

IPA III Results Framework Indicator Methodology Note

1. Indicator code and name

IPA III RF 4.1.2.2: Number of public policies promoting social inclusion a) developed/ revised, or b) under implementation with EU support

2. Technical details

OPSYS and Results Dashboard code: 19298, 19299.

Unit of measure: Number of (#)

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

Level of measurement: this is an Outcome level indicator.

Disaggregation:

The indicator is to be used at intervention and reporting levels according to whether the public policies promoting social inclusion are:

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

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

- Fully implemented
- Partially implemented
- Initial stage of implementation

As relevant – at intervention level – implementing partners and/or Managing Authorities may find it useful to disaggregate further especially according to type of policy (e.g. education, public transport etc)

DAC sector codes:

15110;15111; 15112; 15113; 15114; 15125; 15130; 15142; 15150; 15151; 15152; 15153; 15160; 15170;15180; 15190; 16010; 16020; 16030; 16040; 16050; 16061; 16062; 16063; 16064; 16070; 16080

Main associated SDG: **SDG 8** - Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all; and could also be mainstreamed into other various SDGs.

Other associated SDGs: n/a.

Associated IPA III Level 1 indicator:

- **Gini coefficient of a beneficiary over time** (source: Eurostat, online data code: ilc_di12) (Ind. 4.0.3, same indicator presented under Window 4 - OO)

Associated IPA III Level 3 indicators:

- Amount and share of EU-funded external assistance contributing to strengthening investment climate
- Amount and share of EU-funded external assistance contributing to: (a) aid for trade, (b) aid for trade to LDCs, and (c) trade facilitation

<ul style="list-style-type: none"> • 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
3. Policy context and Rationale
<p>IPA III PF: Window 4 Competitiveness and inclusive growth, Thematic priority 1: Education, employment, social protection and inclusion policies, and health.</p> <p>Chapter of the Acquis. The indicator responds to interventions related to in particular to EU <i>Acquis Chapter 19: Social policy and Employment</i>. The indicator however could conceivably be adopted for interventions under other Windows and thematic priorities with similar focus.</p> <p>Social inclusion is at the core of the European Social Model and European values enshrined in the Lisbon Treaty.</p> <p>The European Commission defines social inclusion as “<i>a process which ensures that those at risk of poverty and social exclusion gain the opportunities and resources necessary to participate fully in economic, social and cultural life and to enjoy a standard of living and well-being that is considered normal in the society in which they live</i>” (https://ec.europa.eu/employment_social/esf/docs/sf_social_inclusion_en.pdf)</p> <p>This indicator reflects some key elements of the 2018 EU strategy for the Western Balkans. In particular, the need for a reinforced social dimension through strengthened support for employment and social policies. However, even if employment and social policies, are major policy determinants of social inclusion, they are not the sole determinants: policies in other areas also play an important role in promoting social inclusion or addressing its opposite (social exclusion). Among these are policies on housing, justice, health, rural and regional development, economic development, education, culture, public transport, sport etc. Ideally all relevant policies would have a dimension that promotes social inclusion.</p> <p>In the areas of labour law, equality, health and safety at work and anti-discrimination. Chapter 19- Social Policy and Employment aims at increasing employment, improving working and living conditions, establishing social protection mechanisms at appropriate level, promoting dialogue with social partners, developing human resources in order to ensure sustainable employment, combating poverty and social exclusion and providing equal opportunity for men and women.</p>
4. Values to report
<p>All of the following values must be determined according to the definitions provided in Section 5 below.</p> <ul style="list-style-type: none"> • Reporting values in the logframe: <ul style="list-style-type: none"> – 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 public policies 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 public policies 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.
 - 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 public policies**, using the Technical Definitions and Counting Guidance provided below. Please double check your calculations using the Quality Control Checklist below.

Technical Definitions

Public policies for this indicator are understood in a broad manner, including Government programme, 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.

Social Inclusion (see 4. Rationale)

Promote refers to the leverage effect resulting from policies, in this case to the effect that greater labour market equilibrium is attained. This is the broadest term in the indicator and points up the role of education and employment/labour market promotional programmes (the entire spectrum of education, vocational education and skills) to contribute to a better functioning labour market and economy.

Counting Guidance

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.

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.

- For a public policy to be counted against this indicator it must be assessed to actually promote social inclusion. The internal assessment of the partner implementing a relevant action may be different than that of the body tasked to verify data from several actions; some verification of this assessment will be appropriate. An intervention will need to demonstrate some focus on social inclusion in order to meet the requirements of this indicator.
- If an intervention supports the development/revision or implementation of a strategy, law, programme, measure all falling within the general scope of the same policy, then only the overall policy itself is to be counted, not each in its granular components as separate policies. In the absence of this caveat, there is a danger of multiple counting of the same, fundamental policy.
- A policy may be reported within the intervention according to successive stages of (a) development or revision and (b) implementation. Note that in such case, the reporting is done under two different indicators, first a) and then b).
- There is some **risk of double counting** when the intervention supports the same policy and same stage over several reporting periods. To avoid this, the same reform must be reported only once against the relevant indicator.

