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ANNEX

**to the Commission Implementing Decision on the adoption of a
support measure on monitoring and evaluation, audit and communication
under the Facility for Refugees in Turkey**

1 IDENTIFICATION

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|--|---|
| Beneficiary | Turkey |
| Basic act: ABAC Commitment references and budget line: Total cost: EU Contribution¹: | Instrument for Pre-accession Assistance (IPA-II) 22.020302 EUR 11.34 million EUR 11.34 million |
| Method of implementation | Direct management by the European Commission |
| Final date for operational implementation | at the latest by 30 June 2027 |

¹ This amount concerns exclusively external assigned revenues

2 DESCRIPTION OF THE SUPPORT MEASURE

2.1 BACKGROUND TO THE SUPPORT MEASURE

Turkey continues to be a major reception and transit country for refugees and migrants. As a result of an unprecedented influx mainly due to the conflicts in Syria, Iraq and Afghanistan, Turkey is hosting some four million refugees, the highest number in the world. This includes more than 3.6 million registered Syrian refugees, of whom less than 155 000 reside in 11 temporary accommodation centres established by the Turkish government, and around 370 000 registered refugees from other countries. Turkey continues to make commendable efforts in receiving, hosting and supporting high numbers of refugees. However, this large presence also has a significant impact on public services and host communities in Turkey, which is increasingly reflected in challenges to social cohesion and integration.

In line with the EU-Turkey Joint Action Plan², which was adopted by the EU-Turkey Summit on 29 November 2015 to increase coordination on migration management, the Facility for Refugees in Turkey (the "Facility") was set up at the end of 2015 to support Turkey in meeting the challenges involved in hosting and integrating the large number of refugees. A first tranche of EUR 3 billion was mobilised in 2016 and 2017.

Building on the coordination mechanism and cooperation established under the Facility, and in line with the EU-Turkey Statement of 18 March 2016³, the EU mobilised an additional EUR 3 billion for funding the Facility of Refugees in Turkey, with the total budget of the Facility reaching EUR 6 billion, comprising contributions directly from the EU budget and from the Member States in the form of external assigned revenue.

By September 2019, EUR 5.5 billion had been allocated for both humanitarian and development assistance under the Facility out of the total EUR 6 billion, and EUR 3.45 billion had been contracted. Specifically, the first EUR 3 billion was fully contracted by end of 2017, while the programming of the second tranche is now being finalised, and more than EUR 450 million has already been contracted.

This support measure aims at complementing, continuing and building upon the results achieved within the first support measure⁴ under the Facility and mirrors it in terms of the actions proposed.

Overview of past and on-going EU, other donors' and/or IPA II beneficiary's actions in the relevant sectors

The Monitoring and Evaluation component under this support measure will continue what has been put in place through the support financed under the 2017 support measure. A Facility Results Framework was developed between August 2016 and March 2017 in consultation with key stakeholders, including the Facility Steering Committee, relevant Turkish authorities and Commission Services. A finalised draft was shared with the Steering Committee in March 2017 and updated in autumn 2018. Data relevant to the Facility Results Framework indicators are reported by implementing partners to contracting authorities and the Commission. The

² http://europa.eu/rapid/press-release_MEMO-15-5860_en.htm

³ <http://www.consilium.europa.eu/en/press/press-releases/2016/03/18/eu-turkey-statement/>

⁴ C(2017) 3378 final - Commission Implementing Decision of 23.5.2017 on the support measure on monitoring, evaluation, audit and communication of the Facility for Refugees in Turkey

data consolidation process is technically supported by an internal IT-tool (Facility Monitoring Platform) that allows for the aggregation, analysis and visualisation of data. The Platform is currently being used and will be further utilised during the whole lifecycle of the Facility interventions. This is accompanied by a technical assistance team in charge of supporting the Secretariat of the Facility in deriving first-level analysis of the monitoring data collected quarterly via the Facility Monitoring Platform and preparing the Facility Monitoring Reports. Moreover, the EU Delegation is supported in its duties to monitor Facility-funded actions/contracts, including verification of data through on-the-spot checks for contracts under direct management. When it comes to evaluation, a comprehensive mid-term evaluation of the first tranche of the Facility was launched in late 2018 and will provide an overall independent assessment of the intermediate results measured against its objectives, to capture lessons learned and provide recommendations to improve current and future Facility actions.

Audit activities are crucial to provide assurance on the correct implementation of EU funds in the framework of the Facility. An amount of EUR 1 million was allocated under the 2017 support measure to cover audits, verification missions and expenditure verification of projects financed from any of the Facility instruments/funds within the first tranche. This support measure will complement the implemented activities and ensure financial resources to also cover the new interventions financed under the second tranche of the Facility.

From the very beginning of the Facility, communication activities have been key priorities. The 2017 communication strategy remains the overall framework for communication activities, with the aim to enhance the visibility of Facility-funded actions and raise awareness of EU's support to refugees in Turkey to both local and EU audiences. Since 2017, several visibility activities have taken place, including three press trips with European journalists and Member State representatives in Istanbul, Gaziantep, Kilis, Osmaniye and Hatay in November 2017, November 2018 and April 2019 which generated extensive media coverage. Several events aiming to highlight social cohesion also took place using music, sports and art, which brought together implementing partners such as United Nations agencies and Turkish ministries. 10 television episodes were broadcast on a national TV channel in Turkey promoting the projects under the Facility through human interest stories. Several audio-visual materials have been produced and used, especially on the EU Delegation to Turkey's social media channels. The component on communication within the 2017 Support Measure amounted to EUR 1.5 million and was allocated via three contracts aimed at increasing awareness, visibility and understanding of the Facility among the general public, the media, policy makers and other stakeholders within the EU and in Turkey.

Indicative budgetary breakdown per component:

| | |
|---------------------------|-----------------------|
| Monitoring and Evaluation | EUR 9 300 000 |
| Audit | EUR 500 000 |
| Communication | EUR 1 540 000 |
| TOTAL | EUR 11 340 000 |

2.2 DESCRIPTION AND IMPLEMENTATION OF THE SUPPORT MEASURE

The envisaged assistance is deemed to follow the conditions and procedures set out by the restrictive measures adopted pursuant to Article 215 TFEU⁵.

(1) Description of the Action, objectives, expected results and key performance indicators

The **overall objective** of the support measure is to ensure tracking and measuring results, verification of the proper use of funds, and communication on the implementation of funded interventions.

There will be three components under this support measure:

- A. Monitoring and Evaluation
- B. Audit
- C. Communication

Component A – Monitoring and Evaluation

The objective of this component is to support the existing Facility monitoring and evaluation system by tracking progress of the funded interventions against defined targets, and to measure the level of achievement of the Facility as a whole.

The Facility monitoring and evaluation system needs to accommodate various monitoring requirements under different assistance instruments and implementation modalities. Considering the size and importance of the grant contracts with Turkish authorities⁶ under the Directorate General for Neighbourhood and Enlargement Negotiations (DG NEAR) direct management, this component envisages technical and quality support for ensuring comprehensive monitoring capacities. The Directorate General for Humanitarian aid and Civil protection (DG ECHO) has specific monitoring arrangements in place. For those actions which are implemented through pillar assessed entities, those implementing partners will be responsible for the monitoring and reporting as per the conditions of entrustment. Consequently, DG ECHO and the contracted pillar assessed entities will not actively be using the monitoring capacities enabled through this support measure. However, they will contribute to the monitoring system of the Facility by reporting on selected indicators on a quarterly basis. Technical assistance will be procured to support the EU Delegation to Turkey in incorporating those findings into the overall progress reports on the Facility. The Facility Monitoring Platform should allow the tracking of the key results-indicators of the Facility.

Evaluation of interventions financed under the second tranche of the Facility and action level evaluations of direct grants to the Turkish authorities in selected priority areas will also be part of this monitoring and evaluation system.

Under this component, the following monitoring and evaluation related activities will take place:

1. Periodical reviews of the Facility Results Framework and reporting on Facility results: Specialised expertise will be mobilised to ensure regular/ad-hoc reporting

⁵ www.sanctionsmap.eu Please note that the sanctions map is an IT tool for identifying the sanctions regimes. The source of the sanctions stems from legal acts published in the Official Journal (OJ). In case of discrepancy between the published legal acts and the updates on the website it is the OJ version that prevails.

⁶ The grant agreements under direct management with the Ministry of National Education, the Ministry of Health and the Ministry of Family, Labour and Social Services.

on the achievement of the Facility interventions to the Steering Committee and management of the Facility Monitoring Platform⁷.

2. Regular monitoring activities: Quarterly data collection from the implementing partners, analysis of data, and reporting on progress in implementation.
3. Third-party monitoring activities according to a structured methodology, monitoring guidelines and agreed reporting modalities to track progress, assess the performance of the implementation of Facility funded actions and propose recommendations for corrective measures if and when required.

The implementation of monitoring activities will be supported by independent experts.

4. Evaluations: Mid-term evaluation of ongoing actions under the second tranche of the Facility and action level evaluations of the three direct grants with the Turkish authorities (in the area of education, health and socio-economic support). The evaluations will be conducted to independently assess the performance of the interventions of the second tranche of the Facility, paying particular attention to its intermediate results measured against its objectives; and to capture lessons learned and provide recommendations to improve the still on-going Facility actions.

The expected results of this component will be an evidence-based assessment of the performance of interventions financed under the Facility.

The indicative key performance indicators for this component are as follows:

- Facility monitoring system and Facility Monitoring Platform continue to be operational and reflect second tranche interventions
- Regular reporting to the EUD, Facility Secretariat and Steering Committee against defined reporting modalities ensured
- Outputs of technical assistance and services are provided in a timely and quality manner
- Number of evaluations completed on time

Component B – Audit

The objective of this component is to provide reasonable assurance of the correct implementation of Union funds in the contracts financed under the Facility, as well as of the legality and regularity of the underlying transactions and respect of the principle of sound financial management. This component will build on the experience gained in the auditing of IPA I and II, as well as on the specific lessons learned from the auditing of the projects under the first tranche of the Facility and will combine audits, verification missions, expenditure verification, as needs arise.

The activities to be carried out within this component might be implemented on a stand alone basis or through a combination of:

1. Audits and expenditure verification, for certification of accuracy of accounts and other statements of expenditure (including verification of assets where appropriate)
2. Audits to investigate allegations of mismanagements of Union funds (*ad hoc* or following allegations)
3. Verification of projects.

⁷ An internal IT-tool that allows for the aggregation, analysis and visualisation of data. The cost associated with the licenses and maintenance of the Facility Monitoring Platform will be ensured through this Action.

The indicative key performance indicators of this component are:

- Number of audits carried out
- Number of verifications carried out
- % of Union funds audited out of total Facility funding

Component C - Communication

The objective of this component is to inform, raise awareness and enhance the visibility of Facility-funded activities as part of the Facility-specific communication strategy, in line with the requirements of the Communication and Visibility Manual for European Union External Action. The strategy aims to enhance the visibility of activities implemented under the Facility and to raise the profile of the European Union as a key partner delivering on its commitment to help Turkey host the largest refugee population in the world. Continuous and targeted communication on the Facility will be key in ensuring maximum awareness and visibility of Facility results on the ground and of the EU as the most important international partner of Turkey in its efforts to host refugees and persons eligible for subsidiary protection.

Resources under this component will include various communication and visibility activities, including the organisation of events in EU and Turkey, the preparation and implementation of press trips for journalists from the EU and Turkey, the design, production and dissemination of audio-visual materials which include short films, the broadcasting of episodes through national TV channels, surveys and promotional materials on the Facility.

The expected results of this component are increased awareness of the EU's support to Turkey in its efforts to host refugees and persons eligible for subsidiary protection, enhanced visibility and understanding of the Facility's core activities among the general public, the media, policy makers and other stakeholders in Turkey as well as in the EU Member States.

The indicative key performance indicators of this component are:

- Number of press trips organised
- Number of audio-visual materials produced
- Number of events organised
- Overall media and social media outreach
- Overall usefulness of activities introduced (via feedback forms, surveys etc.)
- Change of opinion (percentage of people recalling the messages and having a positive opinion – measurement via focus groups)

(2) Assumptions and conditions

The overall assumption of this support measure is the continuation of the contracting and implementation of projects within the second tranche of the Facility under the responsibility of DG NEAR/EU Delegation to Turkey. The overall operating environment for the implementation of Facility assistance should continue to be conducive. For monitoring purposes, data availability, access to data and cooperation amongst all implementing partners and grant beneficiaries remains crucial for a qualitative and meaningful monitoring of the results. Cooperation by Turkish institutions and relevant stakeholders remains also a pre-requisite for the implementation of the evaluations planned under this action. Implementing partners of the Facility assistance should remain open and willing to communicate on the implementation of the projects, also as part of their contractual obligations, and facilitate the organisation of overarching communication and visibility activities under the Facility.

Security in the target regions should remain stable so as to allow the organisation of communication activities. Furthermore, a collaborative environment needs to continue to be fostered with our Turkish counterparts for their cooperation in granting access to projects, allowing colleagues at the Delegation to carry out work in this field, showcasing the Facility's different focus areas.

(3) Implementation modalities:

3)(b) *Direct management (project approach)*

The support measure will be implemented in direct management by the EU Delegation to Turkey.

(4) Scope of geographical eligibility for procurement and grants

The geographical eligibility in terms of place of establishment for participating in procurement and grant award procedures and in terms of origin of supplies purchased as established in the basic act and set out in the relevant contractual documents shall apply, subject to the following provisions.

The Commission's authorising officer responsible may extend the geographical eligibility on the basis of urgency or of unavailability of products and services in the markets of the countries concerned, or in other duly substantiated cases where the eligibility rules would make the realisation of this action impossible or exceedingly difficult.

3. BUDGET

3.1 INDICATIVE BUDGET TABLE

| EUD Turkey | Support Measure |
|--------------|-----------------|
| TOTAL | 11 340 000 |

4. PERFORMANCE MONITORING ARRANGEMENTS

As part of its performance measurement framework, the Commission shall monitor and assess progress towards achievement of the specific objectives set out in the IPA II Regulation on the basis of pre-defined, clear, transparent measurable indicators. The progress reports referred to in Article 4 of the IPA II Regulation shall be taken as a point of reference in the assessment of the results of IPA II assistance.

The Commission will collect performance data (process, output and outcome indicators) from all sources, which will be aggregated and analysed in terms of tracking the progress versus the targets and milestones established for each of the Actions of this programme.