AVRUPA BİRLİĞİ BAKANLIĞI

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Support Activities to Strengthen the European Intergration Process

SEI Guidelines

REPUBLIC OF TURKEY
MINISTRY FOR EUROPEAN UNION AFFAIRS

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AP	Accession Partnership
CBC	Cross-border cooperation
CFCU	Central Finance and Contracts Unit
DIS	Decentralised Implementation System
DPI	Directorate of Project Implementation
ESEI	Enhanced SEI
EUD	Delegation of the EU in Turkey
FWC	Framework contract
IPA	Instrument for Pre-accession Assistance
IPA I	IPA Component I - Transition Assistance and Institution Building
IPA II	IPA Component II – Cross-border Cooperation
IPA III	IPA Component III - Regional Development
IPA IV	IPA Component IV – Human Resources Development
IPA V	IPA Component V — Rural Development
MEUA	Ministry for European Union Affairs
MIPD	Multi-Annual Indicative Planning Document
NIPAC	National IPA Aid Coordinator
NPAA	National Programme for the Adoption of the Acquis
OLAS	On-line Application Sheet
PF	Project Fiche
PPF	Project Preparation Facility
PRAG	Practical Guide to Contract Procedures for EC External Actions
SEI	Support Activities to Strengthen the European Integration Process
SMSC	Sectoral Monitoring Sub-Committee
TA	Technical assistance
TAIB	Transition Assistance and Institution Building (IPA Component I)
TAIEX	EC's instrument for Technical Assistance Information Exchange
ToR	Terms of reference
UNIBE	Unallocated Institution Building Envelope in the Context of the Preparation Process and Accession Negotiations
IA	Implementing Agency. For IPA I the CFCU is the Implementation Agency.

Preface

The enhancement of institutional and human resources capacities of public institutions and thereby achieving alignment with EU legislation and standards is one of the priorities of Turkey within the accession process to the European Union. Concomitant to this mission, the Ministry for European Union Affairs, by providing financial and human resources assistance, is engaged in the development of projects that emerge out of the needs and efforts of public institutions and the close cooperation with EU institutions. Support Integration to Strengthen the European Integration Process Project (SEI), is amongst projects explicitly coordinated and co-financed by our ministry. Within the 2002-2008 programming years, almost 80 million euro financial assistance has been granted to public institutions by SEI being under the umbrella of IPA I Component – Transition Assistance and Institution Building.

The financial assistance under SEI will incrementally increase while our Ministry takes the necessary steps to grant a more effective implementation procedure. One of the outputs of this approach is this study titled **"SEI Guidelines"**. This guidance document is aimed at providing a comprehensive understanding of SEI funds and enabling public institutions to make more efficient use of them.

I would like to express my gratitude for our public institutions who show a high degree of ownage for SEI. I hereby want to reiterate that the Ministry for European Union Affairs will always assist our public institutions in the reform process of Turkey.

Egemen BAĞIŞ
Minister for EU Affairs and Chief Negotiator

1. Support Activities to Strengthen the European Integration Process (SEI) – Introduction

1.1 The background

In the context of the accession process towards the European Union, Turkey currently receives assistance from the EU under the Instrument for Pre-accession Assistance (IPA) with a total allocation of almost 5 billion euros for 2007-2013.

The Ministry for European Union Affairs (MEUA) is at the central level responsible for the overall internal co-ordination of the accession process. For IPA, the MEUA performs the role of the secretariat for National IPA Aid Coordinator (NIPAC). In this context, the Ministry carries out the necessary programming and monitoring tasks to ensure a close link between the accession process and the use of IPA funds. In this role, the MEUA shares the responsibility for the qualitative level of various project proposals yearly submitted to the EC, together with beneficiaries of these projects.

IPA consists of five components. Besides IPA I, which is discussed in more detail below, IPA II — Cross-Border Cooperation - aims to prepare Turkey for the implementation of the Territorial Cooperation objective of the EU structural funds and to support Turkey's participation in bilateral cross-border programmes with Member States as well as Turkey's participation in the European Neighbourhood and Partnership Instrument (ENPI) Black Sea Basin programme. The Ministry for European Union Affairs is responsible for the implementation of IPA I and IPA II components. IPA III — Regional Development – provides support in the areas of environment, transport and regional competitiveness. The Ministry of Transport, Maritime and Communications, the Ministry of Environment and Urbanisation, and the Ministry of Science, Industry and Technology are responsible for the implementation. IPA IV - Human Resources - addresses employment, education and social inclusion. This component is implemented by the Ministry of Labour and Social Security. IPA V — Rural Development - sets out the priorities for adaptation of the agricultural sector and implementing of EU standards, preparatory actions for agri-environment measures and the Leader Programme and development of the rural economy. The Agriculture and Rural Development Support Institution has the responsibility for the implementation of this component.

IPA I – Transition Assistance and Institution Building (TAIB) – focusses on supporting Turkey in meeting the accession criteria. Assistance under IPA I may be provided through:

1. administrative cooperation measures for the purpose of training and information exchange involving public-sector experts dispatched from Member States or international organisations, in particular through twinning, twinning light and TAIEX;
2. technical assistance to strengthen institutional expertise and to support institution building;
3. investments in the regulatory infrastructure, including independent external multilateral institutions, in particular to support alignment with European Union norms and standards. This is aimed at key regulatory institutions and made on the basis of a clear strategy for public administrative reform and alignment with the acquis;
4. grant schemes for supporting small initiatives at the target group in specific thematic areas;
5. support activities to strengthen the European integration process.

Following the Turkey Multi-Annual Indicative Financial Framework 2011-2013, the financial allocations per year for IPA Component I are as follows:

Component	2011	2012	2013	Total
IPA I – Instituion Building	231,27	227,5	246,28	705,8

The main strategic reference for this component is the Multi-Annual Indicative Planning Document (MIPD). The MIPD establishes the following financial allocations per priority axis under Component I:

MIPD Priority Axes for IPA Component I, TAIB		
Priority 1	Progress towards fully meeting the Copenhagen political criteria	15-25%
Priority 2	Adoption and implementation of the acquis communautaire	45-65%
Priority 3	Promotion of an EU-Turkey Civil Society Dialogue	20-35%
Priority 4	Support activities	3-5%

Besides the above MIPD priorities, the programming of IPA Component I is guided by the latest gap analysis[1] carried out by the MEUA Sector Directorates under the coordination of the NIPAC Secretariat as well as the Accession Partnership and the National Programme for the Adoption of the Acquis (NPAA).

[1] The gap analysis identifies the scope for generating project especially in MIPD priority areas which are not yet (fully) covered by 2011-2013 programmes.

It's important to note that assistance covered under Priority 4 includes all the support provided under the project "Support Activities to Strengthen the European Integration Process", henceforth SEI. SEI essentially provides short-term technical assistance for IPA I project preparation and capacity building to support the accession process. With reference to MEUA's special role for the qualitative level of various project proposals yearly submitted to the EC, the Directorate of Project Implementation (DPI) has been tasked with the responsibility for implementing the SEI. In this role, the DPI receives and processes all SEI requests and, after acceptance, gives the green light to the CFCU for the related tendering, contracting and financial implementation. In order to ensure the effective utilisation of SEI funds, the DPI not only approves applications for SEI but also monitors the progress in the implementation of SEI funded actions. During the entire lifetime of each SEI funded action, however, the SEI key beneficiary who applied for the related support, is responsible for supervising and, if required, facilitating its implementation.

1.2 Description of SEI

The SEI has two main components: the "Project Preparation Facility" (henceforth PPF) and the "Unallocated Institution Building Envelope in the Context of the Preparation Process and Accession Negotiations" (henceforth UNIBE). The PPF is a facility mainly focussing on support for the development of project fiches, whilst UNIBE represents a facility primarily aiming at capacity building related to the EU accession process.

Under the successive National Programmes 2002 up to 2008, nearly 80 million euro have been committed for "Support Activities to Strengthen the European Integration Process" projects in the context of the financial cooperation between the EU and Turkey. Considering that SEI 2008 expires by the end of 2011 and the continued importance of the support activities as confirmed in the MIPD, the EU and Turkey warrantied the prolongation of SEI activities with new SEI allocations under the National Programmes 2009, 2010 and 2011[2] (see box).

Before discussing the two main components of the SEI in more detail, it's important to make a distinction between SEI and TAIEX - EC's instrument for Technical Assistance Information Exchange. Whilst SEI focuses on strengthening institutional capacities related to Turkey's EU accession process, TAIEX promotes strengthening of expert capacities through networking and exchanges of best practices and experiences (see box for further details concerning TAIEX). However, considering that both SEI and TAIEX offer opportunities for participation in seminars, workshops etc. it has been decided that participation of individual experts in such events (involving small scale SEI actions below 5,000 euro) will be excluded from SEI as of SEI 2010[3].

2 The implementation of SEI 2011 runs until 2015.

3 If no support from TAIEX for a particular small scale action can be obtained, funding should come from national resources.

SEI Allocations in the National Programmes 2009, 2010 and 2011 (in euro)

Component	2009	2010	2011
PPF	3 330 000	3 725 000	2 223 000
UNIBE	560 000	3 725 000	16 667, 000
Total	3 890 000	7 450 000	18,900,000

TAIEX – Technical Assistance Information Exchange Facility

TAIEX assistance aims at increasing understanding of EU legislation in beneficiary partner administrations and promotes networking amongst participants and facilitates exchanges of best practices and experiences. Events may include:

- Member State experts advising on legislative acts and on the interpretation of EU legislation or to provide guidance on the administrative arrangements for its implementation and enforcement;
- Study visits for the officials of beneficiary countries to improve understanding of how Member States deal with the implementation and enforcement of EU legislation;
- Seminars and workshops explaining such issues to a wider audience;
- Monitoring and analysis of progress through Peer Reviews or Assessment Missions.

