



NIRAS



Evaluation of
contracts
implemented and
financed by IPA
under the Flood
Recovery and
Prevention Action

Project: 2018/402233

Final Report

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The report does not necessarily reflect the views and opinions of the European Commission*

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List of Acronyms and Abbreviations

ADA	Austrian Development Agency
ASB	Arbeiter Samariter Bund
BIH	Bosnia and Herzegovina
CCA	Climate Change Adaptation
DG NEAR	Directorate-General for Neighbourhood and Enlargement Negotiations of the European Commission
DRC	Danish Refugee Council
DRM	Disaster Risk Management
DRR	Disaster Risk Reduction
EC	European Commission
ECHO	Directorate-General for European Civil Protection and Humanitarian Aid Operations
EIDHR	European Instrument for Democracy and Human Rights
EQ	Evaluation Questions
EU	European Union
EUD	Delegation of the European Union to the Republic of Serbia
EUSF	European Union Solidarity Fund
EVAL	IT module e-Evaluation Tool (DG DEVCO and DG NEAR)
EWS	Early Warning System
FAAARO	Flood Affected Areas Assistance and Recovery Office (of the Government of Serbia)
FAO	(UN) Food and Agriculture Organisation
FWC	Framework Contract
GFDRR	(World Bank) Global Facility for Disaster Reduction and Recovery
HELP	Hilfe zur Selbsthilfe
HH	Household
HQ	Headquarters
EBRD	European Bank for Reconstruction and Development
IL	Intervention Logic
IOM	International Organisation for Migration
IP	Implementing Partner
IPA	Instrument for Pre-Accession Assistance (of the EU)
LFA	Logical Framework Analysis
LIDAR	Light Detection and Ranging
LRRD	Linking Relief, Rehabilitation and Development

MoAEP	Ministry of Agriculture and Environmental Protection
MoAFW	Ministry of Agriculture, Forestry and Water Management
Mol	Ministry of Interior
MoLEVSA	Ministry of Labour, Employment, Veterans and Social Affairs
MCTI	Ministry of Construction, Transport and Infrastructure
M&E	Monitoring & Evaluation
NDRMP	National Disaster Risk Management Programme
NGO	Non-governmental organisation
NSDP	National Strategy for Disaster and Protection
OECD	Organisation for Economic Co-operation and Development
PDNA	Post-disaster Needs Assessment
PERS	Public Enterprise “Roads of Serbia”
PIMO	Public Investment Management Office (of the Government of Serbia)
PSC	Programme Steering Committee
PSSC	Project Sub-Steering Committee
PWMC	Public Water Management Company
RHMSS	Republic Hydro-meteorological Service of Serbia
RFPI	Rehabilitation of Flood Protection Infrastructure (IPA 2014 project)
ROM	Results Oriented Monitoring
RSD	Serbian Dinar
SDGs	Sustainable Development Goals
SEM	Sector for Emergency Management (of the Ministry of Interior of the Republic of Serbia)
SIDA	Swedish International Development Cooperation Agency
SMART	Specific, Measurable, Achievable, Relevant, Timely
SME	Small and Medium Enterprise
Srbijavode	Public Water Management Company “Srbijavode”
SWOT	Strengths, Weaknesses, Opportunities and Threats
TA	Technical Assistance
ToR	Terms of Reference
UNDP	United Nations Development Programme
UNHCR	United Nations High Commissioner for Refugees
UNOPS	United Nations Office for Project Services
WB	World Bank
WIS	Water Information System

Executive Summary

1. Introduction

Background: In May 2014 Serbia was hit by heavy rainfalls, and river floods in western and central parts of the country. Around 32,000 people were evacuated (24,000 from the municipality of Obrenovac), and damages to housing, infrastructures and agriculture were estimated at hundreds of millions of euros. EU responded promptly to Serbia's request and deployed rescue teams, supplies and equipment; teams of EU Civil Protection and humanitarian organisations provided WASH, food, shelter, and logistics assistance. EU funds of EUR 173.6 million were rapidly and effectively used in multi-sector interventions for flood recovery and prevention.

Objectives of the evaluation: The assignment aims at evaluating the overall programming, implementation and results framework of 13 projects (3 of which are still ongoing) of Flood Recovery and Prevention Action, which was funded under two separate IPA Decisions in 2012 (022-967) and 2014 (037- 788).

The general objectives of the evaluation are to provide the relevant EU Services (in particular EUD), interested stakeholders and wider public with (i) an overall independent assessment of the performances and results of the concerned Action, and (ii) key lessons learned and recommendations for the improvement and sustainability of flood recovery and prevention and, more generally, for the DRR sector in Serbia.

Methodological note: The evaluation was carried out from 22 Jan to 21 May 2019; the field visits, 27 Mar-12 Apr) took place in 7 selected municipalities of western, central and eastern Serbia. During the Inception phase, an Evaluation Matrix - the primary tool for the evaluators - was designed. This matrix was sub-divided in accordance with the OECD/EU evaluation criteria (Relevance, Effectiveness, Efficiency, Impact, Sustainability, EU Added Value, Coherence and Complementarity), and integrated the final set of evaluation questions, subdivided among the above-mentioned evaluation criteria, and complemented/clarified with sub-questions or judgment criteria, indicators, sources for triangulation, and tools. Based on the matrix; semi-structured guidelines were also adapted specifically and used in a consistent manner whenever evaluators performed interviews with stakeholders of all categories (institutional, implementing partners - IPs, local authorities, and beneficiaries). The tools used included documentary reviews and analysis of statistical data when available; face-to-face interviews; group discussions (gender disaggregated as relevant); and field observations.

Evaluation phases: The evaluation has been subdivided into four main phases: Inception Phase (resulted with the Inception Report), Desk Phase (resulted with Desk Report), Field (ended by Intermediary Presentation), and Synthesis (resulted with Final Report and Executive Summary).

Limitations: A few minor limitations were found during the evaluation, such as lack of overall statistical/budgetary data of DRR sector, not quite sufficient data about potential longer-term effects of WB-implemented NDRMP capacity building (still ongoing project), and unavailability to meet one of the central-level national stakeholders, which was mitigated by more thorough documentary review.

1. Answered Questions/Findings: Overall Assessment

1.1 Relevance

The assistance provided through IPA funds was fully relevant both in terms of the needs and in terms of showing flexibility of EU pre-accession assistance when that was the most needed – to help the country to get recovered after the disastrous floods.

It was found that the Action has responded appropriately to the needs identified in the two key national documents: the PDNA (with the provision that mining and energy were covered by other funding) and the NDRMP (National Disaster Risk Management Programme).

Overall, the quality of the seven IPs and their adequacy to perform the required tasks appears to validate their choice. All of them have demonstrated a high degree of professionalism and commitment. They have all been able so far (3 projects are still ongoing, and the one implemented by ADA has seen some issues of efficiency in terms of timeliness) to achieve and even overcome the planned objectives. Timeliness was also adequate, often in a context

of urgency; when delays occurred (WB/GFDRR), this was generally identified as the result of a lack of national capacities (WB/GFDRR), with a slight caveat for ADA. This situation confirms the relevance of the EUD selection, contracting and financing processes.

1.2 Effectiveness and Efficiency

The reported effectiveness of the projects implemented by ASB, DRC and HELP was quite high, and the numbers of beneficiaries significantly exceeded expectations for all housing and SMEs projects (from +19% to + 44%), and much more for agricultural assistance by FAO (+117%). Overall, the Action has reached directly some 130.000 beneficiaries (housing, farms, SMEs, schools). None of the visited municipalities or national authorities reported urgent needs that the Action would have failed to cover.

Achievements of rehabilitation of public infrastructure (UNOPS) include: (i) 15 rehabilitated schools, 1 school constructed and one kindergarten rehabilitated; (ii) ten kilometres of road between Korenita and Krupanj reconstructed; (iii) two bridges constructed, 4 rehabilitated, 24 landslides rehabilitated (out of the total of 48 critical landslides and the reconstruction of 14 road structures - still ongoing. The effectiveness has been appropriate; revived transport infrastructure provides the access, recovery and restoration of normal life with all its social and economic facets. The beneficiaries - PERS and municipalities - praise the project outcomes. The improvements (not only repairs) are obvious at certain critical points, which were most prone to flooding and damage.

Achievements of rehabilitation of public infrastructure (RFPI by ADA, IPA 2014) includes: (i) 64 kilometres of drainage channels and riverbeds rehabilitated; (ii) 11 pumps in 4 flood-prevention pumping stations repaired, ongoing rehabilitation of another 5 pumping stations with new pumps and related equipment; (iii) ongoing critical flood protection/prevention infrastructure rehabilitation on the river flows in 5 flood disaster-prone municipalities. This project had been based on the design made by the main counterpart "Srbijavode", which proved to be poor; the design had to be re-made by ADA (the process is still being implemented) which entailed delays, budgetary modifications and no-cost extension for additional 18 months, until June 2021.

Objectives and achievements of WB/GFDRR under IPA 2014 include 6 project components with 41 activities, out of which 20 were completed by the end of 2018, and 21 were still ongoing, due to a number of delays mainly related to procurement incapacities by the national counterparts. The completion of the flood hazard and risk mapping assistance, as well as the hydrological measurement (hydro data component) is expected to be completed by June 2020.

Limiting factors were perceived as different by NGOs and institutional IPs. The only major limiting factor reported by the NGOs ASB, DRC and HELP in the implementation of projects concerned the slow issuing of building permits. Other limitations were minor only: some delays due to winter conditions or weaker municipalities. For its part, FAO identified rather several deep-rooted, structural limiting factors, which not related to the Action: small land plots, lack of awareness of DRR/CCA, or old farm equipment. UNOPS and WB/GFDRR felt to be mainly limited by institutional issues, such as the 5-months governance gap which occurred after the elections in 2016 (although this gap did not affect the effectiveness of PIMO).

At the opposite, all IPs agree that the main enabling factors of the Action were to be found in the effective coordination and the knowledgeable and flexible support provided by the EUD, the commitment and cooperation from the municipalities, and the operational guidance from PIMO which translated in knowledge, presence, and relevant mandatory housing standards. For the future however, the lack of budget for continued DRR efforts and maintenance may become an ex-post weakness for DRM and infrastructures.

Desk review and field discussions concur to indicate a commendable level of efficiency. The implementation modality through direct grants allowed the IPs to use e.g. their own procurement procedures. The modality ensured speed and was largely successful. The coordination by the EUD Programme Steering Committee (PSC) was also efficient and led to consistent approaches.

Committed and knowledgeable IP staff who worked in close coordination with national and local authorities provided for the high levels of efficiency that were found in all completed projects. Procedures (beneficiary selection, participation, deliveries, quality) were generally reported as satisfactory, with only minor delays and problems. The delays in the ongoing

projects are essentially due to lack of capacities of national counterpart, except possibly for ADA, to a certain extent.

Overall, indicators used in project LFAs were not all fully SMART but still appropriate to follow concerned activities. Indicators were duly filled in by IPs in all consulted reports and have not attracted any remarks or suggestions for improvement during field discussions.

Cost-effectiveness: In the absence of usable previous baselines or benchmarks and in a context of rapid implementation and difficult working conditions, among actors and activities only for housing could cost-effectiveness be measured to a certain extent. When compared with market prices, it appeared that the cost-effectiveness of prefabricated houses by the IPs (there was little price difference between IPs) was high and clearly a “win-win” solution for both beneficiary and budget: IP cost of 265 EUR/sqm (DRC) was nearly half the market price and provided better quality housing. Furthermore, this solution was even more advantageous for the most vulnerable beneficiaries: these could not possibly have procured new houses or flats with the state cash assistance (category 6) and would probably have become even more destitute. It should also be noted that indirect /support costs were (logically) higher for projects with smaller budgets, as they were missing economies of scale. More surprisingly, indirect costs were also comparatively higher for NGOs than for UN agencies.

Efficiency/timeliness of funds: In terms of timeliness, fund transfers were reported as either “appropriate” or “rapid”. Pre-financing of IPs reached 80%, which allowed fast-track working approaches. Overall, and although the remaining funds under IPA 2012 were at first not sufficient to cover all the emergency needs, funding allocations were reported as adequate to achieve the expected results – and more for housing and assistance to small-scale farmers - thanks to lower-than-expected disbursements. In most cases initial budgets for housing works had been over-estimated for various reasons (lower prices in a very active building market, IPs were good reputation buyers and got discounts, benefit were made on exchange rates EUR-USD), which allowed IPs to do additional activities and exceed targets.

At the opposite, under IPA 2014 UNOPS was faced with unexpected budget overrun (new bridges, more landslides), which were mitigated with value engineering analysis and the use of contingencies. ADA was also faced with poor initial design including overestimated budget by the national counterpart, which entailed delays.

1.3 Impact and Sustainability

Impact: The Action has contributed to a number of highly positive impacts, which were visible - and much appreciated - at field level: improved living conditions for all vulnerable beneficiaries assisted with new housing; assisted SMEs could quickly restart or expand their business, which helped the local economy to recover (the stated current problems were always linked to general market conditions and not to floods’ ex-post effects); the quality rehabilitation of assisted schools contributed to a dynamic motivation of the management, which could attract new private donors. The impact of new flood protection infrastructure on areas at risk remains to be tested, though, and the expected traffic increase on rehabilitated roads could not yet be measured.

The desk review outlined some short-term impacts which could not be assessed during field visits, such as more cultivation by small-scale farmers assisted by FAO, or decreased outbreaks of diseases linked to mosquitos due to sanitation measures by UNOPS.

Last but not least, the effective communication strategy has led to an increasingly positive perception of the EU by the wider public in Serbia. This was testified by several surveys and by the fact that the Action’s signboards were still very visible, without the usual tags. This impact may however have since been undermined by a poorer communication regarding the migrants’ crisis.

Sustainability: Strong support was provided throughout the Action to enable or reinforce the national institutions concerned with DRR/DRM after the floods, in particular FAAARO/PIMO. The support contributed to the design of the NDRMP programme and its Action Plan, which are key instruments for guiding sustained efforts.

At the wider level – not directly linked to the Action - new laws compliant with Sendai and EU Regulation 1313 (EUCPM) have been published or are being finalized. This strengthened legal framework is also bound to support the results of the Action. In particular, the DRR law of November 2018 has further clarified the respective roles and responsibilities of PIMO (donor

funding) and the Sector of Emergency Management of MoI (prevention and emergency response).

However, the costs of the NDRMP Action Plan are not yet affordable by the State; Civil Protection development is also costly, and more external funding will be needed. The operational sustainability of PIMO itself is not yet ensured, as there are very few permanent positions and the Office envisages further donor-funded assistance or bank loans to retain most of the expert staff after the end of the Action.

At field level, the sustainability of activities in housing, SMEs, small scale farms and schools can be expected from the high commitment levels of owners and staff.

Roads and infrastructures have been “Built Back Better”, but maintenance may be an issue as IPs report a potential lack of financial sustainability from both PWMC water companies and PERS for roads.

Visibility: Reports from partners, surveys and discussions all testified to the fact that under the Action the communication was highly successful and was well perceived by the general public. In all visited municipalities, the Action signboards were still very visible and were not degraded by the usual tags. This success is due to the approach adopted, which included an integrated communication strategy, well-coordinated through the PSC and centrally managed (by UNOPS), a clear message (“this support was provided by the EU in times of great need”), a visually attractive dedicated logo, and numerous activities and outputs: there were e.g. 30 major events with high level participation from the EUD and the Government, and more than 1.900 media reports. As a result, the communications activities strongly contributed to developing more positive attitudes by Serbian citizens towards the EU, and the Action became the “most recognized EU funded programme in Serbia” – although not the most expensive.

1.4 EU Added Value

From a financial perspective, all stakeholders agree on the fact that international DRR assistance – among which EU funding probably provided a major share - was crucial in the aftermath of the 2014 floods, and that the Serbian state or the municipalities could not have done it alone. This is however only a perception, as no full evidence, figures or statistics could be collected at any level to substantiate this issue.

The high added value of the Action was better highlighted in the field, as it appeared that the selection criteria adopted by the IPs were quite complementary to the cash based assistance distributed by the State for all housing damages (technical categories 1-6), which was done regardless of income or social situation. This was the only targeted social support as MoLEVSA (Ministry of Labour, Employment, Veterans and Social Affairs) cannot deliver rapid social support / safety net in case of emergency, and municipalities have the lists of vulnerable people but not the resources. In many case the Action’s support avoided dire social destitution. Another key EU added value was that the assistance was “neutral”, and was provided equally by international/external actors to all affected municipalities on the basis of identified needs, without consideration to the national political context.

Another very important added value was found in the social complementarity of the IPA assistance in favour of the most vulnerable, through the Action’s selection criteria of vulnerability.

Coherence, coordination and consistency: There were no full evidence in the reviewed documents about figures of aid by other donors (only a short narrative list), or their results. Similarly, after thorough enquiries in the field, no overview of all grants from EU and other donors for the whole period 2014-2019 could be obtained, only a summary of pledges and donations realised after the donors’ conference of July 2014 until 31 Dec 2015, from the MEI. There were no indications of the share of the national budget dedicated to DRR/DRM, the corresponding importance of IPA funds, or gaps in funding.

2. Key conclusions

Major (primary) conclusions: (i) overall, the Action has been a very successful programme, there was a high degree of satisfaction from concerned national authorities and municipalities, as well as from the beneficiaries about the professionalism of all IPs, the quality of cooperation, of outputs, and the speed of implementation, with only a slight caveat for long procurement tendering processes by the World Bank and ADA; (ii) all activities were effective: housing

reconstruction, rehabilitation of schools, support to small-scale agriculture and SMEs, rehabilitation of roads and flood protection infrastructure (ongoing). Effective coordination, both internal (PSC) and external led by PIMO, were key positive factors of success; (iii) short-term impacts could be found in improved situation of vulnerable beneficiaries (better living standards in new housing), assisted SMEs (business quickly restarted or expanded), schools (better equipment, motivation of management), and infrastructure (better protection of areas at risk); (iv) the effective communication strategy led to increased positive perception of the EU by the wider public in Serbia.

Secondary conclusions: added value of the Action has been found particularly high on (i) valuable complementarity of Action's selection criteria for the most vulnerable victims, with cash based assistance from state for all housing damages (technical categories 1-6), regardless of income; social destitution was often avoided; (ii) external/international actors have ensured "neutral" and equal levels of assistance to all affected municipalities, out of the national political context, and (iii) however, much still remains to be done for DRR in Serbia; more investments are needed, especially for the Sector of Emergency Management and at municipality level; there are possible problems of maintenance/sustainability of roads and flood protection infrastructures.

Key lessons learnt and good practices by IPs:

Communication and visibility: (i) events with the participation of high officials from the EUD and the Government have proven to be the most useful, and (ii) need for a targeted message in addition to EU flag/logo, which proved to be a good practice.

Operational: (i) the "area/regional" approach covered by an NGO is useful as affected municipalities can meet to exchange experience and good practices; (ii) there must be a "focal point" in the municipality for coordination, and staff must be delegated to accompany monitoring by NGOs and checking of vulnerable households; (iii) better to have an integrated communication strategy, as this is more effective than fragmented communication efforts by each NGO separately, with different approaches, messages and professionalism; UNOPS did a good work; (iv) for female-headed farming households, it is important to make their life easier, and not give them even more work; for example, milking machines will spare them time; (iv) regular advocacy and training on importance of DRR are needed; (v) risk insurance for agriculture is a must, but not a panacea: if disasters occur too often /regularly, insurances will disengage (there is a need for the government to impose transparent rules, such as they did for banks) - insurance companies must offer contracts with fixed percentage for the whole length of a pre-defined period; and (vi) Considering the poor capacity of some national counterparts such as e.g. "Srbjiavode" to design infrastructures, it is crucial to hire an engineer consultant to review the design during a thorough inception period.

3. Main recommendations

Strategic level for EU

- Among national DRR authorities, to focus support on the Sector for Emergency Management (Ministry of Interior), and to pursue DRM strengthening and capacity building efforts undertaken by WB/GFDRR.
- To advocate significant systemic improvement in defining water management flood-protection/ prevention financing at the level of PWMC, thus enabling at least mid-term planning.
- To pursue support through NGOs for the most potentially at risk municipalities, focusing on resilience, and advocating for river basin associations of concerned municipalities.

Operational level

- To capture all lessons learnt and good practice from the Action and ensure institutional memory by drafting guidelines.
- To maintain a network of skilled implementing partners for future disasters.
- To support updating of the national damage and loss assessment methodology and aligning it with PDNA standards.
- Simultaneously, to support institutions at national and local levels who should be in a position to use the updated methodology.

- To support development of insurance schemes that cover all categories of potential beneficiaries (private households, small farms and enterprises) against a wider array of disasters; the system should be transparent and easily understood by all.

1. Introduction

This report is the final deliverable of the evaluation of the IPA-funded Flood Recovery and Prevention Action (“the Action”). The report integrates the results of the key deliverables from the previous phases of the evaluation, in particular the methodological work (Inception report) as well as the findings collected during the documentary review (Desk report) and the field phase (Intermediary note in PowerPoint format). A timetable of the project can be found in Appendix 9.4.

After the Executive Summary, the report is divided into three main chapters: the present Introduction which includes short background and methodological notes, the key findings to every evaluation question (chapter 2), an overall assessment (chapter 3), and the key conclusions and recommendations (chapter 4).

The main text is complemented by 10 appendices: Appendix 1 - Terms of Reference of the evaluation; Appendix 2 - Short CVs of the evaluators and description of NIRAS; Appendix 3 - Detailed evaluation methodology; Appendix 4 - Evaluation Matrix; Appendix 5 - Intervention logic / Logical Framework matrices; Appendix 6 - Geographical map of the Action; Appendix 7 - List of persons/organisations consulted; Appendix 8 - Literature and documentation consulted; Appendix 9 - Other technical appendices; and Appendix 10 - Additional detailed answers to some Evaluation Questions.

Background

On 14th May 2014 Serbia was hit by heavy rainfalls, leading to river floods which hit 119 municipalities (out of 160) in western and central parts of the country. 33 persons lost their lives in the disaster, around 32,000 people were evacuated (24,000 from the municipality of Obrenovac, near Belgrade) and damages to housing, infrastructures and agriculture were estimated at hundreds of millions of euros. More than 2,260 buildings were flooded, over 1,800 damaged, and some 30,000 households were left without electricity. Hundreds of bridges were destroyed or damaged, along with 3,700 km of roads. The state of natural disaster emergency was declared by the Government on 15th May.

Along with other emergency assistance, the EU responded promptly to Serbia's request and deployed rescue teams, supplies and equipment operated by the Commission's Emergency Response Coordination Centre in coordination with the Serbian authorities. Teams of EU Civil Protection and humanitarian organisations provided WASH, food, shelter, and logistics assistance - including satellite maps of the flooded areas. For immediate recovery, EU funds were also rapidly and effectively used in multi-sector interventions to rebuild houses and infrastructures, and provide assistance to affected agricultural households and small businesses. Overall, EUR 173.6 million of grants were allocated for rehabilitation and reconstruction.

Objectives of the evaluation

The assignment aims at evaluating the overall programming, implementation and results framework of 13 projects (3 of which are still ongoing) of Flood Recovery and Prevention Action, which was funded under two separate IPA Decisions in 2012 (022-967) and 2014 (037-788). The projects encompass the above-mentioned types of activities in 57 flood-affected municipalities/local self-governments of Serbia. A list of the 13 projects can be found in Appendix 9.3.

The general objectives of the evaluation are to provide the relevant EU Services (in particular the Delegation), interested stakeholders and wider public with (i) an overall independent assessment of the performances and results of the concerned Flood Recovery and Prevention Action, and (ii) key lessons learned and recommendations for the improvement and

sustainability of flood recovery and prevention and, more generally, for the DRR sector in Serbia (see TOR in Appendix1).

Methodological note

The evaluation was carried out by a team of two senior evaluators (Michel Vanbruaene and Predrag Rafailovic), whose summary CVs can be found in Appendix 2. The timetable ran over 4 months, from 22nd January (kick-off meeting) to 21st May 2019 (submission of final report). The field visits took place between 27th March and 12th April. The complete methodology is in Appendix 3, and the detailed timetable in Appendix 9.4.

Matrix and triangulation

During the Inception phase, an Evaluation Matrix - the primary tool for the evaluators - was designed (see Appendix 4). This matrix was sub-divided in accordance with the OECD/EU evaluation criteria (Relevance, Effectiveness, Efficiency, Impact, Sustainability, EU Added Value, Coherence and Complementarity), and was adapted from the extensive list of 28 tentative main evaluation questions (EQ) in section 2.2.2 of the ToR (Appendix 1) – although reduced to the more manageable number of 15 after streamlining and validation by the Reference group.

The matrix integrated the final set of evaluation questions, subdivided among the above-mentioned evaluation criteria, and complemented / clarified with sub-questions or judgment criteria, indicators, sources for triangulation, and tools.

Based on the matrix; semi-structured guidelines were also adapted specifically and used in a consistent manner whenever evaluators performed interviews with stakeholders of all categories (institutional, implementing partners - IPs, local authorities, and beneficiaries).

The methodological approach was based on a mix of qualitative and quantitative tools to collect summative evidence, with the objective to triangulate findings (i.e. compare and cross-check them with other sources of information). The following tools have been used: documentary reviews including analysis of statistical data when available; SWOT analyses as relevant; face-to-face interviews through semi-structured guidelines by the team members; group discussions with IPs, institutional actors and beneficiaries (gender disaggregated as relevant); and field observation.

For assessment and reporting purposes, the evaluators furthermore sub-divided the approach to the various implementing partners by focusing on their core expertise, which covers institutional actors and international agencies (Austrian development Agency, FAO, UNOPS and World Bank) for the Team Leader, and NGOs (ASB, DRC, HELP) for Key Expert 2. A list of interviews and visits carried out can be found in Appendix 7.

Evaluation phases

As required in the ToR (section 2.3), the evaluation has been subdivided into four main phases: Inception, Desk, Field, and Synthesis.

During Inception, expectations were clarified between the evaluation team, the EUD Evaluation Manager and the Reference Group, and the methodological framework for the evaluation was fine-tuned (mapping of stakeholders, activities' locations, data collection, reconstruction of Intervention Logic and Theory of Change, preparation of the evaluation matrix and the corresponding semi-structured interview guidelines (see above), consultation strategy, updated timetable, and logistics preparation.

During the 2nd phase, the desk work has analysed the literature collected from all the stakeholders: policies, country action programmes, periodic, annual and final reports by the seven IPs, and results-oriented monitoring (ROM) reports by the EU. Thorough reading and

analysis of all available information was followed by drafting of findings and preliminary conclusions by both team members (according to their coverage of partners) into the Desk Report. The Desk report structure was itself compatible with the structure of the present Final Report. This phase has paved the ground for a targeted field phase, by outlining initial plan of municipalities to be visited.

Upon approval of the Desk Report, the field phase was launched to further triangulate information. The work started with stakeholders meetings in Belgrade (EUD, all IPs, PIMO, SEM, MEI). Field visits encompassed 7 municipalities (Obrenovac, Ljubovija, Krupanj, Bajina Basta, Kraljevo, Paracin and Sviljanac) which have been selected according to a number of criteria: robust triangulation of geographical areas (west, south, east), of IPs, and types of activities (housing, income generating assistance, infrastructure rehabilitation); scale of dedicated budget, number of beneficiaries (including women), reports with apparently valuable lessons learnt or described impacts; identified gaps or hypotheses during the desk review; and argued recommendations by actors. The geographical map of the Action, with marked municipalities visited by Evaluation Team, is presented in Appendix 6.

In each municipality, stakeholders included IPs, local authorities, and a wide range of beneficiaries: in total 19 housing / 55 beneficiaries (new prefabs or reconstructed houses), 2 schools and 4 SMEs were visited. Field discussions were transparent, culturally and gender sensitive, participatory with local authorities and final beneficiaries; they took due care of keeping some information and sources confidential if required – but also considered possible bias.

After the field visits, an Intermediary Presentation (PowerPoint / PPT) note was prepared for the EUD, which summarised the field phase activities, the limitations and challenges, as well as the key preliminary findings from the desk and field phases.

During the 4th and final phase, the evaluation team has analysed in a synthetic manner all the data collected during the Desk and Field phases, seeking to achieve triangulation and confirm patterns, to provide evidence-based and pertinent recommendations. Comments generated by the Reference Group about the draft synthesis Report as well as the feedback provided by the national stakeholders and IPs during the Final Report Presentation on 4 June 2019 were integrated into the present Final Report.

Limitations

A few limitations were found during the review, as follows.

During the documentary review which was based essentially on implementing partners' reports, most findings concerned aspects of efficiency and effectiveness. At the opposite, few elements could be found in the documents regarding some of the EQs – in particular concerning EU Added Value (EQs 13 and 14) which was not a focus of the reports, or updated information about national DRR/DRM institutional settings and coordination, as well as about overall coherence with other international sources of funding (EQ 15).

Difficulties encountered during the field phase concerned:

- The desk review and field meetings both outlined that there was a general lack of overall figures available about either international cooperation with Serbia for DRR (only a brief narrative and a table of donations 2014-2015 was found), the total share of EU contribution in this framework, or the national budget for DRR activities. Hence, the answers to evaluation questions 13 (comparison of EU funding and national budget), 14 (share of EU funding compared to member states and other donors) and 15 (gaps or overlaps with other donors) remain partial and could not be substantiated by statistical evidence.

- No meeting could be arranged with the Directorate of Water (of the MoAFW); there was neither response to the electronic questionnaire sent to the Directorate of Water, nor to the PWMC Srbijavode.
- There was little data about the potential longer term effects of DRM capacity building carried out by the World Bank (still ongoing). This limitation was partly mitigated by the information provided by the newly involved Sector of Emergency Management.
- No FAO-assisted farms could be visited (mostly small grants widely disseminated, not visible anymore).

2. Answered questions/Findings

The chapter below present the key findings and answers, together with reasoning for each evaluation question (EQ) and sub-questions or evaluation criteria, as listed in the evaluation matrix. These findings were collected through the documentary study and the interviews carried out mostly during the field phase.

2.1. Relevance

EQ 1: To what extent are the Action objectives relevant to the IPA objectives?

Overall, the documentary and field reviews outlined a very close relationship between of the IPA 2012 and IPA 2014 Action Plans and the DRR/DRM needs identified both in the immediate aftermath of the floods of May 2014, and at later stages (institutional strengthening, preparedness for the future, response to new floods in 2016).

1.1 Background and early activities

In the aftermath of the devastating floods of 14th May 2014, the European Union (EU) Instrument for Pre-Accession Assistance (IPA)¹ was able to mobilise rapidly about EUR 30 million, while waiting for the post-disaster needs assessment (PDNA), which was presented on 7th July. The PDNA expressed five urgent rehabilitation priorities:

- Mining and energy;
- rehabilitation of housing;
- agriculture;
- trade; and
- transport.

Furthermore, even though Serbia has not yet joined the EU, the country could access the EU Solidarity Fund (EUSF - total budget in 2014: EUR 500 million) like any EU Member State². On 10th October, the EU Commissioner for Regional Policy announced a “Special Measure” aid package worth EUR 60.2 million to Serbia, EUR 8.96 million to Croatia and EUR 10.5 million to Bulgaria. At the end of the Action, EUSF had to assist 15 municipalities in funding 192 projects.

At the Donors’ Conference organised in Brussels on 16th July by the European Commission to help Serbia and BiH in dealing with the floods, EUR 995.2 million were pledged for Serbia

¹ IPA is the mechanism created by the EU to support reforms in the potential 'enlargement countries' of Western Balkans (Albania, BiH, FYROM/Northern Macedonia, Kosovo, Montenegro, Serbia), as well as Turkey, with financial and technical help. IPA has been designed as a single and flexible instrument to build up the capacities of the targeted countries throughout the accession process, and help them achieving European standards.

IPA replaced the five previous EU instruments for pre-accession – Phare, ISPA, SAPARD, the Turkey programme, and CARDS. For the period 2007-2013 (IPA I) the budget reached EUR 11.5 billion. Its successor, IPA II, is currently building on the results already achieved by dedicating EUR 11.7 billion for the period 2014-2020. One of the 12 components of IPA II (or IPA 2014) concerns “Flood recovery and prevention”.

² Although it was found in the field that IPA and EUSF funded in some cases similar activities in the same municipalities, there was no risk of duplication as EUSF (1) came later into action, (2) is focused on public infrastructure (not assured) and not housing or private damages; (3) is implemented through local enterprises contracted by municipalities under the supervision of PIMO, and not by the implementing partners of this Action.

alone. The EU pledged grants worth EUR 195 million. However, few pledges materialized, to the exception of EU funds (see Appendix 9.1).

As outlined in Table 1 below, overall EUR 173.6 million of EU grants were actually allocated for rehabilitation and reconstruction. EU funds helped to rebuild houses, social apartments, and infrastructures (bridges, road, pumping station, water supply, dredging). Multi-sector assistance also targeted 36.712 agricultural households with seeds and fertilizers, and 1.171 small businesses in the flooded areas.

Table 1: EU financial support for flood recovery and reconstruction

Programme	Amounts	Status
EU assistance for flood relief in Serbia (IPA 2012 pre-accession funds)	€30 million	Programme implemented since June 2014. Focus on: Housing, public buildings and livelihood.
Special measure programme (IPA 2014 pre-accession funds)	Total: €72 million €62 million €10 million for regional dimension to be implemented in Serbia	Programme implementation started in August 2015 focusing on reconstruction, and on flood prevention in 2016.
EU Civil Protection Mechanism (funds from ECHO)	€6 million	Implemented in summer 2014
Cross-Border Cooperation Programme Serbia-BiH (IPA pre-accession funds)	€1.8 million for Serbian side (+ €1.8 million for BiH)	Implementation started in mid-2016. Support focused on flood recovery, reconstruction and prevention, with special attention on supplies and infrastructure for rehabilitation/flood prevention.
Cross-Border Cooperation Programme Serbia-Croatia (IPA pre-accession funds)	€1.8 million for Serbian side (+ €1.8 million for Croatia)	Implementation started also in mid-2016, with same focus as for BiH.
EU Solidarity Fund (EUSF)	€60.2 million	Disbursement done in 2015 for 134 different projects. Focus on reconstruction on roads, bridges and other infrastructure.
TOTAL for Serbia	€173.6 million	

1.2 Action Plan IPA 2012

The IPA 2012 Action plan³ envisaged 4 urgent activities:

- Repair of public buildings;
- Repair of private housing;
- Economic self-reliance support to SMEs and farmers; and
- Repair of roads and infrastructures.

³ IPA 2012 Decisions: 2012/022-967, Priority Axis: Support to the reconstruction of flood affected areas in Serbia

As discussed below, these four activities of IPA 2012 were highly relevant to the priority needs identified in the PDNA (post-disaster needs assessment) carried out just after the floods: more than 2,260 buildings had been flooded, over 1,800 damaged and more than 30,000 households left without electricity. 32,000 people were evacuated from their homes. 5000 evacuees were accommodated in temporary shelters. Public buildings including health and education facilities were also damaged or destroyed.

The PDNA also reported massive damages to roads and bridges. Many roads were already in poor condition before the floods due to decades of neglect and were furthermore subject to a large number of landslides (48 major landslides due to the floods were identified and many have been repaired during Phase 2 of the Action). Many damaged / collapsed bridges were also reported by municipalities⁴, but after due rechecking most of these were found to be small structures for limited local usage only: they were sometimes private passages between farmers' houses and fields, or had no previous legally registered existence.

Under IPA 2012, the main effort of the Action focused on the rehabilitation of housing to cover the most urgent needs of the affected population and small businesses. 4 of the 5 projects were dedicated to this objective, and were implemented by the NGO ASB (Arbeiter-Samariter Bund), DRC (Danish Refugee Council), and HELP (Hilfe Zur Selbsthilfe), for a total of EUR 7.679 million (25.9% of IPA 2012 budget).

The EU in Brussels authorised the use of remaining funds from IPA 2012 (EUR 30 million) for the urgent recovery activities. The allocation of these funds was discussed with the IPs to tailor distribution as much as possible to identified needs according to the numbers of beneficiaries in each group of municipalities that were to be covered by the various partners. However, it was acknowledged by every actor that all the needs could not be covered with the available budget, and that they would "do their best" while waiting for more funds.

The most heavily affected municipality was Obrenovac. The place was however not easily reachable through remaining floods and mud, and cash handouts were rapidly being distributed to victims by the government – although these were often used for food and other urgent needs rather than housing rehabilitation. Furthermore, the EUD insisted that UNOPS allocate EUR 900.000 to rehabilitate an apartment building in order to accommodate 34 extremely vulnerable families (Romas, social cases) who had been living illegally in a former (abandoned) collective centre, which had been destroyed by the floods and were without protection.

As a result, Obrenovac was not targeted by the 3 NGOs under IPA I, but only by UNOPS (the United Nations Office for Project Services) with assistance from IOM (the International Organisation for Migrations), and only 2.5% of the IPA 2012 budget was dedicated to Obrenovac⁵.

As it was soon found that very little of the needed reconstruction had taken place in Obrenovac, additional efforts were made under IPA 2014, and all three NGOs then declared that they were in a position to intervene.

Contractual provisions of the NGOs can be found under criteria 6.1, and their effectiveness and performances are detailed under criteria 4.2.

⁴ 30 bridges were demolished, 50 damaged on categorised roads, and 200 bridges on municipal or un-categorised roads were affected.

⁵ Stated reasons by NGOs were various but not entirely clear: for ASB, the Obrenovac caseload was "too big", and the strategy for assistance was not ready at that time. DRC also stated that Obrenovac was "too big", but also too "politically visible", and that UNOPS was better suited for this task.

Under IPA 2012, UNOPS complemented the work of the three NGOs in rehabilitating housing, and extended the scope by targeting also public institutions. UNOPS' total budget under IPA 2012 was EUR 14 million⁶.

UNOPS furthermore initiated the support and capacity building to national institutions concerned with disaster risk reduction (DRR), primarily the Office for Flood Affected Areas Assistance and Recovery (FAAARO) and its successor the Public Investment Management Office (PIMO). This role was taken over by WB/GFDRR (the World Bank/ Global Facility for Disaster Reduction and Recovery) under IPA 2014 (see below).

In addition, UNOPS was contracted to reconstruct a limited amount of damage transport infrastructures under IPA 2012 (12 Km of roads and 2 bridges), while the government stressed much larger needs (see above). UNOPS explained that this limited effort corresponded to the request made by a single municipality (Krupanj), for unclear reasons. The PDNA (table 3-19, page 142) mentions only the budget needed to reconstruct primary, secondary and local roads (EUR 88.15 million) but not the number of kilometres affected.

Under IPA 2014, UNOPS was again contracted with a larger project (EUR 10.474 million) dedicated to remediate damages to 14 roads and bridge structures from 48 critical landslides. These works covered also the damages from the floods of 2016 - partly in municipalities which had already been affected in 2014. According to UNOPS, the reason why the infrastructure rehabilitation was limited to some works in Krupanj was simply because this was requested by the municipality.

The 2nd main axis of IPA 2012 efforts was targeted at supporting affected small-scale farmers, as the flooding had resulted in widespread landslides causing damage and destruction of property and agricultural land. Regarding economic self-reliance support to SMEs and farmers, the identification of the priorities was also relevant, and FAO (the UN Food and Agriculture Organisation) was contracted to implement a EUR 7.9 million project which was well-aligned with the EU's overall priority for the restoration of the livelihoods of the flood-affected population under the 2012 and 2014 Instrument for IPA grants. Direct damage to agriculture was estimated at EUR 108 million (excluding damage to farmhouses, irrigation structures and agro-processing), and losses in production at an additional EUR 120 million. As a result, some 33.000 small-scale farmers were left without the means to continue with agricultural production, feed their remaining livestock and generate some income for their family (see details in Appendix 10).

1.3 Action Plan IPA 2014

As a follow up of IPA 2012, the overall objective of the IPA 2014 action plan⁷ was to continue assisting Serbia in the recovery effort and to create conditions for flood prevention and reaction in emergency situations. There were four main priorities in IPA 2014:

- To enhance DRR/DRM systems;
- Rehabilitate flood protection infrastructure;
- Continue repairing roads; and
- Provide additional assistance to cover remaining needs in housing and income generation.

⁶ This budget was not discussed or established "according to identified needs"; UNOPS assumes that this was the budget left available immediately from IPA 2012.

⁷ IPA 2014 Decision 2014/037-788, Special measure for floods

The budget of IPA 2014 allocated to floods recovery (EUR 47,6 million) was based on needs estimations by the Ministry of Construction, Transport and Infrastructure (MCTI), passed on the European Integration Office (now the Ministry for European Integration) and onwards to the EUD.

