

## IPA III Results Framework Indicator Methodology Note

1. Indicator code and name
<b>IPA III RF 1.4.1.2:</b> Number of EU funded interventions reporting improvement of compliance of Border and Security Systems with EU/Schengen <i>Acquis</i>
2. Technical details
<p><b><u>OPSYS and Results Dashboard code:</u></b> 65239 .</p> <p><b><u>Unit of measure:</u></b> Number of (#).</p> <p><b><u>Type of indicator:</u></b> <i>Quantitative: Numeric; Actual (ex-post); Cumulative (not annual).</i></p> <p><b><u>Level of measurement:</u></b> This is an <b>outcome</b> indicator. It would logically be associated with an outcome such as "Strengthened management of border security in line with the EU <i>Acquis</i>".</p> <p><b><u>Disaggregation:</u></b> Not applicable</p> <p><b><u>DAC sector codes:</u></b> 15210</p> <p><b><u>Main associated SDG:</u></b> <b>SDG 16</b> - Peace, Justice and Strong institutions.</p> <p><b><u>Other associated SDGs:</u></b> n/a.</p> <p><b><u>Associated IPA III Level 1 indicator:</u></b></p> <ul style="list-style-type: none"> <li>• Number of countries with migration policies that facilitate orderly, safe, regular and responsible migration and mobility of people (source: SDG 10.7.2) (Ind. 1.4.1).</li> </ul> <p><b><u>Associated IPA III Level 3 indicators:</u></b> none.</p>
3. Policy context and Rationale
<ul style="list-style-type: none"> <li>• <b>IPA III PF:</b> This indicator is included in IPA III Results Framework for its relevance to <b>Window 1</b> Rule of law, Fundamental rights and Democracy, <b>Thematic Priority 4:</b> Migration and Border Management.</li> <li>• <b>Chapters of the <i>Acquis</i>:</b> The main concerned chapter of the EU <i>acquis</i> under this section are in cluster 1 (Fundamentals), which includes <b>Chapter 23</b> (Judiciary and Fundamental Rights) and <b>Chapter 24</b> (Justice, Freedom and Security).</li> <li>• This indicator is was also included in the previous <b>IPA II Performance framework</b>, as <b>IPA PF 2.14 (2020):</b> "<i>Number of EU funded Interventions reporting improvement of compliance of Border and Security Systems with EU /Schengen Acquis</i> "; and corresponds to the <b>Global Europe Results Framework, GERF indicator 2.22.</b></li> </ul>

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 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)

#### 4. Values to report

All of the following values must be determined according to the definitions provided in Section 5 below.

**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:** The most recent value measured for the indicator by the time of reporting. Current values will be collected at least once a year and reported cumulatively across the whole 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 automate the generation of intermediate targets<sup>1</sup>.

- **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 options<sup>2</sup>) 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.

## 5. Calculation of values

The value for this indicator is calculated by counting the **number of interventions**, 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 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 19](#)<sup>3</sup> 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

<sup>1</sup> This has been done in the framework of the Primary Intervention Questionnaire for the EAMR. Three KPIs have been developed to provide an overall assessment of the ongoing interventions' current implementation and future prospects, and the 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 already achieved by the ongoing intervention. 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 sufficiently 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 to be achieved by the ongoing intervention 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 already achieved by the completed intervention. 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 sufficiently available, or the response to a question in a survey, if not.

<sup>2</sup> a. Constant: The outcomes are achieved continuously throughout implementation; b. Accelerating: The outcomes are achieved towards the end of implementation; c. At the end: The outcomes are mostly achieved at the end of implementation; d. None of the above.

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

conditions under which permission to enter into the Schengen Area may be granted are exhaustively detailed in the [Schengen Borders Code](#)<sup>4</sup>. An evaluation and monitoring mechanism to verify the application of the Schengen acquis in the Member States was set up by [Regulation 2013/1053](#)<sup>5</sup>.

- **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.
- **Intervention:** For purposes of this indicator the number of interventions is taken to be the number of primary interventions, as defined by EU services.
- **EU funded interventions** are interventions financed in full or in part by IPA III

#### Counting Guidance

- **Data calculation and reporting:** The starting point for the counting for this indicator will be the universe of primary IPA III funded interventions that support the implementation of the recommendations set out in the Enlargement Package in relation with Border Security and the EU Schengen Acquis and that achieve the objectives for which the recommendations were issued; and within this universe, the sum of all new interventions reporting improvement of compliance of Border and Security Systems with EU/Schengen Acquis as per definitions provided in section 3 of this note. Reporting will typically take place yearly. Current values will be cumulative across the financing period.
- **Possible double-counting:** There a risk of double counting when the same intervention supports the same improvement over several reporting periods. To avoid this, the same intervention must be reported only once against the relevant indicator even when the results achieved have been improved from those previously reported.

#### Quality Control Checklist

1. Has double counting been avoided as indicated in the Counting Guidance above?
2. Has the baseline and final target been encoded with the right dates?
3. Did you encode the latest current value available?
4. Did you use the comment box to inform on the values encoded?

#### 6. Examples of calculations

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 IPA III 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.

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

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

Values to be reported for indicator 1.4.1.2:

**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).

**Notes:**

- Although these two interventions report new improvements, the value of indicator 1.4.1.2 remains the same because this indicator reports cumulatively and the same interventions have already been accounted for in a previous reporting period.
- It is recommended that the specific logframes of the concerned primary interventions include an indicator such as the "*Number of measures implemented to improve compliance of Border and Security Systems with EU/Schengen Acquis*" that can provide more specific information about the improvements made at the intervention level.

## 7. Data sources and issues

**Data sources in the logframe:**

- Data for this indicator must derive directly from the intervention, i.e. intervention internal monitoring and reporting systems from implementing organisations (e.g. governments, international organisations, non-state actors).
- Other possible sources include studies carried out in the framework of the interventions and external monitoring and/or evaluation reports.

**Data source categories specified in OPSYS:**

- EU intervention monitoring and reporting systems (Progress and final reports for the EU-funded intervention; Baseline and endline surveys conducted and budgeted by the EU-funded intervention ; ROM reviews)

## 8. Reporting process &amp; Corporate reporting

## Who is responsible for collecting and reporting the data?

- The implementing partner (i.e. the entity responsible for delivering the results) will need to ensure the counting starts at the lowest level of intervention and is reported upwards and aggregated for the entire intervention in the framework of regular monitoring and reporting systems.
- Data verification:
  - For indirect management by beneficiary countries, the National IPA Coordinator will verify the data.
  - For other modes of implementation, the Operational Manager in HQs/EUD will verify the data.
- The Operational Manager in the relevant service (EU HQs/EUD) will verify the data.
- It is then the responsibility of DG NEAR to centrally receive and verify data for this indicator from all relevant interventions and to eventually ensure aggregation within and across all IPA Beneficiary countries.

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

- *IPA III via the Annual Report*

- *NEAR Strategic Plan via the Annual Activity Report*

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

- *NDICI (GERF 2.22)*

#### 9. Other uses

**IPA III RF 1.4.1.2** can be found in the following groups of EU predefined indicators available in OPSYS, along with other related indicators:

- GE RF - Level 2 (GERF L-2);
- IPA III RF Window 1: Rule of law, fundamental rights and democracy (IPA III W1);
- IPA Performance Framework (IPA PF 2);
- NEAR GERF L2 (GERF 2)

For more information, see: [Predefined indicators for design and monitoring of EU-funded interventions | Capacity4dev \(europa.eu\)](#)

#### 10. Other issues

None