taking the most recent value for the indicator at the time of reporting and subtracting off the baseline value which is not reported separately for matched indicators in OPSYS.

Current values will be collected at least once a year and reported cumulatively throughout the implementation period.

Final target value: the expected value for the indicator in the target year.

Intermediate target values (milestones). A tool has been developed in OPSYS to generate intermediate targets automatically¹.

- **For outputs:** the intermediate targets are generated using a linear interpolation between the baseline and target values because it is assumed that outputs materialise sooner and more progressively over implementation (than outcomes).
- **For outcomes:** the expected progression over the course of implementation will vary across interventions. During the creation of a logframe, the expected outcome profile must be selected (OPSYS offers four options²) and this selection triggers the generation of intermediate targets for all 30 June and 31 December dates between the baseline and target dates for all output and outcome quantitative indicators. All automatically generated intermediate targets values and dates can be subsequently modified by the Operational Manager or the Implementing Partner with the approval of the Operational Manager.

6. Calculation of values

Specify all assumptions made, list definitions for all technical terms, provide any relevant guidance on (double) counting, and include checklist for quality control.

The value for this indicator is calculated by counting the number of EU-funded interventions reporting improvement of compliance of Border and Security Systems with EU /Schengen Acquis, using the technical definitions and counting guidance provided below. Please double check your calculations using the quality control checklist below.

Technical definitions

Border and Security System: refers to the mechanisms and rules taken by one or more governments to allow the cross-border flow of legitimate trade and commerce while protecting the national security interests of states. It implies a balance between

¹ This has been done in the context of the Primary Intervention Questionnaire (PIQ) for the EAMR. Three new KPIs provide an overall assessment of ongoing interventions (current performance and future performance) and completed interventions (final performance). Scores will be calculated for all INTPA and NEAR interventions participating in the annual results data collection exercise.

- *KPI 10* reflects the relevance, efficiency and effectiveness of ongoing interventions. The information on relevance is provided by the Operational Manager's response to a question in a survey. The information on efficiency and effectiveness is provided either by the logframe data, if sufficient data is available, or the response to a question in a survey, if not.
- *KPI 11* reflects expectations regarding the most probable levels of relevance, efficiency, effectiveness and sustainability that can be achieved by ongoing interventions in the future. In this case, all the information is provided by the Operational Manager's responses to questions in a survey.
- *KPI 12* reflects the relevance, efficiency and effectiveness of completed interventions. The information on relevance is provided by the Operational Manager's response to a question in a survey. The information on efficiency and effectiveness is provided by the logframe data if sufficient data is available, or the response to a question in a survey, if not.

² a. *steady progress*: The outcomes are achieved continuously throughout implementation; b. *accelerating progress*: The outcomes are achieved towards the end of implementation; c. *no progress until end*: The outcomes are mostly achieved at the end of implementation; d. *none of the above*.

the need to maintain security against cross-border threats and the freedom of movement for persons, goods, services and commerce.

EU/Schengen Acquis: means the provisions integrated into the framework of the Union in accordance with Protocol No 19³ annexed to the Treaty on European Union (TEU) and to the Treaty on the Functioning of the European Union (TFEU), together with the acts building upon them or otherwise related to them. The details of border controls, surveillance and the conditions under which permission to enter into the Schengen Area may be granted are exhaustively detailed in the Schengen Borders Code⁴. An evaluation and monitoring mechanism to verify the application of the Schengen acquis in the Member States was set up by Regulation 2013/1053⁵.

Improvement of compliance: Candidate and potential candidate countries are not part of the evaluation and monitoring mechanism referred above. However, in the "Enlargement Package" the European Commission regularly examines the progress made by the candidate and potential candidate countries, the challenges encountered and the reforms to be addressed and sets out proposals for the way forward. These assessments are accompanied by recommendations and guidance on the reform priorities.