1.2.1 PPF - Project Preparation Facility

The objective of PPF is to enable the beneficiaries of IPA I assistance to submit Project Fiches which are in full compliance with the established standards. This is achieved by strengthening the capacity of the concerned ministries, public institutions and organisations to develop, design and implement accession related projects.

Besides ensuring that quality standards and timely completion of Project Fiches as outlined in the template are applied, the TA under SEI can also support the preparation of tender dossiers such as terms of reference, technical specifications, and calls for proposals.

The assistance provided under the PPF may be expected to contribute to an improved absorption of programmed EU funds in the framework of IPA I, combined with an increased effectiveness and efficiency during PF implementation.

1.2.2 UNIBE - Unallocated Institution Building Envelope in the Context of Preparations for Pre-accession Process and Accession Negotiations

The main aim of this second facility of SEI is to strengthen the capacities of the Turkish institutions in fulfilling their respective pre-accession roles and functions, with a special focus on DIS institutions[4] appointed in the framework of IPA[5].

Additionally, UNIBE enables public actors to meet specific and urgent needs identified in the course of the pre-accession and negotiation processes. The facility may be used for the following purposes:

- Short term TA for acquis related studies which are non-PPF type of projects (needs and gap analyses, action plan drafting, strategy development, legal work)
- Participation in acquis related meetings, workshops, study visits
- Training on acquis related issues (developing human resources of relevant bodies for the adoption and implementation of the EU acquis communautaire)
- Activities related to strengthening the DIS institutions and operating structures appointed in the framework of IPA implementation in Turkey.

1.2.3 Enhanced SEI

Hitherto, most contracts concluded under SEI had a contract value of less than 200.000 euro and depending on the nature of the request could be implemented rather quickly either through the framework contract procedure (see next section) or by concluding direct agreements (for smaller support actions e.g. seminar participation or study visits).

[4] DIS stands for Decentralised Implementation System which is the system of management of IPA assistance where the Turkish authorities have the key management responsibility for all phases of the programme cycle.
[5] For details concerning the DIS in Turkey, refer to Circular of Prime Ministry No. 2011/15.

In 2011, the EC and the NIPAC agreed to increase the scope of the UNIBE component of SEI by allowing full scale institution building projects up to 3 million euro IPA funds to be financed under this facility. The "enhanced" UNIBE facility will be eligible for standalone contracts involving TA, Twinning and Direct Grants; supplies or works contracts are not eligible. All contracts larger than 3 million euro or projects containing several components/contracts should remain within national programmes. For projects larger than 500,000 euro a full project fiche must be developed. This compnent is coordinated by the Directorate for Financial Cooperation. All PRAG procurement rules fully apply.

For more information the reader is referred to Annex 2.

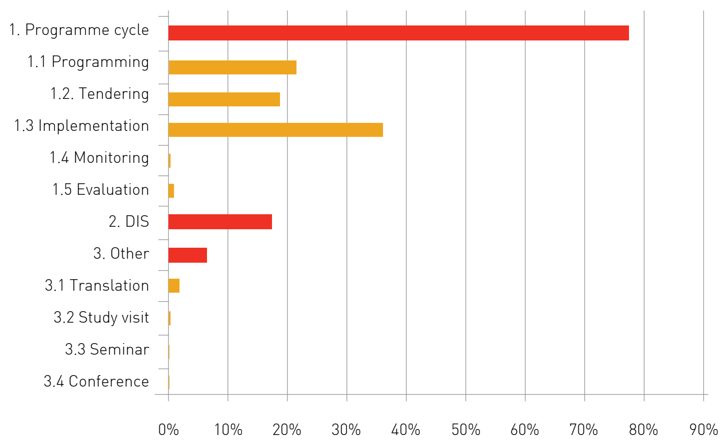
2. How can SEI be used?

This section describes the various types of support that can be obtained from SEI.

For a first impression, we briefly review how SEI funds have been used until now. The chart below shows that almost 78% of the SEI 2002-2008 funds have been used to provide technical assistance during the various phases of the IPA programme cycle. This included:

- Technical assistance to support for programming (project development, PF drafting, various types of analyses to support the programming process);
- TA to support the tendering (including drafting of tender documents such as ToRs and Technical Specifications, but also support to the evaluation of offers);
- TA to support beneficiaries with the implementation of IPA projects;
- TA to monitor the implementation of IPA projects in support of a project beneficiary or a project steering committee;
- TA to conduct evaluations of projects.

Chart 1: Usage of SEI funds (SEI 2002 – SEI 2008)



Around 17% of the SEI 2002-2008 funds have been used to support DIS institutions to fully assume their responsibilities in the context of the decentralised management of IPA funds in Turkey. This included technical assistance to conduct different types of audits and TA to support the implementation of Results Oriented Monitoring (ROM)[6] and training.

The remaining 5% of the SEI funds went to other support, particularly support to the set-up of the Translation Coordination Unit (TCU) of MEUA as well as to small grants to beneficiary institutions for study visits and participation in seminars, conferences, etc.

2.1 SEI support during the programming of IPA assistance

Programming of IPA assistance in Turkey is a multi-level and multi-actor process aiming to compose a package of IPA support properly tuned to support Turkey's reforms on its path towards EU accession. The programming process is based on the priorities agreed between the EC and the competent Turkish authorities such as those included in the Multi-annual Indicative Planning Document (MIPD).

The programming process has two stages: the identification stage and the formulation stage. In the next two sub-sections of the scope for SEI support in each of these stages is highlighted.

2.1.1 SEI support in the Identification Stage

In the start of the identification stage, it has become well-established practice to review and update the legislative and institutional analysis to identify gaps that should subsequently be plugged by suitable projects. The reference framework here is the MIPD.

In the identification stage it is furthermore assessed whether preliminary project proposals submitted to TAIB Committee[7] and the European Commission are consistent with the defined priorities. Besides consistency with the MIPD priorities, the proposals should also be in line with the Accession Partnership, the National Programme for the Adoption of the Acquis, the National Development Plan, the annual Progress Reports, sector strategies, screening meeting conclusions, and other relevant strategic documents.

[6] Results Oriented Monitoring (ROM) assesses the relevance, efficiency, effectiveness, impact and sustainability of projects during their implementation. ROM provides quick and detailed information to the relevant project authorities which enables them to take informed management decisions.

[7] This committee is chaired by the National IPA Coordinator and consists of representatives of the sector directorates of the MEUA, the Ministry of Development , Under-secretariat of Treasury, Ministry of Foreign Affairs and Ministry of Finance and the CFCU. The secretariat services are performed by the Secretariat of NIPAC.

At this stage it is recommended to carry out a pre-feasibility study. The objective of a pre-feasibility study is to provide decision makers in the Turkish Government and the European Commission with sufficient information to justify the acceptance, modification or rejection of the proposed project, and determine the scope of follow-up planning work (i.e. a feasibility/design study).

What should be studied in a Pre-feasibility Study?

Within the context of a pre-feasibility study, the following aspects of the proposed project are highlighted:

- the project's coherence with the Accession Partnership, the National Programme for the Adoption of the Acquis, and Multi-annual Indicative Planning priorities;
- the project's coherence with the Turkish Government's development policy and sector policies and expenditure plans;
- identification of key stakeholders and target groups, and assess institutional capacity issues and degree of local ownership;
- identification of the key problems to be addressed and development opportunities, and preparation of a preliminary problem analysis;
- identification of lessons learned from past experience and analysis of complementarity of the proposed project's coherence with current/on-going initiatives;
- analysis of project objective and preliminary objective analysis;
- preparation of preliminary logframe matrix (as appropriate);
- development of implementation strategy;
- description of management/coordination arrangements;
- analysis of sustainability issues – including the likely financial and economic sustainability of the proposed measure;
- analysis of cross-cutting issues – including gender, environment and human rights implications;
- analysis of resource/cost implications;
- identification of areas requiring further analysis;
- identification of recommendations for next steps (e.g. guidance for feasibility or design study, preparation of terms of reference, call for proposals, technical specifications).

Conducting a pre-feasibility study requires the commitment and involvement of all relevant institution(s). Practice shows that many ministries, public institutions and organisations are capable of implementing most of the pre-feasibility study aspects listed above. It should be noted however that the implementation of a full-fledged pre-feasibility is likely to absorb substantial institutional resources and time specifically if there is only limited experience with the development with EU funded projects. In terms of management of the PF drafting process, it may in all such cases be advisable to consider the involvement external experts to implement or facilitate the implementation of all the above mentioned aspects of the pre-feasibility study and ensure that its completion is in time and in line with accepted quality standards.

2.1.2 SEI support in the Formulation Stage

The purpose of the formulation stage is to establish comprehensive Project Fiches including all supportive documents for approval by the TAIB Committee and the European Commission.

During this stage it is recommended to carry out a feasibility study. In the context of IPA assistance to Turkey, the objective of a feasibility study is to provide decision makers in the Turkish Government and the European Commission with sufficient information to justify the acceptance, modification or rejection of the project proposal. If the preliminary project proposal is accepted in the identification stage, the feasibility study should provide all documentation (Project Fiche and annexes) required by the TAIB Committee to proceed with the inclusion of the project in the annual programming package.

