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REPUBLIC OF TÜRKİYE
THE MINISTRY OF LABOUR AND SOCIAL SECURITY
DIRECTORATE OF EUROPEAN UNION AND FINANCIAL ASSISTANCE

GUIDELINE FOR OPERATION IDENTIFICATION SHEET

UNDER THE EMPLOYMENT,
EDUCATION AND SOCIAL POLICIES
SECTORAL OPERATIONAL
PROGRAMME

2014 - 2020

HRD OS
HUMAN RESOURCES
DEVELOPMENT
OPERATING STRUCTURE

FGB Fondazione
Giacomo Brodolini
Srl SB

REPUBLIC OF TÜRKİYE
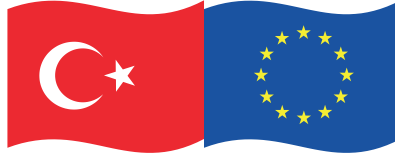**MINISTRY OF LABOUR**
AND SOCIAL SECURITY

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Contents

Abbreviations

CA	Contracting Authority
CfO	Call for Operations
CfP	Call for Proposals
DEUFA	Director of EU and Financial Assistance
EC	European Commission
EESP SOP	Employment, Education and Social Policies Sectoral Operational Programme
EOP	Environment Operational Programme
EU	European Union
EUD	Delegation of the European Union to Türkiye
HRD OS	Human Resources Development Operating Structure
HoOS	Head of Operating Structure
MoLSS	Ministry of Labour and Social Security
OB	Operation Beneficiary
OCU	Operation Coordination Unit
OIS	Operation Identification Sheet
OS	Operating Structure
OSC	Operation Steering Committee
PRAG	Practical Guide for EU External Actions
PIF	Project Idea Fiche
SROB	Senior Representative of the Operation Beneficiary
TA	Technical Assistance
TAT	Technical Assistance Team
ToR	Terms of Reference

Introduction

The Instrument for Pre-Accession Assistance (IPA) replaced a series of financial instruments of the European Union (EU) for candidate and potential candidate countries as a single instrument within the legal framework established under Council Regulation (EC) 1085/2006 of 17 July 2006.

The overall objective of the Employment, Education and Social Policies Sectoral Operational Programme (EESP SOP) (2014 – 2020) under IPA-II is the promotion of progress of Türkiye toward European social model and the alignment of the country with EU acquis in the fields of Employment, Education and Social Policies.

The EESP SOP was prepared in line with the national and EU level policies, strategies and priorities, constituting the main principles for the implementation phase. Intervention areas to be supported by IPA funds are classified on the basis of three action (employment, education and training and social policy and inclusion) and defined as "action". With the action of **employment**, the aim is to promote accessible employment, improve working conditions and enhance policy making and implementation. With the action of **education and training**, the objective is to establish a flexible, transparent, innovative and quality based education system which supports social and economic development and equips individuals with the qualifications necessitated for employment, where all segments of society find possibility to learn within their own needs.

In accordance with the action of **social policies**, the main target is to promote inclusion of disadvantaged persons by facilitating their access to employment, health and social protection services and combating discrimination, exclusion and poverty.

As in the IPA I period (2007-2013) for "Human Resources Development" component, the Ministry of Labour and Social Security (MoLSS) continues its role as Operating Structure (OS responsible for EESP SOP) in the IPA II period (2014-2020).

In this respect, Directorate of EU and Financial Assistance (DEUFA) of MoLSS was accredited as the Contracting Authority (CA) responsible for preparation and implementation of Operational Programmes and coordination of EU funds in the mentioned fields. In this regard, DEUFA is in charge of conducting necessary preparatory tasks for the usage of structural funds; selection and prioritization of the projects to be supported; coordinating the procurement processes; signing and implementing contracts; conducting payment and accounting procedures and monitoring and evaluating the activities and payments realized by using IPA funds.

The use of the funds allocated to the EESP SOP is carried out in accordance with the relevant agreements and legislation.

The institutions which decide to implement a project (operation)[1] under SOP are considered as potential operation beneficiaries (OBs). The potential OBs have to prepare an operation identification sheet (OIS) which constitutes a base for deciding whether to proceed with tendering procedures or not.

A beneficiary is an entity receiving EU funds for the implementation of a project.

The aim of this 'Practical Guide for Operation Preparation' is to support potential OBs to prepare sound, reliable, cost effective and well-justified operations that will be supported by EU funds.

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[1] Please be informed that the term "operation" can be used interchangeably with the term project throughout this guideline.

I | Stage 1: Submission of A Project Idea

What is a Project Idea Fiche?

Your project idea should be linked with the interventions and indicators listed under the Action and Activities in the EESP SOP.

Projects are expected to be designed under a single activity as possible. Appropriate action that the project is mainly focused should be selected and supported with appropriate interventions and indicators under the most relevant activity, and non-compliant items should be eliminated. On the other hand, interventions that may be related to other Activities under the EESP SOP may be drafted and added to Project Idea Fiche (PIF), provided that their connection with the main activity is established strongly.

PIF is a short document (6-7 pages) which provides a broad definition of an operation idea and its expected contribution to the EESP SOP with a view to assess whether the project idea falls within the scope of EESP SOP.

It must be prepared by the OBs and follow a standard template designed by the CA.

After the Action and Activity are determined, the PIF related to these actions and activities should be downloaded from **http://www.ikg.gov.tr/operasyon-fikirleri/;**

- for the projects mainly aiming at improving people's access to services, one of the activities I.II., II.II. or III.II.;

- for the projects mainly aiming at increasing service delivery and policy making capacity of service providers, one of the activities I.III., II.I. or III.I.;

- for the projects in the field of "Decent Work" and "Lifelong Learning", one of the activities I.I. or II.III. should be selected.

Structure of PIF

The PIF constitutes of the following main sections:

1. Rationale

In this section, it is expected the potential OBs briefly (1 pages maximum) to describe the context key problems/needs which are currently faced in the sector and how the Activity/intervention will help resolving those problems; and to identify who the stakeholders most affected by the problem are and what institutional and organisational issues should be addressed.

2. Interventions

In this section, activities are specified within the Category of Interventions eligible for financing under EESP SOP. It is expected the potential OBs briefly (1 pages maximum) to describe the suggested interventions by grouping them under the following categories:

- **"Trainings and other services for target persons":** Under this category only the interventions (trainings, guidance, counselling, etc.) delivered directly to the target groups/persons will be mentioned. Trainings for the staff of beneficiary institutions should not be mentioned here.

- **"Institutional capacity building":** Trainings for the staff of beneficiary institutions should be considered as institutional capacity building activities together with other interventions such as supply of equipment; development of databases, programmes, procedures, etc.

- **"Awareness-raising":** The category of "Awareness-raising" refers to any intervention (events, campaigns, TV/radio spots, viral films, etc.) aiming to create awareness among public in general.

- **"Studies":** This category includes academic, legal, technical, strategic desk and field studies which contribute to identification, analysis, evaluation, comparison, solution of relevant problems and policies in the sector. They are not included in the category of institutional capacity building as they do not essentially relate to one institution.

- **"Coordination/cooperation mechanisms":** This category includes efforts to create and enhance multilateral relations (at local and/or national levels) among relevant partners in the sector with a view to increase efficiency and effectiveness in policy making and service delivery.

> **Note** *It is not obligatory to define interventions for each and every category.*

3. Table of Indicators and Targets

In order to facilitate the potential Operation beneficiary of EESP SOP 2014-2020 in elaboration of an operation idea, Indicators and Targets are listed under each activity and intervention.

It is expected the potential OBs to specify the contribution of the Beneficiary toward the Target 2014-2020 under relevant indicators of the Indicative Breakdown of the Outputs.

The PIF document will be evaluated with regards to the connection to EESP SOP targets, intervention area, indicators and also appropriateness according to PIF Template Instructions. While making this evaluation, other projects that will take place under the Project proposal (draft or further stages) as well as previous projects (ongoing or completed) will be taken into consideration.

Approach

- The project idea will not be funded if it is not directly linked to the EESP SOP, even if it is necessary!

- Project idea should be in accordance with the current strategy and policies at the national and EU levels. It is expected to be submitted an objective justification and background information for each intervention foreseen. In this context, a reference should be given to the

documents i.e. strategy and policy papers prepared at national, regional and/or institutional levels, scientific researches (field studies/surveys, needs analysis, etc.), Statistics provided by TURKSTAT, EUROSTAT, etc.

- When relevant, research/analysis that defines the scope of the project should be made by the owner of the proposal. Such activities should not be a part of the project proposal but be carried out beforehand.

- Previously or already implemented projects related to the proposed Activity should be examined and project idea should be designed to complement the previous projects. Also, repetition of the already implemented activities should be avoided.

- When relevant, the link between the probable components (service, supply, grant, etc.) should be established considering that the timing of components might proceed independently without synchrony. To avoid these kinds of risks, it is recommended to design components as if they are not going to be synchronised (for example, parts of TAs depending on supply or grant components and vice versa). It is also suggested that the interventions to create uncertainty for other interventions or constitute a prerequisite for the realization of other ones should be avoided.

- In terms of the specific interventions suggested, the number of interventions which form the basis of another one should be minimised as their failures/delay might hinder the intervention in general.

- It should be noted that implementation of the proposed project(s) starts in approximately two years after the project preparations begins, including the preparation and approval of OIS, tender preparation and evaluation phases. Accordingly, interventions/ operations of urgent nature should not be proposed for EU funding.

- Budget estimations should be realistic and take into consideration the financial rules applicable to IPA funding (rule of origin, VAT exemption, exchange rates, tendering and subcontracting procedures, etc.).

- The following points are assessed for the PIF:
  - Action and Activity of the project and their compliance with EESP SOP,
  - Interventions of the project and their compliance with EESP SOP,
  - Objectivity and relevance of the justifications of the interventions,
  - Diversity and levels of the indicators,
  - The relationship between the intervention and indicators,
  - The relationship between the intervention, indicators, the budget and the duration of the project,
  - Amount of available financial resources.

II | Stage 2: Preparation of OIS

What is an Operation?

An operation comprises one or a group of contracts (components) to be funded with EU funds under the Sectoral Operational Programme and co-financed by national resources. It can be "initiated" or "initiated and implemented" by one or more beneficiaries, allowing achievement of the goals of the Action (general objectives, priority areas) and Activities (intervention areas) under the EESP SOP to which it relates.

The concept "Operation" refers to an "umbrella project" which is composed of various components such as service, supply and grant scheme. The Activities under an Action may be carried out also through twinning agreements, cooperation with international organisations, and / or development of financial engineering instruments.

Operations may involve all these components or include more than one component provided that at least one of them is service (technical assistance) or grant scheme.

The types of components (ended up with contracts) to be included in the operation must be identified during preparation process of OIS.

What is an OIS?

In case the PIF is assessed as compliant with the above-mentioned selection criteria, a new process for preparation of OIS document starts. The OIS must be prepared in line with the framework set by the PIF that was prepared and agreed upon in the previous stage.

The OIS is a general reference document which aims to provide all basic information, conditions and requirements regarding the planned operation, its components and interventions under each component.

Institutions which decide to implement a project (operation) under EESP SOP have to prepare an OIS which defines the scope, aim, general content and budget of the operation; and constitutes a base for deciding whether to proceed with tendering procedures or not.

Before and throughout OIS preparation, the potential OB is expected to:

- Analyse problems and defining clear objectives,
- Ensure coherence with the national policy framework and EESP SOP,
- Follow the predefined structure and requirements of the key documentation (e.g. OIS and Terms of Reference templates),
- Apply log frame approach: logical relationship between problems and objectives,
- Coordinate and cooperate with relevant stakeholders,
- Interact with other partners and identify key relationships and dependencies,

- Adopt a flexible / open but effective style of management,

- Schedule activities over time (incl. tenders that will be needed),

- Make budget planning in line with the activities and resource planning,

- Prepare for monitoring and evaluation,

- Identify and manage risks,

- Consider horizontal issues such as environmental issues, equal opportunities for men and women, etc.

OIS is an annex of IPA II Financing Agreement as attached to this Guideline as "Annex VIII" and contains, *inter alia*, following elements and justifications for their selection where relevant:

- identification of the operation and the organisation responsible for its implementation;

- a summary description of the operation and the demonstration of its compatibility with the programme;

- implementation arrangements, risks and assumptions;

- expected outputs, results and impact, including contributions to horizontal themes;

- links with other IPA and IPA II programmes;

- financing arrangements and estimated budget; and

- procedures foreseen for tenders and contracts.

OIS lays the foundation for the preliminary preparation in order for the operation/project to be approved with non-objection decision of the European Commission (EC) and the Delegation of the European Union to Türkiye (EUD).

III | The Structure of the Standard OIS Template of EESP SOP and How to Address The Headings Under It

1. Title of the Operation

You are requested to select a title for your operation. The title should be determined in a way to convey the main theme, purpose, target group(s) and location of the operation. It should be short and concise to give the main idea in a compact manner. When relevant, distinctive characteristics of the operation in terms of activities and expected results may also be pointed out through incorporating expressions on the distinguishing features of the operation.

What is a good title? - Short, striking and reflects the content of your operation.

Though this is the first heading in the OIS template, it is suggested to leave the selection of the title of the operation as last step. Design the operation fully and only then select the right title. While you are developing your operation further and further, you will understand your goals and the logic of your operation more and more. You will see it is much easier to mobilise your creativity and select a really good title at the end. In any case, try to avoid long, describing type of titles.

2. Operating Structure

Operating Structure under EESP SOP is**: Directorate of European Union and Financial Assistance of the Ministry of Labour and Social Security.**

3. Organisation Responsible for the Implementation of the Operation

The official name of the institution preparing the operation and requesting EU funds (i.e. "Potential Beneficiary") shall be inserted here. In case of partnerships, more than one institution might be referred as the bodies responsible for the implementation of the operation. (However, in any case, there is only one "main beneficiary" institution coordinating the preparation of the OIS at the Beneficiary side and providing the co-financing amount - 15 per cent of the total budget of the operation).

The contact details of the Senior Representative of the Operation Beneficiary (SROB) shall also be inserted under this Section.

Contact details shall be conveyed as follows:

Name of the Beneficiary Institution:
    Address:
    Phone:
    Fax:
    E-mail:

SROB: Name, title

> Address:
>
> Phone:
>
> Fax:
>
> E-mail:

The responsibilities of the Beneficiary Institutions are illustrated under "Section 6: Implementation Arrangements" in detail.

4. Compatibility and Coherence with the Operational Programme

4.1 Title of the Programme

Employment, Education and Social Policies Sectoral Operational Programme (EESP SOP)

4.2 Title of the Action

The EESP SOP addresses four Actions (i.e. priority areas), stated as follows:

Action I   Employment

Action II   Education and Training

Action III   Social Policy and Inclusion

Action IV   Technical Assistance for Implementation of the SOP (only the Operating Structure can implement an operation under Action IV)

You are requested to provide here the title of the Action under the EESP SOP Activities.

The title and the number of the Action must be quoted exactly as written in the EESP SOP:

Action I   **Employment**

Activity I.I   *Promoting Decent Work*

Activity I.II   *Promoting Employment and Employability*

Activity I.III   *Supporting Employment Policy-making and Implementation*

Action II   *Education and Training*

Activity II.I   *Improving the Quality of Education and Training*

Activity II.II   *Increasing Educational Attainment and Skill Levels by Providing Access to All*

Activity II.III   *Strengthening NQS and Promoting LLL & Adaptability*

Action III   **Social Policy and Inclusion**

Activity III.I   *Capacity-building for social inclusion*

Activity III.II   *Facilitating access of the disadvantaged persons to social protection services and labour market*

It is recommended to review the specific objectives, rationale and description of all the Actions as well as the eligible interventions specified under each and every Action to decide on the most relevant one for the proposed operation. The proposed operation shall respect the purpose, target groups, eligible interventions and monitoring indicators defined under an Action.

It is highly recommended that the operation shall address a single Activity under a single Action. The OS may change the proposed Action of the operation if necessary, considering the overall logic of the intervention as well as the availability of financial resources.

4.3 Recipient

Name of the body responsible for the Implementation of the operation shall be inserted. The specific unit/department conducting the operation preparations shall also be indicated.

4.4 End Recepient of Assistance

Sub-section "4.4 End recipient of assistance" is not relevant for the operations under EESP SOP. Accordingly, title 4.4. shall not be included in the OIS.

5. Description of the Operation

Under this part you are requested to provide justification for the need for the planned operation (5.1) and also detailed information on its thematic and technical content.

5.1 Contribution to the Achievement of the Operational Programme

Firstly, you have to provide justification for the need of the planned operation, submit a general description of the activities planned in the operation and give explanation of the relevance and the contribution to the achievement of the operation purpose and the objectives of the EESP SOP.

Present information and justification in accordance with latest statistical data, reports or strategic documents on why the operation is necessary; why and how the target group of the operation are selected; how the planned activities under the operation respond to the needs of the selected target group and those of the geographical area covered by the operation.

Utilizing the policy and strategy documents referred in the SOP as well as statistical data reached through official databases such as TURKSTAT and EUROSTAT into the background analysis will certainly strengthen the justification for preparing the operation.

A proposed structure for minimum content under this paragraph is as follows:

1. **Clarifying the link between the proposed operation and the selected Action/Activity preferably by specifying to which dimension of the relevant Activity a contribution will be made.**

It should be underlined that "Activities" of the EESP SOP are rather broad areas of intervention that cannot be covered by a single operation. Accordingly, an operation should first specify its scope with reference to the relevant Activity.

To give an example, please consider that an operation under Activity I.II "Promoting Employment and Employability" should be formulated by narrowing the scope of the Activity a step down by focusing on target persons (young women; persons with visual handicaps; unemployed persons who are not registered in ISKUR databases; etc.); target regions (in south east region; in TRC2 region covering Şanlıurfa and Diyarbakır; etc.); or any other criterion such as level of education, duration of unemployment, age group, sector, etc.)

2. **Description of the environment of the operation and needs arising from the operation environment.**

Please clearly indicate the current state of affairs in the intervention area of the operation which includes:

- national/local policies and strategies and/or economic data for the sector or institutional area;
- the origin and immediate history of present organisation structures, institutions and operating systems in the sector or institutional area;
- the problems that will be addressed in the operation.

Provide information and justification in accordance with latest statistical data, reports or strategic documents on:

- why an intervention is needed;
- how the planned activities under the operation respond to the needs of the selected target group and those of the geographical area covered by the operation (if relevant).

Please give attention to all important points, but be brief and structured at the same time.

3. **Description of the target group(s) and the needs of the target group(s):**

- Why and how the target group(s) is (are) selected? How the selection of the target group(s) is linked to the economic and social problems in the intervention area and also in the geographical location of the operation?
- Introduction of the size (number) and main characteristics of the target groups
- Introduction of the current situation and tendencies of the selected target group(s) in the geographical location of the operation (please indicate the figures for both men and women separately, if available)
- What are the actual needs of the target group(s), what problems, hinder their labour market participation that needs action?

It is advisable to carry out a preliminary assessment of needs of the target groups and refer to the findings of that under this heading. Please refer to official statistical data indicating their date and the source of information. You may also refer to any research studies carried out as part of the preparation process or publicly available.

4. Justification of the operation based on needs of the operation environment and needs of the target group(s):

- How does the planned operation contribute to the implementation national/sectoral/ regional policies?

- How does the planned operation reflect the needs of the operation environment and needs of the target group(s)?

Please note that one operation will not be able to resolve all the problems of the targeted area/ target group(s) and this paragraph should reflect the identified problem and possible solution model with establishing exact links with the EESP SOP.

Note	*Please also check Section 4 of EESP SOP (pp.37-39) to assess whether your project (operation) is relevant in terms of geographical concentration approach.*

5. Description of how the operation contributes to the achievement of the objectives of the Operational Programme (provided quantified indicators where possible) linked with the appropriate measure.

Please provide a general justification for all activities planned in the operation and give explanation of the relevance and the contribution to the achievement of the operation purpose and the overall objective.

The proposed activities must be compatible with the EESP SOP's Actions and Activities as well as the indicators under a specific Activity.

The "Description of the Operation" section indicates the reasons behind the proposed operation and provides a justification for the planned interventions, which will directly influence the funding decision of the OS and EC. Please give attention to all important points, but be clear and structured at the same time.

Note	*Whenever possible, quote and provide direct references to the EESP SOP especially to the description, specific objectives and indicators of the related activity. Please consult and refer to EESP SOP including the indicators.*

5.2 Overall Objective

An objective is the desired state that it is intended to achieve – the desired outcome. Objectives are defined at different levels – overall objectives (or "goals") of your operation and specific objectives (or "purposes") that contribute to achieving the higher goals.

You are requested to provide under this heading the overall objective of your operation. There shall be only one overall objective, which shall be formulated as one sentence. The overall objective of the operation shall be in line with the Action / Activity under which the operation is planned to be implemented.

The Overall Objective of the operation should explain why the operation is important to society, in terms of longer-term benefits to the beneficiaries and the wider benefits to the other groups. It

should also demonstrate how the operation fits into the EESP SOP / contribute to the objectives of relevant Action / Activity.

Operations under EESP SOP should serve a general objective to be indicated in a concise and compact manner. The overall objective shall clearly indicate the linkage between the relevant "Action" & "Activity" and the overall motive for proposing the operation.

Some examples for an Overall objective under each Action

Action I Employment

To attract and retain more people in employment, by ... <please quote the objective of Action I as appropriate and relevant>

(The aim of this action is to promote accessible employment, improve working conditions and enhance policy-making and implementation. Please check the Specific objectives for each *Activity under Action I.)*

Action II Education and Training

To enhance investment in human capital, by ...<please quote the objective of Activity 2 of the EESP SOP as appropriate and relevant>

(The aim of this action is to establish a flexible, transparent, innovative and quality based education system which supports social and economic development and equips individuals with the qualifications necessitated for employment, where all segments of society find the possibility to learn within their own needs. Please check the Specific objectives for each *under Action II.)*

Action III: Social Policy and Inclusion

To increase adaptability of ... <please indicate here the target group of the operation as appropriate and relevant> in particular by promoting lifelong learning and encouraging investment in human resources by ...<please indicate here the target group of the operation as appropriate and relevant>.

(The aim of this action is to promote inclusion of disadvantaged persons by facilitating their access to employment, health and social protection services, and by combating discrimination. Please check the Specific objectives for each under Action III.)

5.3 Operation Purpose

Besides overall objective, each and every operation under EESP SOP shall have a "purpose" [i.e. specific objective(s)] aimed to be reached through the intervention. The "purpose" may be more detailed than the "overall objective" so as to provide information about the main activities through which the purpose would be attained. However, the purpose shall also be short and concise.

The relevant Activity of the SOP should be quoted or operation purpose(s), compatible with the relevant Action activity shall be written under this heading. The operation purpose should

address the core aim and be defined in the terms of the benefits to be received by the operation beneficiaries or target group as a result of utilising the activities delivered by the operation.

<table>
<tr><td>Note</td><td>*Please do not forget that no matter how important or on the spot your operation proposal is, only the activities directly connected to EESP SOP are supportable.*</td></tr>
</table>

5.4 Location(s)

You are requested to indicate here the implementation location of the planned operation. Please provide information on the region(s) and province(s) covered by the activities under the planned operation.

Operations under SOP might be implemented:

   i)   throughout Türkiye,

   ii) in a specific NUTS II region, or

   iii) in a province (or some provinces)

The geographical location that the operation activities will be implemented shall be inserted here. For the operations covering more than one province, the "base" of the operation is the province where the Operation Coordination Unit (OCU) will be perform the operation management tasks. Majority of the interventions shall be implemented in the "base" province not only for an effective management but also for ensuring financial efficiency.

If there are more than one component in the operation (service, and / or supply, and /or grant), the location(s) of each of the components should be listed separately.

If pilot provinces are selected, the selection criteria should be explained under this Section.

<table>
<tr><td>Note</td><td>*EESP SOP has a geographical concentration approach which brings to fore some specific NUTS II regions. For further details, please check section 4 of EESP SOP (pp.37-39).*</td></tr>
</table>

5.5 Duration

You are requested to provide information on the planned duration of the proposed operation.

The total implementation period of the operation shall be inserted here. The duration of the operation shall be specified in months.

Operation duration should be determined in a way to ensure effective implementation of the activities to the utmost extent possible. It is advised that the implementation period of operations shall be sufficient for the activities under the proposed operation to be implemented, taking into account their specificity, density, etc.

The duration of the implementation of the operation component(s) can be easily defined after preparing a schedule of the activities implemented under the operation. Making a realistic planning is necessary to plan for each of the activities. Drafting a Gantt chart is suggested to be

prepared taking into account the parallel and following activities, although it is not going be a part of the OIS.

Please consider that the actual implementation of the operations can be restricted by various reasons such as holidays, climate conditions, etc. It is also worth underlying that the pace of implementation is slower in the early phases of an operation. Each intervention needs a time for preparation, organization, etc. before the real start.

The duration of each component (or contract) is counted from the signature of the contract(s). The contract(s) for components will be signed after the approval of the OIS and the successful management of the tendering procedures.

All the activities should be finished before the final closure date of the OIS.

Accordingly, it is crucial to make realistic estimations before deciding on the operation duration as extension of duration of an operation is a lengthy process which should be avoided.

Please note that operation proposals to be submitted in the later stages of EESP SOP 2014 – 2020 may face the necessity to for shortening the duration of some operation proposals or cancelling some interventions, or even some operations, as the duration of the operation cannot exceed the final date of eligibility of expenditure set in the Financing Agreement.

5.6 Target Group(s)

You are requested to provide information on the target group of the planned operation. Target group(s) will be directly and indirectly affected by the operation. You shall identify your target group(s) in line with your planned activities; in other words, the target groups and the activities shall be harmonious.

Please note that target group(s) should not be confused with the operation beneficiary:
- Beneficiaries – Institution/entity that benefit from the implementation of the operation
- Target group/s – Group(s)/entity who will be immediately affected by the operation.

EESP SOP draws the general framework of the groups that would be addressed through the operations. Please note that one operation will not be able to solve all the problems of the targeted area/target group(s). Each and every operation might have "direct" and "indirect" target groups.

The direct target groups are primarily addressed by the operation intervention; i.e. they are the immediate agents participating to the operation activities, and they are directly affected by the intervention. There may also be indirect target groups to be affected by the operation without participating to the activities. Target groups should be in a harmony with the aims, specific objectives and performance indicators set for each and every Activity.

The operation may aim to reach some of the target groups mentioned under the relevant action of the SOP. However, it is not compulsory to design the activities of the operation in a way to include all the target groups under the relevant activity.

Please note that for different target group there might be different activities in the operation addressing their needs.

You do not have to select several or very broad target groups. Different segments of the same target group have different needs. If you choose a very broad, or several target groups you have to meet the needs of all with your operation. Clearly defining the segment of the target group will help you clearly to define the interventions to address their needs.

Note	*Please remember that in Section 5.1 "Contribution to the achievement of the Operational Programme" of OIS, it is required to specify the contribution of the proposed operation to the EESP SOP by specifying the target group, if applicable. Accordingly, coherence between this section and section 5.1 is essential.*

5.7 Results with Measurable Indicators

Problem/intervention areas analysed in Section 5. "Description of the Operation" shall be addressed through the interventions and these interventions shall contribute to the achievement of a specific output indicator. It is important that the indicators should be measurable; i.e. they should be quantifiable and countable for reaching statistically verifiable results at the end of the operation which might also facilitate qualitative analyses on the intervention as a whole.

Output indicators are always quantifiable ('How much?' 'How many?' 'How often things happen?') and represent the products of the activities of the operation. Output indicators are monitored throughout the implementation of the operation, assessed regularly and their values are regularly reported to the OS.

Under this part, you are requested to identify your outputs and their contribution to the output indicators of EESP SOP (output indicators), which later will be used to assess the progress made within the implementation of your planned operation and the results achieved after the implementation of the operation.

EESP SOP has set easily measurable output indicators under each Activity. Accordingly, the operations under EESP SOP are expected to contribute to these indicators via their outputs. The decision to support an operation (project) under EESP SOP is taken by considering the level of contribution with respect to the financial resources demanded.

Operations/projects/interventions under SOP aim at reaching pre-defined output indicators specified in line with the aims, specific objectives, rationale and target groups of the under each Activity. Project activities should lead to the attainment of these indicators to the fullest extent possible for achieving successful results from the intervention.

The output indicators set in the SOP should be respected at the first instance and reflected to the OIS.

Please consult the Output indicators of the EESP SOP, which is available at www.ikg.gov.tr.

As the last step you will identify your result indicator(s).

Note	*There are not result indicators in EESP SOP, accordingly operations under EESP SOP are not expected to define result indicators and respective targets. Rather, the budget requested should be in proportion with the overall contribution to SOP indicators. Please avoid introducing additional result indicators and/or targets.*

The result indicators in EESP SOP are defined with reference to national policy/strategy documents such as the 10th Development Plan (2014-2018) and National Employment Strategy (2014-2023). EESP SOP is structured to support achieving the targets/goals of such policies/strategies.

The relevant Table Indicative Breakdown of the Outputs for relevant Activity shall be filled in under section 5.7 Results with measurable indicators of the OIS.

Please see **Table 1** as an example of the Indicative Breakdown of the Outputs for Activity I.II. Promoting Employment and Employability.

Table 1. Indicative Breakdown of the Outputs

Output Indicators		Indicative Breakdown of the Outputs	Target 2020	Contribution of the Beneficiary
Activity I.II. Promoting Employment and Employability	Services and trainings for target groups	Unemployed people	25.000	
		Women, young and disadvantaged persons	10.000	
		Employers	2.500	
	Awareness-raising	Persons accessed through awareness-raising campaigns/ events	50.000	
	Institutional capacity building	Trainings for the staff of relevant actors (including social partners) on additional/ customised services	2.500	
		Entrepreneurship programmes, financial support mechanisms, job clubs established (esp. for women, young and disadvantaged persons)	25	
		Improvement of physical accessibility of employment service points	100	
		Number of social partners/ NGOs/local actors / SMEs supported to facilitate employment of disadvantaged persons	100	
	Studies	Researches/field studies/reports Impact Assessment, Monitoring & Evaluation, Comparison/ Compliance Tables Regarding EU Acquis/policies	5	
	Coordination/ cooperation mechanisms	Workshops, conferences, seminars, twinning/IO agreements, etc. among relevant actors	50	
		Common Database/Monitoring Information System for İŞKUR and SSI	1	

In case the operation produces additional outputs (not output indicators), it can be inserted here after the table of indicators.

Other indicators might also be added depending on the specific objectives and target groups of the operations. Operations are allowed to produce other outputs as long as they are functional or instrumental to achievement of SOP indicators. For example, while EESP SOP **does not** set indicators such as number of different types of visibility material, they can be considered as instrumental to the SOP indicator "number of persons accessed through awareness-raising campaigns/ events".

The budget of the operation/project/intervention and the level of contribution to EESP SOP indicators should be proportional for the most efficient utilization of the financial resources under SOP.

To give an example, to contribute to the indicator "number of unemployed people provided with services or trainings in the scope of decent work" under Activity I.I. of EESP SOP, the operation may produce training materials (operation outputs) to be used in the trainings. In this case, while the number of training materials is not considered as EESP SOP output indicators, they can be considered as outputs of the operation which are instrumental for achievement of the relevant EESP SOP indicators. The same logic may apply, *inter alia*, for visibility material produced under the operations. While the number of materials is not a EESP SOP indicator, they are considered as outputs to be produced under the operations so that the EESP SOP indicator ("number of persons accessed through awareness raising event/campaigns) is achieved. Please consider that these are only two examples to clarify the link between operation outputs and EESP SOP output indicators.

When the indicators are selected, you should consider the appropriate **source of evidence** for each indicator (the source of verification). Please consider that the source of information that will be used to measure the indicator should be:

- Available - if you want to use secondary data, will you be able to gain permission to access it? Will it be available?

- Low cost - will the information be on best value for money and not too expensive to collect?

- Timely - will you be able to collect all the information when you will need it? If you want to use secondary data, will it have been collected at the right time? (Sometimes government or macro level statistics are not released until some months after the data are collected because it takes time for them to be analysed.)

If the evidence document is not available at low cost at the right time, the indicator should be changed to one which can be measured more effectively. Try to build on existing system and source of information before establishing new ones and make sure the information used can be trusted. If primary data needs to be collected, make sure this is added to the activity objectives and to the activity list and budget.

Example for documents of source of verification: regular/evaluation reports, minutes of meetings,

attendance sheet, surveys, researches, participatory evaluations, certificates, accounts, official statistics

Note	*With the indicators of your operation, you will have to contribute to the indicators of the relevant Activity of the Operational Programme. Therefore, please always keep a copy of the EESP SOP at hand while designing your operation and check the indicators identified for the activity under which you are designing your operation. Select your operation's indicators and their values in a way that you can contribute to the EESP SOP indicators sufficiently.*

Goals &
Targets
of National
Policies & Strategies

Output Indicators of
EESP SOP

Outputs of Operations
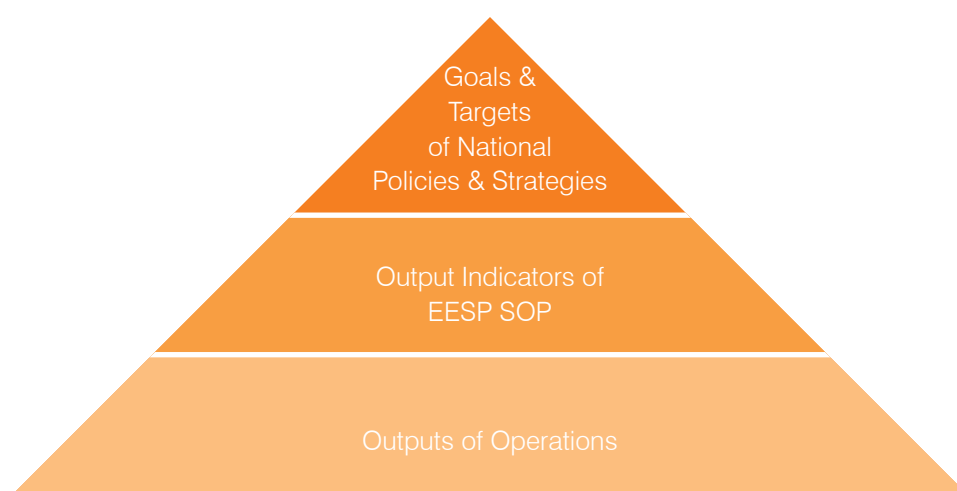
5.8 Indicative Activities / Interventions

In IPA II, the term "intervention" is used instead of "activity". Under this heading you are requested to provide detailed technical information on the planned interventions under each of the components such as service, supply, etc. Interventions should be compatible with the objectives of the operation and should be designed in a way to contribute to the achievement of the objectives defined for the operation. Interventions are planned and implemented to achieve results.

The link between the interventions and the results is important in respect of functional efficiency. Activities that do not clearly contribute to the results are not functional for the operation. All the activities (interventions) selected for financing under the programme demonstrate a positive contribution to the achievement of the expected outputs and results under relevant Activity of EESP SOP and are eligible under IPA rules and regulations.

The description for the activities shall provide an outline of the methodology to be followed during their implementation. Please note that the details of the description of the activities shall provide sufficient information to justify the budget items. Check if all sub-activities are budgeted and if your budget does not include any item to which none of the sub-activities is linked.

Please explain the complementarity of the activities with other (relevant/previous) programmes/ policies (if any).

The direct quantifiable outputs of the activities contribute to achievement of the operation results and contribute to the indicators determined for the relevant action under EESP SOP.

For each activity should be a clear link between method of implementation with activities and expected results, which makes it easy to follow the logic behind.

If the operation covers more than one region/ province, the location of the activities should be clearly described in this part activity by activity and location by location.

The activities have to be determined in line with the purpose as well as the target groups, location and expected outputs/results of the operation, and will be formulised in accordance with the specific experience and expertise of the operation beneficiary institution on the problem area and background situation leading to such an operation proposal.

According to EESP SOP, interventions shall be grouped in line with the following categories:

1. Services and trainings for target groups
2. Institutional capacity building
3. Awareness-raising
4. Studies
5. Coordination/cooperation mechanisms

All the interventions shall include some sub-interventions, which illustrate the steps of implementation and would ultimately lead to the attainment of the output indicator related to that particular intervention. Each and every sub-activity shall contain brief explanations on the expected purpose, proposed method, planned location and participants (if applicable) to that activity.

Activities shall be listed under relevant categories:

■ **Services and trainings for target groups**

Operations which aim to meet potential service recipients with relevant services or opportunities should include interventions under the category of "services and trainings for target persons".

In this category, only the interventions such as training, counselling and advice, rehabilitation, guidance, forms of financial support directed to the target persons should be mentioned. Services/Trainings for the staff of beneficiary institutions should not be mentioned here but under the following category "Institutional Capacity Building" as they usually aim to increase the performance of institutions.

■ **Institutional capacity building**

Operations which are designed to increase the quality or scope of services delivered by an institution or which focus on creating a policy-making capacity should include interventions under the category of "institutional capacity building".

Under this category, interventions such as preparing/revising institutional procedures, developing / improving IT capacities, establishing standards, preparing/ revising programmes/ material to be used in services, creating staff training programmes, delivering trainings to the staff of beneficiary/ relevant institutions, supply of equipment, etc. should be mentioned.

| Note | *Please do not confuse the services and trainings for target groups (which should be listed under category 1 with the services and trainings for the Beneficiary institution, which should be listed under category 2.* |

- **Awareness-raising**

Awareness-raising is a quintessential element of interventions in the sector of education, employment and social policies. For ensuring dissemination of information, and creating spill-over and multiplier effects, interventions to directly or indirectly reach people with a view to make them aware of their rights, opportunities and available services are supported by EESP SOP.

In the category of "awareness-raising", information regarding the persons to be targeted and the issues to be focused should be mentioned.

Note	*Please note that such interventions can also be organized to disseminate the information on operation results to persons who cannot be reached directly under the operation interventions.*

- **Studies**

EESP SOP emphasizes data gathering and processing a significant necessity for effective policy-making and service delivery. Accordingly, studies which create, update of elaborate data and information regarding the sector are promoted.

The category of "technical/scientific studies" should include academic, legal, technical, strategic desk and field studies which contribute to identification, analysis, evaluation, comparison, and solution of relevant problems and policies in the sector. They do not have to relate to one single institution/ beneficiary. If foreseen, study visits should be included as operation outputs (not EESP SOP indicators) which serve to achievement of some studies. Without a study and a tangible output (e.g. study visit reports, networking agreements with visited counterparts), no study visits are to be accepted.

- **Coordination/cooperation mechanisms**

Issues in the sector of education, employment and social policies are not one-dimensional and can hardly be tackled by a single actor. Thus, EESP SOP encourages OBs to cooperate with other actors and coordinate their efforts for higher effectiveness. Interventions with involvement of multiple stakeholders are accordingly eligible for support.

The category of "Coordination/cooperation mechanisms" should clarify whether the operation is intended to support multilateral relations (at local/national/ international levels) among relevant partners in the sector. It is requested to mention with which actors and through which tools (workshops, conferences, common databases, agreements, etc.) this cooperation/coordination will be ensured. The beneficiaries are encouraged to include more partners and establish sustainable connections with the support of the intervention.

For more detail on the "eligible interventions" (i.e. activities), please refer to "Activities" and "Actions" sections of SOP.

Note	*Please note that if you make the activity plan with a detailed list of activities in the OIS, further you cannot make any changes in the ToR. Therefore, please provide main information on the activities rather than details such as number of participants, etc.*

6. Implementation Arrangements

6.1 Institutional Framework

In these section institutional arrangements foreseen for the implementation of the operation, e.g. operation coordination unit, steering committee, regional and/or provincial authorities, technical assistance team should be given. For the template, please contact with experts of the OS.

6.2 Proposed Monitoring Structure and Methodology

In this section bodies to be responsible for monitoring of the operation, the modalities of monitoring of the operation such as workflows and reporting lines will be defined. For the template, please contact with experts of the OS.

6.3 Required Procedures and Contracts for the Implementation of the Operation and Their Sequencing

The following timetable has to be filled according to the components (service, supply, grant scheme, direct grant, etc.) and considering the time limitations set in PRAG (Practical Guide for EU External Actions) for each type of procedure and contract as well as the component duration should be specified.

The following Table 2 shall be filled in under section 6.3 Required procedures and contracts for the implementation of the operation and their sequencing of the OIS:

Table 2. Procurement Planning

Contracts	Call for Tendering / Call for proposals *1	Signing Contract *2	Contract Completion *3
Contract 1 (e.g. service contract)	Quarter/year	Quarter/year	Quarter/year
Contract 2 (e.g supply contract)	Quarter/year	Quarter/year	Quarter/year
Contract 3	Quarter/year	Quarter/year	Quarter/year

*1   Call for Tendering / Call for proposals mean official launching of the procurement procedure (publishing the Procurement Notice) (for service and supply) / Call for proposals (for grants).

*2   Contract Notice is expected to be realized at least 8 months later than the Call for Tendering for supply components, at least 12 months later for service components and at least 24 months later than the Call for proposals under grant components.

*3   Contract Completion – it should reflect the planned duration of the component.

Please take into consideration and reflect any interrelations between the components.

7. Risks and Assumptions

Under this heading you have to indicate your assumptions and identify the risks you foresee.

What are 'Assumptions'?

In terms of project planning an 'assumption' is an assertion about some characteristic of the future that underlies the current operations or plans of your institution. Assumptions can be interpreted as pre-conditions you take as guaranteed and key external factors which are critical for the success of the operation.

Note	*Assumptions are also external factors on which the preparation, tendering and implementation of the operation are based on. The assumptions should be formulised by bearing in mind that without fulfilment of a particular factor, the operation cannot be implemented.*

Some examples for assumptions:

- The legislation establishing a new institutional structure to be developed during the operation has been put into force.
- Effective and efficient cooperation and coordination amongst all the stakeholders/parties.
- Target groups are willing to take part to the activities of the operation.
- The stakeholders are committed to the operation.

What are 'Risks'?

'Risks' are about events where the probability of occurrence is uncertain and out of your control. These events, when triggered, cause problems in the implementation of the operation. Hence, risk identification can start with the source of problems, or with the problem itself.

Risks can be defined as all the factors that do not exist for the time being, but it is known that they will affect the implementation of the operation adversely if they bring about. Every activity involves risks. If they happen, some risks will affect the activity more than the others.

Risk assessment helps to identify the potential risks and consider the likelihood of them happening and their likely impact. Aim of risk assessment is to minimise the risks on operation level.

Risks are the external factors that might hinder the operation preparation, tendering and implementation activities irrespective of the commitment of Contracting Authority, Operation Beneficiary, EUD and other relevant parties. The risks cannot be controlled by these immediate actors since they might be related to overall political, economic and social environment of Türkiye, the implementation of IPA and institutional set up of relevant institutions. Accordingly, the Operation Beneficiary should refrain from inserting a factor that is internal and controllable as a risk.

Some examples for risks:

- Any major change in the legislative background of an operation
- Any major change in the institutional set up related to the operation

- Unwillingness/ lack of interest/ lack of commitment of the target groups/ stakeholders/ final beneficiaries/partner organizations, etc. during the implementation of the operation
- Lack of coordination and/or cooperation between relevant institutions

You are also requested to provide information on how these risks will be taken into consideration in the implementation of the operation and provide information on your risk mitigation plans.

8. Expected Impact of the Operation on the Target Group and Multiplier/ Spill Over Effects

Operations under SOP are implemented with the aim of creating a particular impact on the target groups. Hence, the expected long-term effects of a particular operation shall be inserted under this section.

Besides, the operation might also affect other/additional groups through the spill over effects, which might be social, administrative, economic, structural or systemic. These effects shall be determined in line with the nature, aims, location and target groups of the operation.

Under this heading you are requested to provide clear information on what positive effect the implementation of the planned operation will have on the selected target group(s).

Multiplier or spills over effects are externalities of an activity or processes that affect those who are not directly involved.

You are requested to present under this heading what indirect positive effects the implementation of the operation might have to other target groups; what lessons can be learnt that can be utilised as models for other sectors/institutions/regions etc.

Some examples for spill over effects:

- The success of the implementation of operations related to promotion of women employment may result in increased enrolment rates for girls into schools as a spill over effect. This is because mothers who have gained qualifications and employment through the project see the importance of education in relation to access to the labour market is concerned their daughters to school more than before.
- Establishing financial schemes for promoting entrepreneurship may result in increased youth employment as a spill over effect.
- Good practices for social assistance to disadvantaged people which proved to be efficient and useful for promoting social inclusion in region may serve as model for region (1) and result in a multiplier effect (2).
- Capacity and institutional development in institution A may trigger development initiatives in institution B.

Note	*Please be realistic while expressing expected impact of the operation on the target group. Please avoid unnecessary information and identify expected impact in line with the selected impact indicator at operation level.*

9. Sustainability

In this section how the operation will continue after the end of the operation shall be analysed. It is important to ensure sustainability of the structures (centres, boards, groups, etc.) studies, reports, analyses, action plans, capacity building activities, employment oriented courses, information and publicity tools, etc. after the implementation phase of the operation. It would not be sufficient to claim that the operation will be sustainable; there should be concrete plans to ensure sustainability of the operation results through the own resources (both financial and human resources) of the Operation Beneficiary.

Please introduce under this heading how the activities carried out under the operation will be maintained/ continued/endured after the completion of the operation. There are two aspects of sustainability that shall be tackled here:

- institutional sustainability and
- financial sustainability.

One of the most important components of all operations is institutional capacity building. **Institutional sustainability** means that the development made in the frame of the operation will be sustained by the Operation Beneficiary following the completion of the operation and mainly relates to the skilled human resources developed. In general, main structures established during the implementation of the operation will be sustained and financed by the beneficiary after the completion of the operation.

Some examples on what is meant by institutional sustainability:

- If a completely new institution was set up as part of the operation, this institution will **not** be closed down after the completion of the operation but will operate further.
- If new structures were developed in an existing institution as part of the operation, these will **remain** after the completion.
- If new operational modes and/or procedures and/or methods were developed, as part of the operation, these will be **implemented and maintained** following completion. You are also requested to provide information on how and by whom the implementation of the new model/procedure/method will continue after the end of operation.
- If a new type of service was established in the frame of the operation, you have to demonstrate that this service will **be further provided** by the beneficiary of the operation after completion of the operation. You have to provide information how and by whom these services will be provided further.
- If the capacities of the staff of the institution have been developed via training as part of the operation, you have to demonstrate that this staff will **remain** with the institution and can utilise the training further in their positions following the completion of the operation. You may also provide information on how further training of newcomers will be ensured. A training of trainers programme is always a good tool to ensure institutional sustainability in this regards.
- If the operation contains supply component the necessity of the purchasing should be explained together with ensuring the **maintenance** of the equipment. You should demonstrate how you will use the equipment after the period of the operation for the same purpose.

Financial sustainability means that the necessary financial resources will be available to finance further the sustaining and maintenance of the operation activities and results made as part of the operation. You are also requested to provide information on how and from what sources the financial resources required for sustaining and maintaining the operation activities and results will be ensured:

As some examples:

If new staff was hired and trained as part of the operation there will be enough resources to

- finance the salaries of these staff members, so that they can remain in their positions.
- If a new service was launched as part of the operation there will be enough resources to finance the further provision of these services.
- If a new web-site was created as part of the operation there will be enough resources to finance the operation and maintenance of this web site.
- If some equipment were purchased as part of the operation there will be enough resources to finance the operation and maintenance of these equipment.

While providing information on sustainability arrangements, please make clear references to the institutional and financial sustainability issues. Please note that the OS may request a sustainability declaration to be signed by the beneficiary organisation. Promise only what you can keep.

Note	*Please do not forget the fact that EU would like to spend its money on sustainable operations whose effects will be felt and seen after the completion of the operation. Pay attention to this part and demonstrate that both institutional and financial sustainability will be ensured.*

10. Equal Opportunity, Minorities and Vulnerable Groups

Operations shall be designed in a way to respect equal opportunities for women and men as defined under the SOP as a horizontal priority to be taken into consideration at all stages of the implementation of the operation, from OIS preparation to monitoring and evaluation of the operation. Accordingly, the activities shall respect equal opportunities as a core principle in line with the guidance provided in SOP. Accordingly, the gender-disaggregated, monitoring indicators shall be collected, trainings (when applicable) shall be provided through respecting the equal opportunities principle, and relevant parties shall be consulted on how to incorporate this principle into the operation.

In order to guarantee that the OS has the capacity to effectively implement the principle of equal opportunities, the following measures, specified in the SOP are to take place:

- In the monitoring and reporting of the EESP SOP implementation, data on monitoring and evaluation indicators will be broken down by gender to the extent possible,
- The principle of equal opportunities is to be monitored and evaluated at the levels of the individual projects, of the particular operational objective and relevant Action,
- Conducting special studies and assessing the effectiveness and impact of horizontal principles, including equal opportunities in all project reports,
- Incorporating the principle of equal opportunities for women and men within checklists used by the OS in operation formulation and monitoring, etc.,

- Providing trainings to the target groups regarding equal opportunities in the context of the EESP SOP. These trainings will target participants at different levels – Operating Structure, target groups, Monitoring Committee members, the social partners, NGOs, final beneficiaries,

- Development and dissemination of best practices in Türkiye and the EU member states of activities demonstrating the full endorsement of these principles,

- Consulting beneficiaries on forms and ways to incorporate the principle of equal opportunities in their proposals,

- Ensuring that consultations with stakeholders address equal opportunities for women and man.

The effects of the operation on vulnerable groups might vary in line with the nature of the operation; however, since SOP takes these as horizontal issues to be addressed through each and every operation as much a as possible, please clearly express how the operation intervention will improve the conditions of these groups and how this positive impact will be sustained.

Some operations do not tackle equal opportunities directly. Also in these cases you may consider how you will tackle with your operation equal opportunities for women or disadvantaged people indirectly.

- Your operation tackles youth employment. You may consider how your operation will tackle equal opportunities for men and women, for example by ensuring that you will offer vocational training and employment possibilities to both genders.

- You may also consider how your operation will tackle equal opportunities of disadvantaged people for example by ensuring that you will offer vocational training and employment possibilities for also young people with low qualification level or for disabled youth.

- Your operation tackles adaptability of labour force. You may consider how your operation will tackle equal opportunities for women and men in selecting the participants who will receive training.

In addition to the main horizontal principles of equal opportunity and issues of disadvantaged groups, the sustainable development and environmental protection could be also addressed in the operations. In some cases, a direct environmental effect can be realised, in some cases the effect is more indirect. In any case, it shall be demonstrated that the implementation of the operation will ensure sustainable development and will in no way harm the environment.

Note	*Printed material should be avoided for environmental sustainability. The number of brochures, booklets, hard print versions of compendia/almanacs/reports should be minimised. Use of recycled material is recommended.*

11. Requested Financing from the European Union

First you are requested to plan your budget breakdown and total budget as described under Section 13.

For the rate of ceiling of the EU contribution, please consult the CA during the OIS and budget preparation.

12. Co-financing

The OBs are requested to contribute financially in the operation budget provided that any exceptions are granted by the EC.Concerning the rate and details of the co-financing, the operation beneficiary is invited to consult the CA.

13. Budget Breakdown

How to Plan the Budget?

To be able to plan your budget breakdown you have to estimate the budget of your service and supply contracts and if the operation contains a grant component, also the amount of the grant scheme.

Steps in budgeting

1. Decision on activities and time planning
2. Draft a resource plan per activity
3. Estimate all relevant costs per activity
4. Adjust costs in time for wage rises, inflation etc.

Some guidance on how to estimate your budget for service, supply and grant components is presented under heading "IV. How to estimate relevant costs per activity?". For the detail calculation of the budget breakdown, the operation beneficiary is invited to consult the procurement experts of the CA.

The following Table 3 shall be filled in line with the components of the operation under section 13 Budget breakdown of the OIS:

Table 3

	EU Contribution (€) *	Co-Financing (€) **	Total (€)
Component 1 (e.g. service)			
Component 2 (e.g. supply)			
Component … (Please add lines for each component)			
Total			

* EU Contribution is 85% of the Total amount of the Component

** Co-financing is 15% of the Total amount of the Component

Note	*The budget estimates for service, supply and grant components shall be submitted together with the OIS. Supporting documentations, such as Draft ToR / service project activity and the Budget Breakdown estimation (where appropriate) for service components, the results of the preliminary market research and technical specifications (where appropriate) for supply component, as well as the total amount of the grant scheme estimation shall be submitted **together with the budget estimates.***

14. Cash flow requirements by source of funding

The following Table 4 shall be filled in line with the components of the operation under section 14 Cash flow requirements by source of funding

Table 4

	Initial Payment (Euro)	Intermediate Payment (Euro)	Intermediate Payment (Euro)	Intermediate Payment (Euro)	Final Payment (Euro)
	Quarter/Year	Quarter/Year	Quarter/Year	Quarter/Year	Quarter/Year
Component 1 (e.g. service)	20 % [amount]	25 % [amount]	25 % [amount]	20 % [amount]	10 % [amount]
Component 2 (e.g. supply)	40 % [amount]	-	-	-	60 % [amount]
(Please add lines for each component)					

How to Fill the Cash Flow Requirements Table?

The operation beneficiary is invited to consult the procurement experts of the Contracting Authority to fill this table.

Note	*Sections 15 and 16 of OIS template are irrelevant under SOP*

IV | How to Estimate Relevant Costs Per Activity?

Here below you will find some guidance on how to estimate your budget for service, supply and grant components. For the detail calculation of the budget breakdown, the operation beneficiary is invited to consult the procurement experts of the Contracting Authority.

Service Contracts (Estimation of Required Budget)

First you have to clarify whether you are going to apply fee-based or global price service contract. What is the difference between **fee-based** and **global price** service contracts?

You will follow the budget planning method of the fee-based service contract if the outputs of the services are unpredictable, or where the workload to achieve the specified output is impossible to quantify in advance. Therefore, the services are provided on the basis of a fixed daily fee rate for the expert days. Furthermore, the budget consists of a fixed provision for incidental expenditure which covers all actual expenses incurred by the consultant which are not included in the fees.

Examples for fee-based activities: technical assistance, preparation of projects, feasibility studies, technical studies, etc.

In case of global price service contact the specified outputs are defined. The service will be paid on the basis of the delivery of the specified outputs. Examples of global price activities: evaluations, audits, organisation of events such as conferences, trainings, drafting a legal document, etc.

If you apply global price service contract detailed budget planning is also required to OIS. In this case you can follow the fee-based service contract planning process.

The fee-based service contract budget planning method is the following:

First of all, you have to identify how many and what kind of experts you will need.

There are the following types and categories of experts: Team Leader; Key experts (max. 3); Senior and Junior non-key experts.

It is recommendable the team leader to be responsible for the overall co-ordination and implementation of the technical assistance contract, thus to be a full time (220 working days per year).

Experts, whose input to the implementation of the technical assistance project exceeds 6 months over the implementation period of the contact and whose contribution to the achievement of activities are considered as 'key experts'.

Experts, whose input to the implementation of the technical assistance project does not exceed 6 months over the implementation period of the contract, are considered as 'non-key experts' (Senior and Junior).

As next the required input, in terms of working days over the duration of the contact, of each type and category of experts has to be identified. Based on the foreseen workload and tasks to be implemented by the team leader and the key experts, you have to make estimation for their required input over the implementation period of the contract.

Key experts may be full time or part time depending on their required input over the implementation period of the contract.

One working month is generally calculated as 20-22 working days. Therefore, the yearly input of a full time key expert can be calculated as 200-220 working days/calendar year (official holidays and the annual leave entitlement of a full time expert shall be entitle)

Key experts, whose input is less than 200 working days/calendar year, can be considered as part time.

After you identified the required input from key experts, you also have to make estimation for the required total input for senior and junior non-key experts. This can be estimated based on the workload and tasks not covered by key experts.

In order to estimate the indicative expert's input, please consult the similar type of activities in similar projects.

After you have identified the estimated input required for each type and category of experts, you can start to make estimation for the budget required to implement the contract.

Based on the estimated number of working days for each type and category of experts multiplied with the relevant estimated fee rates, you will calculate the estimated fee budget.

Note	*With regard to the budget estimation of the fee-based, please use the working tool (Template for calculation of the budget of the service contracts), elaborated by OS (electronic format) based on the standard PRAG budget template. You just put the estimated number of working days for each type and category of experts into the second column of the above table. For the template, please consult the procurement experts of the Contracting Authority.*

Do not forget, that the **fee rates** include also overheads which are:

- administrative costs of employing the relevant experts, such as relocation and repatriation expenses, accommodation, expatriation allowances, leave, medical insurance and other employment benefits accorded to the experts;

- costs related to the project office including running costs and insurance; and also in some cases the renting of an office may be required, which may lead to the increasing of the indicative Fees provided in the template)

- costs related to the project director and the project administrative and support staff including interpretation and translation costs related to experts;

- costs related to office equipment and their maintenance;

- financial charges related to the implementation of the contract;

- other specific expenses that supposed to be clearly described in the ToR (such as the costs of printing materials or interpretation, which may lead to the increasing of the indicative fees provided in the template).

Incidental expenditure

As next step you will have to make estimation for the provision of incidental expenditure.

What is Incidental expenditure?

In the ToR it is specified: *"The provision for incidental expenditure covers ancillary and exceptional eligible expenditure incurred under this contract. It cannot be used for costs that should be covered by the Contractor as part of its fee rates, as defined above."*

First of all, you have to think over very carefully the activities of your planned operation and list all direct expenses that will occur during the implementation of the contract. The headings under the incidental expenditure have to be identified individually for each operation, depending on their specific activities.

Subsistence allowances for experts depend on the country where the operation activity will take place. The rates cannot exceed the actual per diem rates identified by the EC and published under the following link:

https://ec.europa.eu/international-partnerships/documents-library_en?keyword=per%20diem%20rates

The Per-diem for Türkiye and a specific one for Istanbul, as well as the indicative price of domestic and international flights are specified in working tool (Template for calculation of the budget of the service contracts), elaborated by OS.

For estimating other costs, you have to carry out a preliminary market research. Ask for dummy offers, search for prices on web sites or in catalogues and make a realistic estimation.

Note	*With regard to the estimation of the Incidental expenditure, please use the Working tool (Template for calculation of the Budget of the Service contracts), elaborated by OS (electronic format). For the template, please consult the procurement experts of the Contracting Authority.*

Lump sum

Fee-based contracts may include activities paid under the basis of lump sums (e.g. of a fee-based contract for training, where the trainings would be paid on a fee-based basis, and where the development of the training material would be paid on a lump sum basis). If activities paid under lump sums are required, please highlight them in this section.

The lump sum price will cover all costs for the related activities and neither fees nor incidental budget will be used.

- training materials - (reproduction)

- visibility materials - (design and production)

- promotional / audio-visual materials - (design and production)

Note	*Some activities could be budgeted either under fees or under incidental expenditure or under lump sums. Please plan them correctly depending on the specificity of the activity. Please also make market research if the activity necessitates additional costs (i.e. preparation of e-learning materials, audio-visual materials, etc.).* *With regard to the estimation of the Lump sums, please use the Working tool (Template for calculation of the Budget of the Service contracts), elaborated by OS (electronic format). For the template, please consult the procurement experts of the Contracting Authority.*

Expenditure verification

As final step you will have to make estimation for provision for expenditure verification. The provision for expenditure verification relates to the fees of the auditor who will be responsible to verify the expenditure under the contract in order to proceed with the payment of further pre-financing instalments and/or interim payments.

The cost of the auditor will depend on the contract amount to be verified. To estimate this cost, ask for dummy offers from auditors based on the total amount of fees plus incidental expenditures. As a rough estimation of 0,8 - 1 % of the total of fees plus incidental expenditures may be appropriate.

Note that the Budget Breakdown estimation of service contract shall be submitted together with the OIS.

Supply Contracts (Estimation of Required Budget)

- First of all, you have to identify the needs of your operation as regards to purchase of equipment is concerned. Please note that equipment can only be purchased if they are directly related to the institutional building component and its activities and if the supply is well justified in the OIS.

- Compile the list of equipment you plan to purchase.

- Draft preliminary technical specifications (minimum requirements) for each type of equipment

- Compose lots of similar type and categories of equipment that can be purchased from the same supplier.

- Carry out some preliminary market research, in order to clarify the indicative cost of each item with the required technical parameters. Ask for dummy offers, search for prices on web sites or in catalogues and make a realistic estimation.

- Do not forget that the Auxiliary services cost money. The Auxiliary services may include:
  - All installation and testing requirements!
  - Training (for operation and/or maintenance) number man-days, number of trainees, language, training materials needed, etc.
  - Manuals (on operation or maintenance…) / other documents required,
  - After-sales services

- Consumables (for max. 1 year of operation)
- Acceptance conditions / procedure

- Based on the preliminary market research you can make estimation for the total **amount of the planned supply.**

Note	*That OIS supporting documentations such as the results of the preliminary market research and technical specifications (where appropriate) and budget estimates shall be submitted together with the OIS.*

Grant scheme (estimation of required budget)

In case your operation will also have a grant component, you may estimate the total amount of the grant scheme as the arithmetical product of the estimated average project size and the estimated number of grant projects you may want to finance and manage.

The volume of the grant scheme shall be proportionate to the problem to be tackled with the scheme.

Most importantly it must be in line with the management and monitoring capacities of your institution. Please consider what capacities you can provide to manage and monitor the scheme. How many full time staff will be available for managing and monitoring of the scheme? As a rough estimation you can calculate with one full time staff to manage and monitor 20-30 grant projects. If grant projects are big in terms of budget and complex in nature the number of projects/staff members shall be increased.

V | What is Next?

If you have reached so far, there is nothing more left than to submit your designed operation in form of a fully elaborated OIS and its annexes to the OS.

Please do not forget to send together with the fully elaborated OIS the following documents:

- budget estimate for the service component together with detailed estimations for the provision of incidental expenditure and expenditure verification;
- budget estimate for the supply component (if any) together with detailed calculations for the estimate;
- budget estimate for the grant component (if any) together with calculations for the estimate.

After the submission, the OIS and its annexes, as well as the supporting documentation provided by the potential OBs, will be checked by the relevant Units of the OS. Next, OIS will be checked by the Quality Assurance and Control Unit (QACU) of the OS as well.

Following checking by the QACU, the OS may provide comments and / or may return the OIS for revisions. Potential OBs will be requested to make those revisions and re-submit the OIS to the OS. In addition to the revised OIS, potential OBs shall also submit a table which demonstrates the comments of the OS and the actions taken by the potential OB to meet those comments. Additional comments by the OS, if any, are to be addressed by the potential OBs.

The EUD may also provide comments or request revisions to the document. Potential OBs will then be required to return the revised OIS to the OS who will forward it to the EUD for final approval. As mentioned before, potential OBs shall also submit a table which demonstrates the comments of the EUD and the actions taken by the potential OB to meet those comments. It is strongly recommended that the potential OBs make necessary revisions without delay. The operation can be started once EUD grants its final approval to the OIS.

If not in parallel, once after approval of the OIS by EUD the OB will prepare the Terms of Reference for the Service Component and the Technical Specification and Market Research for the Supply Component (if applicable).

In case the operation will also contain a grant scheme, the Guideline for Applicants and the Application Package will be prepared by the OB.

The OS will guide the OBs in this process and ensure quality check and approval of all documents.

Note	*The Staff assigned for OIS elaboration, as well as for preparation, implementation, management and monitoring of the Operation(s) should be:*

- adequate in number in terms of different aspects of the project proposal,
- competent in English (documents are drafted in English),
- available to OS anytime in the course of PIF/OIS drafting, also for ToR/TS and MR/ GfA elaboration,
- assigned also tender evaluation/tender phases/assessment of grants.

Annex VIII -
Model of Operation Identification Sheet
(max 5 pages)

1 Title of the Operation:

2 Operating Structure:

3 Body Responsible for the Implementation of the Operation:

4 Compatibility and coherence with the Operational Programme

    4.1 Title of the programme

    4.2 Title of the action

    4.3 Recipient

    4.4 End recipient of assistance

5 Description of the Operation

    5.1 Contribution to the achievement of the Operational Programme: Describe the operation, its background, how the operation contributes to the achievement of the objectives of the Operational Programme linked with the appropriate measure.

    5.2 Overall Objective: Explain in one sentence

    5.3 Operation Purpose: Explain in one sentence

    5.4 Indicative location(s): Please keep in mind the eligible regions

    5.5 Duration: Duration of the operation cannot exceed the final date of eligibility of expenditure set in the Financing Agreement

    5.6 Target group(s):

    5.7 Results with measurable indicators:

    5.8 Indicative activities:

6 Implementation arrangements (please provide detailed chronogram for preparatory stages, tendering, contracting and starting of operations)

    6.1 Institutional framework: institutional arrangements foreseen for the implementation of the operation, e.g. operation coordination unit, steering committee, regional and/or provincial authorities, technical assistance team

    6.2 Proposed monitoring structure and methodology: who will be responsible for monitoring of the operation, how will the operation be monitored, what will be the workflow and reporting lines?

    6.3 Required procedures and contracts for the implementation of the operation and their sequencing: list the type of procedures (call for proposals, direct implementation by national institutions without prior call for proposals, direct agreements with international organisations, etc) and the corresponding contracts (grant contracts, contribution agreements with international organisations, services, supplies, works, etc) for the proposed activities, together with their sequencing

7   Risks and assumptions:

8   Expected impact of the operation on the target group and multiplier/spill over effects:

9   Sustainability:

10   Equal opportunity, minorities and vulnerable groups (where relevant):

11   Requested financing from the European Commission:

The Union contribution shall not exceed the ceiling of xx% of the eligible expenditure.

12   Co-financing: (please identify expected total contribution by source)

13   Budget breakdown:

(indicative, per operation component if applicable, including estimated total cost, public expenditure, IPA contribution, national public contribution and private contribution)

14   Cash flow requirements by source of funding

15   Revenue generating operations (Article 9 of the General Conditions of the Financing Agreement) (if applicable)

If the project is expected to generate revenues through tariffs or charges borne by users, please give details of charges (types and level of charges, principle on the basis of which the charges have been established).

Following questions should also be addressed:

Do the charges cover the operational costs and depreciation of the project?

Do the charges differ between the various users of the infrastructure?

Are the charges proportional:

- To the use of the project/real consumption?

- To the pollution generated by users?

If no tariffs or charges are proposed, how will operating and maintenance costs be covered?

16 Environmental Impact Assessment (if applicable)

Has development consent already been given to this project?

If yes, on which date?

If no, when was the formal request for the development consent introduced and by which date is the final decision expected?

Specify the competent authority or authorities, which has or have given or will give the development consent.

Results of the consultations with the public concerned[2].

Is the project likely to have significant negative effects on sites included or intended to be included in sites of nature conservation importance / Natura 2000 network?

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[2] The information provided should cover the following:
- the concerned public which has been consulted,
- the places where the information has been consulted,
- the time which has been given to the public in order to express its opinion,
- the way in which the public has been informed (for example, by bill-posting within a certain radius, publication in local newspapers, organisations of exhibitions with plans, drawings, tables, graphs, models, etc.),
- the manner in which the public has been consulted (for example, by written submissions, by public enquiry, etc.)
- the way in which the concerns of the public have been taken into account.