Counting guidance

1. If the intervention supports compliance of Border and Security Systems with EU / Schengen Acquis, then it is mandatory to include this indicator in the logframe, even though the value to be reported is zero or one. Indeed, this indicator might not be useful for monitoring purposes, but it is necessary to ensure accurate corporate reporting.
2. The beneficiary country must be a candidate or potential candidate country of the EU, and the intervention must be financed by the NDICI. The list of candidate countries currently includes Albania, Bosnia and Herzegovina, Georgia, Moldova, Montenegro, North Macedonia, Serbia, Türkiye and Ukraine. The list of potential candidate countries currently only includes Kosovo. Of these countries, only interventions in Georgia, Moldova and Ukraine could potentially be funded by the NDICI.
3. The baseline value must be zero and the target value must be one. The current value must be zero until improvements of compliance have been reported, after which the current value must be one.

Quality control checklist

1. Has the indicator been included directly in the logframe? Reserve the OPSYS matching functionality only for cases when this is not feasible.
2. If the indicator has been included directly in the logframe, does the current value *include* the baseline value? If the indicator has been matched to a logframe indicator, does the current value *exclude* the baseline value?
3. Has the intervention been implemented in a candidate or potential candidate country of the EU? Has the intervention been financed by the NDICI?

³ <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=CELEX%3A12012E%2FPRO%2F19>

⁴ Regulation (EU) 2016/399 of the European Parliament and of the Council: <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=celex%3A32016R0399>

⁵ <https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=celex%3A32013R1053>

<p>4. Have improvements of compliance been reported? If so the current value should be one and if not the current value should be zero.</p>
<p>7. Examples of calculations</p>
<p><u>Example 1</u></p> <p>The EU is supporting the Government of a candidate or potential candidate country to strengthen border security based on recommendations of the Enlargement Package that identified the need to establish an Advanced Passenger Information (API) System and a biometric migrant registration system that follows the Eurodac model, all the above in addition to increasing the accommodation capacity for migrants. Two NDICI funded interventions have been launched. The first one will seek to establish an Advanced Passenger Information System and the Eurodac's biometric migrant registration system. The second one will contribute to increase the accommodation capacities of migrants. In 2022, intervention 1 reports that the API system is in place, while intervention 2 reports that the capacity to accommodate migrants has increased by 10% from baseline. In 2023, intervention 1 reports that the Eurodac's biometric migrant registration system is in place and intervention 2 reports that the capacity to accommodate migrants has increased by 30% from baseline.</p> <p>Values to be reported for GERF 2.22:</p> <ul style="list-style-type: none"> – 2022: 2 EU funded interventions reporting improvement of compliance of Border and Security Systems with EU/Schengen Acquis (intervention 1 because the API system has been established and intervention 2 because of the 10% increase in migrant's accommodation). – 2023: 2 EU funded interventions reporting improvement of compliance of Border and Security Systems with EU/Schengen Acquis (same two interventions as in 2022 even if further progress has been made: intervention 1 reports the biometric migrant registration system in place and intervention 2 has further increased migrant's accommodation compared to the last reporting). <p>Note: Although these two interventions report new improvements, the value of indicator 1.4.1.2 remains the same because this indicator reports cumulative values, and the same interventions have already been accounted for in a previous reporting period.</p>
<p>8. Data sources and issues</p>
<p><i>Please use the data source categories specified in OPSYS.</i></p> <p><u>EU intervention monitoring and reporting systems</u>: <i>Progress and final reports for the EU-funded intervention; ROM reviews; Baseline and endline surveys conducted and budgeted by the EU-funded intervention.</i></p> <p><i>Include any issues relating to the availability and quality of the data.</i></p>
<p>9. Reporting process & Corporate reporting</p>
<p>The data collected on this indicator will be reported in OPSYS by the Implementing Partner. The values encoded in OPSYS will be verified, possibly modified and ultimately validated by the Operational Manager. Once a year the results reported will be frozen for corporate reporting. The methodological services in HQ that are</p>

responsible for GERF corporate reporting will perform quality control on the frozen data and aggregate as needed to meet the different corporate reporting requirements.

This indicator is used for corporate reporting in the following contexts:

- *NDICI via the Annual Report*
- *NDICI via the Programme Statements*
- *INTPA Strategic Plan via the Annual Activity Report*
- *NEAR Strategic Plan via the Annual Activity Report*
- *FPI Strategic Plan*

This indicator has been included in the following other Results Measurement Frameworks:

- *EFSD+*
- *GAP III*
- *IPA III*
- *TEI-MORE*

10. Other uses

11. Other issues