Following support provided under IPA 2012 and IPA 2014 (“small contract”) by UNOPS to FAAARO and then PIMO, under IPA 2014 the World Bank / GFDRR project was specifically dedicated to the 1st priority above by strengthening DRR/DRM systems (see also EQ 2 below), providing technical assistance (TA) to PIMO and the other key national stakeholders involved, and thus reducing existing flood risks and avoiding the creation of future flood risks. The Global Facility for Disaster Reduction and Recovery is a specialised mechanism managed by the World Bank and funded by multiple donors, which provides analytical work, technical assistance, and capacity building to help vulnerable nations worldwide to improve their resilience and reduce risks of natural disasters. The ultimate outcome will be to develop a flood risk mapping and an enhanced Water Information System (WIS) by integrating the new risk maps into the existing database, as well as an improved forecasting and early warning system (EWS) for flood control and management purposes (see Appendix 10 - EQ 1; criteria 1.3 for details)

It should be noted that, given the large number of national institutions involved – which were not previously used to cooperate closely and were in some cases under-resourced - and the ensuing issues of coordination, the EUD mentioned in September 2017 the difficulties of WB/GFDRR in achieving the foreseen commitments (see also under EQ 6 - timeliness).

The 2nd and 3rd priorities of IPA 2014 were covered by the projects implemented by UNOPS (as already stated, EUD signed a contract of EUR 10,474 million with UNOPS for the remediation of landslides) and ADA.

The Austrian Development Agency ADA has signed a contract of EUR 19 million for the Rehabilitation of Flood Protection Infrastructure (RFPI), starting on 28 December 2015 with an initial duration of four years, until 27 December 2019; this project is still ongoing. The flood protection infrastructure to be rehabilitated and reconstructed (drainage channels, water pumping stations, river bed regulation and dike reconstruction, as well as formation of water retentions), is located in the City of Belgrade (Obrenovac and Surcin) and in the municipalities of Valjevo, Svilajnac, and Paracin. A request to extend the project (without further costs) until the very end of the possible implementation of IPA 2014 funds (June 2021) has been introduced, due to significant administrative (building permits) and technical (new design needed for flood protection infrastructure) delays.

The 4th priority was covered by the three NGOs (ASB, DRC and HELP) who were also given new contracts under IPA 2014 (total EUR 9.699 million) to continue rehabilitating damaged housing and promoting the recovery of grassroots economic activities. Their targets under IPA 2014 as well as their performances are detailed under Effectiveness below (criteria 4.3).

All three NGO partners agreed with EUD to extend project implementation, and to upgrade with no further costs their initial targets in order to cover more flood-affected households.

EQ 2: How well did the IPA Action respond to the specific policies and needs of Serbia after the floods in the targeted sectors?

It was found that the Action has responded appropriately to the needs identified in the two key national documents: the PDNA (with the provision that mining and energy were covered by other funding) and the NDRMP (National Disaster Risk Management Programme).

The floods of 2014 were a “trigger” for concerned national and local authorities, who realized the renewed importance of disaster preparedness while facing the effects of climate changes,

after decades of neglect in the maintenance of flood prevention infrastructures and Civil Protection measures. The government reacted decisively and rapidly, by distributing cash grants to those affected according to the level of damages, deciding about priorities (flooded schools had to reopen in September), standards for housing (“decent minimum” instead of “rebuilding as before”), and by putting in charge a new agency. FAAARO, which was created ad hoc on 22nd May with strong institutional and international support, proved to be quite effective in coordinating with donors, preparing a new DRR strategy, and assisting implementing actors in the field with guidance and necessary official documents.

The emergency needs of the Serbian government after May 2014 were expressed in the PDNA (post-disaster needs assessment). An assessment team was formed under the leadership of the Serbian Government and with support from the EU, UN and the World Bank, to conduct the PDNA, the results of which were presented on 7th July. The PDNA estimated the total value of damages and losses at EUR 1,525.3 million for the 24 most affected municipalities. As stated under EQ 1, The PDNA expressed 5 key priorities.

- The 1st priority concerned support to affected mining sites and energy production. Beyond emergency rehabilitation of flooded coal mines and power stations, this priority was bound to require higher levels of budget and investments, and was covered by longer-term development programmes. Dewatering of coal fields was done by public enterprises, with a loan from the WB.
- As already discussed, the Action was instrumental in responding to the 4 other priorities, i.e. rehabilitation of housing, agriculture, trade and transport.

In the immediate aftermath of the core emergency, the concerned leading institutions (FAAARO and then PIMO) rapidly started defining the NDRMP (national disaster risk management programme) which was adopted already in December 2014 – followed by the action plan in 2016. The NDRMP document expressed six priorities, as follows:

1. Institutional building;
2. Risk identification;
3. Risk reduction;
4. Early warning systems (EWS) and preparedness;
5. Risk financing; and
6. Resilient recovery.

As stated above, the World Bank / GFDRR project under IPA 2014 has been very closely related to the NDRMP, as it spans the first 4 priorities of the programme and directly supports its implementation. In accordance with the overall Framework Agreement signed in August 2014 between the World Bank Group and the European Commission, the project is administered by the Bank on behalf of the EU through a Trust Fund (“Serbia National Disaster Risk Management Program Single-Donor Trust fund”). In addition, GFDRR is also supporting priority 5 (risk financing) through its multi-donor trust fund – essentially with Swiss funding (Agency for Development and Cooperation, and State Secretariat for Economic Affairs).

To the exception of the World Bank, all other activities funded under the Action and implemented by the three NGOs, ADA and UNOPS are participating to various aspects of resilient recovery by “building back better” housing, trade and farming businesses, and road infrastructures, as well as by providing training in DRR/DRM and climate change adaptation (CCA) at all levels.

Under IPA 2012, the FAO aimed at providing agricultural and food security emergency assistance to flood-affected small-scale farmers. The objective of the 2nd FAO grant was to continue (re-)establishing sustainable production capacity for affected small-scale farming households by providing assistance packages (see below), to protect their livelihoods and to maintain the health and nutrition of their livestock. FAO also provided technical assistance and training to some 1.000 farmers, in order to use optimally the packages and be better prepared for future disasters. Addendum 1, which introduced the no-cost extension, also provided for complementary training for some national professionals in DRR and CCA.

The FAO designed a set of 23 different assistance packages to meet the various needs of the affected farmers. The packages included crop seeds and mineral fertilizer, fruit saplings, greenhouses, livestock, animal feed, beehives, as well as farm equipment to replace machines lost. Each beneficiary household was entitled to one assistance package (they could define 3 preferred choices, by order of priority).

EQ 3: To what extent was the choice of Implementing Partners (IP) appropriate to achieve the Action's objectives?

Overall, the quality of the 7 IPs and their adequacy to perform the required tasks appears to validate their choice. All of them have demonstrated a high degree of professionalism and commitment. They have all been able so far (3 projects are still ongoing, and the one implemented by ADA has seen some issues of efficiency - see below) to achieve and even overcome the planned objectives. Timeliness was also adequate, often in a context of urgency; when delays occurred (WB/GFDRR), this was generally identified as the result of a lack of national capacities (WB/GFDRR), with a slight caveat for ADA. This situation confirms the relevance of the EUD selection, contracting and financing processes.

3.1 Adequacy of Implementing Partners (IPs)

In a context of dire emergency speed was of the essence, and the IPs had to ensure that they had (most of) the needed resources in place, and/or could mobilise them immediately. The grant awards were accordingly made under the provisions of the EU Financial Regulations and implementing rules that grants can be awarded without a call for proposals for crisis management operations (see 3.3).

However, the final selection of the IPs was still based on the submission of thorough concept notes and grant applications, in which the IPs had to demonstrate their competence, familiarity with the envisaged tasks, and a good track record - including successful implementation of EC-funded projects/actions in Serbia⁸, and financial capacities, as detailed below. In that framework, the IPs provided a "mixed approach" which combined successfully large NGOs, UN agencies, the World Bank and ADA.

Each contract and addendum underwent the thorough standard process of internal EUD review, as testified by a technical fiche, which requires the approval of 9 EUD staff (operational, administrative, financial sections), in addition to the Head of Delegation. Among these, the Project Manager, and the Heads of thematic section, Operations and Cooperation ensure the consistency and alignment of the project with the IPA Action Programme.

⁸ It should be noted that other EU cooperation agencies - in particular the German KfW and GIZ – were also contacted but did not appear interested.

NGOs

NGOs had to demonstrate that they had already implemented for the EU projects worth more than EUR 0.5 million.

Arbeiter-Samariter Bund (ASB) is a quite appropriate IP, an International NGO which has been present in Serbia for more than two decades, with extensive experience in implementation of emergency and development projects, including social sector and housing interventions; several grant contracts with the EC (ECHO in particular); an international NGO with substantial capacities, including the financial, organisational and technical expertise.

The Danish refugee Council (DRC) as a major NGO, traditionally supporting activities of the UN refugee agency UNHCR, and is also a very appropriate IP. DRC has similarly been present in Serbia since the civil war, with particular experience in the implementation of emergency and rehabilitation projects as well as income-generation and housing/shelters for the numerous refugees and displaced people resulting from the protracted crises in the region, and has implemented several grant contracts with the EC.

HELP ((Hilfe Zur Selbsthilfe) is similarly very appropriate, being present in Serbia for many years, with particular experience in implementation of housing solutions, income-generation for refugees, IDPs and other vulnerable populations, social sector assistance. This work has included several grant contracts with the EC.

UN Agencies

The 2 UN agencies (FAO and UNOPS) were already “pillar assessed”⁹ which guaranteed their compliance with the EU Financial Regulations. UNOPS had been present at times in Serbia since 2001-2, and continuously since 2010.

Furthermore – as stated above, these UN agencies had still to fill in thorough standard Grant Application forms. These forms included concept notes (total 50 pages for FAO, 82 pages for UNOPS) for both IPA 2012 and II, as well as all the necessary certification and information about its financial resources and professional competence: experience for similar actions (regional and worldwide), organisation’s profile, capacity to manage and implement actions in the concerned sectors, envisaged structure, team (international and national staff), and proposed detailed methodologies. However, as explained for instance by UNOPS, the grant application was a thorough process but did not delay contracting as UNOPS was already preparing to the interventions since June 2014 (an indicator of trust between EUD and IP).

Other international organisations

The Austrian Development Agency (ADA) was also “pillar assessed” by the EU. ADA is the operational unit of the Austrian Development Cooperation. ADA is present in Serbia since 2002 until 2012 with a Coordination Office, and since 2012 with the Implementation Unit for EU financed projects (SEDDSR, EU for Serbia, and the current RFPI). ADA has relevant experience¹⁰ and has contributed to its activities through a co-financing of EUR 750.000.

⁹ The EU Financial Regulation sets out that under indirect management the Commission can entrust budget implementation tasks to certain countries, organisations and bodies ('Entities'), whose systems, rules and procedures must ensure a level of protection of the EU's financial interests equivalent to that under direct management in e.g. internal control system, accounting system, independent external audit, or provision of financing to third parties.

¹⁰ Before the Action ADA has implemented 2 EU projects with infrastructure components: a socio-economic project with a water treatment plant in Veliko Gradiste, worth EUR 4.5 million, and the rehabilitation of the historical Golubac Fortress since 2014, which had been carried out within the framework of the “Social and economic

WB/GFDRR

The appropriateness of the WB to carry out the envisaged tasks is guaranteed by the Framework Agreement with the European Commission dated 15 August 2014. The provisions of the Framework Agreement also govern the specific Administration Agreement concluded for the Action.

3.2 Complementarity of IPs

On the basis of the documents, the complementarity of the various IPs in order to cover the whole range of affected geographical areas, types of activities, as well as IPA 2014 and NDRMP priorities, appears adequate – as illustrated in the summary overview table below.

Table 2: Coverage of geographical areas and sectors by IPs

IP	Geo area centre	Geo area south	Geo area east	Housing, IGP	Infrastructures, public institutions	farmers	DRM support
ADA	X				X		
ASB	X		X	X			
DRC	X		X	X			
FAO	X	X	X			X	
HELP	X	X		X		X	
UNOPS	X	X	X	X	X		X
WB/GFDRR	X	X	X				X

The EU ROM reports also confirmed that the coordination (and complementarity) between the IPs appears to have been “exemplary”. This cooperation has been described as ‘like being part of a single programme rather than individual projects’. The Project Steering Committee (PSC – see below) and FAAARO (later PIMO) activities seem to have been instrumental in insuring coordination, and the full cooperation and support from the EUD has been noted as effective throughout the Action.

3.3 Appropriateness of IPA procedures for rapid contracting

The article 190.1.(c) of the Rules of Application of the Financial Regulation, complemented by the section 6.4.2 of the PRAG gave to the EUD as contracting authority the possibility to use direct award for grant, without call for proposals.

As a result of fast-track implementing rules, as soon as the floods were over, the time required for drafting the project fiches, (re)allocating the IPA funds, and signing the IPs’ contracts was just over two months. It should be outlined that the IPs had engaged in preparatory activities prior to signing the contracts, which is an indicator of trust. See also some aspects under efficiency below.

By June 2021 (deadline for ADA’s recent request for no-cost extension), all money must be spent by IPs, activities implemented and invoices submitted; payments can however be made later by the EUD.

development of the Danube region in Serbia”– funded by IPA 2011. Furthermore ADA has implemented several water related projects in other countries (Albania, Uganda).

2.2 Effectiveness and Efficiency

EQ 4: Did the assistance reach the objectives set out in both IPA 2012 and IPA 2014 flood projects in an effective way?

The reported effectiveness was quite high, and the numbers of beneficiaries significantly exceeded expectations for all housing and SMEs projects (from +19% to + 44%), and much more for agricultural assistance by FAO (+117%). Overall, the Action has reached directly some 130.000 beneficiaries (housing, farms, SMEs, schools). None of the visited municipalities or national authorities reported urgent needs that the Action would have failed to cover.

4.1 Programmatic objectives and achievements

Overall, effectiveness was very high; in particular, the numbers of beneficiaries has significantly exceeded the expectations for all housing (without counting appliances), SME and agricultural assistance projects. According to the aggregated reports of the 3 NGOs, UNOPS and FAO, the cumulated total for both IPA 2012 and II has reached directly, in 46 municipalities:

- 3,074 reconstructed or rehabilitated housing units; multiplied by an average of 2.9 family members per household¹¹, this amounts to some 8,915 beneficiaries (the projects initially targeted 2,579 households, an increase of 19%)
- 1,187 very small, small and medium enterprises (target: 826 i.e. + 44%)
- 36,711 small scale farming households; at 2.9 members/household, this amounts to 106,460 beneficiaries (target: 16,907 household, i.e. +117%, more than double)
- 13,973 children in rehabilitated schools.

All actors (EUD, PIMO, IPs, visited municipalities) also agree on the fact that there were very few complaints from actual or potential beneficiaries, essentially minor (colour of tiles) or unsubstantiated (no valid claim that they should have been included on the lists).

4.2-3 Objectives and achievements of NGOs ASB, DRC and HELP under IPA 2012 and IPA 2014

The objectives for the three NGOs ASB, DRC and HELP were similar under IPA 2012, and were again copied as such under IPA 2014.

Under both IPAs, all the NGO projects had two main components: (i) housing assistance (reconstruction of flood-damaged houses, construction of prefabricated houses in replacement of totally demolished residential houses), including equipping them with essential furniture and household appliances), and (ii) income generation in-kind grants to agricultural households and small and mid-size entrepreneurs. The latter component also included post-monitoring and trainings to beneficiaries, provided by the NGO Field Officers and specialized staff. Under IPA 2014, the NGO projects were an extension of the IPA 2012 projects, i.e. to assist additional flood-affected households/beneficiaries not being covered in Phase 1. Complementary mentoring and training for the beneficiaries who were owners of small/mid-size entrepreneurs was also provided by the three NGOs; results of this training could not be found among the SMEs visited, which were all managed by experienced professionals..

Throughout the two successive phases, the targets of the NGOs' projects were fully achieved and were even significantly exceeded due to systematic savings in costs of procurement, logistics, transportation, and specialized staff, as well as resulting from timely re-assessed

¹¹ Census 2011

needs. The reported achievements for each NGO can be found in Appendix 10, under EQ 4, criteria 4.2 and 4.3.

It was demonstrated in the field – as also pointed out in the reports - that the outputs of the projects have achieved a high level of ownership among the visited beneficiaries, either satisfied owners of reconstructed houses, better motivated managers of rehabilitated schools, or owners of SMEs who were all using effectively the equipment provided (see Appendix 10).

4.4-5 Objectives and achievements of FAO under IPA 2012 and IPA 2014

Under IPA 2012, the project managed to deliver aid packages to 29,714 small-scale farming households (each with an average of 3.8 family members), whilst 15,000 had initially been targeted, i.e. an increase of 98%. The beneficiaries were disseminated in more than 800 communities, which belonged to 34 municipalities (number extended from 24 originally).

The 23 packages were defined specifically for the project, and were not based on previous approaches. This was very effective and covered all the identified needs; less packages would have been possible, but the results would have been less effective. The most widely used packages were:

- Seeds and fertilizers
- Animal feed
- Fruit saplings
- Greenhouses

Outcomes and recovery levels were also positive (see also under EQ 10). During the final conference organized by FAO at the end of the programme, representatives from 41 participating municipalities were divided into working groups, discussing best practices in support of agriculture in emergency situations. The participants all evaluated the project as one of the most efficient and valuable projects implemented in their municipalities. The FAO final report for IPA 2012 also outlined a high level of ownership as one of the achievements.

Under IPA 2014, FAO initially planned to target 1,907 flood-affected farming families in seven additional municipalities of Eastern Serbia which had also been severely damaged and either had not been included in the initial PDNA, or had been hit by new floods in September 2014. The choice of these new municipalities was jointly validated with MAEP and PIMO (formerly FAAARO).

The 2nd project has delivered similar types of assistance packages as described under EQ 2 (crop seeds and mineral fertilizer, fruit saplings, greenhouses, livestock, animal feed, beehives and various types of farm equipment), as well as some technical assistance for farmers, and DRR/CCA training for a selected group of national specialists.

The 2nd project also exceeded targets in all segments, having supported a total of 6.997 farming households from seven municipalities – more than three times the planned numbers (1.907) of households.

Farmers' interest in the EU programme was significant. In a relatively short period, agriculture good quality packages were delivered to households who had submitted applications and fulfilled the criteria.

4.6 Objectives and achievements of UNOPS under IPA 2012

The Overall Objectives of the interventions were to contribute to the Serbian Government efforts in support to the municipalities affected by May 2014 flood and create conditions for flood prevention and reaction in emergency situations. In addition, specific objectives focused

on supporting those affected by the floods and restoring damaged property and infrastructure, and re-establishing normal functioning and supporting the Serbian authorities in managing the recovery efforts, disaster risk management and communication of the results to the general public.

The target groups for the UNOPS projects were the individuals affected by floods requiring housing solutions and in need of improved conditions in temporary accommodation, public services (education, health facilities), and flood affected small businesses. The projects also had provisions for reconstructing some essential infrastructure, protection from mosquito borne disease, supporting the FAAARO office, and communicating the results to the public.

Renovation and building new houses and assisting small businesses through income generating support was common to both the UNOPS and NGOs. The division of the target groups was based on geographic location. UNOPS was assigned Obrenovac and Krupanj and 14 other municipalities. All the above results were achieved, and most targets were even exceeded. Housing solutions were provided to 454 families in Obrenovac, Krupanj and other municipalities (370 had been planned). Public services were restored back to the normal and learning and working conditions for 13,973 pre-school children, pupils and employees were created through the reconstruction and construction of 15 elementary and high schools, one kindergarten and one sports hall. The project reconstructed 42% of all flood affected education institutions identified for support. The quality of the buildings was appropriate and duly appreciated. Efforts were also focused on rehabilitation of the damaged infrastructure: the reconstruction of three infiltration lakes enabled the provision of water to more than 15,000 inhabitants of Trstenik, while construction of two bridges in Kraljevo area normalised transport for 1,200 inhabitants of the surrounding villages who have easier access to their agricultural fields and other communities. More details about objectives and achievements can be found in Appendix 10.

4.7 Objectives and achievements of UNOPS under IPA 2014

As insufficient resources were available at FAAARO (later PIMO) to fund staffing and operating costs, such funds were to be provided through a direct grant from UNOPS. An additional grant of EUR 800,000 was therefore awarded to UNOPS to maintain this support, and also to extend the communication /visibility activities

Under IPA 2014, with UNOPS support, PIMO staff managed to assess, coordinate, and monitor state assistance to 401 households, 35 flood affected families whose homes were destroyed, 55 new housing construction, and financial assistance to 14 families. PIMO also managed 20 procurement procedures according to UNOPS procurement policies, which resulted in acquiring a wide range of goods and services. UNOPS also pursued the reconstruction of road structures already started under IPA 2012, with a new grant agreement of EUR 10,474 million dedicated to mitigate the damages (mainly landslides) to roads that occurred during the new floods of March and August 2016 in 17 municipalities. Most affected in August was the municipality of Bajina Basta, where at least 100 km of local roads had to be rehabilitated. The project aimed at the remediation of up to 48 critical landslides and the reconstruction of up to 14 road structures (bridges, retaining walls); this project is still ongoing. Specific objectives of UNOPS' grant agreement were to rehabilitate damages caused by 48 major landslides to road transport network, i.e. the road network and up to 14 road structures (bridges, retaining walls). The roads and bridge repairs are designed not only to restore the pre-floods status but construction is in line with current standards, which consider e.g. 1-in-100-years flood event rather than a 1-in-50-years event.

The ROM report stresses that effectiveness has been appropriate. The revived transport infrastructure provides the access, recovery and restoration of normal life with all its social and economic facets. The beneficiaries - Public Enterprise Roads of Serbia (PERS) and municipalities - praise the project outcomes. The improvements (not only repairs) are obvious at certain critical points, which were most prone to flooding and damage.

4.8 Objectives and achievements of WB/GFDRR under IPA 2014

The 6 components of the WB/GFDRR project have already been listed under criteria 1.3 above. Under component I, the Directorate of Water and the two public water management companies (PWMC) with support from the WB, identified 75 floodplains including catchment areas to be surveyed by LiDAR in a preliminary flood risk assessment. This was preceded by some training/capacity building of the concerned national authorities, in line with EU Directives and the “Rulebook on the Methodology for Development of Flood Vulnerability and Flood Risk Maps” edicted by the Directorate of Water in March 2017.

Outputs are duly monitored; out of the 41 activities, 20 were completed by the end of 2018, and 21 were still ongoing, due to a number of delays (see under efficiency). More specifically, the WB/GFDRR progress report dated December 2018 indicates that the support provided to the Directorate for Water and the PWMCs resulted in the ToR for flood hazard and risk mapping of the 75 identified flood prone areas. The contracted technical assistance started in August of 2018 with data availability screening, training needs assessment, detailed methodological identification and the start on model formulation for the Tisa river basin. The completion of the flood hazard and risk mapping assistance is envisaged by June 2020.

Support to the Republic Hydro-Meteorological Service of Serbia (procurement of equipment, database) is expected to be completed at latest by June 2020. It should be noted that the component of hydrological measurement (hydro data) covered only the network of “1st tier” primary rivers which flow across boundaries of municipalities, regions or countries. It did not cover the flood mapping of secondary rivers or torrential streams (some 17.000) which remain under the supervision of local self-governments.

4.9 Objectives and achievements of ADA under IPA 2014

The objectives of the still ongoing **ADA** project under IPA 2014 are also outlined in EQ 1, i.e. flood protection infrastructure in 5 municipalities. In 2015, the EUD provided a DoA (Description of Action) for the project. However, this had been based on the design made by the main counterpart “Srbijavode”, which proved to be poor. The design had to be re-made by ADA (the process is still being implemented) which entailed delays and expenses.

EQ 5: What were the weaknesses and strengths of delivered assistance?

Limiting factors were perceived as different by NGOs and institutional IPs. The only major limiting factor reported by the NGOs ASB, DRC and HELP in the implementation of projects concerned the slow issuing of building permits. Other limitations were minor only: some delays due to winter conditions or weaker municipalities. For its part, FAO identified rather several deep-rooted, structural limiting factors, which not related to the Action: small land plots, lack of awareness of DRR/CCA, or old farm equipment. UNOPS and WB/GFDRR felt to be mainly limited by institutional issues, such as the 5-months governance gap which occurred after the elections in 2016 (although this gap did not affect the effectiveness of PIMO).

At the opposite, all IPs agree that the main enabling factors of the Action were to be found in the effective coordination and the knowledgeable and flexible support provided by the EUD, the commitment and cooperation from the municipalities, and the operational guidance from PIMO which translated in knowledge, presence, and relevant mandatory housing standards.

For the future however, the lack of systematic river basin associations (to group resources of concerned municipalities) and of budget for continued DRR efforts and maintenance may become an ex-post weakness for DRM and infrastructures.

5.1 Enabling and limiting factors

There were some limiting factors in the implementation of projects by the NGOs. ASB and HELP reported that a major hindrance was the issuing of building permits, which could be a slow and time-consuming process; during the course of the Action the paper application was changed into an electronic system but this shifting entailed its own complications. To a certain extent, another limiting factor that caused some delays was the winter season that impeded reconstruction works in both IPA 2012 and IPA 2014.

According to the reports, this factor was successfully mitigated, i.e. compensated by speeding up the works as soon as bad weather had ended. Another, also rather minor issue pertaining to hindering of some aspects of project implementation was reported in the case of two municipalities only: one municipality publicly announced that agricultural assistance was to be provided by the IP (despite precise instruction not to do so but that municipalities should make their own list of potential beneficiaries instead). This caused certain delays in implementation due to the need to cross-check an excessive number of potential beneficiaries who applied directly for assistance to the IP. Another hindering factor was the reluctance of one municipality to issue the house damage certificates for the beneficiaries already selected, which was mitigated by additional negotiation effort by the IP's field staff, who persuaded the local authorities - and the certificates were issued with a limited delay only.

On the other hand, enabling factors, according to the reports by HELP, ASB and DRC are summarized by the very good coordination applied by the Programme Steering Committee, led by EUD (from the side of Contracting Authority) and PIMO (key national stakeholder of the Action), who was found to be very committed, responsive and helpful.

For its part, FAO has identified a longer list of deep-rooted, structural (and not related to the Action) limiting factors to their assistance, as follows:

- The biggest limiting factor in the implementation of the measures is fragmented landholdings and small land plots. There is a need for land consolidation.
- Farmers are not sufficiently aware of climate change, DRR and CCA; due to the relatively slow pace of climate change they often perceive drought and the losses that it creates as a normal occurrence. Farmers are also usually focused on short-term objectives and are limited by financial difficulties. They believe that the state Government should solve the biggest part of the problems related to economic changes and climate changes.
- In most cases, farmers do not have water sources for irrigation and are more severely hit by droughts and floods. Investing in irrigation is the long-term measure and requires funds. In most municipalities, there is no possibility of making major sustainable irrigation systems.
- Some municipalities have problems of flooding due to poor drainage network. Formal plans do exist, but funds are lacking.
- The mechanization of small-scale farms is often very old. There are no Farmer Based Organizations through which farmers could jointly purchase some equipment. Small farmers should be gathered in efficient associations or cooperatives but Communities have no practice of mobilisation in order to carry out some joint activities.
- Farmers (like many private citizens and small enterprises in Serbia) are generally diffident about the effectiveness of contracting insurances against the risk of natural disasters. Most of them fear that insurances would not cover damages and/or would withdraw their coverage if they estimate that such risks are too high / recurrent.

Under IPA 2012, according to UNOPS, one of the major risks with the project beneficiaries was their unrealistic expectation of the deadlines and the scope of the project intervention. UNOPS mitigated these risks by applying the fast-track procurement process, which included the pre-qualification of companies, constantly communicating the timing and scope of works prior to the commencement and during implementation, and also identifying priorities with the EUD and the government.

Another major issue for UNOPS concerned the different interpretations of the new legislation, i.e. the Law on Planning and Construction, by the municipal personnel working on issuing of permits and locations conditions for housing and public institutions.

Some reported delays incurred by the World Bank due to a lack of inter-institutional coordination are further discussed under EQ 6; criteria 6.1 (see Annex 10).

UNOPS has also mentioned that institutional issues were clearly a limiting factor in some case. Under IPA 2014, between parliamentary and local elections held in April 2016 and the designation of a new government in August, some counterpart national institutions (although not PIMO) were functioning in “caretaker mode” for almost five months. More specifically for the UNOPS road reconstruction project, the efficiency of the Ministry of Construction, Transport and Infrastructure was limited; delays in cadastre progress impacted the timeliness of the permitting and land expropriation activities, the completions of which were identified as assumptions critical to Project success.

In addition, UNOPS stressed that “unforeseen soil conditions, unexpected site conditions, inaccurate and incomplete design documents” affected the timeliness and cost of works¹².

EQ 6: To what extent was the Action management efficient?

Desk review and field discussions concur to indicate a commendable level of efficiency. The implementation modality through direct grants allowed the IPs to use e.g. their own procurement procedures. The modality ensured speed and was largely successful. The coordination by the EUD Programme Steering Committee (PSC) was also efficient and led to consistent approaches.

Committed and knowledgeable IP staff who worked in close coordination with national and local authorities provided for the high levels of efficiency that were found in all completed projects. Procedures (beneficiary selection, participation, deliveries, quality) were generally reported as satisfactory, with only minor delays and problems. The delays in the ongoing projects are essentially due to lack of capacities of national counterpart, except possibly for ADA, to a certain extent.

6.1 Efficiency of projects’ management and organizational arrangements, overall and per IP (contracts, timeliness, expertise of staff, communication / participation).

In order to achieve with suitable speed the expected results, the implementation modality through direct grants to all IPs was adopted, so as to facilitate optimally this process. UN IPs (FAO, UNOPS) were allowed to use their own procurement and contracting procedures, in accordance with the EU – UN Financial and Administrative Framework Agreement. The Austrian Development Agency (ADA) had also been pillar assessed by the EU, and could

¹² In particular, five bridges which were initially foreseen for rehabilitation only, had to be completely rebuilt due to their poor condition, and to be (re)designed for permits issuance process. This was not in accordance with the budget (Euro 605.000) and entailed a delay of 6 months. The agency accordingly applied mitigation measures, with EUD approval: extension of the implementation period, applying the lump sum contract provisions (thus balancing between the overrun and underrun works quantities), and using the contingency reserve from the Project budget.

similarly use its own procurement procedures. This approach has been largely successful¹³. In addition, the Government had declared a state of emergency and legislation provided for accelerated construction permitting at first (see below).

To the exception of WB/GFDRR (which was delayed by lack of DRM capacities among some recipient national institutions) and ADA (see below), only some minor delays were recorded, although these were also mainly related to the accelerated speed of implementation. The delays were dealt with without affecting the overall progress and achievements.

The IPs were efficiently assisted by national authorities, both at central level (FAAARO/PIMO) and by municipalities. FAAARO defined early on building standards (numbers of square meters/family member, furniture, appliances), based on layouts / design made by the Faculty of Architecture, and these were duly applied by all IPs. At government level, a key enabling factor under Phase I was also the “lex specialis” to facilitate administrative procedures in time of emergency, active for 18 months from June 2014 to January 2016. After that (IPA 2014), UNOPS had to request again normal building permits.

At the local level, municipalities must by law set up emergency management headquarters (HQs), led by the mayor. The law did not define how many members there must be in local HQ (this is an ad hoc decision), but it usually gathered representatives from agriculture, social services, public utility companies, transport, civil protection, etc. Such headquarters were reported as efficient in all municipalities visited.

UN Food and Agriculture Organisation (FAO)

Under IPA 2012, the EUD and FAO signed on 29th July 2014 for an amount of EUR 8 million aimed at providing agricultural and food security emergency assistance to 15,000 flood-affected small-scale farmers in Serbia, between August 23, 2014 to May 22, 2016. Under IPA 2014, the grant contract with FAO ref CRIS 2015/366-705 dated 30 October 2015 for EUR 1.5 million was implemented from 11 November 2015 to 10 May 2017, as the initial 12-month period was followed by a six-month no-cost extension.

The FAO project was successfully achieved through detailed advance planning and dedicated commitment of all project stakeholders. The quality of the packages distributed to the small scale farmers was reported (by FAO) as “higher than expected” and the vast majority of beneficiaries were very satisfied with the inputs.

The selection of beneficiaries was also reported as effective; chosen small-scale farmers duly appeared as the most vulnerable in such a context, and could not – or with much difficulties - have recovered from the damage by themselves. Under IPA 2012, timeliness was considered as “critical” and has been reported as appropriate (according to the IP and the ROM reports): in partnership with the municipalities, public calls for assistance were announced and following the initial call, 18.830 applications from farmers were received and processed. Four weeks after the project start date, the beneficiaries most in need of supporting livestock had already started to receive the first support packages of animal feed.

Originally the IPA 2012 FAO project was designed for a duration of 12 months (August 2014 to August 2015). However, soon after the launch of the programme, it became obvious that much larger numbers of affected households would need assistance and the territory to be covered should be expanded. Many households from the 24 municipalities missed the application deadline, enquiring daily about the possibility of still benefiting from the project. On

¹³ It should be noted that three partners who have completed their tasks did not spend their whole budget and returned some funds to the EUD, although the return was minor in the case of DRC: ASB (2014): euro 33,788; DRC: euro 212; FAO: euro 45,213.

the other hand, more municipalities were flooded in 2014, but only the 24 most-affected were included in the government law for flood recovery.

The grant agreement was consequently extended a first time by 4 months (until 22 December 2015) at no additional cost but with an internal budget revision that allowed an additional call for assistance and the inclusion of 6 more municipalities. The project was extended for a second time, further extending the assistance and responding to the arising needs in the field. The second 5-months project no-cost extension lasted until 22 May 2016 (total 21 months), and did not require a budget revision. It was approved by the EUD and enabled the project to reach more affected households and include 4 new municipalities.

For procurement, the FAO rules were applied. The project worked with 16 vendors (33 initially).

As timeliness of delivery was crucial, the procurement planning was partly driven by the design of the 23 different packages. Each package had an optimal delivery timeframe, based on the nature of the specific type of agricultural production. For example, seeds had to be delivered on time for the spring or autumn sowing season and fertilizer had to be distributed with seeds. Fruit seedlings were usually planted in late autumn and irrigation equipment was planned to arrive during the summer, when it is most needed. It was determined that farm animals like pigs should not be distributed during the period of very low temperatures in the winter. The project organised 11 distribution rounds.

The distribution of seeds, fertilizer, animal feed and fruit saplings were undertaken by the municipal partners and supported by FAO. Municipal partners were tasked with selecting the appropriate distribution sites in their municipalities, which was usually a warehouse with good access to roads or a cattle market and where goods were unloaded from the transporting vehicles. FAO facilitated the planning of distribution and exchanged logistics information with vendors and municipalities.

FAO organized quality control pre- and post-distribution. Before the distributions took place, quality control was performed by an accredited quality control inspection house or independent experts (depending on the type of goods to be controlled) in the production facilities of the vendors, accompanied by FAO field staff. FAO worked with several inspection companies, each with expertise in their own field and nine individual experts.

World Bank (WB)

The Administration Agreement between the World Bank and the EUD was signed in December 2015, and the implementation of activities started in May 2016 after setting up the internal modalities for the trust fund management. A Grant Agreement was also signed between the WB and the national executing agencies, although only in February 2017 due to elections and changes in the Serbian administration. This allowed the training / capacity building activities to start, but it soon appeared that some national counterparts – in particular the Hydro-Meteorological Service - had insufficient capacities to launch tender procedures in line with the WB procurement rules, and the procurement of equipment (such as the critical LIDAR aerial survey equipment) was faced with delays – almost 1 year – which impacted on the production of flood risk maps and upgrading of the WIS.

Overall, the implementation of the WB/GFDRR project has been delayed from the beginning, and the efficiency has also been undermined by difficulties in achieving “interinstitutional commitments” by the various Serbian authorities involved: PIMO, MAFW (Ministry of Agriculture, Forestry and Water, Directorate for Water), the Geodetic Authority, the Military Geographic Institute (Ministry of Defence), and the Hydro-meteorological Services. As a result, it was not possible to contract the complete budget and fulfil all the schedule activities by December 2018. In agreement with the Serbian counterparts and the EUD, the project

implementation schedule was revised and the Administration Agreement was extended until the end of 2020. Additional details about procurement status can be found in Appendix 10 - EQ 6; criteria 6.1.

UN Office for Project Services (UNOPS)

Under IPA 2012, after a standard grant application which ensured the appropriateness of UNOPS for the task (see above under EQ 3), the implementation of the UNOPS project started on 5 August 2014 after signing of the Grant Contract with the EUD (29/07/2014). The project, worth EUR 14 million, was planned to last 12 months, until 4 August 2015. The Project budget was modified three times during the implementation: in October 2015, due to budget savings (this resulted in more housing and support to FAAARO); in January 2016 (new TA to PIMO), and in March 2016 (also support to PIMO).

One request for no-cost extension of the Project until 31 January 2017 (total 30 months) was approved by the EUD on 21 July 2015 allowing the construction of a social housing building for 32 flood affected families in Obrenovac and to cover the defects notification period (DNP) for some large (re)construction activities. However, this extension also coincided with the initiation of IPA 2014.

It is to be noted that IOM (International Organization for Migrations) is mentioned as co-contractor with UNOPS, although only UNOPS signed the contract. UNOPS established an official cooperation with IOM through a Memorandum of Agreement signed on 15 August 2014. IOM was in charge of reconstructing 370 housing (only those in category 6) in Obrenovac and Krupanj, providing temporary shelter for the displaced, and food in "hotel Obrenovac". According to UNOPS, IOM did a good job, but it is not clear why they did not subcontract more specialised NGOs¹⁴.

Under IPA 2014, UNOPS has implemented 2 projects: a larger one worth EUR 10.474 million, with aimed to continue rehabilitating roads affected by floods, and a smaller one (budget EUR 0.8 million), which provided technical assistance to PIMO.

The Grant Agreement CRIS 2015/371-849 was signed by EUD on 18/12/2015 for a period of 36 months, starting in January 2016. Addendum 1 was signed on 15/11/2017 (EUD) and concerned an extension of the implementation period to 42 months. Addendum 2, signed on 12/06/2018 (EUD), further extended the implementation period to 46 months.

Under IPA 2014, the UNOPS road project demonstrated an adequate approach as it was able to respond to two major issues that challenged its implementation: delays in the issuance of permits due to the Law on Post-Flood Rehabilitation ceasing to be valid following 31 December 2015, and delays in land expropriation beyond the time plan foreseen in the Description of Action (DoA). The Project addressed both issues by allocating additional resources to support the stakeholders, primarily the Public Enterprise Roads of Serbia (PERS) as the owner of the infrastructure and main beneficiary. The project seems to have been efficiently managed as progress is largely conforming to plan and timely, despite delays in permits from the Ministry of Construction, Transport and Infrastructure MCTI ("rigid and bureaucratic"), and the unexpected need to design 5 new bridges instead of merely rehabilitating old ones as scheduled. Details about UNOPS monitoring can be found in Appendix 10 - EQ 6; criteria 6.1.

For the smaller contract, the Grant Agreement for Pillar assessed Organisations (CRIS n° 2015/367-937) was signed on 26/10/2015 by the EUD. Addendum 1, signed on 14/10/2016, extended the implementation period to 24 months. The smaller contract provided assistance

¹⁴ Initially, negotiations were also started with UNICEF to provide assistance in schools (education material), but that was dropped as UNICEF did not have the resources

in expertise and staffing to the FAAARO – later PIMO - during 12 months. UNOPS was deemed “best placed” to continue providing the same support as under IPA 2012 in the respect. The expected results focused on enhancing capacities to manage and monitor recovery processes in the affected municipalities and to manage disaster risks, through a communication strategy, tools and procedures, and staff.

The extent of the cooperation between UNOPS and WB/GFDRR, which also provided technical support to PIMO under IPA 2014, could however not be ascertained on the basis of the documents available, nor could field discussions bring clarifications on that issue. As the PSC (6.2 below) is not operating anymore, it is to be assumed that coordination is poor.

NGOs ASB, DRC and HELP

Under IPA 2012, the European Union Delegation in Serbia (EUD) and ASB signed on 31 July 2014 a grant contract for EUR 2.94 million aimed at providing housing assistance and income re-generating assistance to the nine flood-affected municipalities of Serbia. The grant contract signed with DRC on 25 July 2014 for EUR 2.58 million aimed at the same objectives as above in seven flood-affected municipalities, also to be implemented over 10 months, until 24 May 2015. A no-cost extension was granted in an addendum for two more months (until 24 July). Similarly, the EUD and HELP signed on 24 July 2014 a grant contract for EUR 2.36 million to cover nine municipalities with a 10-months implementation period, until 24 May 2015.