Aspects to be addressed in a Feasibility Study

Building on the work of any previous studies, the following activities should be carried out in a feasibility study at the formulation stage:

- check the project's coherence with the Accession Partnership, the National Programme for the Adoption of the Acquis, and Multi-annual Indicative Planning priorities;
- check the project's coherence with the Turkey's development policy and sector policies and expenditure plans;
- validate the identification of key stakeholders and target groups, as well as the assessment of related institutional capacities and degree of local ownership;
- conduct structured problem and objective analyses;
- analyse lessons learned from past experience and ensure coherence with current/ongoing initiatives;
- provide a clear analysis of strategy options and justification for the recommended implementation strategy;
- provide a set of clear and logically coherent project objectives (overall objectives, purpose, and results) complemented with sets of activities with related outputs supporting the achievement of the identified results;
- provide a logframe matrix with supporting activity and resource/cost schedules;

- provide a description of the proposed performance measurement (monitoring, review and evaluation) and accountability system;
- provide a description of the proposed management/coordination arrangements, which demonstrates how institutional strengthening and local ownership will be effectively supported;
- provide an analysis of assumptions/risks, and a risk management plan;
- provide an analysis of sustainability issues – including the financial and economic sustainability of the proposed project, environmental impact, benefits to both women and men, and the use of appropriate technology;
- prepare Terms of Reference for any consultants/TA to be involved in project implementation;
- prepare Technical Specifications for the procurement of supplies under the project;
- prepare any other documents as may be required for supporting the preparation/conclusion of a Financing Agreement.

Depending on the (quality of the) work carried out in the identification stage and the capacity available in the concerned institution(s), there may be a need to involve external expertise to conduct the feasibility study as outlined above or certain aspects thereof, or to facilitate their implementation. Specifically in the formulation stage, it is of utmost importance that the ministry, institution or organisation requesting support from the PPF assume a real ownership of the products and outputs produced by the TA. After all, it is the beneficiary and the beneficiary alone who will have to take the full responsibility for the supervising the technical implementation and ensuring the desired outcome of the related IPA project if included in the National Programme package.

2.2 SEI support to tendering of IPA projects

Once approved by the TAIB Committee and the European Commission, the beneficiaries of projects included in the National Programme package should each prepare for the tendering of the assistance based on the Indicative Implementation Schedule[8] in the relevant Project Fiche[9]. This includes the preparation of tender dossiers (terms of reference, call for proposals, technical specifications and other supportive tender documents – as required).

This may require external experts so that the tenders can be launched as soon as the FA is concluded. Such external expertise may be recruited with SEI support.

[8] See latest annotated PF template.
[9] In principle, all projects should be ready for tendering in the 1st Quarter following the signature of the FA.

2.3 SEI support to IPA project implementation, monitoring and evaluation

In most cases where the institutional management capacity of the beneficiary is insufficient to ensure adequate and timely implementation of the contracts anticipated in the Indicative Implementation Schedule, the required external TA completing the institutional management is anticipated in the PF. However, in cases where the TA provisions in the PF turn out to be insufficient, IPA project implementation support may be obtained from SEI.

As for monitoring, Turkey has established an elaborate institutional framework to ensure the collection, analysis and use of information to support informed decision making at the project management level (see box). However, in all cases required, ad-hoc support may be obtained from SEI.

Institutional Framework for IPA Monitoring in Turkey

Monitoring in Turkey is carried out under the responsibility of the IPA Monitoring Committee inter alia consisting of representatives of the European Commission, EUD and of all Turkish key DIS institutions (NIPAC Office, CFCU, and National Fund). The IPA Monitoring Committee is assisted by sectoral monitoring committees set up under individual IPA components in accordance. In the case of IPA I, the sectoral monitoring committee - or TAIB committee - is chaired by the National IPA Coordinator and consists of representatives of the sector directorates of the MEUA, the Ministry of Development , Under-secretariat of Treasury, Ministry of Foreign Affairs and Ministry of Finance and the CFCU. The secretariat services are performed by the Secretariat of NIPAC. The TAIB is assisted by sectoral monitoring sub-committees (SMSCs), set up by to monitor programmes and operations under IPA I, grouped by monitoring sub-sectors.

In addition, Turkey has arranged for results-oriented monitoring and interim-evaluation supplementing regular monitoring information from SMSCs with additional external and independent fact finding, analyses and assessments – as required.

As for evaluation and auditing, each Financing Agreement provides for external TA allowing for independent ex-post analyses and assessment of IPA project and programme performance. Yet, in all cases where provisions are insufficient or inappropriate, ad-hoc SEI support may be considered.

3. How to apply for SEI?

If the need for support from SEI has been identified, it is the responsibility of the relevant ministry, institution or organisation to submit the related application in full compliance with the SEI application procedures set by the Ministry for European Union Affairs and the CFCU.

Note that the applicant institution is not only responsible for applying for SEI support but also holds the responsibility for ensuring that the technical implementation under the SEI project initiative is adequately supervised and facilitated.

3.1 Who processes the application?

The Ministry for EU Affairs (MEUA) is responsible for the implementation of the SEI i.e. the effective planning of the utilisation of SEI funds. With regard to the processing of SEI applications, the MEUA is responsible for

- collecting applications for SEI support
- assessing and commenting them
- approval of all actions to be funded from SEI
- giving the green light to the CFCU for tendering, contracting and financing
- overall monitoring of the utilisation of SEI and SEI funds.

Within the MEUA, the Directorate of Project Implementation (DPI) has the responsibility for the coordination of SEI. In order to expedite the processing of requests from ministries, public institutions and organisations, the DPI has developed an online application tool. The working of this tool is explained in detail in the next section.

IMPORTANT NOTE

Step by step in 2012, all SEI applications should be submitted to the MEUA by using the online application sheet (OLAS). The OLAS can be accessed through the following link: www.ab.gov.tr. After a transition period, other ways of submitting applications (for instance in hardcopy, by email or indirectly) will not accepted and will be returned the sender with the request to complete the OLAS.

For further information, please contact

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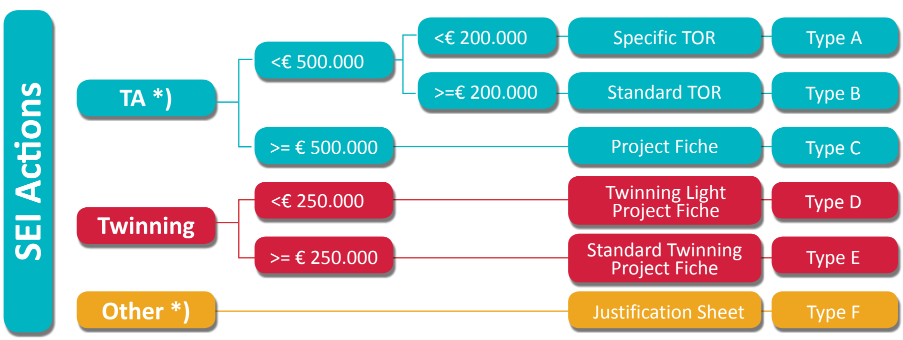
Web :	www.ab.gov.tr

3.2 Description of the Online Application Sheet (OLAS)

The OLAS consists of a general part and a technical part. In the general part, the applicant institution is requested to provide information about itself and general information concerning the proposed SEI action. Depending on the type of action, the applicant will complete the template for the relevant terms of reference (ToRs), the relevant project fiche or justification.

In accordance with the EC's PRAG and Guidelines for Enhanced SEI, we distinguish six types of actions that may be funded under SEI. This is clarified in the chart below.



*) As of SEI 2010 there is a minimum threshold for all contracts under SEI of 5,000 euro. Smaller contracts are to be financed nationally, implying that the study visit facility will be phased out as it is not cost effective to operate this under DIS and alternatives exist (TAIEX).

In many cases, a SEI action will be implemented with the involvement of external experts who will fill the gap in the institutional expertise and who usually work jointly with the relevant staff of the beneficiary institution. Normally such support involves management advice, technical advice in specific areas of expertise, and/or training. When technical assistance is required such support is provided by private sector consultants, whilst in the case of twinning the support involves seconding of (semi-)public sector staff from EU members states. In all other cases, such as requests for SEI support for participation in events like workshops, seminars or conferences, or in case of organisation of stand-alone study visits, there is no need for technical assistance or twinning.

In order to decide which type of action matches the need for SEI support, the applicant institution should first of all check whether it needs technical assistance (TA), twinning support for an EU Member State or other support. It then needs to indicate the size of the SEI action in order to identify what type of supporting document it will have to submit.

Application Type A actions

Until recently, virtually all SEI actions requiring technical assistance were of this type. Application Type A actions are SEI actions which require less than 200.000 euro. The objectives of such relatively small-scale actions are in most cases straightforward and therefore do not require elaborate ToRs (as required for larger actions; see Application Type B actions). For Application Type A actions the applicant should prepare Specific ToRs[10] .

Application Type B actions

Application Type B actions are SEI actions with a contract value of 200.000 euro or more but less then 500.000 euro. These medium-scale TA projects require the submission of standard ToRs which need to be drafted in accordance with the PRAG. In many cases such actions involve multiple components.