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 country A, an EU intervention, led by a NGO, is empowering vulnerable women to create social enterprises across the country.

In country B, an EU intervention is supporting the development of a national programme to enhance access to affordable, sustainable and high-quality health care services.

In country C, an EU intervention is supporting design and implementation of a regional development policy focused on disadvantaged, highly ruralised regions with standard of living (expressed as a %of national GDP) 50% lower than average.

Let us assume each intervention starts implementation at start of Year 1.

By end of Year 1:

In Country A: women have created 20 micro enterprises across the country.

In Country B: the national health care programme is in policy design stage and includes a draft social inclusion chapter

In country C, a national regional development strategy has been drafted and work is moving forward to develop draft legislation. The policy has a strong social inclusion focus per se and within targeted regions.

By end of Year 2:

In Country A: women have created a further 20 micro enterprises across the country.

In Country B: the national health care programme is under implementation and new organisational statutes are being drafted for key organisations, new action plans and new working protocols.

In country C, the national regional development strategy has been adopted and draft legislation is going through the legislative process.

By end of Year 3:

In Country A: women have created a further 10 micro enterprises across the country.

In Country B: new organisational statutes for key organisations, new action plans and new working protocols are all being rolled out (i.e. put into practice)

In country C, draft legislation has been adopted, key regional development institutions are being set up, the first call for project proposals are being prepared with focus on economic development, training and employment, social integration of marginalised and vulnerable persons

While the indicator may in principle appear to respond to all three interventions, closer examination indicates it is not an appropriate indicator for intervention in Country A since, in this case, even though the EU intervention may well be relevant to a social inclusion objective, it is not tackled in function of a national public policy but merely at the initiative of a NGO but, let us assume, through a multi-country EU initiative.

The values to be reported in the logframe of the intervention are summarised below. Annual figures are presented in () for clarity. Remember that logframe values in the case of this indicator are cumulative figures.

	Public policies promoting social inclusion developed/revised with EU support Values for Indicator 4.1.2.2.a)			Public policies promoting social inclusion under implementation with EU support Values for Indicator 4.1.2.2.b)		
	Country A Intervention	Country B Intervention	Country C Intervention	Country A Intervention	Country B Intervention	Country C Intervention
Base line	0	0	0	0	0	0
Year 1	0 (0)	1 (1)	1 (1)	0 (0)	0 (0)	0 (0)
Year 2	0 (0)	1 (0)	1 (0)	0 (0)	1 ³ (1)	0 (0)
Year 3	0 (0)	1 (0)	1 (0)	0 (0)	1 ⁴ (0)	1 (0)
Final Target Values	0 ⁵	1	1	0 ⁶	1	1

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) providing evidence as needed including

³ Note the policy in Year 2 is now considered to be under implementation, at least at institutional level, if not at end beneficiary level.

⁴ Note the policy in Year 3 is now considered to be at an advanced stage of implementation, but in terms of the indicator this stage is still "under implementation: i.e identical to Year 2.

⁵ No target has been set out because the support provided in Country A is not eligible for this indicator

⁶ No target has been set out because the support provided in Country A is not eligible for this indicator

<p>references (where relevant) to primary sources such as countries' Official Journals and official records.</p> <ul style="list-style-type: none"> • Other possible sources include studies carried out in the framework of the interventions and external monitoring and/or evaluation reports. <p>Data source categories specified in OPSYS:</p> <ul style="list-style-type: none"> • "EU intervention monitoring and reporting systems (Progress and final reports for the EU-funded intervention; ROM reviews); • Public sector reports (Laws and regulations; Strategies and policy documents; Ministry/agency administrative data and reports)"
8. Reporting process & Corporate reporting
<p>Who is responsible for collecting and reporting the data?</p> <ul style="list-style-type: none"> • 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: <ul style="list-style-type: none"> • 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 Beneficiary countries. <p>This indicator is used for corporate reporting in the following contexts:</p> <ul style="list-style-type: none"> • <i>IPA III via the Annual Report</i>
9. Other uses
<p>IPA III RF 4.1.2.2 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"> • "IPA III RF Window 4: Competitiveness and inclusive growth (IPA III W4); • IPA Performance Framework (IPA PF 2)" <p>For more information, see: Predefined indicators for design and monitoring of EU-funded interventions Capacity4dev (europa.eu)</p>
10. Other issues
None