

IPA III Results Framework Indicator Methodology Note

1. Indicator code and name
IPA III RF 1.7.1.5: Number of initiatives led by civil society and supported by the EU
2. Technical details
<p><u>OPSYS and Results Dashboard code:</u> 17114.</p> <p><u>Unit of measure:</u> Number of (#)</p> <p><u>Type of indicator:</u> <i>Quantitative; Numeric; Actual (ex-post); Cumulative (not annual).</i></p> <p><u>Level of measurement</u> This is an output or outcome indicator, depending on whether the intervention in question has been designed together with the civil society organisation (CSO), and/or is implemented by it (in which case it is an output indicator), or if the intervention aims to developed capacities of civil society organisations (the increased capacities of civil society actors would be the output – civil society is the target group) and at a higher level, the civil society organisations whose capacities have been strengthened then carry out initiatives (outcome level as it represents a change in behaviour of the target group).</p> <p><u>Disaggregation:</u></p> <ul style="list-style-type: none"> • Where relevant the initiatives can be disaggregated by: i) type of CSO that implements the set of activities (International NGO, national NGO, community-based organisation, social movement, other); ii) by sector within which the initiatives take place. • At programme/window level, disaggregation is possible by IPA beneficiary. <p><u>DAC sector codes:</u> 15110; 15111; 15112; 15113; 15114; 15125; 15130; 15142; 15150; 15151; 15152; 15153; 15160; 15170; 15180; 15190</p> <p><u>Main associated SDG:</u></p> <ul style="list-style-type: none"> • <i>SDG 16: Governance, Peace and Security, more specifically targets 16.6 Develop effective, accountable and transparent institutions at all levels and 16.7 Ensure responsive, inclusive, participatory and representative decision-making at all levels.</i> <p><u>Other associated SDGs:</u></p> <ul style="list-style-type: none"> • <i>SDG 17: Partnerships for the goals; Target 17.17 Encourage and promote effective public, public-private and civil society partnerships, building on the experience and resourcing strategies of partnerships.</i> <p><u>Associated IPA III Level 1 indicator:</u> Civil Society Participation Index (Source: sub-index of Participatory Component Index – [V-Dem]) (Ind. 1.7.1) .</p> <p><u>Associated IPA III Level 3 indicators:</u> none.</p>
3. Policy context and Rationale
<ul style="list-style-type: none"> • IPA III PF: This indicator is included in IPA III Results Framework for its relevance to Window 1 Rule of law, Fundamental rights and Democracy – Thematic priority 7 Civil society. It specifically relates to the Specific Objectives “<i>to strengthen CSOs skills and</i>

capacities” and “to increase CSOs’ role in decision and policy making in partnership with public authorities based on trust and mutual recognition and around common interests”

- **Chapter of the Acquis:** The indicator cuts across the EU Acquis chapters and political priorities. It responds especially to the fundamentals of Political Criteria and Rule of Law within the Accession Process, and within this, particularly “Democracy”.
- This indicator corresponds what was previously indicator **2.10** in the (updated) **IPA Performance framework** “Number of initiatives led by civil society and supported by the EU” (no note was developed for this indicator).
- The rationale for this indicator partly derives from the DG NEAR Guidelines for EU Support to Civil Society in the Enlargement Region 2021-2027 (see link above). These guidelines are, among others, based on the EU Rule of law Acquis (Chapter 23 “Judiciary and fundamental rights” and Chapter 24 “Justice, freedom and security”). They outline the importance for CSOs to be able to have an “*evidence-based involvement in policy- and decision-making processes*”.
- The Treaty on European Union (Article 49) establishes that any European State which respects and is committed to promoting the EU’s fundamental values may apply to become a member of the Union. An empowered civil society plays an important role in ensuring that these principles are upheld in practice and is a crucial component of any democracy.
- Civil society can make a substantial contribution to addressing these fundamental values, through advocacy, monitoring, innovation, services, and oversight activities. CSOs are essential partners in achieving longer-term transformative societal change. They can make a direct contribution when they work in partnership with the parties developing and implementing public policy, i.e. public authorities. This indicator measures the extent to which this actually happens in the framework of, and as a result of, EU/IPA support.

4. Values to report

- **Reporting values in the logframe:**
 - **Baseline value:** The value assumed by the indicator at time t0, against which progress will be assessed.
 - **Reporting of current value** is done at least once a year: actual latest value on the total number of initiatives by the time of reporting and according to the applicable definitions provided in section 5 of the note. Values will be reported cumulatively across the whole implementation period.
 - **Final target value:** estimated total number of initiatives by the target year and according to the applicable definitions provided in section 5 of the note.
- **Intermediate targets (milestones).** A tool has been developed in OPSYS to automate the generation of intermediate targets¹.