The housing and economic recovery/income generating components of the Action, implemented by HELP, ASB and DRC were marked with overall good planning and mostly timely implementation of activities with, to a certain extent, delays caused by weather conditions - such as severe winter during the implementation of IPA 2012. In the second phase IPA 2014, the three NGOs saw all their contracts renewed on 03/08/2015, and extended: EUR 3.3 million for ASB, EUR 3.7 million for DRC, and 2.699 million for HELP. Initial durations were 18 months.

IPA 2014 was characterised by the willingness of all three NGO IPs to cover more beneficiaries due to budget savings, which resulted in no-cost project extensions of up to five months.

These project extensions were duly agreed by the EUD in the form of addendums, with necessary adjustments of the relevant budget lines approved by the contracting authority, thus respecting the timelines revised and, more importantly, revised targets in terms of providing housing and income generating assistance to more beneficiaries.

The procurement procedures of HELP, ASB and DRC were in harmony with PRAG open tendering regulations, which was approved by EUD in order to speed up the implementation process. Project management of the three NGO IPs ran smoothly and reports show good organisational capacities, both procedural and technical. The three NGOs had their own local partners (local NGOs), all of them quite experienced in the implementation of housing and income generation projects. According to the available documents, monitoring of local partners by HELP, ASB and DRC was duly in place and performed on regular basis, through monthly reports with standardized formats.

The efficiency of project implementation by the three NGOs was further strengthened by reportedly good collaboration with local self-governments of the targeted municipalities, aimed to (i) pre-select vulnerable flood-affected households, (ii) do the final selection jointly with IPs and relevant municipal social services and crisis authorities (JBSC-Joint Beneficiary Selection Committees), and (iii) provide beneficiary households with all the necessary permits (e.g. for building the prefabricated houses) and electricity and water supply connections, including, in certain cases – necessary building plots.

ADA

In the case of ADA, anecdotal statement by some staff members and by a ROM report pointed to some lack of coordination between the field and the HQ in Vienna was reported (delays occurred as the field had to refer regularly to Vienna for some decisions, which were not rapidly taken). This was however denied by the ADA management met during the field visits, who also emphasised that ADA procedures have been approved by the EU pillar assessment process.

Field discussions also outlined major setbacks due to the poor design by local institutions of infrastructures to be rehabilitated; ADA stated that such design had often to be reconsidered.

6.2 Efficiency of the coordination committee (Programme Steering Committee)

The Project Steering Committee (PSC) was set up on 1st September 2014 and gathered the EUD, European Integration Office, FAAARO representing the Government, and the 5 IPs. The PSC monitored the Programme's progress and performance and acted as a decision-making body, with guidance provided by the Government. The IPs delivered monthly progress reports to the EUD and FAAARO. The PSC meetings were also held on regular basis, each month (and sometimes, when needed, more frequently). For each of the meetings all IPs received minutes, with possibility to comment it/get feedback. A major result of the coordination between IPs was that joint criteria/approaches in assistance were duly followed.

UNOPS ensured the PSC's secretarial role and compiled the inputs from all the IPs. According to UNOPS, 28 meetings were held under IPA 2012, until mid-January 2017. All the stakeholders reported unanimous satisfaction with the functioning of the PSC, which was considered by many as one of the key enabling factors for the Action.

It should be noted that the PSC was not foreseen in the contractual provisions of WB/GFDRR Trust Fund, although this shortcoming did not lead in report to any detrimental results.

There were also "sub-PSCs", which were sometimes less efficient and effective. For instance, under IPA 2014 the UNOPS road rehabilitation project was monitored by a Project Sub-Steering Committee (PSSC), constituted from the members appointed by the Ministry of Construction, Transport and Infrastructure (MCTI), PIMO, the European Integration Office and the PERS. The PSSC provided strategic guidance, reviewed completed and approved all forthcoming project phases. According to a ROM report, MCTI was the "weakest link" in the PSSC, as the representatives changed several time and communications were not as effective as needed. Whilst PIMO's commitment was demonstrated at the onset of project implementation, providing good and effective links with the local self-governments, beyond the jurisdiction of local self-governments and PIMO however, remaining permits were almost exclusively within the MCTI Ministry's responsibility. Such permits took several procedural steps, each of which could last for months, and could push the project far behind the schedule. An opportunity to define a fast track permitting process as part of the DRR strategy has not been reported.

6.3 Consistency of approaches (beneficiaries' selection criteria, quality of reconstruction, relations with authorities and beneficiaries ...) between IPs

Criteria for the selection of beneficiaries were agreed jointly between all IPs, and were part of the contractual provisions. They were based on proven approaches already used in previous post-war projects dedicated to refugees and housing rehabilitation in Serbia, and were designed to target the most vulnerable. These criteria were discussed and validated in cooperation with PIMO and local self-governments, and approved by the

EUD¹⁵. The minimal standards for decent living conditions which were proposed by the government enabled the NGOs (e.g. ASB) to cover additional households - see Appendix 10 - EQ 6; criteria 6.3.

Overall, the process relied on a participatory, bottom-up approach that closely engaged local governments (municipalities and their field infrastructure, village representatives) in order to reach the largest number of potential beneficiaries. After the beneficiary scoring criteria was established and the application form was designed, municipal partners were trained on the project's goals and methodology through a series of meetings and outreach sessions. The application process was announced through local and national media outlets.

For its part, FAO reported that farmers from 190 communities submitted an application in the first two weeks (some 40,000 applied in total), marking the most needed assistance package (one package per household rule). Data was collected through a specially designed data-entry software and was verified, cross-checked and compiled into a master database, providing information for procurement process quantities of needed inputs per municipality, lists of beneficiaries for distributions and aggregated data for reporting purposes. This ad hoc software could very efficiently and rapidly rank the vulnerabilities, types of damages, address, phone numbers, and detect double applications. Despite sharing this approach in the PSC, it was however found by FAO that some other IPs could not use it as they did not collect enough quality data. **Women** were duly involved at all stages of the process, and throughout the project. Around 16 percent of project applicants were women, which mirrors the registered woman-owned farms in Serbia.

Nevertheless, some problems were reported, as for example when mechanisms did not allow potential beneficiaries who were not pre-selected (proposed by the municipal authorities) to lodge a complaint, because they were not even informed about IPA-funded flood recovery assistance. Municipalities tried to overcome such problems, such as in Svilajnac where a public announcement was aired anew through local electronic media. Furthermore, the complaints and feedback mechanism related to post-selection procedures was well established, for example in case of HELP, who dedicated a particular toll-free phone line for complaints by beneficiaries on contractors, and published a 'FAQ' leaflet which was distributed at municipal level.

Similarly, many households had missed the initial application deadline set by FAO for IPA 2014 (December 2015), but the project extension (essentially due to the required of competitive procurement process, the workload of distributing assistance packages of the right sizes, and quality control) allowed a repeated call for applications up to December 2016.

6.4 Lessons learnt

All IPs have duly kept a list of the main lessons learnt, which was attached to their reports. Among these, a key lesson outlined by FAO in its final report for IPA 2014 was that local governments and other relevant local stakeholders should be included in the planning of local developmental activities from the very beginning to promote a sense of ownership. FAO has furthermore listed the following potential risks and mitigation strategies

- The most vulnerable target beneficiaries could be left out if the project relied only on municipal records, which in many cases collected and recorded only the damages of registered agricultural producers, given that they were the only ones entitled for government help. Many vulnerable households from rural areas live on small farms, often not officially registered. This risk was mitigated by announcing the project across

¹⁵ Source: Attachment B: Implementation Methodology for Support to Flood Victims in Serbia, drafted jointly by ASB, DRC, HELP, FAO and UNOPS, in July 2014

municipalities through local media. A second mitigation measure was the organization of additional rounds of applications, where all flood-affected small-scale farmers who had missed the first chance to apply and enter the programme could do so in subsequent rounds.

- Applications for assistance need to be thoroughly cross-checked to prevent the same beneficiaries or their immediate family members from receiving multiple supports. There were risks of multiple applications, applications by several members of the same household, or renewed application after a first grant. The declared loss of farming equipment needs to be duly documented.
- The potential worsening of institutional relations due to lack of communication was mitigated with frequent visits to project partners and their inclusion in phases of the project implementation from the very beginning.

Finally, as hinted above, one of the lessons learnt by NGOs related to the beneficiary selection process is that it is necessary to establish fully-fledged complaints and feedback mechanism (in accordance with Core Humanitarian Standards, Commitment # 5).

EQ 7: Have suitable and appropriate indicators been established, allowing for reasonable and efficient measuring of results, outcomes and, when applicable, impacts?

Overall, indicators used in project LFAs were not all fully SMART but still appropriate to follow concerned activities. Indicators were duly filled in by IPs in all consulted reports and have not attracted any remarks or suggestions for improvement during field discussions.

7.1 Appropriate design and use of SMART and other (quality) indicators in programming and monitoring

Overall, the indicators used in the logical framework analyses (LFA) – although they were not all fully SMART (specific, measurable, achievable, relevant, timely) - seem to have been appropriate to follow the concerned activities; they were duly filled in by the IPs in all the consulted reports and have not attracted any remarks in the available documents.

For FAO under IPA 2014, the LFA attached to the Grant Agreement with FAO is using appropriately (although without naming them as such) 2 impact indicators at the overall objective level (improved food security in the target areas; improved livelihood situation of farming families), 2 outcome indicators for the specific objective (household level food security of small farmers ensured and income level improved; partners acknowledge successful implementation), as well as SMART output indicators (numbers procured and distributed...) for each expected results/activities.

It should be noted that under IPA 2012, the indicators for overall and specific objectives were only targeting outcomes (this was probably deemed too early for impact): food security in the target area stable, level of reconstruction and livelihood rehabilitation based on risk assessments, effective coordination mechanisms established. They can also be seen as a preliminary step leading to IPA 2014. In its reports, FAO has duly monitored the LFA indicators.

Concerning the WB/GFDRR LFA, in the results framework attached to the WB Administrative Agreement, indicators are clearly and appropriately subdivided between impact, outcomes and outputs for each of the 6 components. These indicators are duly followed and commented in the WB/GFDRR progress reports.

For UNOPS, despite the difficulties in designing workable indicators for institutional support, under IPA 2014 the LFA for result 1 (technical support to PIMO) of the small contract managed

to come up with qualitative indicators with some measurable element (rather than fully SMART/ quantitative indicators that would not have been relevant here), which could be monitored by UNOPS in the reports, for instance "full organisation set up of PIMO after 6 months", "tools developed and adopted after 4 months", or "communication strategy updated after 7 months". Such an approach requires however a thorough prior identification of risks and assumptions.

Under result 2 (communication of project results to the public), SMART indicators were duly used for project outputs (mixed with outcomes as deemed feasible), such as: "at least 80% of registered media reports published", "at least 8 high profile visits" etc. No better indicators could be proposed by UNOPS (or any other IP).

Similarly, the larger road reconstruction project has been able to use SMART indicators, as the outputs could be readily be quantified: 48 landslides had to be remediated, and 14 road structures recovered. There were 6 types of activities, which were all followed by SMART indicators.

Overall, for the three NGOs ASB, DRC and HELP, the indicators for measuring results are not fully SMART (especially not fully specific in terms of using both "persons/individuals" and "household/family"). However, the indicators seem to have been appropriate to follow the concerned activities, with an exception to impact. Namely, the proposed indicator ("number of flood-affected families/persons assisted") for the project's overall objective "to support the Government of Serbia and the local self-governments in recovery from flood damages" would certainly measure outcome rather than impact (as long-term effect).

Another observation - which is indirectly related to LFA indicators – concerns the used terminology of "micro, small and medium sized enterprises"¹⁶, which was not agreed beforehand by IPs, and may not in compliance with the relevant legislation of Serbia (micro¹⁷ – up to 10 employees and up to RSD 82.736.000 of annual revenue, etc).

Regarding the LFA for ADA, the ROM report furthermore reported with relevance the following issue: "(...) there is a problem with the intervention logic as formally defined in the Description of Action (DoA) – the outputs (results in DoA) are de-facto the same as the stated outcome (purpose in DoA: Flood protection infrastructure in 6 flood-affected municipalities rehabilitated) so it's not explicitly clear what sort of change the project contributes towards. Instead of defining that change (purpose) the LFA repeats the planned outputs i.e. rehabilitated infrastructure."

EQ 8: Were the projects cost-effective?

In the absence of usable previous baselines or benchmarks and in a context of rapid implementation and difficult working conditions, among actors and activities only for housing could cost-effectiveness be measured to a certain extent. When compared with market prices, it appeared that the cost-effectiveness of prefabricated houses by the IPs (there was little price difference between IPs) was high and clearly a "win-win" solution for both beneficiary and budget: IP cost of 265 EUR/sqm (DRC) was nearly half the market price and provided better quality housing. Furthermore, this solution was even more advantageous for the most vulnerable beneficiaries: these could not possibly have procured new houses or flats with the state cash assistance (category 6) and would probably have become even more destitute. It should also be noted that indirect/support costs were (logically) higher for projects with smaller budgets, as they were missing economies of scale. More surprisingly, indirect costs were also comparatively higher for NGOs than for UN agencies.

¹⁶ Small enterprises have 10-50 employees, and mid-size ones between 50 and 250 employees.

¹⁷ Source: www.apr.gov.rs

Among the actors and types of assistance, only for housing can cost-effectiveness be usefully compared. Potential benchmarking with housing activities carried in previous times for displaced and refugees from the civil war was not relevant as market conditions were widely different. ASB for instance mentioned that cost-effectiveness was driven by standards of housing reconstruction (which were pre-defined by FAAARO/PIMO to achieve repairs up to minimal but decent living conditions), but also by other market factors such as scale, fluctuating high offer and demand, or trust in the buyer.

In parallel to reconstruction by the Action, the government had launched rapidly after the disaster a cash handouts system according to 6 categories of damages: those ranking from categories 1 to 5 could be repaired, while category 6 meant total loss and reconstruction. The handouts were however often not sufficient as market prices were high and affected households were using the money to buy urgent food etc.

Cost-effectiveness indications collected in the field showed that the reconstruction of prefabricated houses for category 6 was much more advantageous by the IPs. For instance, for one old lady living with a child in Paracin, DRC constructed a small prefabricated house at the cost of EUR 265/sqm, X 41 sqm = EUR 10,865 (+/- EUR 11,000 with furniture etc). This house was of high quality and the beneficiaries were quite satisfied. From the government's cash handouts system she would have received 2 million RSD (equal to EUR 18.000), but with that money she would not have been able to construct a house of the same quality (minimum EUR 22-23,000 + VAT), and only the smallest of flats (20 sqm...) would have been affordable.

The above was confirmed in Svilajnac with HELP: a couple with 2 children whose house had been completely destroyed (category 6) was provided by HELP with a prefab of 70 sqm, of which they are very satisfied, for a cost calculated at: EUR 265 X 70 = EUR 18,550. To build a comparable house by themselves would have cost at least EUR 35,000, to which must be added all furniture, appliances, and connections (electricity alone costs EUR 2,000). They could not possibly have afforded it with the government premium of EUR 18,000, and would have had to contract a bank loan (if accepted) and become heavily indebted for years.

The Action's approach was therefore clearly a "win-win" solution, for both the beneficiary and the budget.

It should be noted that some potential beneficiaries (not selected during IPA 2012 as the most vulnerable as they had some coping mechanisms, better revenues etc) were put on a "reserve list" and ultimately got grants under IPA 2014. These grants were however smaller, but provided the benefit that more beneficiaries could be reached in Phase 2.

The table below summarises the documentary findings regarding cost-effectiveness, i.e:

- Ratio direct/ indirect costs per IP;
- Ratio budget /numbers of beneficiaries, per IP / type of activity
- Other cost-effectiveness factors: financial sustainability, increased profitability

The table indicates a range of total average cost per assisted household (HH) between EUR 3,366.62 (HELP under IPA 2012) and EUR 4,218.54 (ASB under IPA 2014). The maximum difference is thus 20.19%, which does not appear exaggerate and can probably be explained by a number of factors. The median average cost is EUR 3,793, which is very close (1-4%) to ASB in 2012 and DRC/HELP in 2014.

The scale of "support" costs (which in the table below combine agreed levels of indirect costs with staff / travel / office and IP equipment costs) is unsurprisingly comparatively higher for projects with small budgets. Such support costs also reflect the required speed of implementation and the difficult working conditions. Nevertheless, it appears overall that support costs are comparatively higher for NGOs (16-21.72%) than for UN agencies (9.9-18.9%), to the exception of the very small TA by UNOPS to PIMO (27.1% of EUR 0.8 million).

Table 3: Elements of cost-effectiveness for each IP

IP / project	Total budget	Support/ indirect costs - %*	Number of beneficiaries and average cost/ beneficiary	Other factors to enhance cost- effectiveness	Remarks
FAO IPA 2012	EUR 8 million	EUR 1.058.425 (13.23%)	113.000 EUR 70,80/pp	Training on better use of assets, assets of better quality, longer- term profitability (see sustainability)	Cost-effectiveness of FAO agricultural inputs cannot be compared to other projects (housing etc)
FAO IPA 2014	EUR 1.5 million	EUR 284,036 (18.9%)	26,600 EUR 56.40/pp	As above	As above
WB/GFDRR IPA 2014	EUR 6,150.000	Not clear, as costs of WB staff and individual consultant services are counted together	NA	Sustainability of trained capacities	Cannot be compared with other projects
UNOPS 2012, ADD 1		EUR 1.390.000 (9.9%)		Build back better for roads, improved cost- efficiency for social housing, better profitability for trade	
UNOPS 2014 – road reconstruction	EUR 10.474 million	EUR 1.150.544 (10.98%)	NA	Reduced maintenance and operation costs of roads and bridges	
UNOPS 2014 – TA to PIMO	EUR 0.8 million	EUR 216,684 (27.1%)	NA	Sustainability of PIMO	

IP / project	Total budget	Support/ indirect costs - %*	Number of beneficiaries and average cost/ beneficiary	Other factors to enhance cost- effectiveness	Remarks
HELP IPA 2012	EUR 2.36 million	EUR 2,360,105 (16%)	<p>The average cost for each prefabricated house (20) was EUR 19.192</p> <p>The average cost per material and reconstruction works (158) was EUR 4,615 per family</p> <p>The average cost of furniture and appliances sets (262) was EUR 1,068 per family.</p> <p>The average cost of in-kind grants (261) was EUR 2.355 per agricultural household/SME.</p> <p>Total average cost per household (701) is EUR 3,366.62</p>	Monitoring and mentoring of beneficiaries of economic recovery in-kind grants.	Only HELP in IPA 2012 report contains data disaggregated by project components
HELP IPA 2014	EUR 2.7 million	EUR 2,699,754 (20.75%)	<p>718 households</p> <p>Overall average cost per HH is EUR 3,760.45</p>	Training of beneficiaries of economic recovery grants.	Overall figure only; data disaggregated by project component are not available in the reports.
ASB IPA 2012	EUR 2.9 million	EUR 435,286 (14.31%)	<p>804 households</p> <p>Overall average cost per HH is EUR 3,606.97</p>		As above
ASB IPA 2014	EUR 3.3 million	EUR 644,850 (19.54%)	<p>794 households</p> <p>Overall average cost per HH is EUR 4,156.17</p>	Training of beneficiaries of economic recovery grants.	As above
DRC IPA 2012	EUR 2.4 million	EUR 409,913 (15.88%)	<p>612 households</p> <p>Overall average cost per HH is EUR 3,921.57</p>		As above
DRC IPA 2014	EUR 3.7 million	EUR 803,733 (21.72%)	<p>998 households</p> <p>Overall average cost per HH is EUR 3,707.41</p>	Training of beneficiaries of economic recovery grants.	As above

*Indirect costs are allowed at a maximum of 7 % of the total for UN Administrative Agreements as well as for NGOs, and 5.5% for the WB Trust fund. Supporting costs include salaries, travels and per diems, office costs, vehicles, equipment and supplies internal to the IPs.

EQ 9: To what extent has funding been efficient and timely to achieve the foreseen results?

In terms of timeliness, fund transfers were reported as either “appropriate” or “rapid”. Pre-financing of IPs reached 80%, which allowed fast-track working approaches.

Overall, and although the remaining funds under IPA 2012 were at first not sufficient to cover all the emergency needs, funding allocations were reported as adequate to achieve the expected results – and more for housing and assistance to small-scale farmers -thanks to lower-than-expected disbursements. In most cases initial budgets for housing works had been over-estimated for various reasons (lower prices in a very active building market, IPs were good reputation buyers and got discounts, benefit were made on exchange rates EUR-USD), which allowed IPs to do additional activities and exceed targets.

At the opposite, under IPA 2014 UNOPS was faced with unexpected budget overrun (new bridges, more landslides), which were mitigated with value engineering analysis and the use of contingencies. ADA was also faced with poor initial design by the national counterpart, which entailed delays and additional costs.

9.1 Adequacy of budget allocations to achieve identified needs (and reasons for under / overestimated budget?)

Overall, the funding allocation for the IPs was reported as adequate to achieve the expected results; in most cases initial budgets for housing works had been over-estimated, which allowed the IPs to undertake additional activities, increase the outputs and thus regularly exceed the targets. There were various reported reasons for this overestimation: these included tender offers being lower than anticipated (forecasts had apparently been based on previously – higher - registered prices which were no longer valid), and favourable currency exchange rate changes (UNOPS 2012).

FAO stated that it had been “both effective and lucky” in this respect: the procurement prices were lower than expected because FAO was considered as a reputable buyer and could get good conditions; the project was exempted from VAT; and the exchange rates were unexpectedly favourable. When FAO was paid in EUR by EUD and converted the amount in US\$, they made a profit of 10-15%. This allowed to cover growing numbers of beneficiaries, more of them were identified during the course of action.

Reports from IPs who had been working on other types of assistance show only an overall adequacy of budget allocations with needs – which were generally identified by the IPs themselves (FAO, WB/GFDRR).

At the opposite, under IPA 2014, the UNOPS road reconstruction project was faced in some case by unexpected budget overrun (new bridges, landslides): in response, UNOPS applied value engineering analyses, which resulted in cost reduction of approximately EUR 400,000. In doing so, the project also reported to have “gained valuable experience”. In addition, UNOPS requested the use of the contingency budget to deal with higher cost of new bridges.

Originally the ADA project was supposed to be completed at the end of 2019; a no-cost extension of 1,5 years has been requested until June 2021, which corresponds to the (very) end of the possible usage of IPA 2014 funds (June 2015 + 6 years)

9.2 Effect of fund transfers on project deliveries/timing

Fund transfers were reported as either “appropriate” or “rapid” (WB/GFDRR) to support implementation. Most importantly, EU procedures allowed an initial pre-financing payment of 80% of the total contractual budget, which favoured immediate fast-track working approaches. This was confirmed e.g. by the timely delivery by FAO of agricultural inputs in accordance with the planting seasons.

When the timetable was extended, interim payments were also allowed for smooth continued implementation. For instance, Addendum 1, signed on 21/07/2015 with UNOPS and extending

the implementation period to 30 months, further allowed an interim payment of 15% (EUR 2.1 million), which left only 5% of the total grant amount (EUR 700,000) as a balance. This reflects a high degree of both flexibility and confidence between the parties.

9.3 Adequacy of procedures for budget reallocations

As stated, the above issues of initial overestimation concerned primarily housing works. The NGO implementing partners HELP, DRC and ASB generally overestimated their budgets both for IPA 2012 and IPA 2014 projects. The EUD proved to be quite flexible in acknowledging explanations and in reallocation budgets; all three IPs successfully extended provisions of assistance to additional vulnerable beneficiaries, and thus covered more flood-affected households. It should be noted that, while in IPA 2012 the three IPs reported significantly exceeded initial targets (number of households assisted), in IPA 2014 they all revised targets in their requests for no-cost project extensions (addendums to contracts), thus finally (for IPA 2014) reported exactly 100 per cent of achievements.

2.3 Impact and Sustainability

EQ 10: What was the impact of this assistance?

The Action has contributed to a number of highly positive impacts, which were visible – and much appreciated - at field level: improved living conditions for all vulnerable beneficiaries assisted with new housing; assisted SMEs could quickly restart or expand their business, which helped the local economy to recover (the stated current problems were always linked to general market conditions and not to floods' ex-post effects); the quality rehabilitation of assisted schools contributed to a dynamic motivation of the management, which could attract new private donors. The impact of new flood protection infrastructure on areas at risk remains to be tested, though, and the expected traffic increase on rehabilitated roads could not yet be measured.

The desk review outlined some short-term impacts which could not be assessed during field visits, such as more cultivation by small-scale farmers assisted by FAO, or decreased outbreaks of diseases linked to mosquitos due to sanitation measures by UNOPS.

Last but not least, the effective communication strategy has led to an increasingly positive perception of the EU by the wider public in Serbia. This was testified by several surveys and by the fact that the Action's signboards were still very visible, without the usual tags. This impact may however have since been undermined by a poorer communication regarding the migrants' crisis.

10.1-2 Can impacts be sufficiently identified and quantified?

As most projects have only recently been completed under IPA 2014, and 3 projects are still ongoing, there were few recorded impacts in the reports, which focused rather on outputs. It should be emphasised in this respect that impacts concern the changes compared to the ex-ante situation and not a restoration of the previous status; as such they often tend to appear only after a relatively protracted period. Furthermore, impacts can result from many factors, and attribution (or a share thereof) to one single project or activity is often difficult to determine - and even harder to measure or quantify.

Some outcomes - which can be qualified as short-term impacts - have been found in the reports. For instance, some elements of agricultural recovery after the FAO project could be assessed as positive. During the mid-term evaluation of IPA 2012, a year after the programme started (September 2015), post-harvest or post-distribution surveys conducted by FAO on a sample of beneficiaries showed recovery levels – and more. These include:

- 92 percent who received seeds and fertilizer had the same or a larger number of farming machines and accessories than before the floods;
- 81 percent of those who received a greenhouse had the same or a larger area of planted vegetables in greenhouses than before the floods;
- 75 percent of those who received seeds and fertilizer had the same or a larger planted area of field and fodder crops than before the floods (this stated impact needs to be further checked by also comparing yields before and after the floods);
- 65 percent who received animal feed had the same or a larger number of animals than before the floods.
- During field discussions, FAO also outlined that, as it provided an additional quality control on top of the usual (legal) one for seeds, fertilizers, beehives etc, a direct impact of this measure could be found in the improved quality of locally produced beehives, which can now be exported from Serbia.

A wider positive impact of the Action's communication activities could be measured in public opinion polls: since the pre-flood period the positive attitude towards the EU has increased from 44% to 46%, and negative attitude has decreased from 32% to 29%. This was confirmed by field discussions with stakeholders (IPs, national and local authorities, beneficiaries), who highlighted unanimously that the perception of the EU had been significantly improved by the Action (see also EQ 12 on visibility).

More direct impacts could also be found in the field regarding improved living conditions of the most vulnerable beneficiaries of new prefabricated housing: as they were often living in old, poorly maintained houses before the floods, the new ones – built according to PIMO's basic decent standards – even if often smaller are of better quality, better isolated and heated, and cheaper to maintain (see also EQ 13 on EU added value).

It should be noted that the beneficiaries of partially rehabilitated houses were also satisfied (as similar rehabilitation works by themselves would have put them in debt), but the works did generally not improve the ex-ante living conditions.

As further detailed below under EQ 11 (sustainability), the assisted SMEs that were visited were all able to quickly restart (after cleaning debris) or even expand their business, although they had been among the most affected by floods. All agreed that the provided equipment contributed to this result (they also received cash assistance from the government). A wider - but not directly attributable - impact is that the Action contributed to the speedy and thorough recovery of the local economy. All visited SMEs confirmed that their current problems (if any) were always linked to the general market conditions and not to floods' ex-post effects.

At the local self-government level, an indirect impact to which the Action contributed was that all visited municipalities felt better prepared to face future emergencies. Projects have increased the capacity of local self-government officials to take part in future emergency recovery efforts, and thus improve sustainability. These have gained valuable experience in the processing of applications of large numbers of affected people, coordinating relief efforts with international organisations and assisting in logistics and distribution. Partly due to lessons learnt from IPs' approaches, municipalities usually have upgraded procedures for disaster mitigation; a DRR budget (although small); a functional crisis situation room; annual plans; defined membership of the Crisis Management Committee; ready public works enterprises; improved Civil Protection (sometimes with a 24/7 crisis room such as in Kraljevo); and in some cases (not everywhere) municipalities within the same river basin are grouping resources. However, the national DRR budget – even if it was not disclosed – seems to be very limited, and without external funding municipalities agree that they could probably not cope. Regular exercises and rehearsals are also still generally lacking.

There were no negative impacts reported or measured in the documents available, nor was any negative impact found in the field.

EQ 11: Were the achieved results sustainable?

Strong support was provided throughout the Action to enable or reinforce the national institutions concerned with DRR/DRM after the floods, in particular FAAARO/PIMO. The support contributed to the design of the NDRMP programme and its Action Plan, which are key instruments for guiding sustained efforts.

At the wider level – not directly linked to the Action - new laws compliant with Sendai and EU Regulation 1313 (EUCPM) have been published or are being finalized. This strengthened legal framework is also bound to support the results of the Action. In particular, the DRR law of November 2018 has further clarified the respective roles and responsibilities of PIMO (donor

funding) and the Sector of Emergency Management of MoI (prevention and emergency response).

However, the costs of the NDRMP Action Plan are not yet affordable by the State; Civil Protection development is also costly, and more external funding will be needed. The operational sustainability of PIMO itself is not yet ensured, as there are very few permanent positions and the Office envisages further donor-funded assistance or bank loans to retain most of the expert staff after the end of the Action.

At field level, the sustainability of activities in housing, SMEs, small scale farms and schools can be expected from the high commitment levels of owners and staff.

Roads and infrastructures have been “Built Back Better”, but maintenance may be an issue as IPs report a potential lack of financial sustainability from both PWMC water companies and PERS for roads.

11.1 At the national / local level, has sustainable capacity been created in the beneficiary institutions to manage policy challenges and future assistance? What are the reasons?

From the institutional point of view, in the aftermath of the May 2014 floods the government of Serbia took important steps to improve the DRR/DRM systems management towards effectiveness and sustainability.

- The Office for Flood Affected Areas Assistance and Recovery (FAAARO) was established to coordinate and manage funds dedicated for flood relief. The ROM report for UNOPS under IPA 2012 outlines that the capacity building support to FAAARO has seen a successful outcome, and Action funds were used to contract some 30 FAAARO staff. Considering FAAARO's performance, it was transformed into PIMO with a wider remit.
- The Law on Reconstruction following Natural and Other Hazards of December 2015 enacted the establishment of PIMO as the main authority in the implementation of post-disaster rehabilitation programmes, but also for renovation and reconstruction of health, education and social welfare public facilities. The FAAARO personnel transitioned into PIMO, which became operational as of 1 January 2016.
- The operational sustainability of PIMO is however not yet fully ensured. At the very beginning of the emergency and before the Action, the first FAAARO staff were paid by the Swiss cooperation. PIMO is currently also assisted by UNDP. However, only a few management positions are permanent, but to pay for the others PIMO envisages to continue contracting bank loans, which should allow to retain “good staff, but not the best”.

The legal framework support DRR has also been significantly strengthened over the period.

- The government launched the National Disaster Risk Management Programme (NDRMP, see EQ1), which was adopted in December 2014. This was followed by the Action Plan for the Implementation of the National Disaster Risk Management Programme 2016-2020, adopted in 2016.
- The Serbian water management strategy included flood protection and recognised the consequences of climate change: as a result, the government attended the World Conference on DRR in Sendai, Japan, in March 2015, where it signed the Sendai Framework for Disaster Risk Reduction.
- In mid-2015, the National Assembly extended the validity of the Law on Post-flood Rehabilitation until the end of 2015, and adopted the Law on Reconstruction following Natural and Other Hazards, on 29 December 2015. This law regulated the procedure of assistance to the citizens and business entities affected by natural and other disasters (and set up PIMO).
- More recently, a number of new legislative acts have been adopted:

- The law on DRR and Emergency Management adopted in October 2018 clarifies the respective roles and responsibilities of PIMO (restricted now to donor funding) and the Sector of Emergency Management in MoI (see Appendix 9.2) which is responsible for the coordination of prevention and response measures, including international cooperation. It also introduces emergency managers at the municipal level along with the teams for emergency interventions in the municipalities with more than 50.000 inhabitants, while the protection and rescue system should be established as an integral part of the comprehensive national security system.
- The Law on Waters from October 2010 is to be novelised in order to further transpose relevant European Directives (including on floods) and to regulate the level of flood protection in line with area importance. Further, the Strategy on Water Management on the Territory of the Republic of Serbia until 2034 was adopted by the Government of Serbia in December 2016, while the drafting process of new Law on Waters commenced in September 2018, by defining a comprehensive starting basis.
- In addition, laws have also been adopted regarding Critical Infrastructures and Professional / Voluntary Firefighters.

The above measures are definitely leading towards mitigation and prevention of flood damage as a long-term sustainable solutions. However, the costs of the NDRMP Action Plan implementation are not affordable as such in the short or medium term by the Serbian state, and funding from the international community will probably be necessary¹⁸.

Elements of sustainability (or lack thereof) can also be found in projects.

The sustainability of reconstructed housing, assisted SMEs and rehabilitated schools can be expected from the high commitment levels of owners and staff, in addition to the support from the concerned municipalities and ministries. IPs have consistently applied the latest energy efficiency legislation. New houses were constructed in line with the Rules and Regulations for Energy Efficiency, which should contribute to the decrease of the living costs for electricity and/or gas for the house owners. Moreover, the beneficiaries - the house owners, the authorities responsible for the education facilities - should equally benefit from longer exploitation period and lower maintenance costs. The cost for electricity and heating in schools following the assistance should remain the same as before the floods, whilst the monthly cost for maintenance of the facilities and equipment should be reduced in all the targeted institutions by 73% on average. The results of a survey made by UNOPS concerning the sustainability of SME support can be found in Appendix 10 - EQ 11; criteria 11.1/ UNOPS.

The same is true for most small-scale farmers assisted by **FAO**. Furthermore, through training sessions for professionals funded by the Action, local and national level officials and experts in agriculture have increased their capacity to respond to natural disasters, such as helping livestock owners to tend to their livestock during disasters, understand the effects of global climate changes, and work on policies to adapt agriculture to new circumstances.

Notwithstanding the above, only two years after the 2014 floods, torrential rains struck central and western Serbia in March 2016 and rivers once again flooded – in some cases in the same areas that were flooded in May 2014, e.g. the municipalities of Bajina Basta, Cacak, Kosjeric, Kraljevo, Ljig, Lucani and Trstenik. The PDNA was carried out by FAO in all 16 affected

¹⁸ PIMO indicated for instance that the Kolubara basin municipalities' cooperation template needs to be expanded to other river basins to reduce risks. The price tag is however very high, estimated at Euro 200 million over 20 years (compared to potential damages estimated at Euro 900 million – 1 billion)

municipalities demonstrated that the system is still weak (see Appendix 10 - EQ 11; criteria 11.1 / FAO).

It also appeared that river basin associations, aimed at grouping resources of the concerned municipalities against risks of floods, are still incipient – except to a certain extent in the Kolubara and western Morava basins.

UNOPS has consistently applied the principles of sustainable infrastructure development and “building back better”¹⁹. The public company maintaining the roads (PERS, see below) should therefore benefit from longer exploitation period and lower maintenance costs. For the IPA 2014 road reconstruction project implemented by UNOPS, the annual report for 2017 outlines that social sustainability will be achieved through reduced travel time, better access to local markets in 26 municipalities, indicated by an increase in the average daily traffic of 3% (this could not be validated during field visits). Under IPA 2014, the UNOPS project for road reconstruction has also considered environmental sustainability factors on a day-to-day basis throughout the entire project cycle, from using local materials to reducing the level of construction materials which have high levels of embedded energy and produce large quantities of greenhouse gases in production phases.

However, roads and road structures, rehabilitated by the UNOPS project under IPA 2014, will be handed over to PERS - which is in charge of management of road network in Serbia - although according to the ROM report of June 2017, PERS' capacity for regular maintenance of the road infrastructure is barely sufficient, and needs to be supported and reformed. The bulk of PERS funding goes to the construction of motorway corridors, while financing of the maintenance of other roads is becoming increasingly insecure. This statement was denied by PIMO.

For **ADA**, all structures, rehabilitated by the project, will be handed over to the PWMC (Public Water Management Company) Srbijavode, which is in charge of management of flood protection infrastructure of the first category water courses in Serbia. As such, the rehabilitated and new infrastructure will be included into the existing system - which is conducive to their sustainability. However, the financial capacity of Srbijavode for regular maintenance of flood protection infrastructure may not currently be sufficient²⁰.

The same is true for the **WB/GFDRR**, which is faced with no less than 7 national counterparts, some of whom (in particular the Republic Hydro Meteorological Service of Serbia) are still under-resourced and poorly capacitated. There is also still a general lack of inter-institutional cooperation, and the DRM mechanisms being supported by the WB/GFDRR do not yet comprise a thorough mapping of all areas at risk of being flooded within municipalities (see Appendix 10 - EQ 11; criteria 11.1 / WB/GF/DRR).

11.2 Which type of assistance has achieved the most sustainable results, and what were the reasons behind this? What are the reasons?

¹⁹ For instance, during the reconstruction of the road Korenita-Krupanj, the level of the road was raised by 1.2 metres on a 400 metres section to protect the area from flooding in the future.

²⁰ PWMC Srbijavode is a public enterprise whose budget, including a share for infrastructure maintenance, was derived from the state Water Fund (to which the water tax used to contribute) and was thus self-sufficient. However, several years ago, there was a switch to central state budget, from which an allocation for water management is determined on an annual basis. The water taxes are still collected as prescribed by the Law on Waters from 2010, but its investment back into the water sector is not direct. As a result, public water management companies submit annual programme incl. budgeting needs, but they are rather uncertain of the annual budget to be approved, even with delay for the current year (e.g. for 2019 the budget of “Srbijavode” was approved in February). Such situation creates “not clearly defined method of financing”, as stated on page 4 of the First Quarterly Report by PWMC Srbijavode of 25 April 2018 – which hinders planning at mid-term and longer-term as a prerequisite for systematic flood-protection upgrade and maintenance.

This criteria has been hard to evaluate from both the documentary and field basis, as the various IPs were not looking at their comparative advantages. As discussed hereabove, the visible commitment of owners and staff to their new houses, rehabilitated schools and improved businesses or farms appear to provide the most relevant factor for sustainability.

FAO further advocated on particular sustainability of their agricultural assistance packages, as replacement greenhouses, beehives, machines, accessories and purebred animals were in many cases of better quality and more resilient to adverse conditions than those previously owned. Farmers do not need to be convinced that such replacement items will support them for years to come, although they will need at least one agricultural season to provide a return. The sustainability value of CCA (climate change adaptation) trainings on agriculture provided also by FAO could not be ascertained.

EQ 12: Has EU assistance achieved maximum visibility?

Reports from partners, surveys and discussions all testified to the fact that under the Action the communication was highly successful and was well perceived by the general public. In all visited municipalities, the Action signboards were still very visible and were not degraded by the usual tags. This success is due to the approach adopted, which included an integrated communication strategy, well-coordinated through the PSC and centrally managed (by UNOPS), a clear message ("this support was provided by the EU in times of great need"), a visually attractive dedicated logo, and numerous activities and outputs: there were e.g. 30 major events with high level participation from the EUD and the Government, and more than 1.900 media reports. As a result, the communications activities strongly contributed to developing more positive attitudes by Serbian citizens towards the EU, and the Action became the "most recognized EU funded programme in Serbia" – although not the most expensive.

12.1 Has the message "this support was provided by the EU" been effectively relayed to all beneficiaries and clearly perceived?

The Action's communication activities have been centrally managed by UNOPS (Flood Relief Communications Team), in line with the relevant Guidance on Visibility for EU external action. Under IPA 2012, UNOPS coordinated communications and visibility activities among the five implementing partners, the EUD, and some 30 key stakeholders of the Action. The project ensured that all project communications to (i) project beneficiaries, (ii) the general public, and (iii) national and local authorities, clearly relayed the message that the support was provided by the EU in a time of great need. To guide the visibility of the flood-assistance programme, the EUD and its programme communications team devised a programme-wide logo for use by all implementing partners. Communication activities were discussed and agreed on a regular basis during monthly PSC meetings.

Thirty related large events were organised, out of which the EUD Head of Mission and other high-level officials took part in 23. Such events were also frequently organised with the presence of the high representatives of the Serbian government, to promote EU support to the flood affected areas. 42 weekly communications updates with the information about the progress of the flood relief process were prepared and published on the EUD website. Overall, the Action communications activities generated more than 1.900 media reports in the national and local media (newspapers, radio, TV) which clearly gave credit to the EU for supporting Serbia in flood relief.