Application Type C actions

Application Type C actions are SEI actions which require 500.000 euro or more but less then 3.000.000 euro. As explained in section 1.2.3, for such actions a full Project Fiche must be developed based on the latest PF template.

Note that the related application procedure can be used for stand-alone (i.e. no related to a specific sector) projects with an institution building character and with a budget below 3 million euro through this procedure. Above this amount, applications for project support should follow the regular multi-annual and sectoral planning procedures.

[10] On the basis of the Specific ToRs, the CFCU launches the procedure for the procurement of services from selected framework contractors. For further details, see section 4 of the SEI Guidelines.

Application Type D actions

As already mentioned above, this type of SEI action implies the secondment of (semi-)public administration staff from an EU member state to fill a certain gap in expertise of the applicant institution. As the requested support is below 250.000 euro, the application for SEI support should be done on the basis of a Twinning Light Project Fiche.

Application Type E actions

As with Application Type E actions, this type of SEI action implies the secondment of (semi-)public administration staff from an EU member state to fill a certain gap in expertise of the applicant institution. As the requested support is 250.000 euro or more, the application for SEI support should be done on the basis of a Standard Twinning Project Fiche.

Application Type F actions

As explained above, Application Type F actions are all other actions for no TA nor twinning will be required. Such SEI applications relate mostly to participation in events like workshops, seminars or conferences, or in case of organisation of stand-alone study visits. This type of SEI actions are mostly small-scale. For these SEI application, a Justification Sheet should be filled in.

3.3 How to complete the OLAS?

The OLAS can be accessed through the following link: **www.ab.gov.tr**

As explained above, the Online Application Sheet consists of a general part and a technical part. The general part must be completed by every applicant. Depending on the type of action, the applicant completes the relevant technical part.

General part to be completed for all SEI applications

NOTE

Text in red refers to information to be provided by the person responsible for submitting the electronic SEI application to DPI.

1. Information about the Applicant

Name of the institution applying for SEI support:	
Name of the unit (e.g. directorate or affiliated institution):	
Name of the person responsible for submitting this SEI application:	Name: Position: Phone number: Fax number: Email:

2. Information concerning the proposed SEI action

Title of the SEI action:	**Maximum 15 words**

3. Type of action

1. Does the action involve technical assistance?	Yes/No If **No,** go to question 2. If **Yes,** go to next question.
1.1. Does the action require less than 200.000 euro?	Yes/No If **Yes,** Application Type A. If **No,** go to next question.
1.2. Does the action require less than 500.000 euro?	Yes/No If **Yes,** Application Type B. If **No,** go to next question.
1.3. Does the action require 500.000 euro or more but less than 3.000.000 euro?	Yes/No If **Yes,** Application Type C. If **No:** “Project should be developed in the context of the upcoming National Programming exercise.”
2. Does the action involve twinning?	Yes/No If **No,** Application Type F. If **Yes,** go to next question.
2.1. Does the action require less than 250.000 euro?	Yes/No If **Yes,** Application Type D. If **No,** Application Type E.

4. Relation to identified priorities

Does the action address a **MIPD priority**? If yes, which one?	**Yes/No** **If Yes, describe (max. 40 words)**
Does the action address an **AP priority**? If yes, which one?	**Yes/No** **If Yes, describe (max. 40 words)**
Does the action address a **NPAA priority**? If yes, which one?	**Yes/No** **If Yes, describe (max. 40 words)**
Does the action address a **sector priority**? If yes, which one?	**Yes/No** **If Yes, describe (max. 40 words)**
Does the action address **another strategic priority**? If yes, which one?	**Yes/No** **If Yes, describe (max. 40 words)**
Does the action emerge from the **negotiation process**? If yes, which Chapter?	**Yes/No** **If Yes, describe (max. 40 words)**

It should be noted that all relevant priorities need to be identified and briefly described here.

5. Nature of the action

Does the action strengthen the **project cycle management capacity** of the applicant institution? If yes, which phase(s) of the project cycle is(are) most affected?	**Yes/No** If Yes, tick the relevant phase(s) • Programming • Tendering, contracting • Implementation • Monitoring • Evaluation (more than 1 can be ticked)
Does the action involve **legislative changes** required in relation to EU integration? If yes, in what specific area?	**Yes/No** **If Yes, describe (max. 40 words)**
Does the action involve **administrative changes** required in relation to EU integration? If yes, in what specific area?	**Yes/No** **If Yes, describe (max. 40 words)**
Does the action address **institutional capacity building** of a relevant body in view of its future role in the implementation of the acquis? If yes, in what specific area? And which specific body?	**Yes/No** **If Yes, describe (max. 40 words)**
Does the action address the **development of human resources** of relevant bodies for the implementation of the EU acquis communautaire? If yes, which one(s)?	**Yes/No** **If Yes, describe (max. 40 words)**
Does the action strengthen the **effectiveness and/or efficiency of DIS institutions?** If yes, of which institution(s)?	**Yes/No** **If Yes, describe (max. 40 words)**

It should be noted that all relevant aspects of the nature of the proposed action need to be identified here.

Application Type A - TA applications requiring less than 200.000 euro

Submission of Specific Terms of Reference

All sections of the Specific ToRs should be completed online. The online application tool enables the applicant to save, retrieve and print the application during its preparation and after its submission.

For guidelines for the completion of the Specific ToRs, MEUA has developed a separate set of guidelines available on **www.ab.gov.tr**

1. BACKGROUND

Maximum 800 words

2. DESCRIPTION OF THE ASSIGNMENT

Introductory remarks; maximum 40 words

2.1 Global objective

Maximum 100 words

2.2 Specific objective(s)

Maximum 200 words

2.3 Requested services

Maximum 600 words

2.4 Required outputs

Maximum 400 words

3. EXPERTS PROFILE or EXPERTISE REQUIRED

3.1 Number of requested experts per category and number of man-days per expert or per category

Expert[ise]	[Maximum] Number of Experts	Category	[Maximum] Number of working days
Title expert[ise] 1			
Title expert[ise] 2			
Total			

3.2 Profile per expert or expertise required

For each expert/expertise state:

Title of the expert(ise):	
Category:	
Educations qualifications, skills:	• various bullet points
General Professional Experience:	• various bullet points
Specific Professional Experience:	• various bullet points

4. LOCATION AND DURATION

4.1 Starting period

Maximum 50 words

4.2 Foreseen finishing period or duration

Maximum 50 words

4.3 Planning including the period for notification for placement of the staff as per art 16.4 a)

Maximum 400 words

4.4 Location(s) of assignment

Maximum 100 words

5. REPORTING

5.1 Content

Maximum 200 words

5.2 Language

Maximum 20 words

5.3 Submission/comments timing

Maximum 400 words (may be in tabular form)

5.4 Number of report(s) copies

Maximum 50 words

6. ADMINISTRATIVE INFORMATION

6.1 Interviews if necessary indicating for which experts/position

Maximum 100 words

6.2 When in the interest of the project, possible limits to subcontracting

Maximum 50 words

6.3 Language of the specific contract

Maximum 50 words

6.4 Request for a succinct methodology when needed

Maximum 400 words

6.5 Management team member presence required or not for briefing and/or debriefing

Maximum 50 words

6.6 Other authorized items to foresee under 'Reimbursable'

Maximum 400 words; may be in tabular form

6.7 For riders only : operational conditionality for intermediary payment if foreseen as per article 7.2 b) of the Special conditions

Maximum 50 words

6.8 Others

Maximum 400 words

Application Type B - TA applications requiring 200.000 euro or more but less than 500.000 euro

Submission of Terms of Reference

Note that the ToRs for Application Type B actions should be uploaded at this point of the application as a Word file. The template for the ToRs can be downloaded from the website of the EU Commission.

Application Type C - TA applications requiring 500.000 euro or more but less than 3.000.000 euro

Submission of Project Fiche

Note that the Project Fiche for Application Type C actions should be uploaded at this point of the application as a Word file. The template for the PF can be downloaded from the website of the EU Commission.

Application Type D - Twinning applications requiring less than 250.000 euro

Submission of Twinning Light Project Fiche

Note that the Twinning Light Project Fiche for Application Type D actions should be uploaded at this point of the application as a Word file. The template for the project fiche can be downloaded from the website of the EU Commission.

Application Type E - Twinning applications requiring 250.000 euro or more

Submission of Standard Twinning Project Fiche

Note that the Standard Twinning Project Fiche for Application Type D actions should be uploaded at this point of the application as a Word file. The template for the project fiche can be downloaded from the website of the EU Commission.

Application Type F Other SEI actions

Note that all sections for Application Type F actions should be completed online. The online application tool enables the applicant to save, retrieve and print the application during its preparation and after its submission.