¹ This has been done in the framework of the **Intervention Performance Assessment**. Two composite indicators have been developed to provide an overall assessment of an intervention’s current implementation and future prospects. These scores will be calculated for all NEAR interventions participating in the annual results data collection exercise.

- The **implementation score** reflects the relevance, efficiency and effectiveness already achieved by the 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.
- The **risk score** reflects expectations regarding the most probable levels of relevance, efficiency, effectiveness and sustainability to be achieved by the intervention in the future. In this case, all the information is provided by the Operational manager’s responses to questions in a survey.

- 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.

5. Calculation of values

The value for this indicator is calculated by counting the **Number of initiatives**, using the Technical Definitions and Counting Guidance provided below. Please double check your calculations using the Quality Control Checklist below.

Technical Definitions

- The definition of CSO follows the 2012 **EU Communication on Europe's engagement with Civil Society in external relations**. The EU considers CSOs to include all non-State, not-for-profit structures, non-partisan and non-violent, through which people organise to pursue shared objectives and ideals, whether political, cultural, social or economic. Operating from the local to the national, regional and international levels, they comprise urban and rural, formal and informal organisations. The EU values CSOs' diversity and specificities; it engages with accountable and transparent CSOs which share its commitment to social progress and to the fundamental values of peace, freedom, equal rights and human dignity.
- In the framework of this indicator, an **initiative** is defined as a plan/strategy (a set of decisions, measures) or a process (a series of acts taken to achieve a result). Initiative is not to be intended as a synonym of an intervention (project or programme, or a policy).
- The large number of fields of activity of civil society means their initiatives can feature in a wide variety of EU interventions. They can include (but are not limited to) those aimed:
 - to further participatory democracy
 - to promote and monitor an enabling environment for CSOs
 - to address issues that do not receive adequate consideration within national policies but are key to social progress and reflect human rights concerns as well as sustainable development issues
 - to promote equitable and sustainable growth
 - to impact on local economy or to monitor repercussions of national and international economic policies
 - to combine social and economic ambitions, in sectors such as rural development, food security, tourism and culture, environment and energy, among others.
- See for more background: <https://neighbourhood-enlargement.ec.europa.eu/system/files/2022-11/EU-Guidelines-for-Support-to-Civil-Society-in-the-Enlargement-region-2021-2027.pdf>

Counting Guidance

² 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.

- This indicator does not count civil society initiatives in general: but only those that involve EU support.
- Double counting of initiative is to be avoided. If the same initiative was supported by more than one EU intervention (e.g. because they involved different elements of the initiative), it will have to be counted only once.

Quality Control Checklist

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

6. Examples of calculations

- In a country A, an EU intervention under direct management supports grants to CSOs in the fields of participatory development and good governance. To this end, the intervention provides additional funding to an existing scheme (which has supported already 30 CSO-led projects) to strengthen the capacity of CSOs to provide input to a range of policy proposals. This enables the scheme to raise the number of participating CSOs from 60 in three succeeding years. The CSOs are invited to propose their own initiatives as part of the policies under development.
- So, the baseline here is: 0 (there was an existing scheme, but it was not EU supported)
- At end of Year 1: 60 CSO-led projects are supported.
- At end of Year 2: 60 (more) CSO-led projects are supported.
- At end of Year 3: 60 (more) CSO-led projects are supported.
- The target set for the “EU” intervention is $\text{baseline} + 180 = 180$.
- At reporting three months through Year 3 the (current) situation is found to be:
 - 38 – this refers to 38 CSO led projects funded in Year 3 to the end of March.
- At the same time, it can be observed that the aggregate score against this indicator at this point is:
 - $\text{Baseline (0)} + 60 + 60 + 38 = 158$, still a little short of the target value.....

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:

- Civil society and academic reports (Civil society reports and estimates);
- EU intervention monitoring and reporting systems (Progress and final reports for the EU-funded intervention; ROM reviews)

8. Reporting process & 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.
- 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 Beneficiaries.

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

- IPA III via the Annual Report

9. Other uses

IPA III RF. 1.7.1.5: can be found in the following groups of EU predefined indicators available in OPSYS, along with other related indicators:

- IPA III RF Window 1: Rule of law, fundamental rights and democracy (IPA III W1);
- IPA Performance Framework (IPA PF 2)

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

10. Other issues

None