According to UNOPS reports, these communications activities strongly contributed to developing more positive attitudes by Serbian citizens towards the EU. Following two opinion polls conducted in September 2014 and March 2015, the Action was acknowledged as "the most recognized EU funded programme in Serbia" - although it was not the largest one. In July 2017, the final UNOPS report for phase I also stated that public opinion polls showed that

positive attitude had risen from 44% to 46% while negative attitude had dropped from 32% to 29%, compared to the poll conducted in February 2014 before the floods. Previously, it was Russia who had widely been perceived as the major donor to Serbia (the Ministry of European Integration²¹ also reported that EU visibility is now “a bit over Russia”).

The understanding of the donor’s support resulted in municipal awards and letters of appreciation for the EUD from Kraljevo, Obrenovac, Krupanj, Trstenik, Paracin and Svilajnac.

Visibility and communication actions were also carried out individually by IPs throughout the projects’ duration, in accordance with the Grant Agreements and in collaboration with the EUD and the UNOPS team. At the onset of the projects, the IPs had to prepare a communication and visibility plan, which was approved by the EUD.

In this context, FAO for instance has noted that, already under IPA 2012, the activities have generated significant interest from local and national media. Maximum coverage was recorded during the autumn of 2014 and during the spring and summer of 2015, but the media remained interested throughout the life of the project. For FAO activities alone, 83 reports were published in the newspapers, and 82 broadcasts were made on TV and radio channels, 99% of which were highly positive. FAO also organised a final conference in Belgrade on 15 February 2016, which gathered representatives from Ministries, implementing actors and local authorities.

Under IPA 2014, ten more high profile events with the participation of EUD senior representatives, the Director of PIMO and other key stakeholders were organized by UNOPS, together with the presentation of the Action during two EU project fairs. The WB/GFDRR accordingly delegated all its visibility and communication activities to UNOPS, while a World Bank representative was tasked to attend the monthly communication coordination meetings chaired by UNOPS.

12.2 Lessons learnt

A lesson learnt by UNOPs about visibility is that events with the participation of high officials from the EUD and the Government have proven to be the most useful approach in communicating project results. Among these, it was acknowledged that the most effective were the events to which the EUD Ambassador (Mr Davenport) took part and spoke fluent Serbian – a fact that was much appreciated.

Another key lesson is the need for a targeted message (preferably with an appealing dedicated logo to complement the EU flag), considering that the usual motto “funded by EU” alone is not sufficient to convey a clear communication.

2.4 EU Added Value

EQ 13: What is the added value of EU interventions, compared to what could be achieved by the Republic of Serbia alone?

From a financial perspective, all stakeholders agree on the fact that international DRR assistance – among which EU funding probably provided a major share - was crucial in the aftermath of the 2014 floods, and that the Serbian state or the municipalities could not have done it alone. This is however only a perception, as no evidence, figures or statistics could be collected at any level to substantiate this issue.

The high added value of the Action was better highlighted in the field, as it appeared that the selection criteria adopted by the IPs were quite complementary to the cash based assistance distributed by the State for all housing damages (technical categories 1-6), which was done

²¹ The European Integration Office was succeeded by the Ministry of European Integration In June 2017.

regardless of income or social situation. This was the only targeted social support as MoLEVSA (Ministry of Labour, Employment, Veterans and Social Affairs) cannot deliver rapid social support / safety net in case of emergency, and municipalities have the lists of vulnerable people but not the resources. In many case the Action's support avoided dire social destitution.

Another key EU added value was that the assistance was « neutral », and was provided equally by international/external actors to all affected municipalities on the basis of identified needs, without consideration to the national political context.

13.1 Comparative EU advantages (policy, strategy, presence, procedures, resources)

This aspect was not highlighted in the available reports and could therefore not be fully assessed on a documentary basis. Despite systematic requests, no updated figures or statistics could be collected either from potentially relevant sources, in particular PIMO. For its part, the Ministry for European Integration (MEI) could only provide a table with the pledges made during the Brussels Donors' Conference of July 2014 and donations realised until the end of 2015 only, as well as some statistics concerning the current crisis with migrants, which is not directly related to floods but gives a perspective about the share of EU funding for a major crisis in Serbia and the region – i.e. nearly 2 thirds (see Appendix 10 - Table 13). A short overall narrative description of donors involved in DRR in Serbia can also be found in Appendix 9.1, with the Table 9 showing both bilateral and EU donations for the first year and a half (July 2014- end of 2015) of the flood recovery and prevention assistance; according to these data, primarily based on the Donors' Conference in Brussels, share of EU funding of the post-flood recovery and prevention until the end of 2015 was nearly 85%.

Almost all visited municipalities agree that “there were no other donors than EU after emergency”: However, this statement was not always correct, as for instances reconstructed houses by UNDP with United Arab Emirates funding were observed, during the field visits, in Krupanj, and flood protection work by the Swiss cooperation was ongoing in Paracin (for triangulation, see Table 9 in Appendix 9.1).

Two other essential added values were however found in the field.

- A key added value of EU assistance is its “neutrality” regarding the national political context. In this respect, it was found that Paracin was the 2nd most affected municipality after Obrenovac: 1/3 of the city centre was flooded, and more than 1,000 residential of occupational buildings damaged or destroyed. Many others had also their cellars flooded, which was not accounted for as these had not residential purposes.

However, Paracin is politically opposed to the government's party; this reportedly led to a much lower visibility in the official media, and there was no high level official visit. According to the municipality, politics also impacted on levels of improvement of flood prevention infrastructures: the city centre is crossed by a potential torrential river (Crnica), which was the main cause for the flooding of 2014. However, this river (together with the Velika Morava) are 1st category rivers under the responsibility of the PWMC Srbijavode, which itself depends from the Directorate of Water in the (politically driven) Ministry of Agriculture, Forestry and Water (MoAFW). The municipality can only work on city bridges and some river embankments downtown Paracin, funded by the Swiss SECO. The municipality claims not to be informed about any plans for infrastructure improvements by the PWMC.

Without external “neutral” assistance, the municipality claims that there are still risks of political bias and governance issues from the current party system in Serbia, which may impact on the scale and effectiveness of DRR/DRM. This is potentially valid for flood protection infrastructures by Srbijavode, but also for social safety net assistance that may come from MoLEVSA (Ministry of Labour, Employment, Veterans and Social Affairs). The Paracin municipality therefore described the EU assistance as “priceless”.

- Another very important added value was found in the social complementarity of the IPA assistance in favour of the most vulnerable. Through the Action's selection criteria of vulnerability, the IPs provided an additional layer of social safety net to the otherwise technical and socially indiscriminate (no difference is made between the wealthy and the vulnerable) provision of cash by the government according to the degree of damage to the housing (categories 1 to 6). The two systems are quite complementary, as the MoLEVSA is not structured to provide social safety nets in such emergencies²²; only the NGOs could do it.

A cost-effectiveness analysis of reconstructed prefabricated houses for two vulnerable households in Paracin and Sviljanac has been made above under EQ 8. In both cases, without the complementary assistance targeting the most vulnerable, the flood damages would have created a real risk of social destitution. None of the visited beneficiaries would have been able to sustain even a minimal level of decent living standard. Most have only minimum revenues or very small pensions (EUR 150-170); they could not possibly have rebuild their housing (even at lower standards) or bought a small flat with the government's cash handouts (EUR 2,000 for category 3 damages, EUR18,000 for total reconstruction in category 6 – see cost-effectiveness), and would probably have fallen into destitution. Many among them also suffer from chronic illnesses, and may have been forced to choose between food and health, with the gravest possible consequences.

13.2 Counterfactually, what would have happened without EU assistance?

Overall, as stated in a report by FAO, municipalities were widely considered not capable of providing adequate assistance to the large number of affected households without external aid. This opinion appears credible but is hard to prove.

EQ 14: What is the added value of EU interventions, compared to grants actually given from individual EU members' states or external donors?

There were no detailed and up-to-date evidence in the reviewed documents about figures of aid by other donors (only a short narrative list and a table of donations for the first year and a half, from mid-2014 to the end of 2015). Similarly, after thorough enquiries in the field, no overview of all grants from EU and other donors for the whole period 2014-2019 could be obtained, only a summary of pledges and donations realised after the donors' conference of July 2014 until 31 Dec 2015, from the MEI.

14.1 Table of grants and credits provided by all donors, including EU

Overall data with figures of direct emergency aid, grants and credits by all donors to the floods in Serbia (and, in a wider perspective to DRR/DRM, environmental protection and climate change adaptation), were not to be found among the available documents or in Serbia. The same is true for the comparative figures of such international assistance with the national DRR/DRM budget of Serbia (see 15.1 below).

However, the current list of bilateral and multilateral contributors, as compiled from the data available on the website of the Ministry of European Integration, and the data provided by Mol, is presented in Appendix 9.1. Although this data includes only short narratives and figures for

²² At the Republic level, MoLEVSA provides regular payments to the socially vulnerable, but is not equipped/structured for fast additional response in case of disaster. The municipalities are obliged to work alone.

2014 and 2015 only, it shows that the main donors and actors (other than the EU and the implementing partners already involved in the Action) are as follows, by alphabetical order:

- Bilateral donors: Austria, China, Denmark, Germany, Great Britain, the Netherlands, Norway, Sweden, Switzerland, Turkey, UAE, and USA.
- International institutions giving soft loans: Council of Europe Development Bank (CEB), European Investment Bank (EIB), and European Bank for Reconstruction and Development (EBRD).

14.2 Results of other donors' grants

The large majority of international grants were dedicated to emergency assistance in the immediate aftermath of the floods. No synthesis was made and results are probably scattered among the many reports from agencies and donors (there were 22 foreign rescue teams from 14 countries), but the efforts were globally successful.

No detailed overview about other donors' activities in the later recovery phase (especially for the Phase II of the Action - IPA 2014) could be found, despite enquiries. Scattered traces of such assistance were found during field visits, although they are most certainly incomplete, such as the repair of health centres funded by the Norwegians (it was reportedly agreed that the EU would concentrate on schools, housing and roads/protection infrastructures but no record of such an agreement was found), some prefabricated housing units (of the same standards as those funded by the Action) located by chance in Krupanj and built by UNDP with UAE funding, or flood protection works in the centre of Paracin funded by the Swiss Cooperation.

It should also be outlined that some IPs contributed to their projects with their own funds, in particular FAO which received about 2/3 of the total project budget of 15-16 million from IPA (7.9 million under IPA 2012, 1.5 million under IPA 2014), and provided the balance came from its own and CERF funds, and ADA which contributed EUR 0.75 million from its own funds.

2.5 Coherence, Coordination and Consistency

EQ 15: To what extent was the support provided by the EU coherent and complementary to the national budget and other donors?

As already stated, there were no detailed and updated evidence to be found on coordination between concerned institutions in Serbia, the share of the national budget dedicated to DRR/DRM, the corresponding importance of IPA funds, or gaps in funding.

15.1 Coherence with national policies and reforms

The priorities of the NDRMP are summarised in EQ 2. There were no indications to be found in the available documents regarding the national budget for DRR/DRM, and thus about the corresponding importance of IPA funds in this respect.

As outlined under EQ 11, the law on DRR and Emergency Management adopted in November 2018 clarifies the respective roles and responsibilities of PIMO - which has been strongly supported all along by the Action - and the Sector of Emergency Management of MoI which is responsible for the coordination of prevention and response measures, including international cooperation, and which was not supported. In this context, PIMO has defined its own role as

supervising reconstruction and protection through donor funding, by being an “umbrella” for project management, facilitation among actors, and coordination between various sectors.

The top priority of PIMO is to upgrade existing infrastructure: this effort has been assisted by grants from a number of other donors (no figures): Switzerland, Japan, UK, Canada, and private donors such as Coca Cola Company, etc. There were also loans from the World Bank.

15.2 Suggestions for improvements in alignment, coordination and follow up

There were no elements of response to this criteria/sub-question to be found in the reviewed documents or in the field.

15.3 Areas appropriately covered by other donors

The only finding concerns the coverage of Risk Financing (part of NDRM Programme) by the Swiss cooperation through the multi donor Trust Fund of WB/GFDRR (see EQ 2).

15.4 Gaps or overlaps with other donors

Under IPA 2012, UNOPS has noted that the presence of many different donors in the field (the report did not give names) “posed a risk to the visibility of the EU”. The UNOPS report indicated that this risk had been successfully mitigated through the spectrum of coordinated communications activities, which included constant communication with the municipal officials, organisation of the Programme Steering Committee meetings, as well as planning and prioritising events with the EUD Press and Information Officers.

As already stated, the summary overviews of bilateral and multilateral donors who are reported as active in the field of DRR/DRM on the web site of the Ministry for European Integration can be found in Appendix 9.1. There were also some indications about respective budgets and the overall share of EU/IPA in this framework, but limited to the period from July 2014 until the end of 2015 only (see Table 9 in Appendix 9.1).

15.5 Lessons learnt

As data in general were found lacking about coherence and complementarity issues, lessons learnt were accordingly absent in the reports.

3. Overall assessment

This chapter provides a synthesis of answers to the 15 Evaluation Questions

Relevance

EQs 1-3. The documentary and field reviews outlined a very close relationship between the IPA 2012 and IPA 2014 Action Plans and the DRR/DRM needs identified both in the immediate aftermath of the floods of May 2014, and at later stages (institutional strengthening, preparedness for the future, response to new floods in 2016).

The Action has responded appropriately to the needs identified in the two key national documents: the PDNA (with the proviso that mining and energy were covered by other funding) and the NDRMP (National Disaster Risk Management Programme). In this respect, the floods of 2014 were a wake-up call about the importance of DRR and lack of maintenance for national authorities and all visited municipalities (except in Kraljevo, due to the earthquake of 2010).

Overall, the quality of the 7 IPs and their adequacy to perform the required tasks appears to validate their choice. All of them have demonstrated a high degree of professionalism and commitment. They have all been able so far (3 projects are still ongoing, and the one implemented by ADA has seen some issues of efficiency - see below) to achieve and even overcome the planned objectives. Timeliness was also adequate, often in a context of urgency; when delays occurred (WB/GFDRR), this was generally identified as the result of a lack of national capacities (WB/GFDRR), with a slight caveat for ADA. This situation confirms the relevance of the EUD selection, contracting and financing processes.

Effectiveness and efficiency

EQ 4. The reported effectiveness was quite high, and the numbers of beneficiaries significantly exceeded expectations for all housing and SMEs projects (from +19% to + 44%), and much more for agricultural assistance by FAO (+117%). Overall, the Action has reached directly some 130.000 beneficiaries (housing, farms, SMEs, schools). None of the visited municipalities or national authorities reported urgent needs that the Action would have failed to cover.

EQ 5. Limiting factors were perceived as different by NGOs and institutional IPs. The only major limiting factor reported by the NGOs ASB, DRC and HELP in the implementation of projects concerned the slow issuing of building permits. Other limitations were minor only: some delays due to winter conditions or weaker municipalities. For its part, FAO identified rather several deep-rooted, structural limiting factors, which not related to the Action: small land plots, lack of awareness of DRR/CCA, or old farm equipment. UNOPS and WB/GFDRR felt to be mainly limited by institutional issues, such as the 5-months governance gap which occurred after the elections in 2016 (although this gap did not affect the effectiveness of PIMO). More generally, all categories of stakeholders appeared to show a lack of trust in the current insurance schemes, which they find lacking reliability and transparency.

At the opposite, all IPs agree that the main enabling factors of the Action were to be found in the effective coordination and the knowledgeable and flexible support provided by the EUD, the commitment and cooperation from the municipalities, and the operational guidance from PIMO which translated in knowledge, presence, and relevant mandatory housing standards.

For the future however, the lack of budget for continued DRR efforts and maintenance may become an ex-post weakness for DRM and infrastructures.

EQ 6. Desk review and field discussions concur to indicate a commendable level of efficiency. The implementation modality through direct grants allowed the IPs to use e.g. their own

procurement procedures. The modality ensured speed and was largely successful. The coordination by the EUD Programme Steering Committee (PSC) was also efficient and led to consistent approaches.

Committed and knowledgeable IP staff who worked in close coordination with national and local authorities provided for the high levels of efficiency that were found in all completed projects. Procedures (beneficiary selection, participation, deliveries, quality) were generally reported as satisfactory, with only minor delays and problems. The delays in the ongoing projects are essentially due to lack of capacities of national counterpart, except possibly for ADA, to a certain extent.

EQ 7. Overall, indicators used in project LFAs were not all fully SMART but still appropriate to follow concerned activities. Indicators were duly filled in by IPs in all consulted reports and have not attracted any remarks or suggestions for improvement during field discussions.

EQ 8. In the absence of usable previous baselines or benchmarks and in a context of rapid implementation and difficult working conditions, among actors and activities only for housing could cost-effectiveness be measured to a certain extent. When compared with market prices, it appeared that the cost-effectiveness of reconstructed prefabricated houses by the IPs (there was little price difference between IPs) was high and clearly a “win-win” solution for both beneficiary and budget: IP cost of 265 EUR/sqm (DRC) was nearly half the market price and provided better quality housing. Furthermore, this solution was even more advantageous for the most vulnerable beneficiaries: these could not possibly have procured new houses or flats with the state cash assistance (category 6) and would probably have become even more destitute. It should also be noted that indirect /support costs were (logically) higher for projects with smaller budgets, as they were missing economies of scale. More surprisingly, indirect costs were also comparatively higher for NGOs than for UN agencies.

EQ 9. In terms of timeliness, fund transfers were reported as either “appropriate” or “rapid”. Pre-financing of IPs reached 80%, which allowed fast-track working approaches. Overall, and although the remaining funds under IPA 2012 were at first not sufficient to cover all the emergency needs, funding allocations were reported as adequate to achieve the expected results – and more for housing and assistance to small-scale farmers -thanks to lower-than-expected disbursements. In most cases initial budgets for housing works had been over-estimated for various reasons (lower prices in a very active building market, IPs were good reputation buyers and got discounts, benefit were made on exchange rates EUR-USD), which allowed IPs to do additional activities and exceed targets. At the opposite, under IPA 2014 UNOPS was faced with unexpected budget overrun (new bridges, more landslides), which were mitigated with value engineering analysis and the use of contingencies. ADA was also faced with poor initial design by the national counterpart, which entailed delays and additional costs.

Impact and sustainability

EQ 10. The Action has contributed to a number of highly positive impacts, which were visible, and much appreciated - at field level: improved living conditions for all vulnerable beneficiaries assisted with new housing; assisted SMEs could quickly restart or expand their business, which helped the local economy to recover (the stated current problems were always linked to general market conditions and not to floods' ex-post effects); the quality rehabilitation of assisted schools contributed to a dynamic motivation of the management, which could attract new private donors. The impact of new flood protection infrastructure on areas at risk remains to be tested, though (this is particularly true for the “2nd tier” rivers which depend from the municipalities and not from the national level), and the expected traffic increase on rehabilitated roads could not yet be measured.

EQ 11. Strong support was provided throughout the Action to enable or reinforce the national institutions concerned with DRR/DRM after the floods, in particular FAAARO/PIMO. The support contributed to the design of the NDRMP programme and its Action Plan, which are key instruments for guiding sustained efforts.

At the wider level – not directly linked to the Action - new laws compliant with Sendai and EU Regulation 1313 (EUCPM) have been published or are being finalized. This strengthened legal framework is also bound to support the results of the Action. In particular, the DRR law of November 2018 has further clarified the respective roles and responsibilities of PIMO (donor funding) and the Sector of Emergency Management in Mol (prevention and emergency response).

However, the costs of the NDRMP Action Plan are not yet affordable by the State; Civil Protection development is also costly, and more external funding will be needed. The operational sustainability of PIMO itself is not yet ensured, as there are very few permanent positions and the Office envisages bank loans to retain most of the expert staff after the end of the Action.

At field level, the sustainability of activities in housing, SMEs, small scale farms and schools can be expected from the high commitment levels of owners and staff.

Roads and infrastructures have been “Built Back Better”, but maintenance may be an issue as IPs report a potential lack of financial sustainability from both PWMC water companies and PERS for roads.

There is still a lack of systematic river basin associations which would help grouping resources and improving resilience capacities of concerned municipalities.

EQ 12 Reports from partners, surveys and discussions all testified to the fact that under the Action the communication was highly successful and was well perceived by the general public. In all visited municipalities, the Action signboards were still very visible and were not degraded by the usual tags. This success is due to the approach adopted, which included an integrated communication strategy, well-coordinated through the PSC and centrally managed (by UNOPS), a clear message (“this support was provided by the EU in times of great need”), a visually attractive dedicated logo, and numerous activities and outputs: there were e.g. 30 major events with high level participation from the EUD and the Government, and more than 1.900 media reports. As a result, the communications activities strongly contributed to developing more positive attitudes by Serbian citizens towards the EU, and the Action became the “most recognized EU funded programme in Serbia” – although not the most expensive.

EU added value

EQ 13. From a financial perspective, all stakeholders agree on the fact that international DRR assistance – among which EU funding probably provided a major share - was crucial in the aftermath of the 2014 floods, and that the Serbian state or the municipalities could not have done it alone. This is however only a perception, as no evidence, figures or statistics could be collected at any level to substantiate this issue.

EQ 14. There were no detailed and updated indications in the reviewed documents about figures of assistance by other donors (only a short narrative list and a table of donations from July 2014 until the end of 2015), or their results.

Coherence, coordination and consistency

EQ 15. As already stated, there were no indications to be found on coordination between concerned institutions in Serbia, the share of the national budget dedicated to DRR/DRM, the corresponding importance of IPA funds, or gaps in funding.

3.1. Key conclusions

This chapter presents the conclusions of the main evaluation, together with some (transferable) lessons learnt by the various actors.

Major (primary) conclusions

- Overall, the Action has been a very successful programme: there was a high degree of satisfaction from concerned national authorities and municipalities, as well as from the beneficiaries about the professionalism of all the implementing partners. The quality of cooperation, of outputs, and the speed of implementation have all been duly appreciated, with only a slight caveat for long procurement tendering processes by the World Bank and ADA. There were very few – and minor only – complaints.
- All activities were effective: housing reconstruction, rehabilitation of schools, support to small-scale agriculture and SMEs, rehabilitation of roads and flood protection infrastructure (ongoing). Effective coordination, both internal (Project Steering committee) and external with PIMO, were key positive factors of success.
- Short-term impacts could be found in improved situation of vulnerable beneficiaries (better living standards in new housing); assisted SMEs (business quickly restarted or expanded); schools (better equipment, motivation of management); and infrastructure (better protection of areas at risk)
- Another valuable impact was achieved through the effective communication strategy which has led to increased positive perception of the EU by the wider public in Serbia; this may however have been partly overshadowed by the more recent migrants' crisis (as from 2015).

Secondary conclusions

- Added value of the Action has been found particularly high on two aspects:
 - i. Valuable complementarity of Action's selection criteria for the most vulnerable victims, with cash based assistance from state for all housing damages (technical categories 1-6), regardless of income; social destitution was often avoided
 - ii. external/international actors have ensured "neutral" and equal levels of assistance to all affected municipalities, out of the national political context
- However, much still remains to be done for DRR in Serbia; more investments are needed, especially for the Sector of Emergency Management and at municipality level; there are possible problems of maintenance/sustainability of roads and flood protection infrastructures.

Key lessons learnt and good practices

Regarding communication

- A lesson learnt by UNOPS about visibility is that events with the participation of high officials from the EUD and the Government have proven to be the most useful approach in communicating project results. Among these, it was acknowledged that the most effective were the events to which the EUD ambassador (Mr Davenport) took part and spoke fluent Serbian – a fact that was much appreciated.
- Another key lesson is the need for a targeted message (preferably with an appealing dedicated logo to complement the EU flag), considering that the usual motto "funded by EU" alone is not sufficient to convey a clear communication.

By DRC

- The “area/regional” approach covered by an NGO is useful as affected municipalities can meet to exchange experience and good practices.
- There must be a “focal point” in the municipality for coordination, and staff must be delegated to accompany monitoring by NGOs and checking of vulnerable households.
- Better to have an integrated communication strategy, as this is more effective than fragmented communication efforts by each NGO separately, with different approaches, messages and professionalism; UNOPS did a good work.

By FAO

- For women heads of farming households, it is important to make their life easier, and not give them even more work; for example, milking machines will spare them time...
- Regular advocacy and training are needed: “How do you keep people aware about the importance of DRR and resilience building in good times?”
- Risk insurance for agriculture – and all other categories of beneficiaries - is a must, but not a panacea: if disasters occur too often /regularly, insurances will disengage... There is a need for the government to impose transparent rules (such as they did for banks): insurance companies must offer contracts with fixed percentage for the whole length of a pre-defined period.

By ADA

- Considering the poor capacity of some national counterparts such as e.g. PWMC “Srbjiavode” to design infrastructures, it is crucial to hire an engineer consultant to review the design during a thorough inception period.

3.2. Main recommendations**Strategic level for EU**

- Among national DRR authorities, to focus support on the Sector for Emergency Management (Ministry of Interior).
- To pursue DRM strengthening and capacity building efforts undertaken by WB/GFDRR.
- To advocate significant systemic improvement in defining water management financing at the level of public water management companies, thus enabling at least mid-term planning - particularly at crucially important flood-protection/ prevention sector - through careful consideration and harmonisation (*aquis*) of all aspects of upcoming draft Law on Waters; to encourage careful reconsidering Strategy on Water Management 2016-2034 (which is due to be re-assessed in the first six years) in order to prioritise flood protection/prevention investments at least to be equally important in terms of budgetary planning²³ in compare to other water management sectors' investments, such as drinking-water factories, pollution purification / sewage infrastructure, etc.

²³ Reference: Table 59 on page 223 in the document of the Strategy on Water Management until 2034 (“Strategija upravljanja vodom 2016-2034”); according to the Financial projection for the said period, flood protection and prevention sector participates in the total projected budget with 3.40 % only, protection against erosion and torrential floods with 1.82 %, de-watering 4.56 % (total for protection against harmful influence of water participates with 9.77 %) while protection against pollution participates with 42.55 %, and the total water utilisation sector (drinking water supply, watering, etc) participates with 47.67 % in the total planned investment budget.

- To pursue support through NGOs for the most potentially at risk municipalities, focusing on resilience, and advocating for river basin associations of concerned municipalities.

Operational level

- To capture all lessons learnt and good practice from the Action and ensure institutional memory by drafting guidelines.
- To maintain a network of skilled implementing partners for future disasters.
- To support updating of the national damage and loss assessment methodology and aligning it with PDNA standards.
- Simultaneously, to support institutions at national and local levels who should be in a position to use the updated methodology.
- To support development of insurance schemes that cover all categories of potential beneficiaries (private households, small farms and enterprises) against a wider array of disasters; the system should be transparent and easily understood by all.

The Table of recommendations, including proposed follow-up action and implementation timeline is presented in Appendix 11.

4. Appendices to the report

Appendix 1 - Terms of Reference of the evaluation

SPECIFIC TERMS OF REFERENCE

Evaluation of contracts implemented and financed by IPA under the Flood recovery and prevention Action

Framework Contract SIEA 2018 - LOT 1 – Sustainable management of natural resources and resilience

EuropeAid/138778/DH/SER/Multi

Contracting Authority: European Union Delegation to the Republic of Serbia

EVALUATION OF CONTRACTS IMPLEMENTED AND FINANCED BY IPA UNDER THE FLOOD RECOVERY AND PREVENTION ACTION¹

1.BACKGROUND³

- 1.1 RELEVANT COUNTRY / REGION / SECTOR BACKGROUND³
- 1.2 THE ACTION TO BE EVALUATED⁵
- 1.3 STAKEHOLDERS OF THE ACTION⁷
- 1.4 OTHER AVAILABLE INFORMATION⁷

2.DESCRPTION OF THE EVALUATION ASSIGNMENT¹⁰

- 2.1 OBJECTIVES OF THE EVALUATION¹⁰
- 2.2 REQUESTED SERVICES¹¹
- 2.3 PHASES OF THE EVALUATION AND REQUIRED DELIVERABLES¹³
- 2.4 SPECIFIC CONTRACT ORGANISATION AND METHODOLOGY (TECHNICAL OFFER)¹⁶
- 2.5 MANAGEMENT AND STEERING OF THE EVALUATION¹⁷
- 2.6 LANGUAGE OF THE SPECIFIC CONTRACT¹⁷

3.EXPERTISE REQUIRED¹⁷

- 3.1 NUMBER OF EXPERTS AND OF WORKING DAYS PER CATEGORY¹⁷
- 3.2 EXPERTISE REQUIRED¹⁸
- 3.3 PRESENCE OF MANAGEMENT TEAM FOR BRIEFING AND/OR DEBRIEFING¹⁹

4.LOCATION AND DURATION¹⁹

- 4.1 STARTING PERIOD¹⁹
- 4.2 FORESEEN DURATION¹⁹
- 4.3 PLANNING¹⁹
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5.REPORTING¹⁹

- 5.1 CONTENT, TIMING AND SUBMISSION¹⁹
- 5.2 USE OF THE EVAL MODULE BY THE EVALUATORS²⁰
- 5.3 COMMENTS ON THE OUTPUTS²¹
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- 5.5 LANGUAGE²¹
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ANNEX I: SPECIFIC TECHNICAL EVALUATION CRITERIA²²

ANNEX II: INFORMATION THAT WILL BE PROVIDED TO THE EVALUATION TEAM²³

ANNEX III: STRUCTURE OF THE FINAL REPORT AND OF THE EXECUTIVE SUMMARY²⁴

ANNEX IV: PLANNING SCHEDULE²⁶

ANNEX V: QUALITY ASSESSMENT GRID²⁷

ANNEX VI(A): IPA 2012 LFM³¹

ANNEX VI(B): IPA 2014 LFM³⁴

1. BACKGROUND

1.1 Relevant country / region / sector background

The Republic of Serbia is located at the crossroads of Central and Southeast Europe and is the central part of the Balkans, spreading over an area of 77,474km². Its population is 7,498,000, with 1,576,000 living in Belgrade. Life expectancy at birth is 72, much lower than the EU average of 79.4.

The European Council granted Serbia the status of candidate country on 1 March 2012. The accession negotiations formally started in January 2014, and, following progress in dialogue with Kosovo*²⁴ and in some areas of the acquis, the first two chapters of negotiations were opened in December 2015, chapters 32 (provisionally closed) and chapter 35. In 2016, chapters 5, 23, 24 and 25 were opened in Serbia's EU accession negotiations, and chapter 25 was provisionally closed. In February 2017 chapters 20 and 26 were opened and provisional closing of chapter 26. In June 2017 another two chapters were opened at the Sixth Intergovernmental Conference in Luxembourg: Chapter 7 – Intellectual Property and Chapter 29 – Customs Union. On 25th June 2018 two more chapters have been opened – 13 and 33. To date, out of 35 chapters of EU Law to be screened, 14 have been opened (and two provisionally closed).

In its country report on Serbia in November 2016, the European Commission indicated the following outstanding issues on meeting the accession criteria: sustainable progress in the areas of rule of law and normalisation of relations with Kosovo; continued economic reforms, with particular emphasis on restructuring state owned enterprises and public utilities. The report noted Serbia's leading role in the region is instrumental in improving regional ties and preserving stability. Serbia has been affected by the migration crisis and played an active and constructive role and cooperated with neighbouring countries and Member States while managing mixed migration flows.

Relations between the EU and Serbia

Within the framework of the accession negotiations, fourteen chapters have been opened (5 – public procurement; 6 – company law; 7 – intellectual property law; 13 – Fisheries; 20 – enterprise and industrial policy; 23 – judiciary and fundamental rights; 24 – justice, freedom, security; 25 – science and research; 26 – education and culture; 29 – customs union; 30 – external relations; 32 – financial control; 33 – Financial and Budgetary Provisions; 35 – other issues / normalisation of relations between Serbia and Kosovo), two of which have been provisionally closed (chapters 25 and 26). Serbia tabled its negotiating positions on chapters 9, 13, 33, 17 and 18. Serbia was also invited to table its negotiating positions on chapters 2, 4, 10, 14, 21, 27 and 28.

Serbia is participating in the Stabilisation and Association Process. Serbia has continued to build a track record in implementing the obligations of the Stabilisation and Association Agreement (SAA). Compliance issues remain in the area of state aid and fiscal discrimination on alcohol. As of 1 September 2017, capital flows between the EU and Serbia should have been fully liberalised. However, restrictions on intra-company lending and sales of agricultural land remain. Since May 2017, Serbia has introduced a number of restrictions concerning exports of non-hazardous waste leading to a temporary halt in the issuance of export licences. Serbia should address all these compliance issues as a matter of priority.

Regular political and economic dialogue between the EU and Serbia has continued. Meetings of the Stabilisation and Association (SA) Council took place in December 2016 and November 2017. Sub-committee meetings were held, together with a meeting of a special group on public administration reform. The SA Parliamentary Committee met in September and December 2017. Serbia continues to participate in the multilateral economic dialogue with the Commission and EU Member States to prepare for participation in multilateral surveillance and EU economic policy coordination.

²⁴ This designation is without prejudice to positions on status, and is in line with UNSCR 1244 and the ICJ Opinion on the Kosovo Declaration of Independence."

As part of the new approach to economic governance, Serbia adopted its fourth economic reform programme and is implementing reforms recommended by the Economic and Financial Affairs Council. Further efforts are needed to improve the capacity for economic planning, inter-ministerial coordination and implementation.

Visa-free travel for citizens of Serbia travelling to the Schengen area has been in force since December 2009. A readmission agreement between the European Union and Serbia has been in force since 2008. As part of the visa suspension mechanism report, the Commission is monitoring and reporting on the continuous fulfilment of the visa liberalisation benchmarks. The mechanism enables the EU, under certain conditions, to temporarily suspend visa-free travel for nationals of a certain country in case of a substantial increase of migratory or security risk as well as in case of non-fulfilment of visa liberalisation benchmarks. The first monitoring report under the suspension mechanism has been adopted on 20 December 2017.

Under IPA II, Serbia continues to benefit from pre-accession assistance with a total indicative allocation of EUR 1.5 billion for the period 2014-2020. The IPA National Programme 2017 amounts to EUR 138.2 million overall, with most of the funding supporting alignment with the EU acquis, justice, energy and environment. An additional EUR 25 million have been allocated to the IPA Rural Development programme (IPARD). To support Serbia in border and migration management following the refugee crisis of 2015-2016, the Commission has allocated up to EUR 77.6 million which are already under implementation, while in December an action of EUR 12 million has been approved by the Board of the EU Trust Fund in response to the Syria Crisis to support Serbia in responding to the needs of the migrants present in Serbia, covering in particular costs incurred in food provision and protection. In addition, Serbia is benefiting from the European Instrument for Democracy and Human Rights (EIDHR).

Serbia continues to actively participate in EU programmes, including Horizon 2020; COSME; Customs and Fiscalis 2020; Erasmus+ and Creative Europe; Europe for Citizens; Employment and Social Innovation.

The May 2014 floods

Heavy rainfall-driven floods hit 119 of a total of 160 Serbian municipalities with 1.6 million residents in mid-May.

Thirty-three people perished in the floods, almost 32,000 citizens evacuated (24,000 from the Belgrade city municipality of Obrenovac alone) and damage inflicted to agriculture, infrastructure and buildings, is measurable in hundreds of millions of euros. The Government reported that more than 2.260 buildings were flooded, over 1.800 damaged, above 30.000 households are left without electricity. Thirty bridges were demolished and 50 damaged on essential roads, while 200 bridges were affected on municipal or secondary roads, i.e. damages were registered on 3.700 kilometres of roads, mainly in western and central parts of the country. An emergency was declared on May 15 as consequence of the flood.

The EU reacted quickly to Serbia's request on 15 May last year. Within hours, 22 EU Member States offered helicopters, dozens of high capacity pumping modules and pumps, rescue boats, and other supplies. Agreed equipment and more than 300 specialists quickly deployed and worked for weeks in flooded areas with their Serbian colleagues. The European Commission's Emergency Response Coordination Centre worked with the Serbian authorities to match the incoming offers for assistance with needs on the ground. Teams of EU civil protection and EU humanitarian aid experts worked hand in hand with the Serbian authorities and humanitarian organisations. EU humanitarian aid filled the most critical gaps and immediate needs, providing clean drinking water, water purification tablets, repair of wells, food, hygiene and household kits, blankets and mattresses. The European Commission also provided satellite maps of the flooded areas to support the planning and provision of assistance.

Tens of millions of Euros of EU funds were channelled to start the reconstruction effort. Since then, the EU financed the construction of 225 new houses and the reconstruction of 2,414 homes; 36,712 families received EU-sponsored essential means such as seeds and fertilisers. The EU funded the reconstruction of 16 elementary and high schools and one kindergarten. Nearly 1,200 Serbian small businesses restarted or recovered in the flooded areas with the EU help. In addition, the supply of potable water in Trstenik was restored, and the reconstruction of 12 kilometres of the road between Krupanj and Korenita (for additional information please see <http://eufloodreliefsrbia.org/>).



Overall, the EU provided more than €171 million in non-refundable grants for addressing consequences of floods in Serbia. This includes €60.2 million from the EU Solidarity Fund, to which Serbia had access on the same basis as EU Member States.

On 16 April 2015, Serbia signed an agreement to join the EU's Civil Protection Mechanism, a well-established framework for disaster management cooperation and a system for emergency response coordination, which proved its effectiveness a year ago.

The reconstruction effort continues with a strong focus on preventive measures from the IPA 2014 allocation of grant funding.

1.2 The Action to be evaluated²⁵

Scope of evaluation will be 13 projects/contracts concluded under the 2012 IPA Serbia National Programme allocations and as separate 2014 IPA Special measure for floods. Flood relief related allocations are embraced under two separate decisions:

- IPA 2012 Decisions: 2012/022-967, Priority Axis: Support to the reconstruction of flood affected areas in Serbia. 5 contracts to be evaluated.
- IPA 2014 Decision 2014/037-788, Special measure for floods. 8 contracts to be evaluated.

²⁵ The term 'Action' is used throughout the report as a synonym of 'project and programme'.

Both decisions consist of the numerous contracts among which some activates already ended, three of them still ongoing. The list of contracts is provided in section 1.4.

Evaluation shall be combined mid-term/ex-post evaluation and should take into account all contracts contracted under the decisions mentioned above.

IPA 2012: Support to the reconstruction of flood affected areas in Serbia

Overall objective of the action was to support the actions of the Government of the Republic of Serbia toward the reconstruction of flood affected areas (see Annex VI(a) below).

Specific objective of the actions was to contribute to the implementation of the short and mid-term efforts of the Government of Serbia for reconstruction of flood-affected areas through support for the priorities in the area of reconstruction and repair of public buildings and housing.

Expected results were as follows:

- Reconstruction and repair of public buildings in selected municipalities and purchasing of necessary equipment for regular provision of public services and the health protection of the population;
- Implementation of activities related to private housing units through delivery of building construction material packages, reconstruction of damaged private housing selected on the basis of the multi-criteria analyses taking into account social position of the affected families, number of family member's existence of temporary accommodation solutions etc., as well as basic house appliances;
- Provision of economic self-reliance support to the most vulnerable affected persons (entrepreneurs, SMEs and agriculture holding owners) through delivery of small grants for basic facilities reparations, renewing of equipment and operating materials to restart and maintain the business operations, in a number of selected municipalities;
- Reconstruction of the part of the heavily damaged road and public infrastructure network.

IPA 2014: Special measure for floods

Overall objective of the action was to assist Serbia in the recovery effort in the aftermath of the catastrophic floods of May 2014 and to create conditions for flood prevention and reaction in emergency situations (see Annex VI(b) below).

Specific objectives of the actions were as follows:

- To enhance disaster risk management /flood prevention systems and the mitigation of immediate energy and water supply risks;
- To rehabilitate flood protection infrastructure;
- To rehabilitate damages caused by landslides to road transport network;
- To provide additional assistance to cover for additional needs in housing and income generation, as well as the assistance to the Office for Reconstruction and Flood Relief (renamed to Public Investment Management Office end of 2015).

