

## IPA III Results Framework Indicator Methodology Note

1. Indicator code and name
<b>IPA III RF 2.2.1.2:</b> Number of institutions which apply personnel plans in accordance with regulations
2. Technical details
<p><b><u>OPSYS and Results Dashboard code:</u></b> 260234.</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 indicator can be used assess the <b>outcome (direct influence)</b> of a standard capacity development intervention funded by IPA. It could also be used to assess an <b>induced output</b> from a <b>budget support</b> intervention i.e. an output produced by the beneficiary government directly induced by the provision of EU budget support.</p> <p><b><u>Disaggregation:</u></b></p> <ul style="list-style-type: none"> <li>• The indicator can be disaggregated by the level of public institution (national, regional or local public services)</li> <li>• At programme/window level, disaggregation is possible by IPA beneficiary</li> </ul> <p><b><u>DAC sector codes:</u></b> 15110; 15111; 15112; 15113; 15114; 15125; 15130; 15142; 15150; 15151; 15152; 15153; 15160; 15170; 15180; 15190</p> <p><b><u>Main associated SDG:</u></b> <b>SDG 16:</b> Governance, Peace and Security.</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>• Extent of public service and human resource management improvement (source: SIGMA Assessment) (Ind. 2.2.1) .</li> </ul> <p><b><u>Associated IPA III Level 3 indicators:</u></b></p> <ul style="list-style-type: none"> <li>• Amount and share of EU-funded external assistance directed towards fragile states</li> <li>• Share of EU-funded external interventions responding to situations of a new and/or emerging crisis.</li> </ul>
3. Policy context and Rationale
<ul style="list-style-type: none"> <li>• <b>IPA III PF: Window 2</b> Good governance, EU acquis alignment, good neighbourly relations and strategic communication – <b>Thematic priority 2</b> Administrative capacity and EU acquis alignment.</li> <li>• The indicator cuts across the <b>EU Acquis chapters</b> and political priorities (Copenhagen criteria) as public administration reform is considered a horizontal accession theme.</li> <li>• The indicator broadly relates to <b>OECD SIGMA<sup>1</sup></b> Principles for Public Administration <b>indicator 3.2.1</b> (Adequacy of the policy, legal framework and institutional set-up for</li> </ul>

<sup>1</sup> Principles of Public Administration for EU candidate countries and potential candidate. See <https://www.sigmaweb.org/publications/Methodological-Framework-for-the-Principles-of-Public-Administration-May-2019.pdf>

professional human resource management in public service) sub-indicator 6 “Professionalism of HRM units in civil service bodies”.

- A well-functioning and de-politicised public administration is necessary for democratic governance. The governments’ ability to ensure coherent application of rules, procedures, standards and human resources management across public administration at central, regional and local level has a direct impact on the quality of sector policies, public services, and ultimately competitiveness and growth. As a key part of the Copenhagen criteria, IPA beneficiaries need to bring their legislation in line with the EU policies and the EU Acquis and to ensure the required administrative capacity. This is crucial for the EU accession and successful participation in the internal market.
- Effective administrative and institutional capacity does not only require legal expertise for EU Acquis alignment, setting up specific sector institutions required by the EU Acquis, and ensuring staff to implement new policies and legislation. It also requires that sector institutions operate under the same standards, rules and procedures that the governments have either already adopted or are committed to adopt under ongoing public administration reform efforts.
- This indicator should allow the assessment of improvements in the functioning of governmental institutions and reform efforts in terms of their efficiency, effectiveness and transparency.
- As this indicator measures a cross-sectoral issue, it does not have an explicit linkage to any Acquis chapter and it could be used in the context of any public body or service whose reform is required by any Acquis chapter.

#### 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 institutions 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 institutions 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 targets<sup>2</sup>.

<sup>2</sup> 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 options<sup>3</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 institutions**, using the Technical Definitions and Counting Guidance provided below. Please double check your calculations using the Quality Control Checklist below.

##### Technical Definitions

- **Institution** is defined as any government entity (central/regional/local) with decision making and budgetary powers i.e. any part of the public service.
- **Personnel plans** are defined as any official internal document of the abovementioned institution that defines and outlines key staff levels and functions as well as the processes related to the recruitment, employment, performance appraisal, remuneration, promotion, learning and development, disciplining of its employees (full-time, part-time, temporary etc) in a public service entity of a given IPA beneficiary.
- It is assumed that the institution in question has been the **beneficiary of EU/IPA-funded assistance** specifically in relation to the development of personnel plans.
- **Regulations** are considered to be official legal frameworks (legislation, official procedures, approved internal regulations) of the IPA beneficiary that establish the basis for human resource management (HRM) in the respective public service entity
- This indicator can be used to assess progress in **public administration reform (PAR)** efforts in an IPA Beneficiary, especially if it refers to a single plan for an entire public service. Typically, a national civil service may have an over-arching personnel plan, though these may also exist for individual ministries and agencies as well.

##### Counting Guidance

- The plan in question should have been developed using IPA assistance. Other plans developed independently of IPA support should NOT be counted.
- Note that, in order to avoid double counting, an applied personnel plan will be counted only once, i.e. in the year in which it is initially implemented. The fact that it continues over the years to be implemented is not counted.

##### 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?

<sup>3</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.

<p>4. Did you encode the latest current value available?</p> <p>5. Did you use the comment box to inform on the values encoded?</p>
<p>6. Examples of calculations</p>
<ul style="list-style-type: none"> <li>• In Country A, as part of public administration reform, all ministries are obliged to draw up and apply personnel plans from 2022 onwards.</li> <li>• Since these plans are new, a Twinning project supports four ministries to develop such plans during 2022 and 2023. Implementation of the plans starts in 2023 for 3 ministries. In 2024 a further ministry applies its plan.</li> <li>• This can be reported accordingly in the intervention as follows (in brackets the cumulative values): <ul style="list-style-type: none"> <li>- Baseline: Start 2022 = 0</li> <li>- End 2022 = 0</li> <li>- End 2023 = 3 - it is only at this stage that application of the personnel plans actually starts.</li> </ul> </li> </ul> <p>End 2024 = 4 - we count the plan that is implemented for the first time (4 = 3 end of 2023 + 1 end of 2024).</p>
<p>7. Data sources and issues</p>
<p><b>Data Sources in the logframe:</b></p> <ul style="list-style-type: none"> <li>• 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).</li> <li>• Other possible sources include studies carried out in the framework of the interventions and external monitoring and/or evaluation reports.</li> </ul> <p><b>Data source categories specified in OPSYS:</b></p> <ul style="list-style-type: none"> <li>• EU intervention monitoring and reporting systems (Progress and final reports for the EU-funded intervention)</li> </ul>
<p>8. Reporting process &amp; Corporate reporting</p>
<p>Who is responsible for collecting and reporting the data?</p> <ul style="list-style-type: none"> <li>• 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.</li> <li>• Data verification: <ul style="list-style-type: none"> <li>○ For indirect management by beneficiary countries, the National IPA Coordinator will verify the data.</li> <li>○ For other modes of implementation, the Operational Manager in HQs/EUD will verify the data.</li> </ul> </li> <li>• 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</li> </ul> <p>This indicator is used for corporate reporting in the following contexts:</p>

<ul style="list-style-type: none"><li>• <i>IPA III via the Annual Report</i></li></ul>
9. Other uses
<p><b>IPA III RF 2.2.1.2</b> can be found in the following groups of EU predefined indicators available in OPSYS, along with other related indicators:</p> <ul style="list-style-type: none"><li>• <b>IPA III RF Window 2: Good governance, EU acquis alignment, good neighbourly relations and strategic communication (IPA III W2)</b></li></ul> <p>For more information, see: <a href="#">Predefined indicators for design and monitoring of EU-funded interventions   Capacity4dev (europa.eu)</a></p>
10. Other issues
None