Information about the event

1. Type of event

Does the event involve the participation in a **conference/workshop/seminar?**	**Choose conference, workshop or seminar**
Does the event involve the participation in a **visit or study tour?**	**Choose visit or study tour**
Any other event NOT requiring technical assistance, namely:	**Provide short name of the event**
Purpose of the event	**Maximum 100 words**
Please describe the event	**Identify the main topics to be discussed during the event, describe the principle benefit(s) that this event will generate for its beneficiaries, describe the added value of the event to your accession related studies in the sense that how you would use the knowledge acquired.**

2. Other details of the proposed action

Name of the Organisation organising the event:	
Dates of the event:	Start date: End date:
Travel dates:	Departure date: Return date:
Place(s) of the event:	City: Country:
Please provide the contact details of contact point for this event:	Name: Position: Role during the event: Phone number: Fax number: Email:

Please provide the contact details of person(s) in the EU member state and/ or Candidate Country who helped you in drafting the programme:	Name: Position: Role during the event: Phone number: Fax number: Email:
Please attach electronic copies of:	Include electronic copies of (1) Detailed programme of the event (PDF) (2) Signed invitation letter (PDF)
Number of persons participating in the event:	Number
Contact details of each participant in the event:	Name: Position: Role during the event: Phone number: Fax number: Email:

3. Amount of funds requested

Please specify the indicative budget required by using the following breakdown

Item	Unit rate (in euro)	Number of units	Sub-total (in euro)
Registration fee			
Per diems*) / ancillary services			
Flight Ticket			
Other			
Total			

*) For the per diem, refer to http://ec.europa.eu/europeaid/work/procedures/implementation/per_diems/index_en.htm).

4. Declaration of the Participant(s)

The declaration below should be completed by each person participating in the event and should be submitted electronically (in PDF) at this point of the application.

Declaration

I hereby declare that I have fully read this SEI application and I am aware of the regulations governing the use of this fund.

Date:	
Place:	
Name:	
IBAN number:	
Signature:	

4. Lifecycle of a SEI action

The table on the next page provides the timeline for the lifecycle of a SEI project. Step 1 involves the preparation of the SEI application. In general, it is difficult to say how long a ministry, institution or organisation will take to prepare an application, but if it is well advanced in the development of the project (idea) then the development of the full SEI application (see section 4.3) can be a matter of days rather than weeks.

Step 2 is the processing of the application by the MEUA. It starts at the moment that the SEI application (i.e. the request and other supporting documents) is submitted to the DPI and is normally completed within 2 weeks.

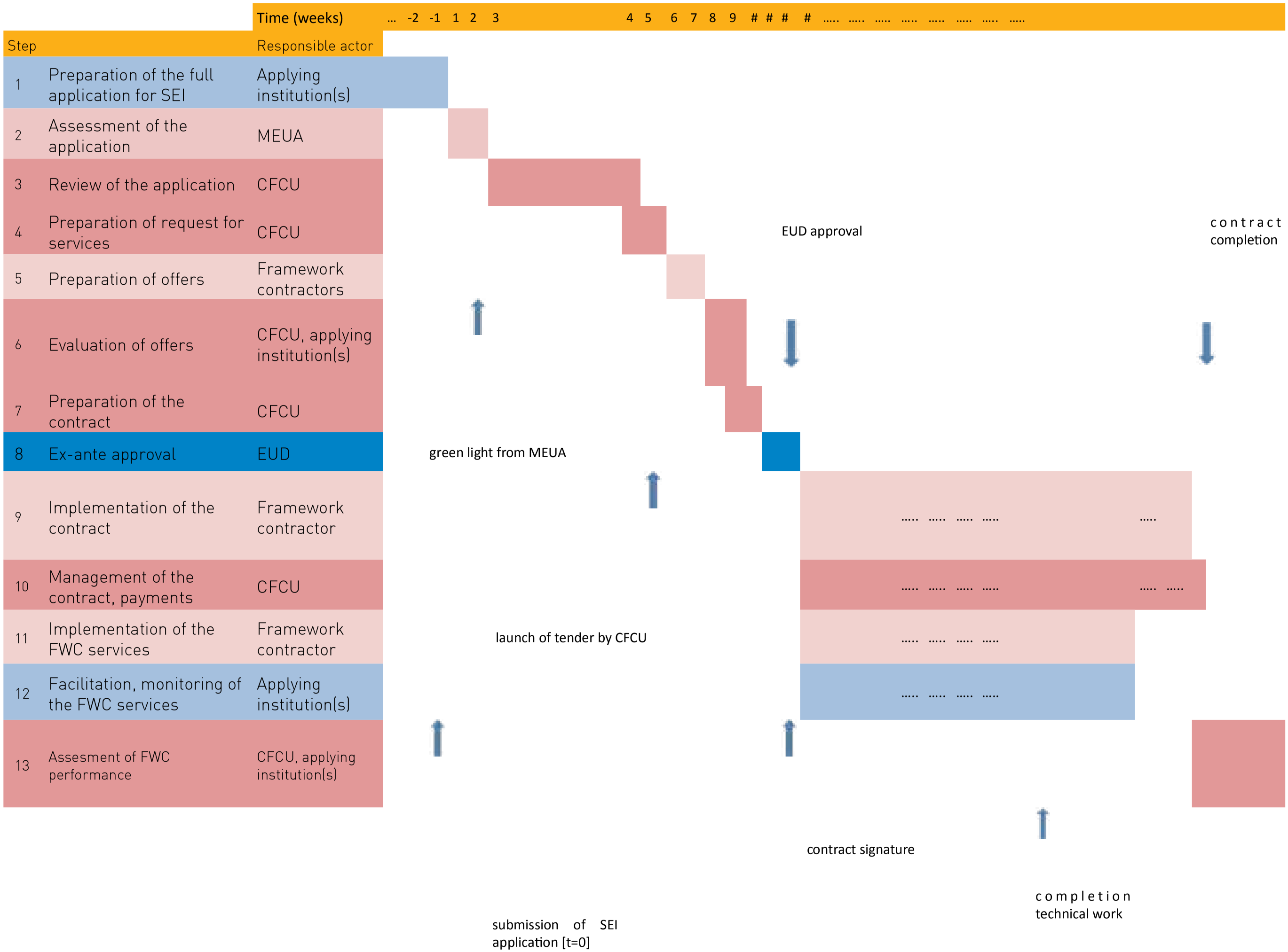
After receiving the green light of the MEUA, the CFCU initiates the tendering (Step 3) and contracting process which ends with Step 6 when the contract is signed between the CFCU and selected contractor. Steps 3 – 6 normally take 6-7 weeks.

The implementation of the SEI action - generally starting with the kick-off meeting - can in principle be launched immediately after signature of the contract which following the above timeline may be possible earliest 2 months after the application has been submitted by the potential SEI beneficiary.

During the entire implementation period the SEI beneficiary has the responsibility for supervising and facilitating the technical implementation of the SEI action. The Central Finance and Contracts Unit - as the Contracting Authority - is responsible for the administration and financial management including payments of the project.

Step 10 is the wind-up stage of the SEI action, where the beneficiary ministry, institution and CFCU each provide their assessment of the work of the TA team, while the CFCU ensures the completion of all contractual arrangements, including the final payments.

Lifecycle of a SEI TA Action (FWC)



4.1 Procedure for processing a SEI application

Following the completion of the online application by the applicant ministry, institution or organisation, the Directorate of Project Implementation checks the eligibility and validity of the application. The DPI will pay specific attention to the completeness and the logic of the submitted information i.e. Specific ToRs for Application Type A actions provided online, uploaded ToRs for Application Type B actions, uploaded PFs for Application Type C, E and F actions, and Justification Sheet for Application Type D action. If required, the DPI will request additional information from the potential beneficiary.

After it has been formally checked by the DPI, the relevant directorates of the MEUA are requested to assess substance of the application[11]. This normally requires some "ping-pong" communication between the persons in charge – both in the relevant directorate(s) and the applicant ministry, institution or organisation, but without invention of the DPI - which will lead to the necessary tuning of the application documents – as required. On the basis of the (tuned) application documents and the advice of the relevant directorate(s), the DPI then decides on the approval of the proposed SEI action.

In case of a green light, the DPI informs the CFCU of its decision accordingly and provides it with the (tuned) application documents for further processing.

4.2 Procedure for tendering the SEI action

After the CFCU has received the green light of the DPI, it can start with the preparation of the tendering process. In accordance with the PRAG, SEI actions with a contract amount of 200.000 euro or more but less than 500.000 euro, will follow the international restricted tender procedure which require full ToRs based on the template (see website of the CFCU for more information).

In most cases, however, the Framework Contracting (FWC) procedure is used for fast recruiting of experts for the implementation of support activities funded by SEI[12]. For this reason the FWC tendering procedure is further explained under this subsection.

[11] It should be noted that for Application Type C actions which require the development of a full Project Fiche, the coordination for the processing of the SEI application at this point is taken over by MEUA's Directorate of Financial Cooperation.

[12] The outline provided in this section, is based on the Framework Contracting Procedure applied by the CFCU. For more detailed information EC's website http://ec.europa.eu/europeaid/work/framework-contract/beneficiaries-2009/documents/1_1_guidelines_benef_2009_2_en.pdf should be consulted.

Operations eligible under the framework contracting procedure must fulfill the following conditions:

- not exceed 200.000 euro, addenda included, without undue splitting;
- be in the exclusive interest of an authority benefiting of external aid;
- not give rise to services exceeding 260 days per expert;
- be implemented over maximum 2 years (730 calendar days), addenda included.

FWCs can be concluded under 12 thematic lots, i.e.

- Lot 1: Rural development
- Lot 2: Transport and Infrastructures
- Lot 3: Telecommunications and information technologies
- Lot 4: Energy and nuclear safety
- Lot 5: Conferences
- Lot 6: Environment
- Lot 7: Governance and Home Affairs
- Lot 8: Health
- Lot 9: Culture, Education, Employment and Social
- Lot 10: Trade, Standards and Private sector
- Lot 11: Macro economy, Statistics, Public finance management
- Lot 12: Humanitarian Aid, Crisis Management and Post-Crisis assistance

For each lot several contractors have been pre-selected. Framework contractors are consortia represented by a lead firm. They offer expertise and other services related to the sector covered by the lot for which they have been pre-selected. No public announcement of the tender is required; instead a "request for services" is sent directly to selected framework contractors. After receiving a request from the CFCU, the framework contractor prepares an offer that details the CVs and fees of the proposed experts. If the framework contractor cannot provide a particular service from its own resources, it may subcontract work to other parties i.e. individual experts or companies. After the deadline for submission of offers, a choice is made between the offers submitted following an evaluation.

The specific contract award is based on a competition. All the documents necessary for the different steps of the procedure must follow the forms set for the FWC BENEF 2009[13].

[13] For further details, please refer to the EC's EuropeAid website: http://ec.europa.eu/europeaid/work/framework-contract/beneficiaries-2009/index_en.htm .

Note on Global and Specific ToRs

Global Tors provide the global contractual provisions for Contractors, Contracting Authorities and Beneficiaries and apply to any technical assistance provided under specific framework assignments. The Global ToRs applies to all 12 Lots and prevail over the Specific ToRs. Specific ToRs, on the other hand, provide a straightforward description of objectives, outputs and related services, the required expertise, etc. for a specific assignment. It is the key reference documents for a Framework Contract.

4.2.1 Consultation

- The CFCU drafts a request for services if required with additional inputs of the SEI applicant.
- The request for services is sent to 4 framework contractors of the same lot.
- The process of the consultation shall respect the principles of transparency, equal treatment, non-discrimination and of sound competition.
- The specific ToR (Terms of Reference) of the future specific contract is attached to the request in order to give all the information needed by the framework contractors for submitting an offer. The ToR must be clear on how the obtained outputs are conform to the requested outputs. Their quality, in particular their clarity, is critical for the quality of the offer and the success of the assignment.
- The contractual deadline for the submission of offers is 14 calendar days from the sending of the request.
- The consulted framework contractors can ask for clarifications. The answers are sent to all consulted framework contractors at the same time.

4.2.2 Evaluation of offers

- Offers are valid for 14 calendar days after the deadline for submission.
- The number of evaluators is at least 3 with at least one representative of the SEI beneficiary institution(s) who participates in the evaluation as evaluator. The MEUA may be represented by a non- voting member.
- The economically most advantageous offer is to be retained on the basis of a 80/20 ratio between technical quality (CV and availability of experts, methodology when requested) and the price (total of the fees). The technical score can be adjusted taking into account possible interviews with the experts when foreseen in the specific ToR.

- The notification of the results of the evaluation must be communicated within 14 days of the deadline for receipt of offers to all the Framework contractors who submitted offers.
- However, if the evaluation process of subject FWC has not been completed, CFCU requests framework contractors to extend the period of validity of their offers for further 14 calendar days.

4.2.3 Signature of the specific contract

- The specific contract is based on the first ranked offer that emerged from the evaluation.
- The specific contract comprises the specific contract itself, the specific ToRs, a methodology when relevant and the financial offer.
- It enters into force when the specific contract is signed by the framework contractor. A copy of the specific contract signed by the latter must be sent by fax to the retained framework contractor after which the latter can start with the implementation of the services.

4.2.4 Assessment of the framework contractor's performance

- The performance assessment form for the framework contractor must be filled in after the end of the assignment. This assessment relates to the quality of the execution by the framework contractor and must be communicated to the latter for comments.

5. Often Asked Questions

Question	Answer[14]	Page(s) / S.s2[15]
What is meant with the "economically most advantageous offer"?	This booklet will tell you.	S. 4.2.2
Can universities, vocational schools and trade unions apply to SEI? Are they eligible for application?	Any ministry, institution or organisation eligible for IPA I assistance can apply for PPF support. UNIBE is exclusively for public institutions.	
Can local administrative institutions and/or their affiliates apply to SEI?	Yes, they can.	
Are SEI beneficiaries subject to co-financing?	No co-financing is required.	
What are the application stages of SEI?	1. Preparation of the application by the applicant ministry, institution or organisation. 2. Review of the application by the MEUA 3. Approval/rejection by DPI 4. Processing of tender documents by the CFCU	S. 4 and 5
Can a SEI applicant apply with only submitting a ToR without filling a SEI Request Sheet?	No. With the new system documents are submited simultaneously	S. 4.2
Can an applicant demand additional per-diem for a study visit apart from those financed by SEI?	Absolutely no. Such practice would be considered as fraud.	
How many pages should specific ToRs be?	Normally around 10 to maximum 15 pages.	S. 4.3

14 The above list has been prepared for the greatest care. However, in case of discrepancies with the PRAG, DIS and/or any other official documents/agreements between the competent Turkish and EC authorities, the latter prevail.

15 For further details, the reader is referred to the page(s)/sections in this Guide for SEI.

Is a kick-off meeting compulsory?	Yes. During the kick-off meeting the TOR may be further elaborated or clarified. As part of the implementation of a TA contract, the kick-off meeting is an effective way of ensuring that all stakeholders are able to get acquainted with all aspects of the action and of facilitating the development a common understanding on content, phasing, timeframe, scheduling of inputs, etc.	
What are the institutions responsible and relevant involved in the organization and implementation of SEI?	MEUA is responsible for collecting applications for SEI support, assessing and commenting them, approval of all actions to be funded from SEI, giving the green light to the CFCU who is responsible for tendering, contracting and financing, overall monitoring of the utilisation of SEI and SEI funds. EUD gives the final approwad to SEI actions. Within the MEUA, the Directorate of Project Implementation (DPI) has the responsibility for the coordination of SEI. The applicant institution is responsible for submission of the SEI application and for supervising and, if required, facilitating the implementation of the SEI action.	S.4
Can an application be made only in English?	Indeed, only applications prepared in English will be considered.	
What are eligible costs in a study visit?	Eligible costs are registration fees, international travel costs, and per diems	S.3.3, Application Type F actions
How many experts can be included in a Framework Contract?	There is no limit to the number of experts, only a budget limit of 200.000 euro. The (maximum) number of experts must however be mentioned in the Specific ToRs.	
Are Works contracts eligible under SEI?	No. Ministries, public institutions and organisations can only request support in terms of services.	
Are Supply contracts eligible under SEI?	No. Ministries, public institutions and organisations can only request support in terms of services.	
Are preparatory activities and studies for Works contracts eligible under SEI?	Yes, the preparation of designs, drawings, feasibility studies, environmental impact assessments, etc. are eligible for SEI funding.	
In what time span is a SEI application finalized?	Each potential SEI beneficiary is responsible for completing the application. Depending on the capacity of the applicant institution and the complexity of the assignment, the preparation of an application may take a few days up to a few weeks. The timeline for processing the application is outlined in section 4.	S.4

The Terms of Reference submitted to MEUA may require revision. What can be done?	After it has been formally checked by the DPI, the relevant directorates of the MEUA are requested to assess substance of the application. This normally requires some "ping-pong" communication between the persons in charge – both in the relevant directorate(s) and the applicant ministry, institution or organisation. On the basis of the resubmitted application documents and the advice of the relevant directorate(s), the MEUA then decides on the approval of the proposed SEI action. In case a SEI application has been rejected, the SEI applicant may – as appropriate - develop a new SEI application.	
The programming exercise ended before our SEI application could be finalized. Is our SEI application deemed invalid?	Unless the programming priorities have changed, the project may still be submitted for the next programming year. In general, a SEI application therefore remains valid.	
What documents need to be filled while applying to SEI	For the 6 types of project, different documents are required. This is fully explained in section 3.	S.3
What is ESEI? What are the differences between SEI and ESEI?	ESEI stands for Enhanced SEI. Besides the two "traditional" components of SEI, PPF and UNIBE, the SEI 2011 and future SEI allocation will allow for SEI requests up to 3 million euro.	
Are there any differences between a normal Project fiche and a ESEI Project fiche?	Both normal and ESEI project fiches should be addressing MIPD priorities. Normal project fiches are submitted during the regular programming process, have in principle no budget limit and are mostly part of a sector strategy. ESEI project fiches can be submitted any time, have an upper limit of 3 million euro, and are standalone projects.	Annex 2
What are the responsible and relevant institutions involved in the organization and implementation of ESEI?	Same institutions as under SEI i.e. applicant institution(s), MEUA, CFCU, and EUD.	S.4
What documents need to be prepared while applying to ESEI?	The most important document to be prepared is the Project Fiche.	S.4
Must the "Indicative Budget" be inserted in the SEI Application?	Yes, for all types of projects and "Indicative budget" should be prepared.	
What is the difference between SEI and TAIX?	Whilst SEI focusses on strengthening institutional capacities related to Turkey's EU accession process, TAIEX promotes strengthening of expert capacities through networking and exchanges of best practices and experiences.	S.1.2

6. Glossary of Terms

Term	Explanation[16]	Page(s) / Sections[17]
Baseline data	Baseline data provide information on the situation before the start of a project. They give answer to questions like: How many personnel is available and what are their current levels of know-how? How many people use a certain service or product, what age groups, where are they located? What legislation is available? For the development of OVIs (objectively verifiable indicators) it is essential that there exist good and comparable baseline and benchmark data so that the achievements of the project can be clearly expressed both in quantitative and qualitative terms. Also see benchmark data.	
Benchmark data	Benchmark data (or milestones) provide detailed information on the situation at the end of a project. They give answer to questions like: How many personnel shall be available and what are their current levels of know-how? How many people will use a certain service or product (differentiated by age groups, gender)? Which geographical areas shall be covered? What legislation shall be in place? For the development of OVIs (objectively verifiable indicators) it is essential that there exist good and comparable baseline and benchmark data so that the achievements of the project can be clearly expressed both in quantitative and qualitative terms. Also see baseline data.	
CFCU	Central Finance and Contracts Unit. An implementing body of the DIS within the national administration in charge of tendering, contracting and payment for institution building projects and other projects if so specifically provided. For these projects, the technical implementation is supervised and facilitated by an SPO.	
Consortium	A grouping of eligible natural and legal persons which submits an offer in response to a "Request for offers" issued by the CFCU. If awarded a contract, the consortium implements the assignment based on the TOR, the offer, and other contractual arrangements.	
Direct Agreement	Small SEI actions - such as study visits, participation in conferences, seminars etc. are generally – which are directly agreed between the Applicant and the CFCU without going through a competitive tender procedure and have a budget up to 10.000 euro	
Economic and social cohesion measures	EU support policies for least favoured regions aiming at reducing the disparities between the levels of development of the various regions in the EU. These support policies comprise, among other things, the cohesion fund and various so-called structural funds. As a precursor, Turkey - having the status of candidate country - benefits from the similar support provided under IPA components III, IV and V.	

16 The above list has been prepared for the greatest care. However, in case of discrepancies with the PRAG, DIS and/or any other official documents/agreements between the competent Turkish and EC authorities, the latter prevail.

17 For further details, the reader is referred to the page(s)/sections in these SEI Guidelines.

ESEI	Enhanced SEI. SEI until recently only has two support facilities: PPF and UNIBE. ESEI adds a third facility notably full scale institution building.	Annex 5
Feasibility Study	The objective of a pre-feasibility study is to provide decision makers in the Turkish Government and the European Commission with sufficient information to justify the acceptance, modification or rejection of the proposed project, and determine the scope of follow-up planning work (i.e. a feasibility/design study).	S 2..1.1
Framework Contract (FWC)	TA contract with a contract value below 200.000 euro. The related FWC procedure is used for fast recruiting of experts for the implementation of support activities funded by SEI.	S 4.2
Gap Analysis	See Annex 3.	Annex 3
Indicative Budget	The " Indicative Budget" is a provisional budget for a SEI action based on estimated prices (as opposed to actual prices).	S3.3, Application Type A and F.
Interim Report	Report produced by technical assistance team or twinning team enabling the SEI beneficiary, MEUA and/or the CFCU to monitor the progress e.g. when 50% of the contracting period has elapsed.	
IPA	Instrument for Pre-accession Assistance. As of 2007, all EC pre-accession assistance is provided under this instrument.	
IPA I	IPA Component I, Transition Assistance and Institution Building (TAIB) – focusses on supporting Turkey in meeting the accession criteria.	
IPA II	IPA Component II, Cross-border Cooperation (CBC).	
IPA III	IPA Component III, Regional Development - supports the intervention areas environment, transport and regional competitiveness.	
IPA IV	IPA Component IV, Human Resources - addresses employment, education and social inclusion.	
IPA project beneficiaries	Ministry, institution or agency benefitting from IPA project funding.	
IPA V	IPA Component V, Rural Development.	

IT	Information Technology.	
JMC	Joint Monitoring Committee.	
Lot	Thematic area. For framework contractors, 12 such lots have been identified.	S 4.2
Market research	See Annex 3.	Annex 3
Milestone	See benchmark data.	
Multi Annual Indicative Planning Document 2011-2013 (MIPD)	A main reference document which is reviewed and updated at the initial stage of programming. All projects identified in later stages should comply with the priorities stated in the updated MIPD.	
Needs analysis/ assessment	See Annex 3.	Annex 3
Per diems	Fixed, official compensation that individuals may be entitled to when not staying home-based. EC per diems inter alia cover hotel costs, local taxi costs, etc. For the latest EC per diem rates, refer to **http://ec.europa.eu/europeaid/work/procedures/implementation/per_diems/index_en.htm**	
Potential IPA project beneficiary	Ministry, institution or organisation applying for IPA project funding.	
Potential PPF beneficiary	Ministry, institution or organisation applying for support provided under the PPF.	
Potential SEI beneficiary	Ministry, institution or organisation applying for SEI support.	
Potential UNIBE beneficiary	Ministry, institution or organisation applying for support provided under the UNIBE component of the SEI facility.	
PPF beneficiary	Ministry, institution or organisation benefitting from support provided under the PPF.	

Project Fiche (PF)	Document developed on the basis of a template (model) issued by the Office of the NIPAC (i.e. Directorate of Financial Cooperation, MEUA). It is developed and discussed during the annual IPA programming process and normally includes a number of contracts to implement all anticipated activities.	
Publicity and Visibility	An SEI action shall take the necessary measures to ensure the visibility of the European Union financing or co financing. These measures must comply with the rules laid down and published by the Commission on the visibility of external operations: **http://ec.europa.eu/europeaid/work/visibility/index_en.htm** . All projects /contract implemented under a SEI action shall comply with the Visibility Guidelines for European Commission Projects in Turkey published by the EU Delegation to Turkey, at **http://www.avrupa.info.tr/AB_Mali_Destegi/Gorunurluk,Visi.html** .	
Reimbursable costs	Costs - such as travel costs, per diems, translation or interpretation costs, registration fees, etc. – which according to a contract concluded with the CFCU may be claimed and reimbursed (i.e. paid). They do not include fees for technical experts.	
Service Contract	A contract clearly stipulating the terms under which a certain type of SEI support will be provided. The contract outlines (a) specific service(s) - as formulated in the ToRs - that will be provided by the contractor as well as the obligations, conditions etc. of each of the contract parties, the contractor and the Contracting Authority, the CFCU.	
Specific ToR	ToRs for a framework contract based on a straightforward description of objectives, outputs and related services, required expertise, etc. It is one of the essential reference document for a Framework Contract.	
Global ToR	The Global Tors provide the global contractual provisions for Contractors, Contracting Authorities and Beneficiaries and apply to any technical assistance provided under specific framework assignments. The Global ToRs applies to any of the 12 Lots and prevail over the Specific ToRs.	
Tender dossier	Set of documents developed under the responsibility of the CFCU. For SEI actions, it inter alia includes the (Specific) ToRs developed by the SEI Applicant.	
ToR Template	Model of a Terms of Reference for a project. If the budget for the project is below 200.000 euro, there is a special template, the so-called Specific ToRs (which form the basis for a Framework Contract).	
Twinning / Twinning Light	Twinning implies the secondment of (semi-)public administration staff from an EU member state to fill a certain gap in expertise of the applicant institution. The SEI application for a twinning project is done on the basis of Twining Project Fiche. If the requested SEI support is below 250.000 euro, the application for SEI support should be done on the basis of a Twinning Light Project Fiche.	S 3.3, Application Type D and E

7. Annexes

Annex 1 Types of SEI applications approved under SEI 2007

Application	Type of support
Preparation of evaluation strategy	Technical Assistance
Training on project analysis	Technical Assistance
Enhancement of administrative capacity	Technical Assistance
TA for harmonisation of legislation	Technical Assistance
Consistency check of PFs	Technical Assistance
Impact assessment	Technical Assistance
Support preparation of PF	Technical Assistance
Preparation of tender documents	Technical Assistance
Needs analysis	Technical Assistance
Preparation of TS and Supply Tender Dossiers	Technical Assistance
Institution analysis	Technical Assistance
Building a project portfolio (pipeline)	Technical Assistance
Preparation (review) of sector strategy documents	Technical Assistance
Market survey	Technical Assistance
Determine ICT needs	Technical Assistance
Ex-post evaluation study of previous phases of similar TA	Technical Assistance
Compliance audit in the context of accreditation	Technical Assistance
Strengthening audit capacity	Technical Assistance
Study visits	Other (non-TA)
Seminars	Other (non-TA)

Annex 2 Basic Principles for Enhanced SEI

In 2011, the European Commission and the competent Turkish authorities agreed to increase the scope of the UNIBE component of SEI by allowing full scale institution building projects up to EUR 3 million IPA funds to be financed under this facility. The "enhanced" UNIBE facility will be eligible for standalone contracts involving TA, Twinning and Direct Grants; supplies or works contracts are not eligible. All contracts larger than EUR 3 million or projects containing several components/contracts should remain within national programmes.

General principles

The implementation of ESEI will be guided by the following principles:

- MEUA to steer the process and liaise with beneficiaries.
- The previously existing SEI components (Project Preparation Facility and Unallocated Envelope for Institution Building) remains unchanged, to be used as before.
- For the "new" (enhanced) SEI elements, which are now part of the Unallocated Envelope for Institution Building (UNIBE), full scale projects (TA, Twinning and Direct Grants) are eligible for standalone contracts up to EUR 3 million). Supplies or works contracts are not eligible. All larger contracts → EUR 3 million or projects containing several components/contracts should remain within national programmes. The national co-financing will be ensured by the Ministry of EU Affairs (MEUA).
- Eligibility and relevance exactly as for bigger projects/programmes, i.e. all projects must be in line with MIPD (all priority sectors of the 2011-2013 MIPD can be supported plus other urgent acquis gaps), latest Progress Report, NPAA, sector strategies etc. They should be straightforward and of easy implementation, especially looking at the contracting deadline (which would remain the one set out in the relevant Financing Agreement).
- For ESEI projects speed is essential. Meetings ensure that no projects are held up unduly at any level.

Annex 3 Commonly used tools and techniques

As outlined above, the development of a project and the related project fiche normally require that a number of analyses are conducted for which a vast number of approaches, methods, techniques and tools have been developed in the project cycle management literature. This section briefly describes the ones most commonly used during the identification and formulation of IPA I projects. Every PPF application should include a clear reference as to the specific types of analyses to be conducted as well as the related methods and tools to be applied by the TA.

1. Logical Framework Approach

The Logical Framework Approach (LFA) is a core tool used within Project Cycle Management:

- It is used during the **identification stage** of PCM to help analyse the existing situation, investigate the relevance of the proposed project and identify potential objectives and strategies;
- During the **formulation stage,** the LFA supports the preparation of an appropriate project plan with clear objectives, measurable results, a risk management strategy and defined levels of management responsibility;
- During **project implementation,** the LFA provides a key management tool to support contracting, operational work planning and monitoring; and
- During the **evaluation and audit stage,** the Logframe matrix provides a summary record of what was planned (objectives, indicators and key assumptions), and thus provides a basis for performance and impact assessment.

The LFA provides no magic solutions, but when understood and intelligently applied, is a very effective analytical and management tool. However, it is not a substitute for experience and professional judgment and must also be complemented by the application of other specific tools (such as Institutional Capacity Assessment, Economic and Financial Analysis, Gender Analysis, and Environmental Impact Assessment) and through the application of working techniques which promote the effective participation of stakeholders.

In the logical framework approach, there are distinct stages: the analysis stage and the planning stage. Both stages are outlined below.

Analysis stage

There are four main steps of the Analysis Stage, namely:

Step	Main additional tools used
1. Stakeholder Analysis including capacity assessment, gender analysis and needs of other vulnerable groups such as the disabled; profile of the main 'players'	• Gender analysis • SWOT analysis • Venn diagrams • Spider diagrams
2. Problem Analysis Profile of the main problems including cause and effect relationships (problem tree)	• SWOT analysis • Baseline survey
3. Analysis of Objectives Image of an improved situation in the future including cause and effect relationships (objectives tree)	• Benchmark identification
4. Analysis of Strategies Comparison of different options to address a given situation	• Gap analysis

It's important to note that this analysis should be carried out as an iterative learning process, rather than as a simple set of linear 'steps'.

Planning Stage

In the Planning Stage the results of the analysis are transcribed into a practical, operational plan ready to be implemented.

Step	Main additional tools used
1. Logical framework development Logframe matrix is prepared, requiring further analysis and refinement of ideas	• Baseline survey
2. Activity and resources scheduling activities and resource requirements are defined and scheduled	• Gap analysis • Needs analysis
3. Budget preparation	• Budget template

The planning stage is again an iterative process, as it may be necessary to review and revise the scope of project activities and expected results once the resource implications and budget become clearer.

2. Gap Analysis

A gap analysis is a study of what an organisation is doing currently and what it aims to be doing in the future to define the full scope of the change process to be initiated. This can only be done meaningfully if both the current and the future situations are well described i.e. only when relevant **baseline data** at the start of the process are available and **benchmarks** at the end are clearly set.

In the context of the accession process and the adoption of the acquis, the NPAA is good example of where a gap analysis study has been conducted. For each chapter and all related priorities, it has been inventoried what the EU legislation in force is and what legislation currently in place in Turkey is. Based on a thorough analysis of the differences between the two, the scope of the work for approximating the EU legislation is identified.

To enable the related legislative approximation and the implementation of new legislation, the institutional needs should be analysed as well. Is there a need for institutional capacity building (which may require additional personnel, training, etc.)? Is there a need for additional investments (construction, supplies)? Based on this **needs analysis** and the related resources gaps, the financial requirements for the approximation of legislation under each specific priority can be identified.

As for the adoption of the acquis, the bulk of the legal gap analyses have been conducted in the context of the development of the NPAA which is continually updated. It may however be required to further review or detail such analyses in specific acquis areas or supplement them with a institutional (e.g. human resources) gap analysis to identify specific needs and related costs.

3. Stakeholder analysis

Any individuals, groups of people, institutions or firms that may have a significant interest in the success or failure of a project (either as implementers, facilitators, beneficiaries or adversaries) are defined as 'stakeholders'. A basic premise behind stakeholder analysis is that different groups have different concerns, capacities and interests, and that these need to be explicitly understood and recognized in the process of problem identification, objective setting and strategy selection.

The key questions asked by stakeholder analysis are therefore 'Whose problems or opportunities are we analysing' and 'Who will benefit or loose-out, and how, from a proposed project intervention'? The ultimate aim being to help maximize the social, economic and institutional benefits of the project to target groups and ultimate beneficiaries, and minimise its potential negative impacts (including stakeholder conflicts).

The main steps involved in stakeholder analysis are:
1. Identify the general development problem or opportunity being addressed/considered;
2. Identify all those groups who have a significant interest in the (potential) project;
3. Investigate their respective roles, different interests, relative power and capacity to participate (strengths and weaknesses);
4. Identify the extent of cooperation or conflict in the relationships between stakeholders; and
5. Interpret the findings of the analysis and incorporate relevant information into project design to help ensure that (i) resources are appropriately targeted to meet distributional/equity objectives and the needs of priority groups, (ii) management and coordination arrangements are appropriate to promote stakeholder ownership and participation; (iii) conflicts of stakeholder interest are recognized and explicitly addressed in project design.

In the context of development projects, a key purpose of stakeholder analysis is to understand and address distributional/equity concerns, particularly in the context of effectively addressing the needs of vulnerable groups (such as the poor, women and children and the disabled). Gender analysis is therefore a core element of stakeholder analysis, the aim being to help promote equitable access to project benefits.

4. Gender analysis

Gender analysis is considered an important cross-cutting issue. EU's policy on gender mainstreaming in external co-operation requires the integration of gender analysis at macro, meso and micro levels, throughout the project cycle. A gender analysis allows the identification and integration of the dynamics of change in a given situation, as well as the monitoring of their evolution, particularly in relation to the disparities between women and men. A gender analysis includes attention to: the different roles (productive, reproductive, decision-making) of women and men; their differential access to and use of resources and their specific needs, interests and problems; and the barriers to the full and equitable participation of women and men in project activities and to equity between women and men in the benefits obtained.

5. SWOT analysis

SWOT analysis (strengths, weaknesses, opportunities and threats) is used to analyse the internal strengths and weaknesses of an organization and the external opportunities and threats that it faces. It can be used either as a tool for general analysis, or to look at how an organization might address a specific problem or challenge.

The quality of information derived from using this tool depends (as ever) on who is involved and how the process is managed – it basically just provides a structure and focus for discussion.

SWOT is undertaken in three main stages, namely:

1. Ideas are generated about the internal strengths
2. The situation is analysed by looking for ways in which the group/organisation's strengths can be built on to overcome identified weaknesses, and opportunities can be taken to minimize threats; and
3. A strategy for making improvements is formulated (and then subsequently developed using a number of additional analytical planning tools).

6. Environmental impact assessment

Sustainable development is development that meets the needs of current generations without compromising the ability of future generations to meet their needs. In this context, environment and natural resources are capital that must be maintained in order to support sustained economic activity. Protecting the environment thus preserves the very basis for development. Environmental sustainability refers to the need to protect biological and physical systems that support life (e.g. ecosystems, the hydrological cycle and climatic systems). Environmental sustainability is a cross-cutting principle which needs to be integrated across all areas of decision making. This requires development planners to assess the environmental impact of all proposed policies, programmes and projects, and to take action to minimize the adverse environmental impacts and to take advantage of opportunities for environmental improvement.

7. Economic and Financial Analysis

For every project is required that resource and cost implications are clearly described. For that reason a preliminary economic and financial analysis should be carried out. Common results of this analysis are listed below:

- The (preliminary assessment of) resources required to implement the project are clearly described .
- Project investment and operating costs are described and analysed in sufficient detail, including the financial contributions of different stakeholders.
- Recurrent cost implications are estimated, and an assessment made of the local capacity to meet these costs at the end of the project investment phase.
- Where appropriate, initial estimates of the likely financial and economic viability of the project are provided.
- Requirements for a detailed cost-benefit analysis are specified - as required.

Note that for investment projects a more enhanced and detailed cost-benefit analysis is required.

8. (Pre-)Feasibility study

As it has already been argued in the previous section, it hardly makes sense to task a TA team with conducting a full (pre-)feasibility without a strong technical involvement and preparation from the side of the ministry, institution or organisation requesting SEI support.

As outlined in the next section, the SEI application procedures require that the ministry, institution or organisation requesting SEI support is clear as to nature of the services to be provided, the scope of the work to be carried out by the external experts, the methods and tools to be used, and the related outputs. And last, but not least, the timeframe and the type of expertise required.

Weak ownership of an initial project concept and/or insufficient preparation lead to incomplete and/or unrealistic applications for SEI which will be rejected by the MEUA as experience shows that they will only lead to ill-conceived projects.

Institutions that are well-prepared will not find it difficult to identify what elements in a (pre-)feasibility study need to be strengthened, which tools should be used and which expertise is required. A clear identification of the scope of the work, the tools to be used and the outputs to be produced will make it possible to make a realistic estimation of the time required for the assignment.

NOTES

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