1.3Stakeholders of the Action

The beneficiaries of this thematic evaluation will be the European Commission and the beneficiaries of the assistance covered by it. The stakeholders for this evaluation include:

IPAI beneficiary stakeholders include (non-exhaustive list):

- Public authorities of the Republic of Serbia responsible in the flood prevention actions, including Ministries of Agriculture, Forestry and Water management, Ministry of Interior, Ministry of Environment etc.
- National IPA Coordinator – Ministry of European Integration;

EC stakeholders (non-exhaustive list):

- EU Delegation to the Republic of Serbia;
- DG NEAR Directorate D; Unit D.2;

Other stakeholders (non-exhaustive list):

- Civil Society Organisations;

1.4 Other available information

Factsheet on the use of EU funds under contracts to be evaluated

- The EU supported the construction of 225 new houses in total, or 96 more compared to 129 planned in project documents. In addition to this, a social housing building in Obrenovac for 32 families was completed.
- The EU supported the reconstruction of 2,414 homes in total, or 1,656 more compared to 758 planned in the project documents.
- 1,171 micro and small enterprises were supported to restore income generation through provision of building material for the reconstruction of their premises, equipment and raw materials (this is 875 more compared to the 296 planned).
- 15 elementary and high schools and one kindergarten were reconstructed.
- Three infiltration lakes in Trstenik were rehabilitated; as a result, the supply of the potable water to more than 15,000 people is now stable.
- 36,712 farming families timely received wheat seeds, fertilisers, fruit seedlings, animal feed, milking equipment, 21,712 more compared to 15,000 families planned.
- 60.6 tonnes of mosquito control products were provided to 63 municipalities on time to reduce the risk of spreading infective diseases.
- The reconstruction of 11.5 kilometres of the road between Krupanj and Korenita, which is of high importance to the citizens was completed as planned. The reconstruction eased the transportation for 547,500 people annually.
- Technical support to the Government of Serbia Flood Affected Areas Assistance and Recovery Office is ongoing.

The reconstruction effort continues with a strong focus on preventive measures from the IPA 2014 allocation of grant funding. Apart from the above assistance provided, the EU supported Serbia also in the medium to long term with new IPA money allocated for the period 2014-2020. On this basis, the EU is currently implementing IPA funding to support further infrastructure reconstruction, improve river and flood risk management from a regional perspective. This will help to better anticipate and mitigate risks as well as improve civil protection mechanisms in case of natural disasters in the future.

The following projects (grant contracts) related to the floods relief and subject to this evaluation are completed to date, the last three of which are still under implementation:

IPA 2012

- Provision of housing reconstruction and economic revitalisation to most vulnerable flood-affected families in Serbia (ARBEITER-SAMARITER-BUND DEUTSCHLAND EV - ASB)

- EUR 2,903 million (Start date of implementation: 01/08/2014; End date of implementation: 31/07/2015);
- Supporting Recovery of Floods Affected Households and Local Economies in Serbia (DANISH REFUGEE COUNCIL – DRC) EUR 2.416 million (Start date of implementation : 26/07/2014; End date of implementation: 25/07/2015);
- Urgent rehabilitation of flood affected communities in Serbia (HELP - HILFE ZUR SELBSTHILFE EV) – EUR 2.36 million (Start date of implementation : 25/07/2014; End date of implementation: 24/05/2015);
- Agricultural and Food Security Emergency Assistance to Flood Affected Small-scale Farmers in Serbia (FOOD AND AGRICULTURE ORGANISATION OF THE UNITED NATIONS - FAO) – EUR 7.9 million (Start date of implementation: 23/08/2014; End date of implementation: 22/05/2016);
- Serbia Floods Rehabilitation Support (UNITED NATIONS OFFICE FOR PROJECT SERVICES - UNOPS) – EUR 14 million (Start date of implementation: 05/08/2014; End date of implementation: 31/01/2017);

IPA 2014

- Continuous support in housing reconstruction and economic revitalisation of flood-affected areas in Serbia (ARBEITER-SAMARITER-BUND DEUTSCHLAND EV - ASB) – EUR 3,3 million (start date of implementation: 03/08/2015; end date of implementation : 02/07/2017);
- Supporting Recovery of Households and Local Economies in Serbia Affected by Severe Floods in May and September 2014 (DANISH REFUGEE COUNCIL – DRC) EUR 3.7 million (Start date of implementation : 03/08/2015; End date of implementation : 30/06/2017);
- European Union Assistance on flood relief in Serbia, phase II (HELP - HILFE ZUR SELBSTHILFE EV) – EUR 2.699 million (Start date of implementation : 03/08/2015; End date of implementation: 03/07/2017);
- Agriculture and Food Security Emergency Assistance to Flood Affected Small-scale Farmers in Serbia (FOOD AND AGRICULTURE ORGANISATION OF THE UNITED NATIONS - FAO) – EUR 1.5 million (Start date of implementation: 11/11/2015; End date of implementation: 10/11/2016);
- European Union assistance on Flood Relief in Serbia - phase II (UNITED NATIONS OFFICE FOR PROJECT SERVICES - UNOPS) – EUR 0.8 million (Start date of implementation: 01/11/2015; End date of implementation: 31/10/2017);
- EU Support for the Reconstruction of the Road Structures Affected by the Floods in Serbia (UNITED NATIONS OFFICE FOR PROJECT SERVICES - UNOPS) – EUR 10.474 million (Start date of implementation: 02/01/2016; End date of implementation : 01/11/2019);
- Rehabilitation of Flood Protection Infrastructure (AUSTRIAN DEVELOPMENT AGENCY GMBH) – EUR 19 million (Start date of implementation: 28/12/2015; End date of implementation: 27/12/2019);
- Serbian National Disaster Risk Management Program Single-Donor Trust Fund (INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOPMENT) – EUR 6.15 million (Start date of implementation: 19/12/2015; End date of implementation: 18/12/2020).

Previous Evaluation for Grants related to floods relief:

As part of its regular monitoring & evaluation activities, the EU Delegation in Belgrade initiated in 2014 the evaluation of seven ongoing IPA and EIDHR-funded grant schemes, including the IPA 2012 Support to the reconstruction of flood affected areas in Serbia (EU Flood Relief Programme).

The aim of the evaluation was to assess results achieved so far by the various calls of proposals launched under these programmes in order to draw lessons for the future and inform the next programming cycle. In total, 5 grant projects were awarded without call for proposals (direct award) under the EU Flood Relief programme for a total amount of EUR 30 million.

According to the evaluation report, the Flood Relief programme was on track and results achieved thus far should have made it possible to reach and even exceed original targets.

Regarding the housing component, by the end of October 2014 a total of 787 households have been selected for reconstruction works and 130 households for the construction of new houses across 31 municipalities.

According to these numbers, the programme covered approximately 4% of the total number of houses reported damaged or destroyed in the Recovery Needs Assessment. The programme will have covered 57% of the needs originally identified by the municipalities. However, these figures are not yet final. By the end of 28 October, 2014 housing contracts had been signed for a total value of EUR 4.4 million. This represents almost 50% of all resources allocated to housing across the four housing grants. A great majority of works on these contracts should have been completed by the end of the year depending on weather conditions.

Regarding the economic component, 389 small businesses have been selected for income-generation grants. This corresponds to 25% of needs identified by municipalities. Although some tenders had been launched, no contracts were awarded by the end of October.

Regarding support to agriculture, 17,561 small scale farming families have been selected to receive recovery support consisting of seeds and seedlings, animal feed, livestock and/or equipment. By the end of October 2014, 8 contracts for a total value of EUR 1,3m had been awarded. This represents 19% of all resources allocated for agricultural packages.

Regarding the public buildings component, 23 contracts have been signed for a total value of EUR 1.2 million. This represented 70% of all resources allocated to public buildings. Works should have been completed in all educational establishments during November 2014.

Regarding support to public infrastructure, a contract has been signed for a total value of EUR 4.5 million with Serbian Roads to rehabilitate a major communication axis for the municipality of Krupanj. This represents 100% of all resources allocated to the component.

The programme was also ensuring the effective operation of the Government Office for Reconstruction and Flood Relief, in particular through the provision of salaries to staff members and consultancy fees of professional engineers. End of October, 4 contracts had been signed for a total value of EUR 0.2 million or 20% of the total amount allocated to this sub-component.

2. DESCRIPTION OF THE EVALUATION ASSIGNMENT

Type of evaluation	Ex-post/Mid-term Evaluation
Coverage	<ul style="list-style-type: none"> IPA 2012 Decisions 2012/022-967, Priority Axis: Support to the reconstruction of flood affected areas in Serbia. Value: EUR 30,000,000.00. IPA 2014 Decision 2014/037-788, Special measure for floods. Value: EUR 72,000,000.00.
Geographic scope	Republic of Serbia
Period to be evaluated	From 01/07/2014 to 31/12/2018

2.1 Objectives of the evaluation

Systematic and timely evaluation of its programmes and activities is an established priority of the European Commission. The focus of evaluations is on the assessment of achievements, the quality and the results of Actions in the context of an evolving cooperation policy with an increasing emphasis on result-oriented approaches and the contribution towards the implementation of the SDGs.

From this perspective, evaluations should look for evidence of why, whether or how these results are linked to the EU intervention and seek to identify the factors driving or hindering progress.

Evaluations should provide an understanding of the cause and effect links between: inputs and activities, and outputs, outcomes and impacts. Evaluations should serve accountability, decision making, learning and management purposes.

The main objectives of this evaluation are to provide the relevant services of the European Union, the interested stakeholders and the wider public with:

- an overall independent assessment of the past performance of the Flood recovery and prevention Action, paying particular attention to its intermediate results measured against its expected objectives; and the reasons underpinning such results;
- key lessons and recommendations in order to improve current and future Actions.

In particular, this evaluation will serve to maximise the impact of pre-accession assistance in Serbia by ensuring sustainability and impact through the provision of an evaluation assessment for the benefit of the Contracting Authority.

The main users of this evaluation will be:

- relevant services of the European Union, i.e. EU Delegations to Serbia and DG NEAR Headquarters;
- interested stakeholders as presented in section 1.3.

2.2 Requested services

2.2.1 Scope of the evaluation

The evaluation will assess the Action using the five standard DAC evaluation criteria, namely: relevance, effectiveness, efficiency, sustainability and early signs of impact. In addition, the evaluation will assess two EU specific evaluation criteria:

- ☐ the EU added value (the extent to which the Action adds benefits to what would have resulted from Member States' interventions only);
- ☐ the coherence of the Action itself, with the EU strategy in the Republic of Serbia and with other EU policies and Member State Actions.

The evaluation team shall furthermore consider whether gender, environment and climate change were mainstreamed; the relevant SDGs and their interlinkages were identified; the principle of Leave No-One Behind and the rights-based approach methodology was followed in the identification/formulation documents and the extent to which they have been reflected in the implementation of the Action, its governance and monitoring.

2.2.2 Indicative Evaluation Questions

The specific Evaluation Questions as formulated below are indicative. Based on the latter and following initial consultations and document analysis, the evaluation team will discuss them with the Evaluation Manager and propose in their Inception Report a complete and finalised set of Evaluation Questions

with indication of specific Judgement Criteria and Indicators, as well as the relevant data collection sources and tools.

Once agreed through the approval of the Inception Report, the Evaluation Questions will become contractually binding.

RELEVANCE

- To what extent are the project objectives relevant to the pre-accession objectives and current EU priorities?
- To what extent are the objectives at different level clear, measurable and realistic?
- To what extent do programming and monitoring mechanisms include SMART (Specific, Measurable, Available, Relevant and Time-bound) indicators to measure progress towards achievement of objectives?
- How well did the financial assistance respond to the specific needs of the countries in the targeted sectors?

EFFECTIVENESS and EFFICIENCY

- Did the assistance reach the objectives set out in both IPA 2012 and IPA 2014 flood projects in an effective and efficient way?
- To what extent has financial assistance been effective in achieving the foreseen results?

IMPACT and SUSTAINABILITY

- Were the immediate and intermediate results delivered by the evaluated assistance translated into the desired and expected impacts? To what extent did they contribute to achieve the strategic objectives and priorities linked to reconstruction? Can impacts be sufficiently identified and quantified?
- Were the achieved results sustainable, especially in terms of retaining improved administrative capacity and maintenance of provided investment?
- What was the impact of this assistance? Were there additional (negative or positive) impacts?
- Were the identified impacts sustainable?
- Were there elements which could hamper the impact and/or sustainability of assistance? If yes, what measures could be undertaken to prevent negative effects of such elements.
- To what extent was the support provided by the EC coherent and complementary to the national budget and other donors?
- Have suitable and appropriate indicators been established, allowing for reasonable and efficient measuring of results, outcomes and, when applicable, impacts? If yes are they SMART? Which better indicators can be proposed (including baselines and targets) at sector and policy objective level?
- Are the indicators in line with the overarching sector strategies and policy priorities?
- Has sustainable capacity been created in the beneficiary institutions to manage policy challenges and future assistance?
- Was the institutional framework adequate to deliver programmes in a sustainable manner?
- Cost/benefit analysis of the type of support either on contract or project level (e.g. table listing costs on one hand in terms of time and money, and sustainable outcomes and impact achieved on the other).

- Has EU assistance achieved maximum visibility? Did the implemented visibility activities succeed in conveying key strategic messages justifying the delivered assistance?

ADDED VALUE

- What is the added value of EU interventions, compared to what could be achieved by the partner country?
- Which areas, within the field of flood prevention and rehabilitation/reconstruction of the flooded areas, do not require the involvement of EU support because they are adequately covered by other donors?

COHERENCE, COORDINATION AND CONSISTENCY

- To what extent did the projects take into consideration and interconnect with already existing national authorities' policies and strategies in support to flood prevention and rehabilitation/reconstruction of the flooded areas?
- To what extent did the projects overlap with interventions of other donors?

Lesson learnt and recommendations to an extent relevant and applicable:

- Which lessons can be learnt from the implementation of assistance?
- What were the weaknesses and strengths of delivered assistance?
- How could financial assistance be better coordinated and aligned with ongoing reforms to improve effectiveness, impact and sustainability?
- Which are the key success factors (max 3 to 4) for effective and efficient implementation of assistance?
- Which type of assistance achieved the most sustainable results under the provided assistance and what were the reasons behind this?
- What are the needs in specific sectors not covered so far by the assistance?

The final version of the Evaluation questions will be agreed with the EUD at the end of the inception phase.

For each evaluation question there should be at least one appropriate judgement criterion, and for each such criterion the appropriate quantitative and qualitative indicators should be identified and specified. This, in turn, will determine the appropriate scope and methods of data collection. Apart from specific answers, the evaluation questions should also lead the evaluators to produce an overall assessment of EU support in Serbia implemented by grants related to flood relief.

2.3 Phases of the evaluation and required deliverables

The evaluation process will be carried out in four phases:

- Inception
- Desk
- Field
- Synthesis

The outputs of each phase are to be submitted at the end of the corresponding phases as specified in the synoptic table in section 2.3.1.

2.3.1 Synoptic table

The following table presents an overview of the key activities to be conducted during each phase (not necessarily in chronological order) and lists the deliverables to be produced by the team, including the key meetings with the Contracting Authority and the Reference Group. The main content of each output is described in Chapter 5.

Phases of the evaluation	Key activities	Deliverables and <i>meetings</i>
<u>Inception Phase</u>	<ul style="list-style-type: none"> Initial document/data collection and definition of methods of analysis Background analysis Initial interviews Reconstruction of Intervention Logic, incl. objectives, specific features and target beneficiaries Methodological design of the evaluation (Evaluation Questions with judgement criteria, indicators and methods of data collection and analysis) and evaluation matrix 	<ul style="list-style-type: none"> <i>Kick-off meeting</i> Inception report
<u>Desk Phase</u>	<ul style="list-style-type: none"> In-depth document analysis (focused on the Evaluation Questions) Interviews Identification of information gaps and of hypotheses to be tested in the field phase Methodological design of the Field Phase 	<ul style="list-style-type: none"> Desk report Meeting with the Reference Group
<u>Field Phase</u>	<ul style="list-style-type: none"> Gathering of primary evidence with the use of the most appropriate techniques Data collection and analysis 	<ul style="list-style-type: none"> Initial meetings at country level with EU Delegation, the NIPAC offices and selected final beneficiaries Intermediary presentation to the Reference Group (face to face) <i>Debriefing with the Reference Group</i> (face to face)
<u>Synthesis phase</u>	<ul style="list-style-type: none"> Final analysis of findings (with focus on the Evaluation Questions) Formulation of the overall assessment, conclusions and recommendations Reporting 	<ul style="list-style-type: none"> Draft Final Report Executive Summary according to the standard template published in the EVAL module Final Report Slide presentation Meeting with the Reference Group (face to face)

2.3.2 Inception Phase

This phase aims at structuring the evaluation and clarifying its key issues to be addressed.

The phase will start with a kick-off session in Belgrade between EUD to Serbia representatives and the evaluators. Half-day presence of evaluators is required. The meeting aims at arriving at a clear and shared understanding of the scope of the evaluation, its limitations and feasibility. It also serves to

clarify expectations regarding evaluation outputs, the methodology to be used and, where necessary, to pass on additional or latest relevant information.

In the Inception phase, the relevant documents will be reviewed (see annex II).

Further to a first desk review of the political, institutional and/or technical/cooperation framework of EU support to the Republic of Serbia/Flood relief, the evaluation team, in consultation with the Project Manager, will reconstruct the Intervention Logic of the Action to be evaluated.

Furthermore, based on the Intervention Logic, the evaluators will develop a narrative explanation of the logic of the Action that describes how change is expected to happen within the Action, all along its results chain, i.e. Theory of Change. This explanation includes an assessment of the evidence underpinning this logic (especially between outputs and outcomes, and between outcomes and impact), and articulates the assumptions that must hold for the Action to work, as well as identification of the factors most likely to inhibit the change from happening.

Based on the Intervention Logic and the Theory of Change the evaluators will finalise i) the Evaluation Questions with the definition of judgement criteria and indicators, the selection of data collection tools and sources, ii) the evaluation methodology, and iii) the planning of the following phases.

The methodological approach will be represented in an Evaluation Design Matrix , which will be included in the Inception Report. The methodology of the evaluation should be gender sensitive, contemplate the use of sex- and age-disaggregated data and demonstrate how actions have contributed to progress on gender equality.

The limitations faced or to be faced during the evaluation exercise will be discussed and mitigation measures described in the Inception Report. Finally, the work plan for the overall evaluation process will be presented and agreed in this phase; this work plan shall be in line with that proposed in the present Terms of Reference. Any modifications shall be justified and agreed with the Evaluation Manager.

On the basis of the information collected, the evaluation team should prepare an Inception Report; its content is described in Chapter 5.

2.3.3 Desk Phase

This phase is when the document analysis takes place. The analysis should include a brief synthesis of the existing literature relevant to the Action.

The analysis of the relevant documents shall be systematic and reflect the methodology developed and approved during the Inception Phase.

Selected interviews with the project management, the EUD to Serbia and key partners in the Republic of Serbia may be conducted during this phase as to support the analysis of secondary sources.

The activities to be conducted during this phase should allow for the provision of preliminary responses to each evaluation question, stating the information already gathered and its limitations. They should also identify the issues still to be covered and the preliminary hypotheses to be tested.

During this phase the evaluation team shall furthermore define the evaluation tools to be used during the Field Phase and describe the preparatory steps already taken and those to be taken for its organisation, including the list of people to be interviewed, dates and itinerary of visits, and attribution of tasks within the team.

At the end of the desk phase a Desk Note will be prepared; its content is described in Chapter 5.

A presentation by the evaluation team to the Reference Group will take place in Belgrade. One day presence of all the experts is required.

2.3.4 Field Phase

The Field Phase starts after approval of the Desk Note by the Evaluation Manager.

The Field Phase aims at validating / changing the preliminary answers formulated during the Desk phase and bringing further information through primary research.

If any significant deviation from the agreed work plan or schedule is perceived as creating a risk for the quality of the evaluation, these elements are to be immediately discussed with the Evaluation Manager and, regarding the validity of the contract, corrective measures undertaken.

In the first days of the field phase, the evaluation team shall hold a briefing meeting with the EUD to Serbia, local authorities and other relevant stakeholders.

During the field phase, the evaluation team shall ensure adequate contact and consultation with, and involvement of the different stakeholders; with the relevant government and local authorities. Throughout the mission the evaluation team shall use the most reliable and appropriate sources of information, respect the rights of individuals to provide information in confidence, and be sensitive to the beliefs and customs of local social and cultural environments.

At the end of the field phase, the evaluation team shall summarise its work, analyse the reliability and coverage of data collection, and present preliminary findings in a meeting with the Reference Group.

At the end of the Field Phase an Intermediary Note will be prepared; its content is described in Chapter 5.

2.3.5 Synthesis Phase

This phase is devoted to the preparation by the contractor of two distinct documents: the Executive Summary and the Final Report, whose structures are described in the Annex III; it entails the analysis of the data collected during the desk and field phases to answer the Evaluation Questions and preparation of the overall assessment, conclusions and recommendations of the evaluation.

The evaluation team will present, in a single Report with Annexes, their findings, conclusions and recommendations in accordance with the structure in Annex III; a separate Executive Summary will be produced as well, following the compulsory format given in the EVAL module (see Annex III).

The evaluation team will make sure that:

- Their assessments are objective and balanced, statements are accurate and evidence-based, and recommendations realistic and clearly targeted.
- When drafting the report, they will acknowledge clearly where changes in the desired direction are known to be already taking place.
- The wording, inclusive of the abbreviations used, takes into account the audience as identified in art. 2.1 above.

The evaluation team will deliver and then present in Belgrade the Draft Final Report to the Reference Group to discuss the draft findings, conclusions and recommendations. One day of presence is required of a team leader.

The Evaluation Manager consolidates the comments expressed by the Reference Group members and sends them to the evaluation team for the report revision, together with a first version of the Quality Assessment Grid (QAG) assessing the quality of the Draft Final Report. The content of the QAG will be discussed with the evaluation team to verify if further improvements are required, and the evaluation team will be invited to comment on the conclusions formulated in the QAG (through the EVAL Module).

The evaluation team will then finalise the Final Report and the Executive Summary by addressing the relevant comments. While potential quality issues, factual errors or methodological problems should be corrected, comments linked to diverging judgements may be either accepted or rejected. In the latter instance, the evaluation team must explain the reasons in writing. After approval of the final report, the QAG will be updated and sent to the evaluators via EVAL Module.

2.4 Specific Contract Organisation and Methodology (Technical offer)

The invited Framework Contractors will submit their specific Contract Organisation and Methodology by using the standard SIEA template B-VII-d-i and its annexes 1 and 2 (B-VII-d-ii).

The evaluation methodology proposed to undertake the assignment will be described in the Chapter 3 (Strategy and timetable of work) of the template B-VII-d-i. Contractors will describe how their proposed methodology will address the cross-cutting issues mentioned in these Terms of Reference and notably gender equality and the empowerment of women. This will include (if applicable) the communication action messages, materials and management structures.

By derogation of what is specified in the standard SIEA template B-VII-d-i, the maximum length of the specific Contract Organisation and Methodology is 7 pages, written in Times New Roman 12 or Arial size 11, single interline, excluding the framework contractor's own annexes (maximum length of such annexes: 3 pages), additional to the Annexes foreseen as part of the present Specific ToRs. The timetable is not accounted and may be presented on an A3 page.

2.5 Management and Steering of the evaluation

2.5.1 At the EU level

The evaluation is managed by the Evaluation Manager of the EUD to Serbia; the progress of the evaluation will be followed closely with the assistance of a Reference Group consisting of members of EU Services, as identified in section 1.3 of these Terms of Reference.

The main functions of the Reference Group are:

- To define and validate the Evaluation Questions.
- To facilitate contacts between the evaluation team and the EU services and external stakeholders.
- To ensure that the evaluation team has access to and has consulted all relevant information sources and documents related to the Action.
- To discuss and comment on notes and reports delivered by the evaluation team. Comments by individual group members are compiled into a single document by the Evaluation Manager and subsequently transmitted to the evaluation team.
- To assist in feedback on the findings, conclusions, lessons and recommendations from the evaluation.
- To support the development of a proper follow-up action plan after completion of the evaluation.

2.5.2 At the Contractor level

Further to the Requirements set in the art. 6 of the Global Terms of Reference and in the Global Organisation and Methodology, respectively annexes II and III of the Framework contract SIEA 2018, the contractor is responsible for the quality of: the process; the evaluation design; the inputs and the outputs of the evaluation. In particular, it will:

- Support the Team Leader in its role, mainly from a team management perspective. In this regard, the contractor should make sure that, for each evaluation phase, specific tasks and outputs for each team member are clearly defined and understood.
- Provide backstopping and quality control of the evaluation team's work throughout the assignment.
- Ensure that the evaluators are adequately resourced to perform all required tasks within the time framework of the contract.

2.6 Language of the specific contract

The language of the specific contract is to be English.

3 EXPERTISE REQUIRED

3.1 Number of experts and of working days per category

The table below indicates the minimum number of evaluators and the minimum number of working days (overall and in the field), per category of experts to be foreseen by the Contractor.

Category of experts	Minimum number of evaluators	Total minimum number of working days (total)	(Out of which) minimum number of working days on mission (total)
Cat I	2	100	40
Cat II			
Cat III			

In particular, the Team Leader (to be identified in the Organisation and Methodology and in the Financial Offer) is expected to be a Cat I expert, possess a demonstrable senior evaluation expertise coherent with the requirements of this assignment and not provide less than 50 working days, out of which not less than 20 in the field (Republic of Serbia).

3.2 Expertise required

A team of two experts Category I is required. The experts will work in cooperation with each other, with one appointed as Team Leader.

The minimum requirements for each of the experts for this contract are as follows:

Expert Category I

Qualifications and skills

- The expert shall have at least a Master Degree – or, in its absence, professional experience of at least 6 years in addition to the minimum number of years of general experience specified below—in civil engineering, economics, law, social sciences, business administration/management, public administration, environment

General professional experience

- At least 12 years of professional experience in evaluation and monitoring of programmes/policies;

Specific professional experience

- At least 5 years of experience in performing evaluations of EU or other donors funded projects. Tender Evaluations, monitoring or impact assessments are not considered as relevant.
- Experience on minimum three EU or other donors funded projects on Flood disaster relief;
- Relevant expertise and/or professional experience in Western Balkans region would be an asset.
- Soft skills
- The experts will have excellent writing and editing skills.
- The team leader should have excellent communication, team co-ordination, presentation and proven report writing and editing skills in English.

Language skills

- The expert shall have an excellent command of English – both spoken and written.
- The knowledge of Serbian would be an asset

Languages levels are defined for understanding, speaking and writing skills by the Common European Framework of Reference for Languages available at

<https://europass.cedefop.europa.eu/en/resources/european-language-levels-cefr>

and shall be demonstrated by certificates or by past relevant experience.

The European Union pursues an equal opportunities policy. Gender balance in the proposed team, at all levels, is highly recommended.

The offer will include the CVs of all the experts. References relevant to the assignment must be highlighted in bold. The technical proposal should include a table showing how the proposed experts meet the above requirements. All experts will be independent and free of conflicts of interest.

3.3 Presence of management team for briefing and/or debriefing

The presence of member(s) of the management team is not required for briefing or debriefing purposes

4 LOCATION AND DURATION

4.1 Starting period

Provisional start of the assignment: January 2019.

4.2 Foreseen duration

Maximum duration of the assignment: 120 calendar days (including time for finalising the final report).

This overall duration includes working days, week-ends, periods foreseen for comments, for review of draft versions, debriefing sessions and distribution of outputs.

4.3 Planning

As part of the technical offer, the framework contractor must fill-in the timetable in the Annex IV (to be finalised in the Inception Report). The 'Indicative dates' are not to be formulated as fixed dates but rather as days (or weeks, or months) from the beginning of the assignment (to be referenced as '0').

Sufficient forward planning is to be taken into account in order to ensure the active participation and consultation with government representatives, national / local or other stakeholders.

4.4 Location(s) of assignment

The assignment will take place in Belgrade, with field visits, if needed, in flood affected areas (such as Obrenovac).

5 REPORTING

5.1 Content, timing and submission

The outputs must match quality standards. The text of the reports should be illustrated, as appropriate, with maps, graphs and tables; a map of the area(s) of Action is required (to be attached as Annex).

List of outputs:

	Number of Pages (excluding annexes)	Main Content	Timing for submission
Inception Report	25-30 pages	<ul style="list-style-type: none"> • Intervention logic • Stakeholder map • Methodology for the evaluation, incl.: <ul style="list-style-type: none"> ○ Evaluation Matrix: Evaluation Questions, with judgement criteria and indicators, and data analysis and collection methods ○ Consultation strategy ○ Field visit approach • Analysis of risks related to the evaluation methodology and mitigation measures • Work plan 	End of Inception Phase
Desk Report	25-30 pages	<ul style="list-style-type: none"> • Preliminary answer to each Evaluation Question, with indication of the limitations of the available information • Data gaps to be addressed, issues still to be covered and hypotheses to be tested during the field visit • Update of the field visit approach if relevant] • Update of the work plan of the following phases if relevant 	End of the Desk Phase
Intermediary Presentation	10-15 slides	<ul style="list-style-type: none"> • Activities conducted during the field phase • Difficulties encountered during the phase and mitigation measures adopted • Key preliminary findings (combining desk and field ones) 	End of the Field Phase
Draft Final Report	50-60 pages	<ul style="list-style-type: none"> • <u>Cf. detailed structure in Annex III</u> 	End of Synthesis Phase
Final report	50-60 pages	<ul style="list-style-type: none"> • Same specifications as of the Draft Final Report, incorporating any comments received from the concerned parties on the draft report that have been accepted 	2 weeks after having received comments to the Draft Final Report.
Executive Summary	5 pages	<ul style="list-style-type: none"> • Same specifications as for the Draft Executive Summary, incorporating any comments received from the concerned 	Together with the final version of the Final Report

	Number of Pages (excluding annexes)	Main Content	Timing for submission
		parties on the draft report that have been accepted	

5.2 Use of the EVAL module by the evaluators

It is strongly recommended that the submission of deliverables by the selected contractor be performed through their uploading in the EVAL Module, an evaluation process management tool and repository of the European Commission. The selected contractor will receive access to online and offline guidance in order to operate with the module during the related Specific contract validity.

5.3 Comments on the outputs

For each report, the Evaluation Manager will send to the Contractor consolidated comments received from the Reference Group or the approval of the report within 7 calendar days. The revised reports addressing the comments shall be submitted within 10 calendar days from the date of receipt of the comments. The evaluation team should provide a separate document explaining how and where comments have been integrated or the reason for not integrating certain comments, if this is the case.

5.4 Assessment of the quality of the Final Report and of the Executive Summary

The quality of the draft versions of the Final Report and of the Executive Summary will be assessed by the Evaluation Manager using the online Quality Assessment Grid (QAG) in the EVAL Module (text provided in Annex V). The Contractor is given – through the EVAL module - the possibility to comment on the assessments formulated by the Evaluation Manager. The QAG will then be reviewed following the submission of the final version of the Final Report and of the Executive Summary.

The compilation of the QAG will support/inform the compilation by the Evaluation Manager of the FWC SIEA's Specific Contract Performance Evaluation.

5.5 Language

All reports shall be submitted in English.

5.6 Number of report copies

Apart from their submission preferably via the EVAL Module, the approved version of the Final Report will be also provided in electronic version at no extra cost.

5.7 Formatting of reports

All reports will be produced using Font Arial or Times New Roman minimum letter size 11 and 12 respectively, single spacing, double sided. They will be sent in Word and PDF formats.

Appendix 2 - Short CVs of the evaluators and description of NIRAS

Evaluation Team contracted by NIRAS A/S:

1. **Michel Vanbruaene**, Evaluation Team Leader (Belgium)
2. **Predrag Rafailovic**, Evaluation Expert (Serbia)

Company contracted by the European Union Delegation to the Republic of Serbia for the Evaluation of contracts implemented and financed by IPA under the Flood recovery and prevention Action:

- **NIRAS International Consulting, NIRAS A/S Denmark** (on behalf of NIRAS-led consortium for the Framework Contract SIEA 2018 - LOT 1 – Sustainable management of natural resources and resilience/ EuropeAid/138778/DH/SER/Multi

NIRAS International Consulting is a part of the NIRAS Group, an international consulting firm with Nordic roots and values creating sustainable development solutions across the globe. The NIRAS Group works in a broad array of areas, it was established in Denmark in 1956; the NIRAS Group now has more than 2.200 employees in 51 offices in 27 countries, including Office in Belgrade, Serbia. NIRAS has projects in 108 countries, and its extensive experience in managing multiple similar framework-type projects secured professional procedures and systems necessary to deliver quality from day one. Its well-established network of in-house and external experts, as well as extensive global partner network allows to provide the best expertise on the market.

1. Summarised CV of the Evaluation Team Leader:

Mr. Michel Vanbruaene, born 1958, nationality and residence of Belgium, economist by trade and a graduate in oriental languages with extensive experience in international development cooperation, particularly from the Balkans. He gained valuable field management experience from performing humanitarian, transition and development evaluations since 1994 for ECHO and the EU external and neighbourhood cooperation. He led over 40 evaluations and reviews (see the Table below) for the EC, UN agencies, humanitarian and development donors and INGOs in most regions of the world and in all types of crisis situations. Proficient in developing evaluation methodologies adapted to humanitarian assistance, as well as in expertise in protection of the vulnerable, displacements, shelter/ housing, disaster risk reduction, recovery and resilience, as well as in institutional strengthening, international co-ordination, governance, and country/ regional strategic planning. His global expertise and experience has given him an in-depth understanding of the policies, strategies and field approaches followed by the Commission Services and the main implementing partners in complex emergencies and transition/LRRD contexts.

Table 2: Professional experience (only evaluations, monitoring, audit and studies/reviews)

Date	Location	Company/ CA	Position	Type of Consultancy
Jan-May 2019 [ong.]	Serbia	NIRAS/ EUD	TL	Evaluation
Aug – Oct 2018	Ethiopia, Niger, Côte d'Ivoire, Mozambique	Transtec/EUD	Evaluator	Mid-term evaluation
Jul 2017 – Mar 2018	Brussels, Rome, CAR, Senegal	Transtec/WFP	TL	Evaluation
Mar – Nov 2017	Brussels	Germex/EC	Evaluator	Interim evaluation
Aug 2016– Jan 2017	Brussels, Algeria, Morocco, Tunisia, Jordan, Lebanon	Particip/EC	TL	Final evaluation
Mar – Aug 2016	Brussels, Sudan, South Sudan	Particip/EC	Evaluator	Evaluation
Jan – Jul 2016	Brussels, Burundi	Transtec/WFP	TL	Evaluation
Jul – Nov 2015	Serbia, Montenegro, BiH, Croatia	Particip/EC	TL	Mid-term evaluation
Oct 2014 – Jul 2015	EU, Côte d'Ivoire, Nigeria, Benin	Prolog Consult/ Particip/EC	Deputy TL	Evaluation
Oct 2014 – May 2018	India	Tibet House Trust, UK/ EU-EIDHR	Senior Expert	Mid-term and final evaluations

Nov 2013 – Sep 2014	EU, Kenya, S. Sudan, India, Thailand, Philippines	Prolog Consult/ Particip/EC	TL	Mid-term evaluation
Oct – Dec 2013	Brussels, Jordan	Italtrend/EC	Evaluator	Evaluation
Oct – Nov 2013	Chad	Transtec/EC	TL	Evaluation finale
Aug 2013 – Jun 2014	Brussels, UK, OPT (West Bank, Gaza)	GDSI/DFID	TL	External review
Dec 2012 – Jul 2013	Brussels, Lebanon, Jordan, Kenya	Particip/EC	TL	Evaluation
May – Nov 2012	Brussels, Kenya, Ethiopia, Cambodia, Bangladesh	Germax Gerli/EC	TL	Evaluation
Jan 2011 – May 2012	Brussels, EU	Particip/EC	TL	Evaluation
Nov – Dec 2011	Kyrgyzstan	World Bank - SGS Netherland	Auditor	Independent Procurement Review
Oct - Dec 2011	Kosovo	Swiss Federal Dept of Foreign Affairs	TL	Evaluation
Jul – Oct 2011	Albania, BiH, Croatia, FYROM, Montenegro, Serbia	Hydea/ European Training Foundation	Senior Expert	Evaluation
Dec 2010 – Jun 2011	Brussels, EU	Germax Gerli/EC	Expert	EVHAC Review
Oct 2010- Jan 2011	Thailand (Burma/Myanmar)	Particip/EC	TL	Evaluation/ Strategy Orientation
July-Oct 2010	Brussels, EU, Haiti	Germax Gerli/EC	TL	Review
Apr – Jun 2010	DR Congo	Norwegian Refugee Council	TL	Evaluation
Aug 2009 – Feb 2010	Jordan, Syria, Iraq	Prolog Consult/EC	TL	Evaluation
Apr – May 2009	Kyrgyzstan	World Bank - SGS Netherland	Auditor	Independent Procurement Review
Oct 2008 – Apr 2009	Rome, DR Congo	Prolog Consult/WFP	TL	Evaluation
Apr – Jul 2008	Paris, FYR Macedonia	Prolog Consult/CEB	Project Manager	Ex-post evaluation
Jan – May 2008	Brussels, Bangkok, Beijing, North Korea	Prolog Consult/EC	TL	Final evaluation
May – Dec 2007	Brussels	Prolog Consult/EC	Project Manager	Drafting monitoring methodology
Dec 2006 – Dec 2007	Brussels, EU, East Africa	Prolog Consult/EC	TL	Drafting evaluation methodology
May – Jul 2006	Serbia	Prolog Consult/ Transtec/EAR	TL	Formulation and TOR drafting
Mar – Nov 2006	Denmark, Ukraine, Russia, Georgia, Turkey, Serbia, BiH, Kosovo	Prolog consult/ Landell-Mills/DANIDA	Lead Reviewer	Programme Review
Jul 2005 – Mar 2006	Brussels, EU Member States, Sri Lanka, Kenya, USA	Prolog Consult/EC	TL	Review of EVHAC
Jan – Jul 2005	Brussels, Kenya	Prolog Consult/EC	TL	Review
Jun – Dec 2004	Brussels, Kenya	Prolog Consult/EC	TL	Policy review
Apr - May 2004	Tunisia	World Bank -SGS Netherland	Auditor	Independent Procurement Review
Oct 2002 - Jul 2006	Brussels, Luxembourg	Prolog Consult/EC	Project Supervisor, TL	Several evaluations for DG ADMIN
Oct 2003 -Jan 2004	Kenya, Somalia, Burundi, USA	Prolog Consult/EC	TL	Global evaluation
Mar - Jun 2003	Serbia	Prolog Consult/EC	TL	Final evaluation
Jan – Feb 2003	Morocco	WB - Italtrend	Auditor	Procurement audit
Dec 2001 – Apr 2004	South Africa, Ukraine, Brussels	Prolog Consult / Montgomery-Watson	TL	Evaluation EU country strategies/ policies
Jul - Dec 2001	Serbia, Kosovo, Zambia, Guinea, Ivory Coast	Prolog Consult/EC	TL	Global evaluation
Feb - April 2001	Algeria, Western Sahara	Prolog Consult/EC	TL	Evaluation of global plans
Jan 2001 – Mar 2008	Brussels	Prolog Consult/EC	Project Manager	Backstopping and QA/QC for evaluations
Apr - Dec 2000	Brussels	Prolog Consult / Franklin A.S.	TL	Evaluation of budget lines
Apr 1999 - Dec 2000	Brussels, Geneva Copenhagen, Albania, BiH, Croatia, FYR Macedonia, Kosovo and Montenegro	Prolog Consult / Franklin A.S./ EC	TL	Various evaluations
Sept 1999 -Mar 2000	Brussels and 15 EU Member States	Prolog Consult / Franklin A.S.	TL	Evaluation of Cooperation Projects
May - Sept 1999	Brussels	Prolog Consult / Sorgem O&D	Procurement Specialist	Evaluation
May 1998 - Mar 1999	EU, Geneva, USA, Azerbaijan, Cambodia, Haiti.	Prolog Consult / Franklin A.S.	TL	Evaluation
Oct 1997 - Apr 1998	Bosnia i Herzegovina, Brussels	Prolog Consult / Franklin A.S.	Coordinator/ Procurement	Evaluation
Sep. 1996 – Apr. 1997	Brussels	Prolog Consult / Franklin A.S.	Consultant	PHARE multi-country project definitions
Jun 1994 - Sep 1997	Albania, Armenia, FYROM, Croatia	Franklin A.S.	Evaluator, TL	Five successive evaluations

Nov 1992- Feb 1997	Romania, Russia, FYR Macedonia, Laos, Vietnam	Franklin A.S.	Procurement Expert, Director Finance/Admin	Direct operational management of 4 EC procurement projects
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2. Summarised CV of the Evaluation Expert:

Mr Predrag Rafailovic, born 1963, nationality and residence of Serbia, education background in Psychology/Social Sciences, is a senior expert with twenty years of experience in evaluation, monitoring, planning and implementation of humanitarian assistance projects and programmes in both crisis and post-crisis settings. This includes situation appraisal and definition of strategies in complex emergencies, protracted displacement crisis, transition/LRRD contexts, and sector expertise in socio-economic support to refugees and other vulnerable populations. He has ten years' experience as an external evaluator of various emergency and development assistance projects related to refugees, IDPs and other vulnerable groups, disaster risk reduction and disaster recovery and prevention; education (formal and non-formal), food, health, WASH, protection, shelter/housing, livelihoods, disaster resilience and safety net systems. He is skilled in a multitude of both qualitative and quantitative evaluation data collection tools and techniques. He has experience from working in the Western Balkans, including Serbia, as well as in the Middle East, North Africa, Sub-Saharan Africa and Central Asia. He exhibits profound knowledge of OECD/DAC evaluation standards and has substantial experience in EU humanitarian assistance (ECHO), rehabilitation, development and external cooperation instruments, as well as with UN agencies, major donors and international NGOs.

Table 3: Professional experience (related to the assignment)

Date	Location	Company/CA	Position	Type of Consultancy
Jan - May 2019 [ongoing]	Serbia	NIRAS/ EUD	Evaluator	Evaluation
May - Aug 2017	Malawi	WFP	Team Leader	Review/policy study
June - July 2016	Home-based	IOM	Consultant	Technical assistance / online survey
Jul - Nov 2015	BiH, Croatia, Serbia, Montenegro	Particip /EC	Key Expert/Senior Evaluator	Mid-term evaluation
Nov - Dec 2013	Yemen	UNICEF	Lead Evaluator	External evaluation
Jun - Jul 2013	Yemen	Prolog Consult/ ACTED/EC	Lead Evaluator	Final evaluation
Aug - Sep 2012	Jordan, Libya	UNICEF MENARO	Lead Evaluator	Review of regional crisis response
Aug - Nov 2011	Kosovo	Prolog Consult/ Swiss FDFA	Senior Evaluator	Evaluation
Jan - Mar 2010	Tajikistan, Uzbekistan, Kazakhstan	UNICEF/DIPECHO	Lead Evaluator	Evaluation of three DRR projects
Jul 09 - Nov 09	Serbia	Council of Europe Development Bank	Senior Evaluator	Ex post evaluation of two refugee projects/grants
Aug 09 - Oct 09	Bosnia and Herzegovina	Council of Europe Development Bank	Senior Evaluator	Ex post evaluation of IDP programme / grants
Apr 08 - Nov 08	France, fYRoM	Prolog Consult/CEB	Lead Evaluator	Ex post evaluation/UNICEF Roma programme
Oct 06 - Mar 08	Serbia	Belgrade Democratic Vision - BDV	Short-term consultant/ Trainer	Short-term consultancies (PCM)
May - Sept 06	Serbia	Transtec/Prolog Consult/EAR	Short-term consultant	Formulation and TOR drafting
Sep 03 - Oct 04	Belgrade, Serbia and Montenegro	BDV Email Bulletin	Editor-in-Chief, Lead Analyst	Chief Editor and analyst
July 98 - Apr 03	Belgrade, Serbia and Montenegro	CARE International	Project Assistant, Field Monitor, Project Officer, Acg. Project Manager	Project implementation/ M&E, reporting, planning/programming
May 96 - Mar 99	Belgrade, FRY	BDV Cultural Bulletin	Editor-in-Chief	Editing the bulletin
May 88 - Mar 95	Belgrade; Warsaw	Embassy of Uruguay	Administrative and Logistic Assistant, Asst. to Minister Counsellor	Banking, customs clearance, procurement, vehicle maintenance; protocol affairs, liaison with local

				authorities, consular and commercial affairs.
Nov 84 - Jun 85	Belgrade, SFRY	Embassy of Ghana	Logistic Assistant/ Driver	Banking, customs clearance, procurement and vehicle maintenance.

Appendix 3 - Detailed evaluation methodology

Evaluation Questions and Matrix

During the Inception phase, an Evaluation Matrix was designed – and was validated by the Reference Group - which can be found in Appendix 4. This matrix was based on - and streamlined from – an extensive list of 28 tentative main evaluation questions (EQ) in section 2.2.2 of the ToR (Appendix 1). The ToR list however appeared to be significantly longer than ideally appropriate for a standard evaluation, and hardly manageable as such – as it would lead to protracted and somewhat duplicating interviewing and reporting process. For reminder, the “Better Evaluation” network recommends e.g. a maximum of 5-7 main EQs, while OECD DAC typically suggests a set of 13 EQs to cover the five main evaluation criteria. As the ToR added 2 more criteria (EU Added Value and Coherence) but many of the tentative questions could be merged or used as sub-questions, the proposed matrix included a total of 15 main EQs.

The matrix integrated the final set of evaluation questions, subdivided among the above-mentioned evaluation criteria, and complemented / clarified with sub-questions or judgment criteria, indicators, sources for triangulation, and tools (below).

The matrix is the primary tool for the evaluators; semi-structured guidelines were based on the matrix and were used in a consistent manner whenever evaluators performed interviews with stakeholders, individually or together. Interview guidelines took due care of assessing in a neutral way gender equality and the vulnerability of women as single heads of households. It should be emphasised that the matrix must be seen as a guide, which enables the evaluation team to coordinate approaches internally and avoid overlooking key issues; the matrix is by no means obligatory or limitative.

Evaluation Tools for Triangulation

The methodological approach was based on a mix of qualitative and quantitative tools to collect summative evidence, with the objective to triangulate findings (i.e. compare and cross-check them with other sources of information). The tools are listed in the last column on the right of the evaluation matrix, and are also described in the section below in each of the work phases.

More specifically, during Desk phase the team used in parallel:

- qualitative tools on all matrix EQs: documentary reviews, SWOT analyses as relevant, interviews through semi-structured guidelines by the team members;
- quantitative tools: statistics from spreadsheet and project analysis, financial data, statistics from interviews and possibly surveys.

Following the Desk phase, the field visits involved essentially further face-to-face interviews with EUD staff, authorities and IPs, interviews and some group discussions (sex and age disaggregated as needed) with beneficiaries, as well as observation of the work completed or still in progress in 7 selected municipalities (see table below and Appendix 6).

The team of evaluators sub-divided the approach to the various implementing partners by focusing on their core expertise, which covers institutional actors and international agencies (Austrian development Agency, FAO, UNOPS and World Bank) for the Team Leader, and

NGOs (ASB, DRC, HELP) for Key Expert 2. A list of interviews and visits carried out can be found in Appendix 7.

Workplan and Evaluation Phases

As required in the ToR (section 2.3), the evaluation has been subdivided into four main phases, which are briefly described below.

Phase I: Inception, structuring of the approach, overall scoping

The purpose of the Inception phase was to clarify expectations between the evaluation team, the EUD Evaluation Manager and the Reference Group, and to fine-tune the methodological framework for the evaluation. A kick-off meeting with the Reference Group and some other stakeholders was held in Belgrade on 22nd January, to discuss understanding of ToR, EQs, scope, limitations and risks, and proposed approaches.

All the steps below can be found in the Inception report (not attached hereto), together with detailed annexes and tables. During the 1st phase, the team has performed the following tasks:

- Mapping the stakeholders (implementing partners, geographical areas and types of activities, local authorities, beneficiary communities), their levels of involvement, probable expectations and bias.
- Mapping the locations, types of activities, and outcomes for each IP. In addition, a list was made of those municipalities which have been most targeted by several (3, 4) IPs; this table supported (with other factors) the choice of locations to be visited during the Field phase.
- Collecting the available secondary sources of information and listing them by categories (policy documents, needs assessments/PDNA, IPA flood recovery and prevention actions 2012 and 2014, grants, ROM monitoring, quarterly and annual project reports by IPs, final reports) in an analysis grid/ bibliography.
- Reconstructing the Intervention Logic (IL) of the Action with background/needs, EU action programmes, projects and activities, immediate outcomes, and expected longer-term impact (see Appendix 5).
- On the IL basis, a Theory of Change was also prepared (see below).
- Preparing the full evaluation matrix, i.e. developed judgement criteria or sub-questions, indicators, tools and sources that were best likely to help answering each EQ.
- Based on the matrix, developing semi-structured interview guidelines to target specifically each category of stakeholders: EUD, implementing partners, authorities, and beneficiaries.
- Contacting all the key stakeholders (with EUD introduction/ facilitation) to confirm the persons in charge and collect all available documents (contracts, reports).
- On the basis of the stakeholders mapping, developing a consultation strategy which outlined for each actor the questions to be asked, as well as the timing and the consultation tools to be used.
- Updating the timetable for the evaluation work.

Theory of Change (ToC) model (see Appendix 5) was utilised to describe how change is expected to happen within the Action, all along its results chain, namely between the outputs and outcomes, and between the outcomes and impact (likelihood of the impact as a long-term effect produced by the Action). The ToC has first listed the Rationales (summarized by specific objectives and expected results in the LFAs of IPAs 2012 and 2014 at the bottom of the figure, and has outlined Assumptions on the right side of the figure. The Assumptions are contextually underpinning the Action, in terms of sufficient/ insufficient institutional (budgetary, policy, strategy) and technical (human resources, coordination) capacities that can impact positively or negatively the activities and outcomes. At the higher level of the figure, the ToC model used

for this evaluation highlights the likelihood that the strengthened DRR/DRM in Serbia would be achieved partly through the contribution (with other factors such as national policies and further donors' assistance) at the longer-term impact level of the Action. The main national stakeholder of the Action is the Office for Reconstruction and Flood Relief of Serbia (which became as of 2015 the Public Investment Management Office - PIMO), which should benefit of the Action's support to develop and implement DRR/DRM mechanisms such as the National Disaster Risk Management Programme-NDRMP (Dec 2014, Concept Note). It should be noted that the Sector of Emergency Management of the Ministry of Interior, which has been put in charge of DRR by a law of November 2018, did not benefit from the Action support.

The NDRMP policy paper connects intermediary results of all the thirteen projects implemented through the Action under IPA 2012 (Phase 1, 5 projects), and IPA 2014 (Phase 2, 8 projects) through the **Intervention Logic (IL)** outlined in Appendix 5. Phase 1 of the Action would thus be depicted as coping with and recovering from consequences of adverse natural events (one-in-a-hundred-years floods of May 2014), plus outlining institutional capacity building for DRM (UNOPS IPA 2012 sub-project). Phase 2 extends the NDRMP objectives to include not only structural measures as in Phase 1 (flood prevention infrastructure, including to mitigate damages occurred during later floods in 2016) but also non-structural DRM measures (WB/GFDRR-implemented risk-informed spatial planning, enhanced weather forecasting and early warning). As a result, the Action as a whole would logically lead to strengthening National Disaster Risk Management, including EU *acquis* agenda pertaining to Water Framework Directive and the Flood Directive, Climate Change Directive related to adaptation to Climate Change, and the Civil Protection Directive.

Phase II: Desk Study, Data Analysis

During the 2nd phase, the desk work has analysed the literature collected from all the stakeholders: policies, country action programmes, periodic, annual and final reports by the seven implementing partners (IP), and results-oriented monitoring (ROM) reports by the EU. This phase has paved the ground for a targeted field phase, by outlining initial assumptions, work hypotheses and gaps in knowledge for each Evaluation Question.

The desk work has follow mixed approaches, using in parallel qualitative tools (documentary reviews, SWOT analyses as relevant, interviews through semi-structured guidelines), as well as quantitative tools (statistics as these could be found).

Documentary review involved thorough reading and analysis of all available information, followed by drafting of findings and preliminary conclusions by both team members (according to their coverage of partners) into the Desk Report. The Desk report structure was itself compatible with the structure of the present Final Report.

During the Desk phase, some interviews were also performed by the evaluators:

- On 6th March, a meeting with Ms Rossella Della Monica, coordinator in charge in Brussels of the World Bank /GFDRR project (IPA 2014)
- During a field visit carried out on 27th February to ADA activities in the municipality of Svilajnac with the IP and the EUD Programme/Project Manager Karl-Heinz Vogel, Attaché, discussions took place with Dragan Plecas, ADA Infrastructure Construction Manager; Mirko Ristic, Resident Engineer (SUEZ Supervision); Dejan Baljevic, Senior Water Engineer (SUEZ Supervision); Sanja Saljic, Water Engineer (SUEZ), as well with Predrag Milanovic, Mayor of Svilajnac.

The triangulation has allowed to capture statistically significant features (figures about rehabilitation outputs). Qualitative questions in the guidelines also aimed at capturing levels

of satisfaction from authorities and beneficiaries, as well as suggestions for the future from all concerned stakeholders.

The deliverable of this phase was the Desk Report, which synthesised the scope of available literature, further discussed the perceived limitations and proposed mitigation measures, detailed the findings and preliminary responses for each EQ, and listed the gaps in data and the hypotheses to be further tested in the field.

Phase III: Field Visits

Upon approval of the Desk Report, the field phase was launched to further triangulate information (together with documentary data, preliminary interviews and online surveys) in order to deliver optimum evidence-based answers to the EQs. Based upon desk findings, field visits started with stakeholders meetings in Belgrade (EUD, all IPs, PIMO, SEM, MEI) and were continued in the field with the Obrenovac municipality south of downtown Belgrade (belonging to the City of Belgrade). Six other municipalities were also visited (list in the table below), which provide a robust triangulation of geographical areas (west, south, east), IPs, and types of activities (housing, income generating assistance, infrastructure rehabilitation). Additional factors of selection for field visits included: recommendations by actors, scale of dedicated budget, number of beneficiaries (including women), reports with apparently valuable lessons learnt or described impacts.

In each municipality, stakeholders included IPs, local authorities, and a wide range of beneficiaries: in total 19 housing / 55 beneficiaries (new prefabs or reconstructed houses), 2 schools and 4 SMEs were visited.

Table 4: List of municipalities selected for field visits

Municipality	IP involved / IPA 2012, 2014	Type of activity	Remarks
Obrenovac	UNOPS (IPA 2012, IPA 2014-roads/ landslides); ASB, ADA, DRC, HELP (IPA 2014); FAO (both IPAs);	All activities of IPA 2012 and IPA 2014; including rehabilitation of schools and social housing by UNOPS (IPA 2012)	The urban municipality most severely hit by floods - highest caseload.
Ljubovija	ASB, UNOPS	-housing; -income generating (small farmers, SMEs), incl. training; -infrastructure rehabilitation (landslides).	Almost all of the Action activities represented.
Svilajnac	ADA IPA 2014; FAO (both IPAs); HELP (both IPAs)	-infrastructure; agricultural/farming; -housing, SMEs	Ongoing (ADA)
Paracin	ADA (IPA 2014); DRC, FAO (both IPAs).	-housing; -income generating (small farmers, SMEs); -infrastructure rehabilitation (roads, landslides).	Ongoing (ADA)
Krupanj	UNOPS, FAO (both IPAs); DRC (IPA 2014);	-housing; -income generating (small farmers, SMEs); -infrastructure rehabilitation (river bed regulation);	- As above – Heavy landslides, road repair Ongoing (UNOPS)

Bajina Basta	ASB (both IPAs); FAO (both IPAs); UNOPS (IPA 2014)	-housing; -income generating (small farmers, SMEs);	Heavy landslides in 2016; Ongoing (UNOPS)
Kraljevo	UNOPS IPA 2012; HELP (both IPAs)	-road infrastructure; -housing; -small-scale farming (HHs)	-suggested by HELP for IPA 2012 (housing and economic support/ small-scale farming)

The field visits involved face-to-face interviews, group discussions (sex and age disaggregated as needed to collect impartial data about numbers of women beneficiaries and needs), and observation. They were transparent, culturally and gender sensitive, participatory with local authorities and final beneficiaries; they took due care of keeping some information and sources confidential if required – but also considered possible bias.

After the field visits, an Intermediary Presentation (PowerPoint / PPT) note was prepared for the EUD, which summarised the field phase activities, the limitations and challenges, as well as the key preliminary findings from the desk and field phases.

Phase IV: Synthesis

During the 4th and final phase, the evaluation team has analysed in a synthetic manner all the data collected during the Desk and Field phases, seeking to achieve triangulation and confirm patterns, to provide evidence-based and pertinent recommendations. The team has followed the standard approach to data analysis in 3 steps, as outlined below.

- Step 1: organizing data for analysis in the spreadsheet, preparing / categorizing quantitative and qualitative data (ongoing since Inception)
- Step 2: generating patterns of evidence among findings consolidated for each EQ in the spreadsheet (ongoing since Desk phase)
- Step 3: interpreting those patterns (evaluators' skills), to produce corresponding conclusions and actionable recommendations.

Comments generated by the Reference Group about the draft (synthesis) Final Report [are to be](#) integrated into the Final Report.

Deliverables

The deliverables for the four phases are listed below, in full accordance with the ToR.

Table 5: Deliverables of the evaluation

Deliverable		Timing
1.	PPT about understating of ToR and points to be clarified	Kick off meeting with Reference Group; start of Inception phase
2.	Inception Report	End of Inception phase
3.	Desk Report	End of Desk phase
6.	PPT 'Intermediary' presentation of process and findings for the Reference Group	End of Field phase
7.	Draft Final Report	End of synthesis phase
8.	Final Report	2 weeks after remarks on draft Report

Deliverable		Timing
9.	Executive summary	With Final Report

Limitations

A few limitations were found during the review, as follows.

During the documentary review which was based essentially on implementing partners' reports, most findings concerned aspects of efficiency and effectiveness. At the opposite, few elements could be found in the documents regarding some of the EQs – in particular concerning EU Added Value (EQs 13 and 14) which was not a focus of the reports, or updated information about national DRR/DRM institutional settings and coordination, as well as about overall coherence with other international sources of funding (EQ 15).

Difficulties encountered during the field phase concerned:

- As in the desk review, there was a lack of overall /updated existing figures that could be collected about international cooperation for DRR, national budget, and share of EU contribution.
- No meeting could be arranged with the Directorate of Water (MoAFW) or with the PWMC Srbijavode; there was also no response to the electronic questionnaire.
- There was little data about the potential longer term effects of DRM capacity building carried out by the World Bank (still ongoing). This limitation was partly mitigated by the information provided from the Sector of Emergency Management.
- No FAO-assisted farms could be visited (mostly small grants not visible anymore).

Appendix 4 - Evaluation Matrix

Table 6: Evaluation Matrix

Evaluation Questions		Evaluation Criteria, Sub-criteria	Indicators	Sources	Tools
Relevance					
EQ 1	To what extent are the Action objectives relevant to the IPA objectives?	Relevance of Action objectives with IPA 2012	Degree (1 to 5 and narrative) of relevance of IPA 2012 objectives: <ul style="list-style-type: none"> • Repair of public buildings 	<ul style="list-style-type: none"> • IPA 2012 + 2014 • Relevant policies of the Govt of Serbia • PDNA • Financing Agreements • Logframes/ Intervention Logics in Decisions • Contractual agreements with IPs • Progress reports (weekly, quarterly, annual) by IPs • Final reports by IPs • ROM reports • EUD staff • IPs' staff • National authorities: PIMO, Ministries • Local authorities (municipalities, region) • Final beneficiaries, civil society, media, private sector 	<ul style="list-style-type: none"> • Desk reviews • KII (Key Informants' Interviews) with stakeholders, face-to-face, focus groups, or by Skype/ mail • Group discussions with beneficiaries, gender disaggregated as relevant • E-surveys as required • SWOT analysis • Field visits/ observation
		Relevance of Action objectives with IPA 2014 (component of "recovery and prevention")	<ul style="list-style-type: none"> • Repair of private housing • Economic self-reliance support to SMEs and farmers 		
		Relevance of Intervention Logics in Decisions (causal relationships between inputs, activities, outputs and expected outcomes)	<ul style="list-style-type: none"> • Repair of roads and infrastructures Degree (1 to 5 and narrative) of relevance of IPA 2014 objectives: <ul style="list-style-type: none"> + Enhance DRR/DRM systems + Rehabilitate flood protection infrastructure + Repair roads + TA to PIMO etc 		

Evaluation Questions		Evaluation Criteria, Sub-criteria	Indicators	Sources	Tools
EQ 2	How well did the IPA Action respond to the specific policies and needs of Serbia after the floods in the targeted sectors?	Relevance of Action to Government DRR/DRM legislation/policy (National Strategy for DRR, Protection and Rescue in Emergencies, NDRMP, Law on Reconstruction following Natural and Other Hazards, Action Plan for Implementation of NDRMP, etc)	Degree (1 to 5 and narrative) of relevance to NDRMP priorities 7. Institut bldg. 8. Risk identif. 9. Risk reduct 10. EWS, prepar 11. Risk financing 12. Resilient recovery	• As above	• As above
		2.2. Relevance of Action to the needs identified in PDNA	Degree (1 to 5 and narrative) of relevance to PDNA priorities (costs): 1. Mining / energy 2. Housing 3. Agriculture 4. Trade 5. Transport		
EQ 3	To what extent was the choice of Implementing Partners (IP) appropriate to achieve the Action's objectives?	Were the selected IPs relevant for the tasks?	Degree (1 to 5 and narrative) of	• As above	• As above
		Were the selection and contracting procedures appropriate to the emergency and its scale?	-Experience -Presence in Serbia -Financial capacity -Appropriateness of IPA procedures for rapid contracting		

Evaluation Questions		Evaluation Criteria, Sub-criteria	Indicators	Sources	Tools
Effectiveness and Efficiency					
EQ 4	Did the assistance reach the objectives set out in both IPA 2012 and IPA 2014 flood projects in an effective way?	Under IPA 2012 and IPA 2014, to what extent objectives of the Action, as a whole, were achieved?	+ Degree (1 to 5 and narrative) of achievement of objectives	+ As above	+ As above
		Under IPA 2012, were the objectives of projects managed by ASB achieved?			
		Under IPA 2012, were the objectives of projects managed by DRC achieved?			
		Under IPA 2012, were the objectives of projects managed by HELP achieved?			
		Under IPA 2012, were the objectives of projects managed by FAO achieved?			
		Under IPA 2012, were the objectives of projects managed by UNOPS achieved?			
		Under IPA 2014, were the objectives of projects managed by ASB achieved?			
		Under IPA 2014, were the objectives of projects managed by DRC achieved?			
		Under IPA 2014, were the objectives of projects managed by HELP achieved?			
		Under IPA 2014, were the objectives of projects managed by FAO achieved?			
		Under IPA 2014, were the objectives of projects managed by UNOPS (1) achieved?			

Evaluation Questions		Evaluation Criteria, Sub-criteria	Indicators	Sources	Tools
		Under IPA 2014, were the objectives of projects managed by UNOPS (2) achieved?			
		Under IPA 2014, to what extent the objectives of the project managed by ADA are achieved so far? (ongoing project)			
		Under IPA 2014, to what extent the objectives of the project managed by IBRD/WB are achieved so far? (ongoing project)			
EQ 5	What were the weaknesses and strengths of delivered assistance?	Which were the key enabling or limiting factors for effective and efficient implementation of assistance?	+ List enabling factors (per IP, type of activity) + list limiting factors + Degree (1 to 5 and narrative) of impact of such factors	+ As above	As above
EQ 6	To what extent was the Action management efficient?	Efficiency of projects' management and organizational arrangements per IP (timeliness, expertise of staff, communication / participation). Costs/effect: see below Efficiency of coordination committee (Programme Steering Committee) Consistency of approaches (beneficiary selection criteria, quality of reconstruction, relations with authorities and beneficiaries ...) between IPs	Degree (1 to 5 and narrative) of + Staff expertise + Delays in implementation + Relations with all stakeholders Regularity, presence, utility of coordination meetings (consistent beneficiary selection	+ As above	As above

Evaluation Questions		Evaluation Criteria, Sub-criteria	Indicators	Sources	Tools
		Which lessons can be learnt from the implementation of assistance?	criteria, timeliness and quality of housing reconstruction...)		
EQ 7	Have suitable and appropriate indicators been established, allowing for reasonable and efficient measuring of results, outcomes and, when applicable, impacts?	Appropriate design and use of SMART and other (quality) indicators in programming and monitoring	Degree (1 to 5 and narrative) of adequacy of indicators Per IP and type of activity: consistent use of same indicators by all IPs Regularity, quality and use of M&E reports	+ As above	+ As above
		Do lessons learnt suggest better indicators (with baselines and targets) per type of activity?	Suggestions of other indicators (LL) per IP and type of activity	+ As above	+ As above
EQ 8	Were the projects cost - effective?	Cost/benefit analysis of the type of support at contract/ project level	Ratio direct/ indirect costs per IP Ratio budget /n°s of beneficiaries, per IP / type of activity <u>As feasible,</u> cost/effectiveness table listing costs on one hand in terms of time and money, and sustainable outcomes and impact achieved on the other	+ As above + Reconstruction and construction costs / HH benchmarks from refugee/IDP projects	+ As above

Evaluation Questions		Evaluation Criteria, Sub-criteria	Indicators	Sources	Tools
EQ 9	To what extent has funding been efficient and timely to achieve the foreseen results?	Adequacy of budget allocations to achieve identified needs (and reasons for under / overestimated budget?)	Degree (1 to 5 and narrative) of	+ As above	+ As above
		Effect of fund transfers on project deliveries/timing	+ Adequacy of budget		
		Adequacy of procedures for budget reallocations	+ Timeliness of funding		
		Which lessons can be learnt from the implementation of assistance?	+ Adequacy of funding /payment procedures		
Impact and Sustainability					
EQ 10	What was the impact of this assistance?	Can impacts be sufficiently identified and quantified?	Listing and measuring of all impacts by IP / project If not possible to measure impacts, why not?	+ As above	+ As above
		Were the immediate and intermediate results delivered by the evaluated assistance translated into the desired and expected impacts?			
		Were there unintended (negative or positive) impacts?			
EQ 11	Were the achieved results sustainable?	At the national / local level, has sustainable capacity been created in the beneficiary institutions to manage policy challenges and future assistance?	Degree (1 to 5 and narrative) of sustainability, by projects / IP Degree (1 to 5 and narrative) of ability to retain improved administrative	+ As above	+ As above
		Which type of assistance has achieved the most sustainable results, and what were the reasons behind this?			

Evaluation Questions		Evaluation Criteria, Sub-criteria	Indicators	Sources	Tools
		Were there elements which could hamper the impact and/or sustainability of assistance?	capacity and maintenance		
		Which lessons can be learnt, and what measures could be undertaken to prevent negative effects on sustainability?	List enabling / limiting reasons for sustainability (budget, political commitment, policies, involvement at local level...)		
EQ 12	Has EU assistance achieved maximum visibility?	Did the implemented visibility activities succeed in conveying key strategic messages justifying the delivered assistance?	From all categories of stakeholders / beneficiaries: degree (1 to 5 and narrative) of understanding of source (EU) and scale of Action	+ As above	+ As above
EU Added Value					
EQ 13	What is the added value of EU interventions, compared to what could be achieved by the Republic of Serbia alone?	List/assess EU comparative advantages (policy, strategy, presence, procedures, resources)	Degree (1 to 5 and narrative) of EU comparative advantages	+ As above + Results from Donors conference in Brussels (pledges and actual grants) + UNOCHA (FTS) and WB donors' funding data	As above (not to use formal counterfactual methodology; perception only)
		Counterfactual: effectiveness (timeliness, scale) of the recovery without EU support?	Share of EU funding in overall contributions		
EQ 14	What is the added value of EU interventions, compared to grants actually given from individual EU members states or external donors?	Overall table of grants and credits provided by all donors after the 2014 floods, and share of EU funding			

Evaluation Questions	Evaluation Criteria, Sub-criteria	Indicators	Sources	Tools	
Coherence, Coordination and Consistency					
EQ 15	To what extent was the support provided by the EU coherent and complementary to the national budget and other donors?	To what extent did the projects take into consideration and interconnect with already existing national authorities' policies and strategies in support to flood prevention and rehabilitation/reconstruction of the flooded areas?	Degree (1 to 5 and narrative) of interconnection (perception by EU and national stakeholders, and illustrations)	+ As above	+ As above
		How could financial assistance be better coordinated and aligned with ongoing reforms to improve effectiveness, impact and sustainability?	Suggestions for improvements by national and EU stakeholders, IPs		
		Which areas, within the field of flood prevention and rehabilitation/ reconstruction of the flooded areas, did not require the involvement of EU support because they were adequately covered by other donors (overlap)?	Share of funding by EU and other donors, per sector		
		What are the needs in specific sectors not covered so far by the assistance?			
		Which lessons can be learnt from the implementation of assistance?			

As relevant, indicators will be assessed on a 5-level scale with 1: Very low/very weak, 2: Low/weak, 3: Average; 4: High/strong; and 5: Very high/very strong, and will in most instances be supported by a to-the-point narrative description

Appendix 5 - Intervention logic / Logical Framework matrices

Figure 1: Intervention Logic/ LFM of the Action

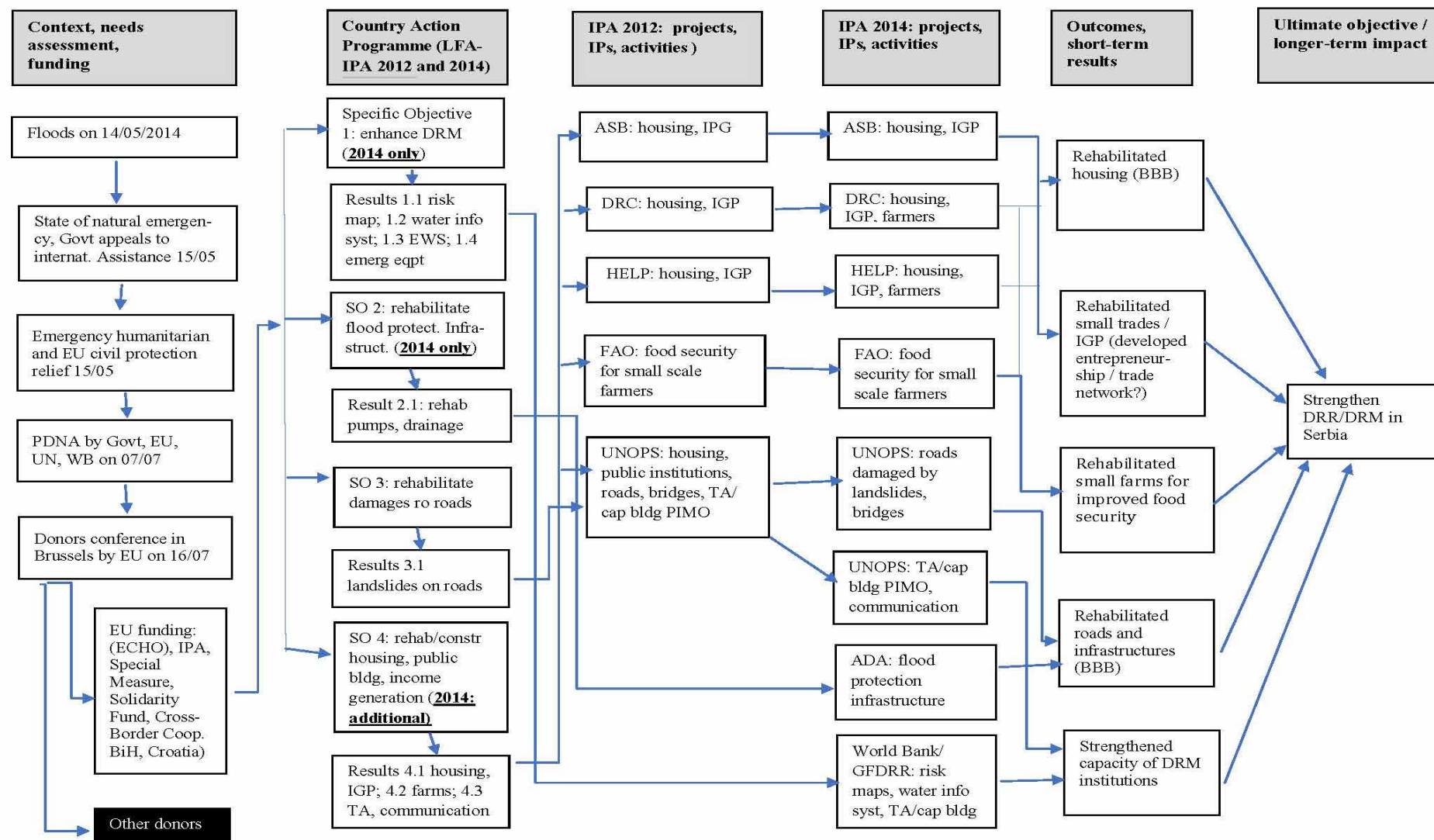
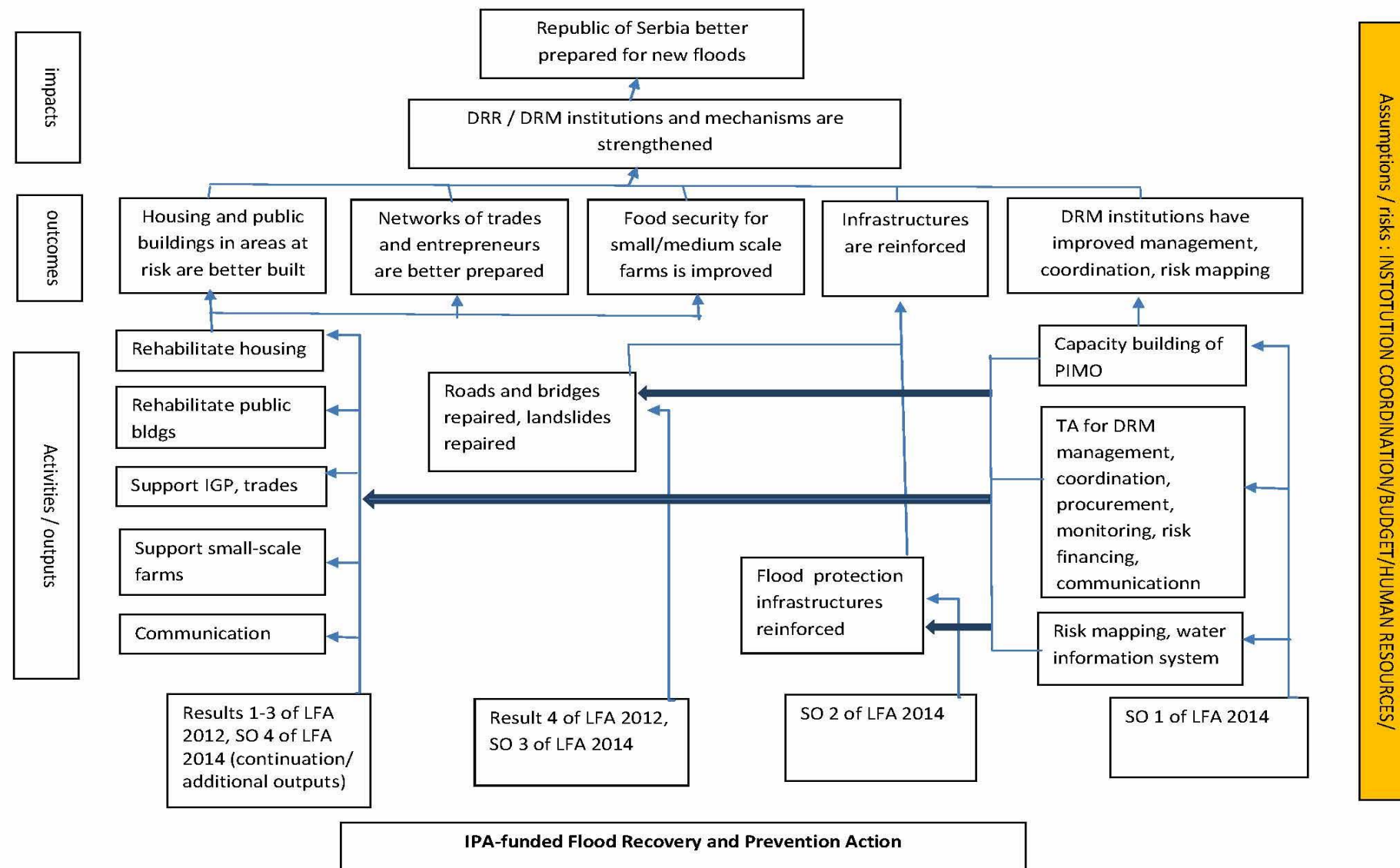
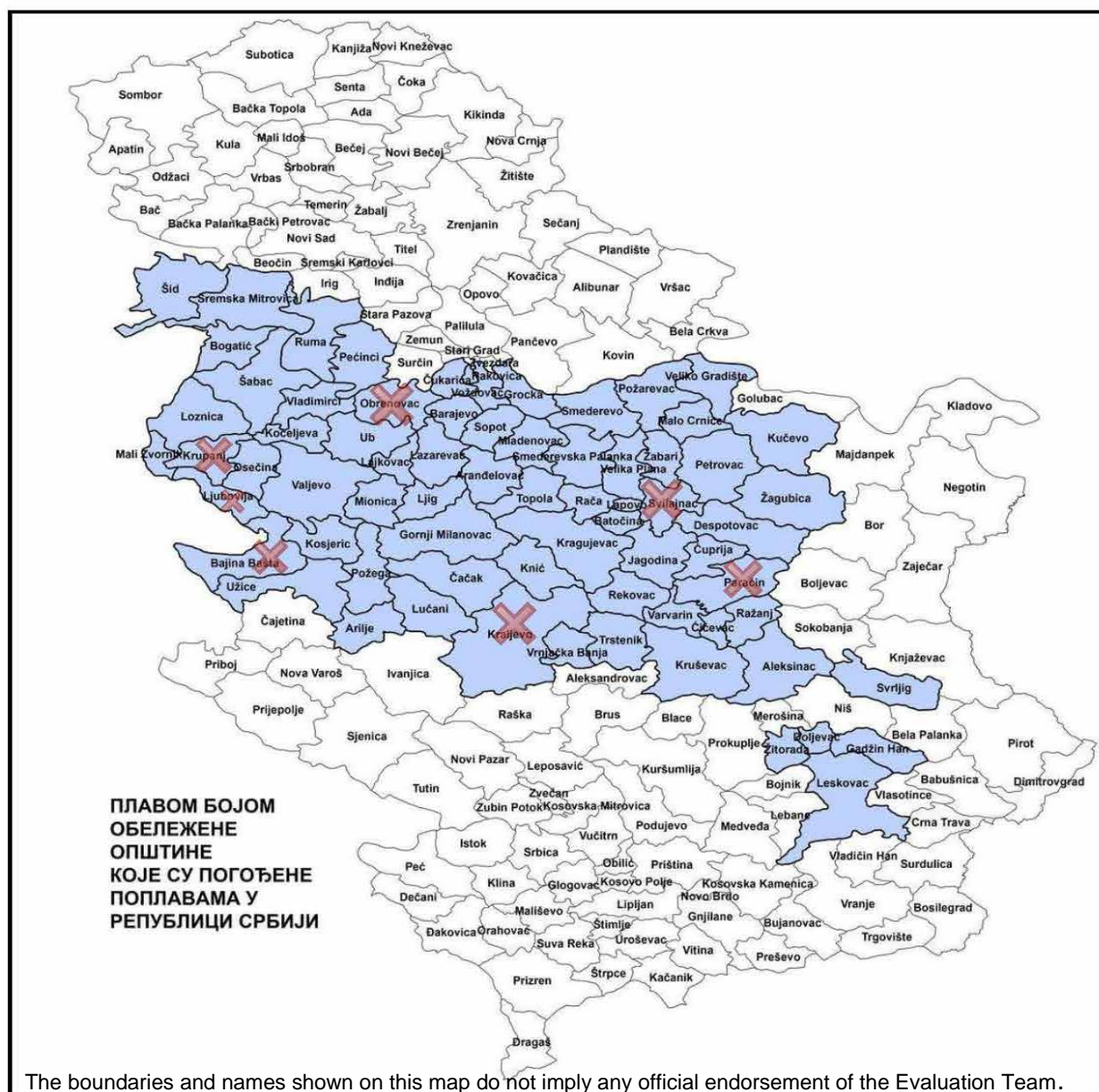


Figure 2: Theory of Change



Appendix 6 - Geographical map of the Action

Figure 3: Map of the Action with marked municipalities visited in Field Phase



Highlighted in blue - Municipalities affected by May 2014 floods²⁶.

Marked with light red "X" - municipalities visited in the Field Phase of the evaluation.

[Source of the map: Annex 1 to the Application for Financial Assistance to EUSF, submitted by the Government of Serbia - Serbian European Integration Office in July 2014]

²⁶ In addition to May 2014 floods, in September 2014 another massive rainfalls hit eastern part of Serbia (municipalities of Kladovo, Majdanpek and Negotin), while in March 2016 another floods affected the municipalities of Kraljevo, Cacak, Lucani and Novi Pazar.

Appendix 7 - List of persons/organisations consulted

Table 7: Persons/ organisations consulted

Date	Time	Organisation/ municipality	Name(s), function(s)	Venue	Interviewed by (MVB/PR)	Remarks
27/02 2019		Svilajnac	Karl-Heinz Vogel, EUD Programme/ Project Manager, Attaché; Dragan Plecas, ADA Infrastructure Construction Manager; Mirko Ristic, Resident Engineer (SUEZ Supervision); Dejan Baljevic, Senior Water Engineer (SUEZ Supervision); Sanja Saljic, Water Engineer (SUEZ), Predrag Milanovic, Mayor of Svilajnac.	Svilajnac	PR	Field visit to ADA RFPI implementation in Svilajnac carried out during the Inception Phase
06/03 2019		WB/GFDRR	Ms Rossella Della Monica, Coordinator in Charge in Brussels of the World Bank /GFDRR project (IPA 2014)	Brussels	MVB	Meeting/interview carried out during the Inception Phase
28/03 2019	09:30	WB/GFDRR	Darko Milutin, Disaster Risk Management Specialist/Urban and Disaster Risk Management Europe and Central Asia;	Belgrade, WB Office, Bulevar kralja Aleksandra 86/ VI		None
	11:30	ASB	Gordan Vele, Country Director; Mauro Mascioli, Project Manager	Belgrade, ASB Office, Anifasisticke borbe 14		
	14:00	HELP	Milka Djurdjevic, Senior Programme Manager for Construction and Emergency Services; Ranko Bruic, Project Coordinator	Belgrade, HELP Office, Uciteljska 52		Aleksandra Brkic, CD was not available, but two senior programme managers with institutional memory were available
	16:00	ADA	Katharina Maier, Program Manager Delegated Cooperation for Serbia and Armenia;	Belgrade, ADA Office, Senjacka 33		None

Date	Time	Organisation/ municipality	Name(s), function(s)	Venue	Interviewed by (MVB/PR)	Remarks
			Srdjan Radovic, Team Leader/Project Manager- RFPI; Dragan Plecas, Infrastructure Construction Manager-RFPI			
29/03 2019	09:30	DRC	Marina Cremonese, Country Director; Ivana Milanovic Djukic, Program Manager; Verica Recevic, Program Manager (currently based in BIH)	Belgrade, DRC Office, Sindjeliceva 18		None
	13:00	UNOPS	Petar Janajatovic, Communication Manager; Bojan Kovacevic, Project Manager; Jasmina Ilic, Infrastructure Advisor	Belgrade, UNOPS Srbia Opeartion Centre, Skerliceva 14		None
01/04 2019	11:00	FAO	Aleksandar Mentov, National Programme Coordinator; Aleksandar Glisic, Project and Research Assistant	Belgrade, FAO Office, Bulevar Zorana Djindjica 64		None
	13:30	PIMO	Marko Blagojevic, Director; Neda Maletic, Assistant Director for International Cooperation, Assistance and Projects; Violeta Sretenovic, Programme Coordinator	Belgrade, Government of the Republic of Serbia, Nemanjina 11		Confirmed through Maja Vuckovic
04/04 2019	09:30	EUD	Maja Vuckovic Krcmar, Project/Programme Manager	Belgrade, Delegation of the European Union to Serbia, Vladimira Popovica 40/V		None
	12:00	Obrenovac	Aleksandar Pantelic, Member of the Council of the Municipality of Obrenovac/Focal Point for IPA 2012 and IPA 2014 Flood Recovery and Prevention Action; Ivan Jovanovic, DRC Senior Project Officer	Obrenovac, Municipality of Obrenovac, including interviews with final		On-site visits: several prefabs, reconstructed houses, economic grants, social housing building,

Date	Time	Organisation/ municipality	Name(s), function(s)	Venue	Interviewed by (MVB/PR)	Remarks
				beneficiaries, and field observations		and the Posavski Partizani Primary School
05/04 2019	08:00	Rehabilitated road section Korenita- Krupanj	Field observation			Photos taken, incl. signboards (Action visibility and communication)
	08:30	Krupanj	Milorad Simic, Head of the Municipal Administration	Krupanj, Municipality of Krupanj, including on-site visits (flood protection, bridges)		Prefabs by UNOPS/IOM could have not been located by Milorad Simic, but UNDP- implemented only
	12:30	Ljubovija	Aleksandar Perić, Deputy President of the Municipality	Ljubovija, Municipality of Ljubovija, including on-site visits		On-site visits: reconstructed houses, main bridge still need to be reconstructed
	14:30	Bajina Basta	Jelena Filipovic, Head of the Municipal Administration; Radomir Filipovic, President of the Municipality [participated in the second part of the meeting]	Bajina Basta, Municipality of Bajina Basta		Meeting in the Municipality Administration Office
06/04 2019	09:00	Bajina Basta; Kremna/ Mokra Gora (landslide rehabilitated)		Filed visits, interviews with direct beneficiaries, field observations		On-site visits: prefabricated houses, bridges, landslides rehabilitated
08/04 2019	09:30	Kraljevo	Milun Jovanović, Member of the City Council; Dejan Karapandžić, Deputy Head of Crisis Headquarter/Civil Protection Unit of the City of Kraljevo;	Kraljevo, City of Kraljevo, including on-site visits and interviews with direct beneficiaries		On-site visits: reconstructed houses in Grdica, economic grant

Date	Time	Organisation/ municipality	Name(s), function(s)	Venue	Interviewed by (MVB/PR)	Remarks
			Dragomir Spasic, HELP, Field Coordinator			
Tue 09/04	09:00	Paracin	Boban Dejanovic, Head of Municipal Urbanism/ Focal Point for IPA 2012 and 2014 assistance to Paracin; Ivan Jovanovic, DRC Senior Project Officer	Paracin, Municipality of Paracin, including on-site visits and interviews with direct beneficiaries		On-site visits: prefabs, reconstructed houses, economic grant, secondary school
Wed 10/04	09:30	Svilajnac	Dragana Radevic, Deputy Mayor	Svilajnac, Municipality of Svilajnac, including on-site visits and interviews with direct beneficiaries		On-site visits: prefabs, reconstructed houses, economic grant, etc
Thu 11/04	09:30	Ministry of European Integration (MEI)	Vladimir Lazovic, Sector for planning, programming, monitoring and reporting of the EU funds and development aid	Belgrade, Nemanjina 34		None
	12:00	Sector for Emergency Management (of the Ministry of Interior)	Ivan Baras, Deputy Director; Sasa Rancic, Assistant of the Head of Department for Fire Rescue Units and Civil Protection; Dejan Radinovic	Belgrade, Omladinskih brigada 31		None
	14:30	Republic Water Directorate (Ministry of Agriculture, Forestry and Water Management)	Natasa Milic, Director; Merita Borota, Head of Group for Watercourse Regulation and Protection against Harmful Effects of Water	Belgrade, Bulevar umetnosti 2a (SDPR)		Not available for the meeting during the Field Phase; email questionnaire sent instead-no reply yet
		Public Water Management Company "Srbijavode"	Zvonimir Kocić, C.E, Flood protection Executive Director and Deputy Head of Flood Defense; Darko Janjić, C.E, Technical Manager in Srbijavode	zvonimir.kocic@srbijavode.rs ; darko.janji@srbiavode.rs		email questionnaire sent-no reply yet

Date	Time	Organisation/ municipality	Name(s), function(s)	Venue	Interviewed by (MVB/PR)	Remarks
15/04 2019			EUD: Intermediary presentation to: Bojan Zivadinovic, Evaluation Manager, Project/Programme Manager; Maja Vuckovic-Krcmar, Evaluation Reference Group, Project/Programme Manager; Yngve Engstrom, Head of Cooperation (briefly participated, due to his tight schedule). [Attended by NIRAS: Jelena Stamenkovic, Country Director; and Luka Stefanovic, Tender/Project Manager]	Belgrade, European Union Delegation to the Republic of Serbia, V. Popovica 40/V	Presented by P.R.	Intermediary Presentation (PPT and discussion)

Appendix 8 - Literature and documentation consulted

Table 8: Bibliography

Stakeholders	Categories of documents	IPA 2012 (I) / 2014 (II)	Title / Ref n° of document	Publisher / date	Remark
EUROPEAN UNION					
Delegation	Terms of Reference	Both IPAs	Specific Tor for Evaluation of Contracts Implemented and Financed by IPA under the Flood Recovery and Prevention Action	EUD/ 20 Nov 2018	
Delegation	Website browsing: EU assistance for flood relief in Serbia	both	More than 100 project actions reports published between 16/05/2014 and 26/04/2017		Approx 60 reports published in 2014, 35 in 2015, 9 in 2016 and 2 in 2017
EU	Stabilisation and Association Agreement (SAA)	n/a	SAA between EU (European Communities and Member States) and the Republic of Serbia entered into force on September 1, 2013. Negotiations had started in Nov 2005.		SAA establishes rules for a comprehensive partnership between Serbia and the EU with a view to supporting Serbia's progress towards accession into the EU
DG NEAR	Indicative Strategy Paper for Serbia (2014-2020)	IPA 2014	Adopted on 19/08/2014. Sets out the priorities for EU financial assistance for the period 2014-2020 to support Serbia on its path to EU accession based on two pillars: Democracy and Rule of Law, and Competitiveness and Growth.		
	Decision	IPA 2012	N° 2012/022-967, of date (?): EUR 30 million		
	Decision	IPA 2014	N° 2014/037-788, of date (?): EUR 72 million		

Stakeholders	Categories of documents	IPA 2012 (I) / 2014 (II)	Title / Ref n° of document	Publisher / date	Remark
	Financing Agreement – special conditions	IPA 2014	Indirect management with the WB and EU integration facility: EU contribution EUR 30.3 million	DG-NEAR/ 12 May 2015	
	Financing Agreement – Annex I	IPA 2014	Commission Implementing Decision of 11.12.2014 C(2014) 9422 final		
	Financing Agreement – special conditions	IPA 2014	Special measure for flood recovery and flood risk management – Serbia part; EU contribution EUR 72 million		
	Financing Agreement – Annex I	IPA 2014	Commission Implementing Decision of 17.12.2014 C(2014) 9797 final		
	Country Action Programme	IPA 2014	Serbia Flood Recovery (and prevention?); EUR 62 million	EC- DG NEAR/ 4 Dec 2014	There are 2 versions of this document, with slightly different IL and budget breakdown; the 2 nd does not mention “prevention” anymore in the title
	Special Measure	IPA 2014	BiH and Serbia: Regional reconstruction and improvement of flood protection infrastructure in the Sava River Basin; refers to Decision IPA 2014/037-788.2 (above)	EC- DG NEAR/ 5 Dec 2014	
	Special Measure – Annex 1	IPA 2014	Description of actions in 6 countries, including Serbia (title of Action in Serbia: “flood recovery and prevention”	DG NEAR/ 9 Dec 2019	The overall title of Annex I is different: “special measure on flood recovery and flood risk management”

Stakeholders	Categories of documents	IPA 2012 (I) / 2014 (II)	Title / Ref n° of document	Publisher / date	Remark
EU	Enlargement Chapter 7	?	DRAFT REPORTING GUIDELINES FOR 2016 ENLARGEMENT PACKAGE CHAPTER 27 (ENVIRONMENT AND CLIMATE CHANGE)	EU, 14 Apr 2016	EU environmental acquis reporting guidelines
NATIONAL AUTHORITIES					
Government of Serbia	Application Form for financial assistance to EU Solidarity Fund (EUSF)	n/a	Submission of the Application to EUSF by Jadranka Joksimovic, Minister without portfolio in charge for EU Integration/National IPA Coordinator Annexes: Map of Disaster Stricken Area; Meteorological Description.	Government of Serbia/ 28 Jul 2014	
Government of Serbia	PDNA Post-disaster needs assessment	n/a	Serbia Floods 2014 – Post-disaster Needs Assessment	Government of Serbia/ 14 July 2014	A comprehensive rapid needs assessment; reportedly, losses and damages are overestimated.
Parliament of Serbia	DRR/DRM legislative/policy paper	n/a	Law on Emergency Situations, unofficial translation, April 2013	Parliament of Serbia, April 2013	
Parliament of Serbia	DRR/DRM legislative/policy paper	n/a	NATIONAL STRATEGY FOR DISASTER RISK REDUCTION AND PROTECTION AND RESCUE IN EMERGENCIES (draft translation, February 2013)	Parliament of Serbia, 17 Nov 2011	
Parliament of Serbia	DRR/DRM legislative/policy paper	n/a	Nacionalna strategija zaštite i spasavanja u vanrednim situacijama (National Strategy on Protection and Rescue in Emergency Situations, in Serbian only)	Official Gazette of Serbia No 86/2011, 18 Nov 2011	

Stakeholders	Categories of documents	IPA 2012 (I) / 2014 (II)	Title / Ref n° of document	Publisher / date	Remark
Government of Serbia, coordinated by PIMO	DRR/DRM policy paper		National Disaster Risk Management Programme (NDRMP), concept note	PIMO (formerly FAAARO), 8 Dec 2014 (drafted by WB?) www.obnova.gov.rs	Full version of NDRMP in English?
Government of Serbia	DRR/DRM policy paper	n/a	National Disaster Risk Management Programme, .ppt presentation only	4 Mar 2015	
Parliament of Serbia	DRR/DRM legislative/policy paper	Related to IPA 2012 and IPA 2014	Law on Reconstruction following Natural and Other Hazards	Parliament of Serbia, 29 Dec 2015 www.obnova.gov.rs	
Government of Serbia	DRR/ action plan for implementation of the policy paper		Action Plan for the Implementation of the National Disaster Risk Management Programme (2016-2020)	PIMO, 15 Dec 2016 www.obnova.gov.rs	
Government of Serbia/ Parliament of Serbia	Most relevant documents from water management sector		(i) Zakon o vodama; (ii) Polazne osnove za izradu nacrtu Zakona o vodama; (iii) Strategija upravljanja vodama na teritoriji Republike Srbije do 2034. godine	(i) Official Gazzete of Republic of Serbia, No. 30/10, of 7 May 2010; (ii) MoAFV, September 2018; (iii) Government of Serbia, December 2016.	
Government of Serbia/MEI	Relevant reports, overview data on donations, official website data		- Izveštaj do 31.12.2015. (in Serbian) (<i>Report on Donations from July 2014 until 31 Dec 2015</i>), translated into English, internal version for this evaluation only - [http://www.mei.gov.rs] - isdacon	MEI, Sector for planning, programming, monitoring and reporting of the EU funds and development aid	
IMPLEMENTING PARTNERS					

Stakeholders	Categories of documents	IPA 2012 (I) / 2014 (II)	Title / Ref n° of document	Publisher / date	Remark
<div>ADA</div> <div>ADA</div>	Contract Addendums to contract	IPA 2014	C-371-240; Rehabilitation of flood protection infrastructure, EUR 19 million, start date of implementation: 28/12/2015; end date: 27/12/2019 [EUR 19.5 M] Grant Contract and all contract-related documents, including budget, LFA, addendums, etc.	Downloaded from Project CRIS Library, Eval Module	
	Cooperation agreements		CAs with 5 local self-governments and relevant water management sector institutions		
			CA with Govt for Central Serbia		
	Weekly / monthly / quarterly report		Quarterly reports 1 – 3 (March-Dec 2016), with work plan, annexes; Quarterly Reports 4 – 6 (Mar-Dec 2018), with work plan, annexes	ADA, Apr-Dec 2017 ADA, Apr-Dec 2018	
			7th quarterly report Jan – Mar 2018		
			8 th quarterly report Apr – Jun 2018 + work plan		
			9 th quarterly report Jul – Sep 2018 + work plan		
			Annual/Interim report	1 st Annual Progress Report with annexes, 1 Jan-31 Dec 2016	ADA, 28 Feb 2017
	Annual/Interim report Final report		Financial report for period 1 Jan-31 Dec 2017	ADA, 28 Feb 2018	
			2 nd Annual Progress Report with annexes, 1 Jan-31 Dec 2017	ADA, 28 Feb 2018	
			n/a, ongoing project, until the end of 2019		
	ROM report		Consolidated ROM Report, covering implementation period from 28 Dec 2015 to 29 Nov 2017?	EUD, 18 Jan 2019	Mainly positive but findings include delays in going through ADA HQ in Austria.

Stakeholders	Categories of documents	IPA 2012 (I) / 2014 (II)	Title / Ref n° of document	Publisher / date	Remark
	Procurement plan and sub-contracts		20 subcontracts since 2016 with 11 suppliers (2 for rehabilitation works); List of contracts ALL as of 31.12.2018	ADA, 5 Feb 2019	
ASB	Contract	IPA 2012	Grant Contract: External Actions of the EU, No. 2014/346-964, between EUD and ASB (Coordinator) and three Co-beneficiaries: (1) Housing Center, (2) Initiative for Development and Cooperation, and (3) Foundation of Ana and Vlade Divac [duration: 1 Aug 2014-31 Jul 2015; EUR 2.9 M]	EUD-ASB, 31 July 2014	Ten-month Contract for implementation of the project: "Provision of housing reconstruction and economic revitalisation to most vulnerable flood-affected families in Serbia"
	Addendums to contract		Addendum to the Contract of External Actions of the EU, No. 2014/346-964, between EUD and ASB (Coordinator) and three Co-beneficiaries	25 May 2015	No-cost extension for 2 more months
	Beneficiary selection criteria	IPA 2012, utilized also for IPA 2014	Attachment B: Implementation Methodology for Support to Flood Victims in Serbia; Annex 1: Beneficiary Selection Scoring System-Housing; Annex 2: Beneficiary Selection Scoring System-Income Generating; Annex 3: Beneficiary Selection Scoring System-Small-scale farming Grant Contract and all contract-related documents, including budget, LFA, addendums, etc.	ASB, 11 July 2014 Downloaded from Project CRIS Library, Eval Module	
	Cooperation Agreements		/		
	Weekly / monthly / quarterly report	IPA 2012	12 monthly reports, from Aug 2014 to July 2015	ASB, Sept 2014 - Jul 2015	

Stakeholders	Categories of documents	IPA 2012 (I) / 2014 (II)	Title / Ref n° of document	Publisher / date	Remark
ASB			44 Weekly Communication Updates between ASB and three local implementing partners		
	Annual Report	IPA 2012	/		The same as the final report
	Final Report	IPA 2012	Final Report narrative Grant Contract No: 2014/346-964, implementation period: 31/07/2014 – 30/07/2015 Annex to the Final Report: Social Status of the Beneficiaries	ASB, 17 Dec 2015	
	Other reports	IPA 2012	Family Houses Status Report, joint report by IPs from housing sector: UNOPS, ASB, DRC and HELP	ASB, UNOPS, DRC and HELP - 13 Feb 2015	Ready-to-print report (for media, visibility purpose)
	ROM Report		/		
	Contract	IPA 2014	Grant Contract: External Actions of the EU, No. 2015/361-978, between EUD and ASB (Coordinator) and the three Co-beneficiaries (the same as in Phase1) [duration: 3 Aug 2015-2 Jul 2017; EUR 3.3 M] Grant Contract and all contract-related documents, including budget, LFA, addendums, etc.	EUD-ASB, 3 Aug 2015 Downloaded from Project CRIS Library, Eval Module	The 18-month Contract for Continuous Support in Housing Reconstruction and Economic Revitalisation of Flood-affected Areas in Serbia.
	Addendums to contract	IPA 2014	Addendum to the Contract of External Actions of the EU, No. 2015/361-978, between EUD and ASB	EUD-ASB, 16 Dec 2016	Five-month no-cost extension (23 months instead 18 months)
	Beneficiary selection criteria	IPA 2014	Attachment B: Implementation Methodology for Support to Flood Victims in Serbia	ASB, 11 Sep 2015	Slightly updated IPA 2012 benef. select. crit.
	Cooperation Agreements	IPA 2014	/		

Stakeholders	Categories of documents	IPA 2012 (I) / 2014 (II)	Title / Ref n° of document	Publisher / date	Remark
	Weekly / monthly / quarterly report	IPA 2014	23 monthly reports, from Aug 2015 to Jun 2017	ASB, Sep 2015-Jul 2017	
	Annual /Interim Report	IPA 2014	Interim narrative report on the project "Continuous support in housing reconstruction and economic revitalization to most vulnerable flood-affected families in Serbia", Grant contract No. 2015/361-978	ASB, 30 Sep 2016	
	Final Report	IPA 2014	Final narrative report on the project "Continuous support in housing reconstruction and economic revitalization to most vulnerable flood-affected families in Serbia", Grant contract No. 2015/361-978	ASB, 10 Nov 2017	
	Other reports	IPA 2014	Years of Reconstruction- EU Assistance for Flood Relief in Serbia	UNOPS, in collaboration with ADA, ASB, DRC, FAO and Help, 11 May 2017	Ready-to-print report (for media, visibility purpose)
	ROM Report	IPA 2014	/		
DRC	Contract	IPA 2012	Sent by DRC on 12 Feb: Grant Contract: 2014/347-162: "EU DRC Grant Contract_CRIS 2014 347 162" [duration: 26 Jul 2014-25 Jul 2015; EUR 2.416 M] Grant Contract and all contract-related documents, including budget, LFA, addendums, etc.	Sent by DRC on 12 Feb; signed 25/07/2014 Downloaded from Project CRIS Library, Eval Module	
	Addendums to contract	IPA 2012	DRC EU Amendment_to GC_2014-347 162	Sent by DRC on 12 Feb; signed 25/05/2015	2-month extension(10+2=12 m)

Stakeholders	Categories of documents	IPA 2012 (I) / 2014 (II)	Title / Ref n° of document	Publisher / date	Remark
DRC	Beneficiary selection criteria	IPA 2012	/		They used the beneficiary selection criteria as ASB, as the consortium member
	Cooperation Agreements	IPA 2012	/		
	Weekly / monthly / quarterly report	IPA 2012	12 monthly flood relief reports to EUD, by DRC/Eneca, from September 2014 to July 2015	DRC/Eneca, 8 Oct 2014-12 Aug 2015	
	Final Report	IPA 2012	Final narrative report on Grant Contract: 2014/347-162 "Supporting Recovery of Floods Affected Households and Local Economies in Serbia", from 25 Jul 2014, duration 12 months	DRC, 22 Jan 2016	
	Other Reports	IPA 2012	/		
	ROM Report	IPA 2012	/		
	Contract	IPA 2014	Grant Contract: 2015/361–980 [duration: 3 Aug 2015-30 Jun 2017; EUR 3.7 M] Grant Contract and all contract-related documents, including budget, LFA, addendums, etc.	Sent by DRC ; signed on 03/08/205 Downloaded from Project CRIS Library, Eval Module	
	Addendums to contract	IPA 2014	Addendum of 3 Sep 2016 Addendum of 24 Feb 2017	03/08/2016 24/02/2017	3-month extension 18+3 2-month extension 21+2
	Beneficiary selection criteria	IPA 2014	/		They used the beneficiary selection criteria as ASB and HELP, as the consortium member

Stakeholders	Categories of documents	IPA 2012 (I) / 2014 (II)	Title / Ref n° of document	Publisher / date	Remark
	Cooperation Agreements	IPA 2014	/		
	Weekly / monthly / quarterly report	IPA 2014	13 monthly reports to EUD by DRC-Vizija-Eneca, from Aug 2015 to Oct 2016	DRC (and Vizija and Eneca), Sep 2015-Nov 2016	
	Annual /Interim Reports	IPA 2014	Summary Activity Report, 4 Aug 2015 to 3 Aug 2016 EUD DRC Interim Narrative Report CRIS 361 980, Aug 2015- Oct 2016	DRC, 3 Aug 2016 DRC, 3 Oct 2016	<i>Wrong contract No on the document Cover Page, should be 2015/361–980?</i>
	Final Report		Final Narrative Report, Grant Contract: 2015/361–980, from 4 Aug 2015 to 30 Jun 2017 (23 months)	DRC, 12 Dec 2017	
	Other Reports	IPA 2014	/		
	ROM Report	IPA 2014	/		
FAO	Contract	IPA 2012	2014/347-538 (OSRO/SRB/401/EC, Signed on 29/07/2014, duration 12 months (11 Nov 2015-10 Nov 2016), EUR 8 million; Addendum 1, extension to 16 months; Addendum 2, extension to 21 months; Grant Contract and all contract-related documents, including budget, LFA, addendums, etc.	Received from FAO, on 20 Feb 2019 EUD, signed on 28/04/2015; EUD, signed on 31/12/2015; Downloaded from Project CRIS Library, Eval Module	
	Annexes to contract	IPA 2012	-grant agreement -LFA -common (ASB, DRC, HELP, FAO, UNOPS) methodology and selection criteria -visibility /communication		

Stakeholders	Categories of documents	IPA 2012 (I) / 2014 (II)	Title / Ref n° of document	Publisher / date	Remark
FAO			-budget		
	Beneficiary selection criteria	IPA 2012	In annex to contract		
	Cooperation Agreements	IPA 2012	/		
	Weekly / monthly / quarterly report	IPA 2012	Consolidated monthly reports from Aug 2014 to Oct 2015 (.xls); Copy of Consolidated FAO Report, January 2015; EU - FAO Overview of the assistance until Oct 2015; EU-FAO Map of assisted municipalities; PROJECT OVERVIEW-FLOOD RECOVERY 347538; October 2015; Envisaged FAO Delivery plan March 15 2016; Description of Input Packages (seeds, seedlings, animal/chicken feed, greenhouses, agri-equipment, livestock, etc).	FAO, 4 Nov 2015 FAO, 2 Feb 2015; 4 Nov 2015; 4 Nov 2015; 5 Nov 2015; 15 Mar 2016; 4 Nov 2015	
	Annual Report	IPA 2012	/		
	Final Report	IPA 2012	Agricultural and food security emergency assistance to flood-affected small-scale farmers in Serbia -OSRO/SRB/401/EC-FINAL REPORT (period from 23 Aug 2014 to 22 May 2016)	FAO, 31 Aug 2016	
	Other reports	IPA 2012	FAO-EU Photos, one-slide .ppt	FAO, 4 Nov 2015	
	Contract	IPA 2014	CRIS No: 2015/366-705 (OSRO/SRB/501/EC), EUR 1.5 million signed	Received from FAO, on 20 Feb 2019	Annexes to Contract: -concept note -action description

Stakeholders	Categories of documents	IPA 2012 (I) / 2014 (II)	Title / Ref n° of document	Publisher / date	Remark
			on 30 Nov 2015, with implementation period of 12 months; Grant Contract and all contract-related documents, including budget, LFA, addendums, etc.	Downloaded from Project CRIS Library, Eval Module	-LFA -budget
	Addendums to contract	IPA 2014	Addendum 1, extension to 16 months (modified LFA, added CCA/DRR training	Signed EUD 08/11/2016	
	Beneficiary selection criteria	IPA 2014	/		
	Cooperation Agreements	IPA 2014	Transfer of ownership of assets from FAO to PIMO	FAO, March 2018	
	Weekly / monthly / quarterly report	IPA 2014	Copy of EU-FAO Tentative Expenditures 25-Nov-2016	FAO, 25 Nov 2016	
	Annual/Interim Report	IPA 2014			
	Final Report	IPA 2014	Final Report, Contract No: OSRO/SRB/501/EC, "Agricultural and food security emergency assistance to flood-affected small-scale farmers in Serbia", covering implementation from 11 Nov 2015 to 10 May 2017	FAO, 21 Sept 2017	
	Other reports	IPA 2014	Project Highlights - OSRO/SRB/501/EC (Brochure, 20 pages) Description of support to small farmers (Presentation, 37 pages) Assistance to small farm household affected by floods in Serbia, 2014-2017; DRAFT – FOR INTERNAL USE ONLY	FAO, 21 Sept 2017 FAO, February 2016 FAO, May 2017	

Stakeholders	Categories of documents	IPA 2012 (I) / 2014 (II)	Title / Ref n° of document	Publisher / date	Remark
			Rapid Needs Assessment of the agricultural sector, Floods 2016	FAO, 2016	
HELP HELP	Contract		Grant Contract: External Actions of the EU, No. 2014/347-094, between EUD and HELP(Coordinator) and the Co-beneficiaries [implementation period from 24 July 2014 to 23 July 2015 (10 months), total EUR 2.36 M] Grant Contract and all contract-related documents, including budget, LFA, addendums, etc.	DRC-EUD, 24 July 2014 Downloaded from Project CRIS Library, Eval Module	
	Addendums to contract	IPA 2012	No addendums (extensions)		
	Beneficiary selection criteria	IPA 2012	/	EUD-HELP, 24 Jul 2014	
	Cooperation Agreements	IPA 2012	/		
	Weekly / monthly / quarterly report	IPA 2012	/		Not received yet, the reports should cover: Aug 2014 – May 2015
	Annual Report	IPA 2012	/		
	Final Report	IPA 2012	Final Report, Contract No. 2014/347-094, covering implementation period 25 July 2014 – 24 May 2015		
	Other reports	IPA 2012	/		
	Contract	IPA 2014	Grant Contract: External Actions of the EU, No. 2015/361-975, between EUD and HELP(Coordinator) and the Co-beneficiaries [implementation period 3 Aug 2015 – 18 months, total EUR 2,7 M]	HELP, 5 Oct 2015	

Stakeholders	Categories of documents	IPA 2012 (I) / 2014 (II)	Title / Ref n° of document	Publisher / date	Remark
HELP			Grant Contract and all contract-related documents, including budget, LFA, addendums, etc.	Downloaded from Project CRIS Library, Eval Module	
	Addendums to contract	IPA 2014	/		
	Beneficiary selection criteria	IPA 2014	/	EUD-HELP, 3 Aug 2015	Detailed in the Final Report, common for all the three NGOs
	Cooperation Agreements	IPA 2014	/		
	Weekly / monthly / quarterly report	IPA 2014	Monthly reports, from Aug 2015 to Sept 2016	HELP, 10 Sep 2015-10 Oct 2016	
	Annual/Interim Report	IPA 2014	Interim Financial Report for Contract: 2015/361-975, from 3 Aug 2015 to 30 Sep 2016; Interim Narrative Report, Contract No. 2015/361-975, covering implementation 2 Aug 2016-3 Mar 2017	HELP, 30 Sep 2016 HELP, 30 Mar 2017	
	Final Report	IPA 2014	Final Report, Contract No. 2015/361-975, covering impl. Period: 03 August 2015 – 02 July 2017	HELP, 15 Dec 2017	
	Other reports	IPA 2014	/		
UNOPS	Contract	IPA 2012	C-347554: EUR 14 million, from 5 Jul 2014-31 Jan 2017 Grant Contract and all contract-related documents, including budget, LFA, addendums, etc.	Downloaded from Project CRIS Library, Eval Module	
	Addendums to contract	IPA 2012			

Stakeholders	Categories of documents	IPA 2012 (I) / 2014 (II)	Title / Ref n° of document	Publisher / date	Remark
UNOPS	Beneficiary selection criteria	IPA 2012	/		
	Cooperation Agreements	IPA 2012	/		
	Weekly / monthly / quarterly report	IPA 2012	/		
	Annual/Interim Report	IPA 2012	/		
	Final Report	IPA 2012	C-2014/347554: Final Report on Phase I, EUR 14 million, duration: 4 Aug 2014 – 31 Jan 2017	Received from UNOPS, 4 Feb 2019	
	Other reports	IPA 2012	Consolidated (all IP) Report on Phase I	UNOPS, 25 Jul 2017	
	ROM report	IPA 2012	Consolidated Result Orienting Monitoring Report for the Phase I project, C-347554, implemented by UNOPS	UNOPS, FAO, DRC, ASB, HELP, 5 Nov 2015	Report positive
	Contract 1 (Roads)	IPA 2014	C-371849 (Roads)- duration 02/01/16-01/11/19; EUR 10.474 million Grant Contract and all contract-related documents, including budget, LFA, addendums, etc.	Downloaded from Project CRIS Library, Eval Module	Contract not received: EU support for the reconstruction of the road structures affected by the floods in Serbia; EUR 10,474,945
	Addendums to contract 1	IPA 2014	Annex IV: EU Roads Project Work Plan 2017; Annex II: EU Roads Quality Register Dec 2016; Annex III: EU Roads Lessons Learned Log, Dec 2016 Annex I: EU Roads Risks Issues Register Dec 2016; Annex IV: EU Roads - Plan for the five new bridges 1	UNOPS, 6 Jan 2017 UNOPS, 9 Jan 2017 UNOPS, 9 Jan 2017 UNOPS, 16 Jan 2017 UNOPS, 1 Dec 2017	

Stakeholders	Categories of documents	IPA 2012 (I) / 2014 (II)	Title / Ref n° of document	Publisher / date	Remark
UNOPS					
	Beneficiary selection criteria	IPA 2014	n/a		
	Cooperation Agreements	IPA 2014			
	Weekly / monthly / quarterly report	IPA 2014			
	Annual/Interim Report	IPA 2014	C-371849: EU Support for the Reconstruction of the Road Structures Affected by the Floods in Serbia-Annual Report, 2 Jan – 31 Dec 2016; C-371849: EU Support for the Reconstruction of the Road Structures Affected by the Floods in Serbia- Annual Report, 1 Jan – 31 Dec 2017; Interim Financial Statement as at 31 December 2017, for C-371849; C-371849: Annex II EU Roads Budget Report And Forecast; Annex III: EU Roads Risks Issues Register	UNOPS, 16 Jan 2017 UNOPS, 15 Jan 2018 UNOPS, 9 Jan 2018 UNOPS, 15 Jan 2018 UNOPS, 15 Jan 2018	
	Final Report	IPA 2014	n/a (the project duration until 1 Nov 2019)		
	Other Reports	IPA 2014			
	ROM Reports	IPA 2014	C-371849_Consolidated_ROM Report_20190118	EUD, 16 June 2016	
	Contract 2	IPA 2014	C-367937 – European Union Assistance on Flood Relief in Serbia - phase II; EUR 0.8 M Grant Contract and all contract-related documents, including budget, LFA, addendums, etc.	Project CRIS Library, Eval Module	1.Capacity building of PIMO; 2. IPA 2014 Flood R. visibility

Stakeholders	Categories of documents	IPA 2012 (I) / 2014 (II)	Title / Ref n° of document	Publisher / date	Remark
	Addendums to contract 2	IPA 2014		EUD, 18 Jan 2019	
	Beneficiary selection criteria	IPA 2014	n/a		
	Cooperation Agreements	IPA 2014	/		With PIMO?
	Weekly / monthly / quarterly report	IPA 2014	For project component "Communication and visibility"- 4 media coverage: EUD in visit to Valjevo 15 Sep 2016, Bridges in Kraljevo 30 Oct 2015, Flood Relief Media Coverage Oct 2015, and Twitter Coverage Oct 2015)		
	Annual/Interim Report	IPA 2014	/		
	Final Report	IPA 2014	C-2015/367937: Final Report on Phase II, EUR 0.8 million, duration: 1 Nov 2015 – 31 Oct 2017	UNOPS, 25 Apr 2018	<i>File name of the report with typing error, "369937", should be: 367937</i>
	Other reports	IPA 2014	EU Flood Relief Phase II (IPA 2014) Consolidated IPs Report, 31 October 2015; EU Flood Relief Phase II (IPA 2014) Consolidated IPs Report, 30 April 2017.	UNOPS and other IPs, 15 Nov 2015; UNOPS and other IPs, 9 May 2017	Media coverage/visibility report
	ROM report	IPA 2014	/		
World Bank	Contract	IPA 2014	C-369875 Administration Agreement between EC and IBRD and IDA concerning the Serbia NDRM Single-donor Trust Fund (No. TF072528) LFA, budget [EUR 6.15 M, duration 36 months]	EUD: 16/12/2015 WB: 18/12/2015 Project CRIS Library, Eval Module	Serbian National Disaster Risk Management Program (NDRM) Single-Donor Trust Fund

Stakeholders	Categories of documents	IPA 2012 (I) / 2014 (II)	Title / Ref n° of document	Publisher / date	Remark
			Grant Contract and all contract-related documents, including budget, LFA, addendums, etc.		
	Addendums to contract	IPA 2014	Amendment to the Administration Agreement between EC and IBRD and IDA concerning the Serbia NDRM Single-donor Trust Fund (No. TF072528) Clarifications by WB about Action document	IBRD-EC, 16 Apr 2018 WB, 15/06/2015	
	Beneficiary selection criteria	IPA 2014	n/a (institutional/capacity building project)	WB/GFDRR, 5 Feb 2019	
	Cooperation Agreements	IPA 2014	/		<i>Ongoing project</i>
	Weekly / monthly / quarterly report	IPA 2014	Summary IPA 2014 EU Assistance for Flood Relief Programme (related to NDRM); EU – WB/GFDRR Serbia National Disaster Risk Management Program (TF072528): Updated status of implementation and work schedule as of March 2018 in view of Program extension until December 2020; Copy of Serbia DRM Implementation Extension Workplan 2020;	WB/IBRD-IDA , 16 Mar 2016; WB/IBRD-IDA , 22 Oct 2018; WB/IBRD-IDA , 9 Jul 2018;	
	Annual/Interim Report	IPA 2014	EU – WB/GFDRR Serbia National Disaster Risk Management Program (TF072528) Progress Report, Dec2015 - Dec 2018	WB/GFDRR, 9 July 2018	
	Final Report	IPA 2014	n/a (ongoing project, until Dec 2020)		
	Other reports		EU Flood relief 2014: FOCUS ON DISASTER RESILIENCE (summary, 2 pages); Note to the file: delays LIDAR, likely delays in contacting and disbursement	EUD, K-H Vogel, 16 Mar 2016; EUD, K-H Vogel, 05/09/2017	

Stakeholders	Categories of documents	IPA 2012 (I) / 2014 (II)	Title / Ref n° of document	Publisher / date	Remark
	ROM report		/		
OTHER RELEVANT REPORTS					
EUD, 5 IPs	ROM report	IPA 2012	Evaluation of Grant Contracts Implemented and Financed by IPA and EIDHR - Report II - IPA 2012: Support to the reconstruction of flood affected areas in Serbia	IBF International Consulting, 19 Dec 2014	Phase I interim evaluation report

Appendix 9 - Other technical appendices

9.1. Description of International Donors to Serbia

(Source²⁷: Ministry of European Integration, Ministry of Interior)

A. KEY BILATERAL DONORS INVOLVED IN POST-FLOODS ASSISTANCE AND DRR/DRM IN SERBIA (by alphabetical order; for budget details for 2014 and 2015 only see the Table 9 below)

Austria

In the field of flood recovery and prevention, Austria, through the Red Cross, provided assistance to households which were affected by floods in Pozarevac, Paracin, Svilajnac and Trstenik. Through ADA, Austria also financially participated with EUR 750,000 in the European Union's RFPI project (within the framework of this Action), aimed at the construction of new and reconstruction of the existing river embankments, dykes and water retentions in the municipalities of Paracin, Svilajnac and Valjevo, as well as rehabilitation and reconstruction of the drainage network in the Municipality of Obrenovac with pumping stations.

China

The Republic of China has provided significant support in terms of flood protection, in the form of donation of lifeboats and GPS devices.

Denmark

In May 2014, the Ministry of Defence of the Kingdom of Denmark and the Danish Emergency Management Agency sent to Serbia personnel and equipment as help in fight against floods

Germany

With development assistance of more than EUR 1.8 billion since 2000 and the significance of the results achieved, Germany is undoubtedly the most important bilateral development partner of Serbia. Financial support projects are implemented by the German Development Bank (KfW), while technical assistance projects are implemented by the German Technical Cooperation Agency (GIZ). Among the priorities, there is however only a passing reference to "funds of the Ministry of Environmental Protection"; Germany participates in the EU Civil protection mechanism.

The Netherlands

The Dutch government is also participating in the EU Civil Protection Mechanism, which was instrumental in the rapid response to the floods in May 2014.

Norway

Following the reallocation of the funds from the Bilateral programme for 2014 towards flood recovery, on 23 July 2014 a Financing Agreement was signed between the Norwegian Ministry of Foreign Affairs, the Government of the Republic of Serbia and the United Nations Office for Project Services (UNOPS) concerning the Republic of Serbia rehabilitation support after floods in the amount of 4,000,000 EUR for rehabilitation of 24 public buildings (schools, kindergartens, healthcare and cultural institution) in 12 municipalities. By Amendment of the Financing Agreement of 1 August 2016 this project was extended till June 2017 in order to utilise the project savings for rehabilitation from floods and heavy rains. End of 2016 the Norway allocated additional 200,000 EUR for additional activities. By Amendment of 8 December 2016 the amount of additional funding was confirmed increasing the total value of

²⁷ Ministry of Interior, Sector for Emergency Management (interview with key stakeholders); website of the Ministry of European Integration [<http://www.mei.gov.rs/eng/funds/bilateral-and-multilateral-partners/by-countries/>]

the Financing Agreement to 4,200,000 EUR and the project was extended until 30 September 2017.

Besides mentioned, Norway donated 500,000 EUR for recovery of small and medium enterprises (NGO project in the period September 2014 – June 2015) and 50,000 EUR for embankment rehabilitation in Kraljevo, which was contracted directly with the municipality of Kraljevo.

Sweden

Among the 3 priority areas of development cooperation have been established in accordance with the "Sweden's new Strategy for Reform Cooperation in Eastern Europe, the Western Balkans and Turkey for 2014-2020" is "a better environment, reduced climate change impact and enhanced resilience to environmental impact and climate change ».

The ongoing projects include:

- PEID Project (Priority Environmental Infrastructure for Development), through which the support to the environmental protection sector continues - providing technical assistance to the Ministry of Environmental Protection, in order to prepare potential projects for financing in the following period. The main goal is to create technical documentation for large infrastructure projects.
- EISP 2 Project (Environmental Infrastructure Support Project), which provides support to the Ministry of Environmental Protection in implementing small components of large infrastructure projects, as well as identifying potential environmental projects in order to be ready for the development of the necessary technical documentation.

Switzerland

Switzerland has funded the risk financing component of the NDRMP, through the WB/GFDRR multi-donor Trust Fund.

The Government of the Swiss Confederation has two institutions in charge of development assistance. The **Swiss Development Agency (SDC)** within the Federal Department of Foreign Affairs is in charge of development assistance for supporting capacity building projects, technical assistance, i.e. the so-called "soft" projects, aimed at reforming the administrative and general social system. The **State Secretariat for Economic Affairs (SECO)** of the Federal Department of Economic Affairs is responsible for development projects that are exclusively of infrastructural nature. At the national level, the Swiss Development Agency and the State Secretariat for Economic Affairs are represented by the **Swiss Cooperation Office (SCO)** in Belgrade.

The **Swiss Cooperation Strategy for Serbia 2018-2021** represents a continuation of the multiannual support to the reform processes in the Republic of Serbia. The Swiss Confederation has been present in Serbia **since 1991**, which is a testament to its commitment to this bilateral partnership. So far, the financial support has amounted to EUR 350 million.

The new Strategy for the period 2018-2021 is focused on the areas of governance, economic development and sustainable energy sources. In the next four years, Switzerland will allocate **EUR 95 million, which is 10% more** compared to the previous strategy period. The Swiss-Serbian cooperation is based on mutual trust, partnership and active participation of all relevant partners. The Strategy has been carefully developed in close cooperation with Serbian partners.

Turkey

With regard to assistance in emergencies, Turkey has provided assistance after the earthquake in Kraljevo in 2010, floods in Novi Pazar in 2011 and 2016, as well as assistance in recovery following the floods that affected Serbia in May 2014. For those purposes, humanitarian funds and support in the amount of EUR 1.350.000 were provided for the financing of several projects in seven municipalities in Serbia, intended for the regulation of the river beds, the construction of embankments and the banks on the rivers Ljig, Velika Morava, Zapadna Morava and Pek, construction of a new bridge in Razanj municipality etc.

A.1. BILATERAL AND EU DONATIONS FROM THE BEGINNING OF FAARO'S WORK UNTIL 31 DEC 2015

(Source: Ministry for European Integrations - Sector for planning, programming, monitoring and reporting of the EU funds and development aid)

Table 9: Bilateral donations from the beginning of FAARO's work (22 May 2014) until 31 Dec 2015

1. Bilateral donations by foreign governments at Brussels Donor Conference	Donations pledged at Brussels Donor Conference	Donation status	Note
Austria	2 million EUR	Realised/carried out	It was agreed with the Red Cross of Serbia to utilise the funds as additional cash assistance to households after the first round of assistance paid by the Government of the Republic of Serbia.
Albania	100,000 EUR	Realised/carried out	Notes exchanged in November 2014, funds paid. Two projects for reconstruction of river embankments under the jurisdiction of PWMC "Srbijavode" completed.
Algeria	500,000 US\$, equal to 370,000 EUR	Realised/carried out	The negotiation process completed in November 2014, Memorandum of Understanding signed, funds paid. Four projects for rehabilitation of river embankments under the jurisdiction of PWMC "Srbijavode" completed.
Andorra	7,500 EUR	Realised/carried out	Paid to the donor account at the National bank of Serbia (NBS); used for cash assistance to flood-affected households.
Bulgaria	50,000 EUR	Realised/carried out	The negotiation process completed in December 2014, Memorandum of Understanding signed, funds paid. Two projects for rehabilitation of river embankments under the jurisdiction of PWMC "Srbijavode" completed
Czech Republic	111,111 EUR	Realised/carried out	The Czech Development Assistance Agency paid Czech NGOs funds for assistance projects targeting flood-affected households during July and August 2014.
Greece	200,000 EUR	Realised/carried out	Paid to the donor account at the NBS; used for cash assistance to flood-affected households.
France	1 million EUR	Realised/carried out	In November 2014, the Project Agreement between the French Embassy, UNOPS and FAARO was concluded at the amount of EUR 976,502.56. Eight prefabricated houses built in Obrenovac and three more in eastern Serbia. The agreement also envisages the renewal of a part of the telecommunication and sewage network in Obrenovac. From the rest of the funds (about 23,000 EUR), the donor purchased lifeboats for the needs of the SEM, Mol.
India	100,000 US\$, equal to 74,000 EUR	Realised/carried out	Paid to the donor account at the NBS; used for cash assistance to flood-affected households.

Indonesia	100,000 US\$, equal to 74,000 EUR	Realised/carried out; increased from pledged 100,000 US\$ to 150,000 US\$	The negotiation process was completed in December 2014, exchanged Notes, funds paid. Two projects for rehabilitation of river embankments under the jurisdiction of PWMC "Srbijavode" completed.
Italy		Realised/carried out: assistance at the amount of 0.8 mil. EUR through FAARO	Public procurement carried out in October 2015, contracts signed in November, contractors introduced into the job. The completion of works on the reconstruction of river embankments at 8 locations in the municipalities of Kladovo, Krupanj, Osecina and Loznica expected in spring of 2016.
Japan	5 million EUR	Realised/carried out Increased to 5.1 mil. EUR	Approved projects for rehabilitation of river embankments under the jurisdiction of PWMC "Srbijavode" worth 3 million EUR, works completed. During 2015, through the Embassy of Japan, 731,000 EUR were realized from the POPOS programme in 7 municipalities for assistance and reconstruction of 12 facilities of local infrastructure (kindergartens, elderly homes, health centers, etc). Approved assistance of € 1,050,000 for the procurement of equipment for SEM (Mol) and € 350,000 for the Ministry of Health, procurement of equipment in progress.
Armenia	100,000 US\$ equal to 74,000 EUR	Realised/carried out	Paid to the donor account at the NBS; used for cash assistance to flood-affected households.
Canada	36,000 EUR	Realised/carried out; the amount increased in agreement with FAARO to the total of 1 million CAD, i.e. 720,000 EUR	Donation implemented through UNOPS. For the first tranche of 500,000 Canadian dollars, FAARO proposed the reconstruction of the river embankments in Lucani, under the jurisdiction of PWMC "Srbijavode", the project was successfully implemented. At the beginning of 2015, another 500,000 Canadian dollars were approved for the project of pumping station renewal under the PWMC "Vojvodina Water", works completed in November 2015.
Hungary	500,000 EUR	Realised/carried out	The Hungarian Ministry of Foreign Affairs took part of the donation through Hungarian NGOs, which directly assisted the flood-affected households. A sum of 273,000 EUR paid to FAARO in October 2015 and intended for procurement of pumps for PWMC "Srbijavode". Delivery and payment of pumps is expected in spring of 2016.
Macedonia	100,000 EUR	Realised/carried out	Paid to the donor account at the NBS; used for cash assistance to flood-affected households.
Morocco	100,000 US\$ equal to 74,000 EUR	Realised/carried out	Funds paid to the donor account at the NBS. From these funds, two embankments have been restored under the jurisdiction of the PWMC "Srbijavode".
Mexico	50,000 US\$ equal to 37,000 EUR	Realised/carried out	Mexican donation realized through WFP.
Germany		Realised/carried out – donation of 300,000 EUR not pledged in Brussels	Through the Ministry of Economy and Energy, Germany donated 300,000 EUR to LSGs in Serbia through the project "Water supply and treatment of wastewaters in medium-sized cities in the Republic of Serbia". The German Embassy has announced that it will also direct additional assistance for the reconstruction of local infrastructure directly in several municipalities of Serbia.

Norway	4.1 million EUR	Realised/carried out – increased to the total amount of 4,550.000 EUR	A grant agreement of 4 million EUR was signed between the Government of Serbia, UNOPS as the implementing partner and Ministry of Foreign Affairs of Norway, benefiting to rehabilitation of 24 public institutions (schools, kindergartens, health and cultural institutions) in 12 municipalities - works are underway. The Embassy of the Kingdom of Norway has stated that the amount of 4.1 million EUR indicated as pledged in Brussels is not quite accurate and that the relevant amount of the agreement is 4 million EUR. However, Norway has additionally donated EUR 500,000 for the recovery of small and medium-sized enterprises (NGO project September 2014 to June 2015) and EUR 50,000 for rehabilitation of embankments in Kraljevo, directly contracted with the municipality of Kraljevo.
Poland	80,000 EUR	Realised/carried out	The Polish Ministry of Foreign Affairs has implemented the announced assistance through NGO Poland's Humanitarian Action, for the reconstruction of a school in Obrenovac, the project is completed.
USA	2 million EUR	Realised/carried out	Red Cross of Serbia is in charge of distribution of this assistance, which was realized through assistance to individual households and public institutions.
Slovakia	330,000 EUR	Realised/carried out 50,000 (before Brussels Conference)+80,000+200,000 EUR	With the help of the Slovak Ministry of Foreign Affairs, the Slovak Government paid 50,000 EUR at the account of the Embassy of Serbia in Bratislava. Also, assistance from € 80,000 was provided to the Red Cross of Serbia. The Embassy of Slovakia in Belgrade with TENT Obrenovac concluded a Memorandum of Understanding and 200,000 EUR was transferred to the bank account of TENT power plant on 27 April 2015 for the post-food rehabilitation, including procurement of equipment.
Slovenia	150,000 EUR	Realised/carried out (purchase of garbage trucks)	Slovenian Embassy agreed with Obrenovac Municipality to donate vehicles directly; donation realized.
Sweden	2 million EUR	Realised/carried out	The Swedish Embassy has informed FAARO that the donation would be intended to the Standing Conference of Towns and Municipalities (SCTM) for a project to strengthen local government capacity to respond to flood and other natural disasters. Working on the SCTM project in progress, the first training is expected during 2016.
Switzerland	5.9 million EUR	Most of the funds realised/projects carried out; some works ongoing	Through various assistance projects, the Embassy of Switzerland and the SDC have implemented the bulk of the donation (500,000 CHF through UNICEF, 1 million CHF through EHO for the construction of Roma houses, funds targeted through Red Cross, children's camps, etc.). CHF 50,000 were implemented through FAARO for rehabilitation of river embankments in Knjazevac. Additional 2 million CHF are under consideration for DRR projects: the donor Swiss Secretariat for Economic Affairs (SEKO) directly negotiates with the local self-governments of Paracin and Uzice on this assistance projects.
Turkey	1.35 million EUR	Realised/carried out	Works on the rehabilitation of river embankments under the jurisdiction of PVMC "Srbijavode" at the amount of EUR 1,030,000 have been completed. A bridge in the municipality of Ražanj was

			built, worth 298,000 EUR, and equipment for the General Hospital in Paracin was purchased at the amount of 33,000 EUR.
Great Britain	1 million GBP equal to approx. 1.25 mil. EUR	Realised/carried out	The PWMC "Beogradvode" project for the repair of damaged river embankments in Lazarevac and within the Kolubara basin proposed by FAARO approved, the British Embassy selected UNOPS for the implementing partner, works completed.
Total Amount	PLEDGED in BRUSSELS	REALISED and INCREASED	Note
Bilateral Donations	26,847,611 EUR	29,154,722 EUR	Increase of 2.3 million EUR
Donations from EU funds	90 mil. EUR pledged (30 mil. EUR IPA 2012 + 50 mil. EUR IPA 2014 + 10 mil. EUR regional IPA)	Increased to 162.2 mil. EUR (realized 30 mil. EUR IPA 2012, while ongoing 62 mil. EUR of IPA 2014 + 10 mil. EUR Regional IPA + 60.2 mil. EUR EUSF)	Increase of 72.2 million EUR - IPA 2012 realised – by the end of 2015 all of the planned objects reconstructed/rehabilitated out of IPA 2012 funds at the amount of 30 million EUR. - IPA 2014 realisation ongoing - 62 million EUR of national IPA, and 10 million EUR of regional IPA. Allocation of all the funds is expected during 2016/2017. - EU Solidarity Fund – realisation ongoing, presented in a separate report.
Total Bilateral Donations plus EU Funds	116.8 mil. EUR	191.3 mil. EUR	Increase at approx. 74.5 mil. EUR
2. Donations by Foreign Governments Not Pledged in Brussels			
<i>United Arab Emirates</i>	<i>10 million US\$ + 1 million EUR</i>	<i>Realized - paid to National Bank of Serbia (NBS)</i>	<i>\$ 10 million paid to the donor account in the NBS. These funds used for cash assistance to flood-affected households. The donation of 1 million EUR used to build 40 new houses.</i>
<i>Kuwait</i>	<i>1 million US\$</i>	<i>Realized/carried out - built houses; construction of 2 bridges ongoing</i>	<i>Through the first part of the donation in the amount of 400,000 EUR the Embassy of the State of Kuwait implemented the construction of 25 houses in Obrenovac. In agreement with the Office, the remaining funds focused at construction of two bridges in the municipality of Krupanj.</i>
<i>China</i>	<i>50,000 US\$ i.e. 37,000 EUR</i>	<i>Realized - paid to NBS</i>	<i>Paid to the donor account at the NBS; used for cash assistance to flood-affected households.</i>
<i>Thailand</i>	<i>28,000 US\$</i>	<i>Realized - paid to NBS</i>	<i>Paid through the Embassy of Serbia in Athens, to the donor account at the NBS; used for cash assistance to flood-affected households.</i>
<i>Iran</i>	<i>5,000 EUR</i>	<i>Realized - paid to NBS</i>	<i>Paid to the donor account at the NBS; used for cash assistance to flood-affected households.</i>
<i>Cyprus</i>	<i>5,000 EUR</i>	<i>Realized - paid to NBS</i>	<i>Paid to the donor account at the NBS; used for cash assistance to flood-affected households.</i>

B. INTERNATIONAL ORGANISATIONS

Council of Europe Development Bank (CEB)

CEB provides concessionary (favourable) loans and consulting services for socially-oriented investment projects in three key areas, including Environmental Protection. Past loans have covered among others the reconstruction of residential infrastructure after landslides, and the construction of housing units for families affected by the earthquake in Kraljevo in 2010

European Investment Bank (EIB)

According to its mandate, the EIB can also provide loans (whereby the EIB may cover up to 50% of project costs) for projects related to environmental protection.

European Bank for Reconstruction and Development (EBRD)

EBRD is providing support for the preparation and implementation of major infrastructure activities in the energy, environment and transport sectors, through lending or a combination of loans and grants - alone or in cooperation with other partners such as the EU.

United Nations Country Team in Serbia (UNCT)

UNCT includes IPs such as FAO and UNOPS. This is in line with two of the declared objectives of the UNDAF (United Nations Development Assistance Framework) with Serbia: environmental protection, and combating the effects of climate change and building sustainable communities.

World Bank

Support of WB/GFDRR in terms of flood recovery, prevention and risk management, are outlined in the report.

9.2. Background of Sector of Emergency Management (SEM)

- notes from meeting held on 11th April 2019 at SEM HQ in Novi Belgrade

- Until 2007, the organization covered protection and rescue only, and was part of police.
- 2009: the Sector was set up, by merging Firefighters from MoI with Civil Protection (detached from Ministry of Defence) and SEVESO Unit from Ministry of Environment.
- 2010: the HQ for Emergency Management was created.
- 2011: (after the Kraljevo earthquake of 2010) the national strategy for emergency management was defined.
- Until 2014 floods: the above was implemented on a minimum scale (some forest fires, storms...). The floods came as a wake-up call; FAAARO / PIMO was created; many volunteered also from the public.

Flood response

- Just after the floods of 2014, as the Sector was not used to work with international cooperation, they launched requests for urgent assistance to every foreign embassy and delegation... they got many: 22 foreign rescue teams from 14 countries (mostly from Europe, DG ECHO/EUCPM), with more than 5.000 personnel, who went to Obrenovac, Jagodina, Cacak, Sremska Mitrovica...
- The EUD was very helpful, as well as the UN Resident Coordinator.
- It did not help that a new government had been formed only 2 weeks before the floods.

- Coordination of fast reaction teams and equipment was assured by MoI, and other items (food, NFIs..) by the RC.
- Rapid assistance from IPA 2012 with euro 30 million was very helpful and very efficiently implemented.

EWS (early warning system):

- In May 2014, Hydromet Service of Serbia had predicted rains of 100 l/ sqm; this could be absorbed. The reality was 300 l/sqm... There were only 9 automatic measuring stations along the rivers for the whole country, which could not provide EWS.
- There is still much to be done, more measuring stations, satellite software are needed.

Present operational development and near future

- At state level, there are professional firefighting and rescue / CP units; if this is not enough, they can request assistance from the Gendarmerie (MoI), and further from MoD.
- Since 3 years, there has been training with the French Civil Protection; some experts have been certified to the highest level.
- There are regular joint exercises.
- New laws have been passed or are being prepared, to clarify the situation in full compliance with Sendai and EU Regulation 1313 (EUCPM): law on DRR and Emergency management (November 2018), law on firefighters, law on critical infrastructure, law on voluntary firefighters.
- National risk assessment is being completed, in coordination with WB/GFDRR; Ivan Baras did not know about landslides mapping.
- They are promoting basin rivers associations of municipalities, but this takes time.
- Much of the workload rests upon municipalities (17.000 3rd-grade torrential streams); according to the law of 2009, all municipalities must form CP units, but in practice this was often not implemented until 2014. Development is now taking place but at various speed according to local resources. Most advanced with local HQs and permanent units: Kraljevo, Nis, Krusevac, Kragujevac, Cacak, City of Belgrade.
- They have a registry of all the heavy equipment available at the public utility enterprises of the municipalities.
- UNDAC certification has not yet been done as it is very expensive (EUR 20,000/expert), difficult to explain to the Ministry...
- Risk of floods from the Danube is also increasing since the strengthening of dams / dikes in Germany and Austria; floods are now happening downstream in Hungary, at greater strength. This can also spill over further into Serbia.
- The migrants crisis since 2015 has diverted resources and donors from DRR.
- SEM is already funded by INTERREG - IPA, there are ongoing (2016-2018) CBC cross-border DRR projects for forest fires with Bulgaria (EUR 1.17 million), and previously with Romania (2012 – 2014, EUR 4 million).
- More funding and support is needed.

9.3. List of 13 projects

(source: TOR)

Table 10: List of 13 projects of the Action

IPA 2012		Implementation		
Project Title	Implementing Partner	Project Budget (EUR)	Start Date	End Date
Provision of housing reconstruction and economic revitalisation to most vulnerable flood-affected families in Serbia	ARBEITER-SAMARITER-BUND DEUTSCHLAND EV - ASB	2.903 million	01/08/2014	31/07/2015
Supporting Recovery of Floods Affected Households and Local Economies in Serbia	DANISH REFUGEE COUNCIL - DRC	2.416 million	26/07/2014	25/07/2015
Urgent rehabilitation of flood affected communities in Serbia	HELP - HILFE ZUR SELBSTHILFE EV	2.36 million	25/07/2014	24/05/2015
Agricultural and Food Security Emergency Assistance to Flood Affected Small-scale Farmers in Serbia	FOOD AND AGRICULTURE ORGANISATION OF THE UNITED NATIONS - FAO	7.9 million	23/08/2014	22/05/2016
Serbia Floods Rehabilitation Support	UNITED NATIONS OFFICE FOR PROJECT SERVICES - UNOPS	14 million	05/08/2014	31/01/2017
IPA 2014		Implementation		
Project Title	Implementing Partner	Project Budget (EUR)	Start Date	End Date
Continuous support in housing reconstruction and economic revitalisation of flood-affected areas in Serbia	ARBEITER-SAMARITER-BUND DEUTSCHLAND EV - ASB	3.3 million	03/08/2015	02/07/2017
Supporting Recovery of Households and Local Economies in Serbia Affected by Severe Floods in May and September 2014	DANISH REFUGEE COUNCIL – DRC	3.7 million	03/08/2015	30/06/2017
European Union Assistance on flood relief in Serbia, phase II	HELP - HILFE ZUR SELBSTHILFE EV	2.699 million	03/08/2015	03/07/2017

IPA 2014		Implementation		
Project Title	Implementing Partner	Project Budget (EUR)	Start Date	End Date
Agriculture and Food Security Emergency Assistance to Flood Affected Small-scale Farmers in Serbia	FOOD AND AGRICULTURE ORGANISATION OF THE UNITED NATIONS - FAO	1.5 million	11/11/2015	10/11/2016
European Union assistance on Flood Relief in Serbia - phase II	UNITED NATIONS OFFICE FOR PROJECT SERVICES - UNOPS	0.8 million	01/11/2015	31/10/2017
EU Support for the Reconstruction of the Road Structures Affected by the Floods in Serbia	UNITED NATIONS OFFICE FOR PROJECT SERVICES - UNOPS	10.474 million	02/01/2016	01/11/2019
Rehabilitation of Flood Protection Infrastructure - RFPI	AUSTRIAN DEVELOPMENT AGENCY GMBH - ADA	19 million	28/12/2015	27/12/2019 (currently extended for 18 months more, with no costs)
Serbian National Disaster Risk Management Program Single-Donor Trust Fund	INTERNATIONAL BANK FOR RECONSTRUCTION AND DEVELOPMENT/ WB/ GFDRR	6.15 million	19/12/2015	18/12/2020

9.4. Timetable of evaluation activities

Table 11: Evaluation Timetable[illegible]

Activity	Location	Month									
		JAN		FEB		MAR		APR		MAY	
<ul style="list-style-type: none"> Data collection: meetings with key stakeholders of the Action (IPs and national authorities) 	Belgrade										
<ul style="list-style-type: none"> Field data collection: interviews, group discussions (municipal authorities, final beneficiaries), field observations. Summarising findings, preparing Intermediary PPT 	Belgrade+ western-central-eastern Serbia										
<ul style="list-style-type: none"> Intermediary presentation to Evaluation Reference Group – 15 April 	Belgrade										
Synthesis phase:											
<ul style="list-style-type: none"> Preparing Draft Final Report 	Home-based										
<ul style="list-style-type: none"> Submitting Draft Final Report to Evaluation Reference Group - 21 May 	Home-based										
<ul style="list-style-type: none"> Approving the Final Report by Evaluation Reference Group 	Home-based										
<ul style="list-style-type: none"> Submitting the Final Report and the Executive Summary; presenting the recommendations of the Final Report to the national stakeholders, and forward-looking discussion (in EUD, last week of May) 	Home-based / Belgrade										

Appendix 10 - Additional detailed answers to some Evaluation Questions

The excerpts below complement with additional details some of the EQs (the numbers of the corresponding evaluation questions and the criteria to which they refer are indicated; there are also cross-references notes in the report), although they may have made the main text too bulky and less easily readable. They were therefore transferred in the present appendix.

EQ 1; Criteria 1.2: Action Plan for IPA 2012 – 2nd axis on agriculture

The 2nd main axis of IPA I efforts was targeted at supporting **affected small-scale farmers**, as the flooding had resulted in widespread landslides causing damage and destruction of property and agricultural land. Regarding economic self-reliance support to SMEs and farmers, the identification of the priorities was also relevant, and FAO (the UN Food and Agriculture Organisation) was contracted to implement a EUR 7.9 million project which was well-aligned with the EU's overall priority for the restoration of the livelihoods of the flood-affected population under the 2012 and 2014 Instrument for IPA grants.

Indeed, the floods drained into the Sava River basin causing land erosion and debris deposits, damage to agriculture, buildings, crops, soil, orchards and machinery as well as human and livestock deaths. The timing of the flood coincided with the harvest of early season high value crops from greenhouse production. Direct damage to agriculture was estimated at EUR 108 million (excluding damage to farmhouses, irrigation structures and agro-processing industries that have been attributed to other sectors), and losses in production at an additional EUR 120 million. As a result, many small-scale farmers were left without the means to continue with agricultural production, feed their remaining livestock and generate some income for their family.

FAO and the Ministry of Agriculture and Environmental Protection (MAEP) took part in the PDNA, which was duly coordinated with the EU – for full alignment with policy objectives - and with the World Bank. FAO led the rapid needs assessment in the agriculture sector, reviewing 24 rural municipalities which had initially been identified as most affected. This rapid needs assessment estimated that about 33.000 farmers had been affected by the floods. Production losses occurred especially in the crop subsector. Municipalities reported the number of hectares lost for different crops, including animal fodder, pastureland, fruit and vegetable production, industrial crops and cereals. On an estimated 11.943 ha of land, agricultural production was not possible for one season, out of which 4.815 ha required the removal of debris. Farm machinery and equipment was damaged by submersion and an estimated number of 1.500 greenhouses were fully or partially destroyed. Seven additional affected municipalities, which had not been covered by the PDNA, were assisted under IPA 2014.

It should be noted that it had been originally envisioned that the project would rehabilitate farm infrastructure such as canals, drainage or irrigation systems and farm storage facilities. During the project inception phase in September 2014, and after consultation between FAO, EU, MAEP and local governments, it was decided to shift focus entirely on distribution of agricultural inputs assistance packages and training. This was done because it was determined that other local level initiatives, or individual farmers, would have already repaired the infrastructure.

EQ 1; criteria 1.3 Action plan IPA 2014 – DRR/DRM support by WB/GFDRR

The ultimate outcome will be to develop a flood risk mapping and an enhanced Water Information System (WIS) by integrating the new risk maps into the existing database, as well as an improved forecasting and early warning system (EWS) for flood control and

management purposes. This objective should be achieved through the 6 components of the projects, 3 of which are to be implemented by WB/GFDRR:

- *Component I:* development of flood risk maps and capacity building for the integration of the maps in the WIS which is managed by the Ministry of Agriculture.
- *Component II:* coordination and management activities, including governance, M&E Framework for the Trust Fund, and communication and outreach strategy.
- *Component III:* support Ministry of Agriculture in executing activities, including procurement.

The implementation of the 3 other components is under the responsibility of a number of government agencies: PIMO, Ministry of Agriculture, Forestry and Water (Directorate for Water, the Geodetic Authority, the Military Geographic Institute (Ministry of Defence), and the Hydro-meteorological Services. The components cover:

- *Component IV:* aerial surveys of the Floodplains with Light Detection and Ranging (LiDAR) equipment, and the production of Digital Terrain Models.
- *Component V:* upgrade of the WIS.
- *Component VI:* improvement of the monitoring network as part of the EWS for flood control/management.

The 6 components are further subdivided into 41 activities, which are duly listed in the Administrative Agreement, and monitored in the WB progress reports.

EQ 4, criteria 4.2 and 4.3: objectives and achievements of NGOs

Under IPA I, all the targets were fully achieved and were even significantly exceeded due to systematic savings in costs of procurement, logistics, transportation, and specialized staff, as well as resulting from timely re-assessed needs. Achievements under IPA I can be listed as follows:

i) ASB – 9 municipalities

- housing: 204 reconstructed or newly built houses, out of 200 initially targeted (prefabs or brick-made, including furniture and home appliances);
- furniture and HH appliances' sets provided to 394 HH (out of 200 HH initially targeted);
- income-generating assistance provided to 206 (out of 100 initially targeted) micro and small entrepreneurs;

ii) DRC – 7 municipalities

- housing: 249 houses reconstructed or newly built, out of 184 initially targeted; (prefabs, including furniture and home appliances);
- furniture and HH appliances provided to 285 HH, out of 184 initially targeted.
- income-generating assistance to 78 SMEs, out of 54 HH initially targeted.

iii) HELP – nine municipalities

- housing: 178 houses reconstructed or newly built or newly built, out of 135 initially targeted;
- furniture and HH appliances provided to 262 HH, out of 135 initially targeted.
- income-generating assistance to 261 SMEs, out of 108 targeted.

Complementary mentoring and training for the beneficiaries who were owners of small/mid-size entrepreneurs was also provided by the three NGOs.

Under IPA 2014, the NGO projects were an extension of the IPA I projects, i.e. to assist additional flood-affected households/beneficiaries not being covered in Phase 1. All the targets were also fully achieved and, in certain extent exceeded (see Appendix 2) due to continual systematic savings. Achievements under IPA 2014 can be listed as follows:

i) ASB – 12 municipalities

- housing: 583 houses reconstructed or newly built (prefabs or brick-made, including furniture and home appliances), out of 490 initially targeted;
- income-generating assistance to 186 micro and small entrepreneurs, out of 150 initially;
- ii) DRC – 13 municipalities
 - housing: 697 houses reconstructed or newly built (prefabs, including furniture and home appliances for each of prefabs), out of 522 initially;
 - additional furniture and HH appliances to 147 HH in the two municipalities hit by March 2016 floods.
 - income-generating assistance to 154 SMEs (same as planned).
- iii) HELP – two cities and four municipalities (six locations, in total)
 - housing: 308 houses reconstructed or newly built (prefabs, including furniture and home appliances), out of 277 initially targeted;
 - furniture and HH appliances provided to 133 HH in addition to equipping 19 prefabs;
 - income-generating assistance provided to 262 SMEs, out of 220 initially targeted.

Owners of visited SMEs were found to be using effectively the equipment provided, for instance:

HELP assisted a metal worker in Gredica with new electrical motors for its heavy tools; the firm could accordingly maintain its activity.

In Sviljanac, a flooded garage was found by HELP and provided with a compressor and welding equipment. They could restart activities within 3 weeks after the floods. They also got assistance from the State on the basis of number of employees (5), although only 150,000 dinars (EUR 1,250). At the time of the visit they have still 5 employees and any problem is related to the general market economy, and not to the effect of floods. They now have contracted an insurance, which they did not have before the floods.

According to the municipality of Sviljanac, the overall level of joblessness did not increase due to the floods. No shops had to close definitely due to lower economic activities. *On the contrary, employment in the construction sector increased.*

A visited SME was assisted in Paracin by DRC (carpentry with new compressor): this contributed (with much work by the owner and probably family assistance with investments from outside) to the significant development of the firm after the floods. Despite almost complete destruction, from 7 employees in 2014, the firm has now 23 employees, and is specialised in high quality beehives in wood, which are exported from Belgium to Australia.

EQ 4; criteria 4.6 - Objectives and achievements of UNOPS under IPA 2012

Expected results:

1. Housing solutions provided to up to 370 families in Obrenovac, Krupanj and other municipalities if needed, through reparation or reconstruction of damaged private houses, provision of prefabricated houses, and reparation of facilities for small businesses, respecting human rights standards and non-discrimination principle of good governance.
2. Improved living conditions in temporarily shelters and enhanced capacities for monitoring and coordination of return process in municipalities Obrenovac and Lazarevac.
3. Working conditions restored to normal functioning in up to 30 public institutions (kindergartens, schools, medical centres etc) in the municipalities affected by the floods.
4. Normalised transport of goods and people between Krupanj and Loznica.

5. Enhanced capacities of FAAARO [now PIMO] to manage and monitor recovery process in the flood affected municipalities.
6. Reduced risk of spreading infective diseases through reduction of mosquitos population in the areas affected by the floods.
7. The project results communicated to general public.

All the above results were achieved, and most targets were even exceeded. Achievements of the UNOPS Project were recorded as follows: UNOPS succeeded in restoring living conditions for 454 families by construction and reconstruction of their destroyed houses in Obrenovac, Krupanj and other 14 flood affected municipalities included in the Project. In particular, 32 socially vulnerable families from Obrenovac were provided with durable housing solutions through the construction of a social housing building. These families did not have the ownership of the real estate and were neither eligible for the Government support, nor considered for housing through some other donation. The Project constructed 31.5 per cent of all newly constructed houses for flood affected families (87 out of 276) which were built in Serbia. The living conditions of 727 temporary displaced persons were improved through the provision of adequate heating, sanitary equipment, and sleeping furniture in their temporary accommodation in the Hotel 'Obrenovac'.

Public services were restored back to the normal and learning and working conditions for 13,973 pre-school children, pupils and employees were created through the reconstruction and construction of 15 elementary and high schools, one kindergarten and one sports hall. The Project reconstructed 42% of all flood affected educations institutions identified for support (14 out of 38). For instance in Paracin, a technical secondary which was along the river and had been flooded (1st floor under 1,5 meter during 15 days, furniture and equipment for technical classes destroyed) was able to build on the thorough reconstruction by UNOPS and attract new private donors to upgrade its equipment to international standards.

Although this will have to be validated during field visits, documents (e.g. the ROM report) stressed that the quality of the building was appropriate and appreciated: "From the small sample of buildings visited during this ROM review the quality of the work is to a high standard. The municipality officials and final beneficiaries visited have nothing but praise for the interventions. From the photographic records the quality of work appears uniform". Facilities for up to 40 small businesses were also repaired; these restored their operations through the provision of equipment and supplies and reconstruction of premises.

Efforts were also focused on rehabilitation of the damaged infrastructure: the reconstruction of three infiltration lakes enabled the provision of water to more than 15,000 inhabitants of Trstenik, while construction of two bridges in Kraljevo area normalised transport for 1,200 inhabitants of the surrounding villages who have easier access to their agricultural fields and other communities.

Transport for 1,500 beneficiaries/users daily was normalised between Krupanj and Loznica (12 km of road repaired instead of 11.5 planned) to enable their easier access to other communities and improved access to services and conditions to transport their goods, due to the reconstructed road. Furthermore, the use of the reconstructed road should reduce the costs of transportation between Krupanj and Loznica. The safety of the road was increased by the rehabilitation of all 28 landslides, and the level of the road was raised and stone embankments constructed where necessary to prevent future flooding by the nearby river.

The coordination and implementation of the support to the flood affected municipalities was effectively provided due to the development of the capacities of the FAAARO through engagement of 50 personnel. As a result, all 191 projects funded through the European Union

Solidarity Fund (EUSF) were successfully completed due to the engagement of pre-selected PIMO personnel through the project.

Finally, health measures were taken and project communication was ensured (see under impact and visibility)

EQ 6; criteria 6.1 - Efficiency of projects' management and organizational arrangements for WB/GFDRR

Several key concerns about the Action Document and the logical framework analysis (LFA) attached to the Administration Agreement were outlined by the WB in a letter dated June 2015 to the European Integration Office. Among other issues, the WB mentioned some required clarifications, the need to sign a legal binding agreement with the concerned national authorities (as some activities to be implemented were falling directly under their regular scope of work and not under the project), or the LFA assumptions that "responsible Serbian institutions have sufficient capacity..." "Technical documentation is of sufficient quality..." – which was identified by the WB as not correct.

This was confirmed by a "Note for the file" made by the EUD in September 2017, which outlined that the implementation of the WB/GFDRR project had been delayed from the beginning, and that the efficiency had also been undermined by difficulties in achieving "interinstitutional commitments" by the various Serbian authorities involved: PIMO, MAFW (Ministry of Agriculture, Forestry and Water), Directorate for Water, the Republic Geodetic Authority, the Military Geographic Institute (Ministry of Defence), and the Republic Hydro-Meteorological Service of Serbia. As a result, it was not possible to contract the complete budget and fulfil all the schedule activities by December 2018. In agreement with the Serbian counterparts and the EUD, the project implementation schedule was revised and the Administration Agreement was extended until the end of 2020 (amendment concluded in April 2018).

The procurement of the LiDAR, specialised software and digital levels for geodetic survey was completed in October 2017, including installation, staff training and test flights. Procurement of the remaining equipment, including the satellite positioning systems, computer hardware and software, and field survey vehicles, was finalised in the first half of 2018. Further support to the Directorate for Water and PWMCs was conducted until October 2018.

In the Progress Report of December 2018, outstanding (ongoing) activities and completion rates were indicated as follows:

- Component I: LIDAR support (50%); LIDAR survey campaign (20%), flood risk mapping (20%), capacity building (25-50%)
- Component II: governance (80%), coordination and reporting (70%)
- Component III: support to procurement (?%)
- Component IV: LIDAR aerial survey (20%, digital terrain models (10%)
- Component V: technical coordination of PWMCs (50%), final integration of flood risk mapping into WIS (10%)
- Component VI: procurement for Hydro-meteorological Service (20%)

EQ 6; criteria 6.1 - Efficiency of projects' management and organizational arrangements by UNOPS

The projects was duly monitored and reported, and can be seen as an example of good practice in this respect.

- Quarterly reports in accordance with UNOPS approved templates were produced, in addition to annual summary progress reports.
- The Project used timesheet management tool, which allows it to accurately allocate and monitor utilisation of resources engaged to support the PERS in catching up on design adjustments, permitting and expropriation activities.
- The project also published a regular update of risks and issues (“Issue Register”) which records the types of issues (project management, procurement, administrative, legal), the level of severity, description, follow up actions, and dates of appearance and solution. According to the register, issues were raised either by the Project Manager or the Project Team, and apparently not by national/local authorities.
- A Quality Register was maintained throughout the project, showing methods of quality check (QC, audit...) for each work, dates, identity of reviewers, and results (pass, fail...). The project was also reviewed by UNOPS central quality assurance, and certified ISO 9001 in May 2017.

EQ 6; criteria 6.3 - consistency of approaches for housing assistance

The IPs implementing housing assistance (ASB, DRC, Housing Center, HELP and UNOPS) shared consistent approaches in terms of beneficiary selection criteria, which was agreed with EUD and governmental stakeholders prior to implementation of IPA I. During the proposal development stage, all IPs worked on the standardization of the implementation methodology and adoption of unique selection criteria that should be applied during the intervention, as well as on joint approaches at municipal level through Joint Beneficiary Selection Committees’ meetings, and cross-checking of pre-selected beneficiaries through on-site visits.

However, the desk review has noted a difference in the scoring system between the initial set of criteria annexes to the IPA I contracts (e.g. in the grant agreement with FAO) and the final report for IPA 2014, which could not be explained in the field:

- households with dependent children and elderly, as well as displaced and minority families got more points (20 instead of 5/10);
- female run HH received 10 points instead of 5;
- a new criteria was also introduced: incomes lower than 50% of average monthly salaries (10 points, and no incomes (30 points).

The consistency of housing design was also considered. For example before the implementation of IPA I, DRC had initiated larger than initially foreseen prefabricated houses (45 sqm instead 30 sqm for 1-2 household members, 65 sqm instead 40 sqm for 3-4 people, and 85 sqm for 5+ household members). This was timely approved by the EUD, so that the design of such housing was consistent in terms of size and budgeting for both IPA I and IPA 2014, thus preventing dissatisfaction of beneficiaries.

EQ 11; criteria 11.1 - At the national / local level, has sustainable capacity been created (UNOPS)

According to a survey conducted by UNOPs among supported SMEs, the assisted small business outlined in their feedback that:

- Working conditions have been improved in all the enterprises, compared to either pre-floods or post-floods period, with a large majority seeing an increase also in technical capacities for production and/or service provision;
- For 87% of the interviewed entrepreneurs, the grant assistance helped the monthly income, while in 47% of enterprises was even higher than before the floods;

- Near three quarters (73%) of businesses reported a reduction in debts accrued after the floods: for taxes, towards the suppliers, and liabilities for pensions and health insurance;

Furthermore, the assistance enabled the entrepreneurs not only to re-initiate or keep their businesses active, but even to plan expansion, which could be taken as indicator of a long-term influence of this type of support on the performance and liquidity of the flood-affected enterprise.

EQ 11: criteria 11.1 - At the national / local level, has sustainable capacity been created (FAO)

As torrential rains struck central and western Serbia in March 2016 and rivers once again flooded – in some cases in the same areas that were flooded in May 2014, e.g. the municipalities of Bajina Basta, Cacak, Kosjeric, Kraljevo, Ljig, Lucani and Trstenik, a PDNA was carried out by FAO in all 16 affected municipalities, which demonstrated that the system is still weak. The report outlined a number of shortcomings:

- Very few municipalities produced reports in accordance with the Single Methodology prescribed by the legislations (and to be verified by PIMO); they use rather improvised methodologies;
- The currently prescribed methodologies collect data on damages, but not on the impact on socio-economic status; a recovery strategy is not produced either;
- Virtually all of the municipalities seem to lack the capacity to address significant agricultural disasters;
- