

## IPA III Results Framework Indicator Methodology Note

### 1. Indicator code and name

**IPA III RF 3.0.0.1:** Number of public policies to further align with EU directives and regulations under the acquis - respective Chapters A) developed/revised or B) under implementation (of which those that include gender equality objectives).

### 2. Technical details

**OPSYS and Results Dashboard code:** 260839, 260840

Unit of measure: Number of (#)

Type of indicator: *Quantitative: Numeric; Actual (ex-post); Cumulative (not annual).*

Level of measurement: This is an **outcome** indicator. It would logically be associated with an outcome such as "Policy and regulatory framework is upgraded/implemented in line with EU *Acquis*".

Disaggregation:

The indicator is to be disaggregated according to:

- a) developed/revised or
- b) under implementation with EU support.

Within each category above, the indicators must also be disaggregated by:

- Those that include gender equality objectives/don't include gender equality objectives
- By negotiating Chapters of the *Acquis*-Decision or Regulation.

Furthermore, where relevant / possible, please disaggregate according to the level of implementation:

- Fully implemented
- Partially implemented
- Initial stage of implementation

Any other disaggregation should be agreed with the relevant ministry or IP in advance.

DAC sector codes:

15110; 15111; 15112; 15113; 15114; 15125; 15130; 15142; 15150; 15151; 15152; 15153; 15160; 15170; 15180; 15190

Main associated SDG: **SDG 5-** Achieve gender equality and empower all women and girls, **SDG 6** - Ensure availability and sustainable management of water and sanitation for all, **SDG 7** - Affordable and clean energy, **SDG 8** - Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all, **SDG 9** - Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation, **SDG 11** - Sustainable cities and communities, **SDG 12:** Ensure sustainable consumption and production patterns, **SDG 13** - Climate Action, **SDG 14** - Conserve and sustainably use the oceans, seas and marine resources for sustainable development and **SDG 15** - Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss. .

Other associated SDGs: all listed above.

Associated IPA III Level 1 indicator:

- Composite indicator on Union acquis alignment (source: European Commission - – Enlargement Reports) (Ind. 1.0.2, same indicator presented under Window 1, OO & Window 2 – OO & TP2)

Associated IPA III Level 3 indicators: .

- Amount and share of EU-funded external assistance contributing to: (a) climate change (adaptation and mitigation), (b) protecting biodiversity, c) combating desertification, (d) protecting the environment (Aid to Env)
- Amount and share of EU-funded external assistance directed towards digitalization
- Leverage of EU blending and guarantee operations financed by EU external assistance, measured as: (a) Investment leverage ratio, (b) Total eligible financial institution financing leverage ratio, (c) Private financing leverage ratio
- Number and share of EU- external interventions promoting gender equality and women's empowerment

## 3. Policy context and Rationale

- **IPA III PF: Window 3** - Green Agenda and Sustainable Connectivity, **Overall Objectives:** to promote the green agenda by reinforcing environmental protection, contributing to mitigation, increasing resilience to climate change, accelerating the shift towards a low-carbon and circular economy and develop the digital economy and society.
- **Chapters of the Acquis:** The indicator cuts across the various *Acquis* chapters. The main concerned chapters of the EU acquis under this section are **chapter 7** (Intellectual property rights), **chapter 10** (Information society and media), **chapter 14** (Transport policy), **chapter 15** (Energy), **chapter 21** (Trans-European networks), and **chapter 27** (Environment and climate change), distributed in clusters 2 (Internal Market), 3 (Competitiveness and Inclusive Growth) and 4 (Green agenda and sustainable connectivity).
- The indicator is very similar to the **EFSD+ Cross-Sector Ind. 24** (and is also presented under the various Investment windows with varying numbers): *'Number of relevant public policies A) developed/revised, and/or B) under implementation with EU support (of which number of those that include gender equality objectives)'*
- The general objective of IPA III laid down in Article 3 of the [IPA III Regulation](#) is to support the candidate or 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.

## 4. Values to report

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

- **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 policies by the time of reporting and according to the applicable

<p>definitions provided in section 5 of the note. Values will be reported cumulatively across the whole implementation period.</p> <ul style="list-style-type: none"> <li>– <b>Final target value:</b> estimated total number of policies by the target year and according to the applicable definitions provided in section 5 of the note.</li> <li>• <b>Intermediate targets (milestones).</b> A tool has been developed in OPSYS to automate the generation of intermediate targets<sup>1</sup>. <ul style="list-style-type: none"> <li>– 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).</li> <li>– 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.</li> </ul> </li> </ul>
5. Calculation of values
<p>The value for this indicator is calculated by counting the <b>Number of policies</b>, using the Technical Definitions and Counting Guidance provided below. Please double check your calculations using the Quality Control Checklist below.</p> <p><u>Technical Definitions</u></p> <ul style="list-style-type: none"> <li>• <b>Public policies.</b> For the purpose of this indicator, public policies are understood in a broad manner, including Government programmes, strategies and legislations at national or sub-national levels. They include sector or crosscutting reform strategies (including the Government Programme), annual and multi-annual budget and primary and secondary legislation. Sub-national refers to any government entity below the national level, regardless of the political, financial and administrative design of the country</li> <li>• <b>EU Acquis<sup>3</sup>:</b> the collection of common rights and obligations that constitute the body of EU law and is incorporated into the legal systems of EU Member States. The adoption and implementation of the <i>Acquis</i> are the basis of the accession negotiations. The EU <i>Acquis</i> evolves continuously over time and includes:</li> </ul>

<sup>1</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.

<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/EN/legal-content/glossary/acquis.html>

- the content, principles and political objectives of the EU Treaties;
- any legislation adopted to apply those treaties and the case-law developed by the Court of Justice of the European Union;
- declarations and resolutions that are adopted by the EU;
- measures in the fields of common foreign and security policy and justice and home affairs;
- international agreements that the EU concludes, and agreements concluded among the Member States themselves with regard to the EU's activities.
- **Alignment with EU directives and regulations under the *Acquis*** as foreseen in the negotiating frameworks, the European Commission's reports prepared in the framework of the annual Enlargement Package, the Economic Reform Programmes (ERPs) and the national plans or programmes for the adoption of the EU *Acquis* in each candidate or potential candidate country.
- **Chapters of the *Acquis***: the collection of common rights and obligations encompassing the EU *Acquis* is clustered in enlargement negotiating chapters which are described [here](#)<sup>4</sup>. The relevant chapters for this indicator are described in section 2 of this note.
- **Gender equality objective**: Equality between men and women is a fundamental principle of the European Union. EU gender equality law is aimed at eliminating inequalities, and promoting equality, between men and women (Articles 2 and 3(3) TEU and 8 TFEU) and combatting discrimination based on sex (Articles 10 and 19 TFEU)<sup>5</sup>. Gender equality implies that the interests, needs and priorities of both women and men are taken into consideration, thereby recognising the diversity of different groups of women and men. Gender equality is achieved when women, men, girls and boys reach equal rights, conditions and opportunities, and the power to shape their own lives and contribute to the development of society. It is a matter of equitable distribution of power, influence and resources in society. Public policies, that are designed to address well-identified gender equality objectives can be defined as<sup>6</sup>:
  - Policies and programmes that specifically target only women and/or girls. For example, a government programme that provides scholarships for girls only or a National Action Plan on Gender Equality;
  - Policies and programmes that target both women or girls and men or boys and have gender equality as the primary objective. For example, a national law against gender violence, or an on-the-job training policy on gender equality;
  - Policies and programmes where gender equality is not the primary objective but the policy includes actions to close gender gaps. These policies/programmes could include specific provisions on infrastructure, public services and social protection. For example, an infrastructure programme that has a provision for using women labour, or a public transportation programme that takes into consideration the mobility needs of women in its design;
  - When the policy under consideration for this indicator is a budget, the requirement is that sufficient resources to cover the costs of meeting all the gender equality objectives of the policy/programme is included in the budget rather than from off-budget sources.

#### Counting Guidance

- A policy may be reported within the intervention according to successive stages of (a) development/revision and (b) implementation. Note that in such case, the reporting is done under two different indicators a) first, and then b).

<sup>4</sup> [https://neighbourhood-enlargement.ec.europa.eu/enlargement-policy/conditions-membership/chapters-acquis\\_en](https://neighbourhood-enlargement.ec.europa.eu/enlargement-policy/conditions-membership/chapters-acquis_en)

<sup>5</sup> European Commission, Directorate-General for Justice and Consumers, Burri, S., EU gender equality law: update 2018, Publications Office, 2018, <https://data.europa.eu/doi/10.2838/673175>

<sup>6</sup> Adaptation from methodological note of SDG Indicator 5.c.1. "Proportion of countries with systems to track and make public allocations for gender equality and women's empowerment". <https://unstats.un.org/sdgs/metadata/?Text=&Goal=&Target=5.c>

- **Possible double-counting:** There is some risk of double counting when the intervention supports the same reform and same stage over several reporting periods. To avoid this, the same policy reform must be reported only once against the relevant indicator. There is also a risk of double counting when:
  - Within the same intervention, a policy, as per definitions provided in section 3 of this note, is further unpacked into several other instruments, plans or budgets. In this case, the number of policies will be considered as being part of an overarching policy and must be accounted for just once.
  - Within the same intervention, a policy, is under implementation with the support of the EU and, as part of the implementation of the policy, some other items which may qualify as policies as per definition in section 3 are developed/ revised. In this case, there will be no data reported against indicator 3.0.0.1.A since there is no direct support from the IPA intervention in the development/revision of these new policies.

#### 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

The EU is supporting the Government of a candidate country to rehabilitate several road sections and build a multi transportation node. These investments are part of the Economic and Investment Plan for the Western Balkans and the National Single Project Pipeline. Parallel to the construction and rehabilitation of this infrastructure, a policy reform process is underway for which the same IPA III intervention is providing advisory expertise and other eligible support. It is expected that at the end of the IPA III intervention two legislative revisions will be approved.

The first one for the mandatory installation of tachographs in vehicles used for the carriage of passengers or goods by road.

The second one to adjust the working hours and resting conditions of professional drivers of such carriage.

In addition, it is also expected that the Intervention will support the Ministry of Transports to revise the national budget for the inclusion of the necessary funds to train inspectors provisioned in the first piece of legislation.

All regulatory and budget frameworks to be revised are in line with Regulation (EC) 165/2014, which is part of Chapter 14 of the negotiating *Acquis*. In year 1, a bill to reform the use of road transport carriages has been passed. In Year 2, the second piece of legislation to conform to driver's working hours and rest conditions is also approved. By the end of the Intervention, the national budget, approved in Parliament, also includes a line for hiring and training new inspectors. Furthermore, the Intervention has supported the Ministry to draft an annual budget plan to implement the new budget. None of the policies include well defined gender equality objectives, although it was expected that the second legislation regulating the driver's working hours and rest conditions would have included provisions to address the specific needs of men and women drivers.

Values reported in the LF:

**Baseline value (Y0):** is assumed to be 0 as there is no information provided.

**Target values:**

- Indicator 3.0.0.1 A) *public policies to further align with EU directives and regulations under the Acquis - respective Chapters developed/revised [with EU support] = 2* (two legislative revisions: one for the mandatory installation of tachographs .../without gender equality objectives; the second one to adjust the working hours and resting conditions of professional drivers .../with gender equality objectives);
- Indicator 3.0.0.1 B) *public policies to further align with EU directives and regulations under the Acquis - respective Chapters under implementation [with EU support] = 1* with gender equality objectives (we assume that budget allocations are part of the implementation process).

**Values at Y2:** Indicator 3.0.0.1 A) = 1, without gender equality objectives; Indicator 3.0.0.1 B) = 0

**Values at Y3:** Indicator 3.0.0.1 A) = 2, without gender equality objectives [1 (Y2) + 1 (Y3)]; Indicator 3.0.0.1 B) = 0

**Values at the end of the Intervention:**

- Indicator 3.0.0.1 A) = 2 policies revised aligned with Chapter 14/Reg Regulation (EC) 165/2014 and without gender equality objectives;
- Indicator 3.0.0.1 B) = 1 policy implemented aligned with Chapter 14/Reg Regulation (EC) 165/2014 and without gender equality objectives.

**Method:** Note that the reporting in the logframe is done cumulatively (sum of new policies). Note that policies revised and policies implemented are reported under indicator 3.0.0.1 A) and 3.0.0.1 B) respectively. Note that the annual budget plan to implement the new budget hasn't been accounted for under Indicator 3.0.0.1 B) to avoid double counting.

## 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) based on **primary sources** such as countries' Official Journals and official records.
- 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)

## 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. When reporting on the number of policies, a narrative around the status of such relevant policies is to be added. Depending on mode of implementation, the Operational Manager in the EUD will verify the data. Progress in supported actions may also be worth reporting in country Annual Reports as part of the Enlargement Package.

- 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 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 3.0.0.1** can be found in the following groups of EU predefined indicators available in OPSYS, along with other related indicators:

- IPA III RF Window 3: Green agenda and sustainable connectivity (IPA III W3)

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

#### 10. Other issues

None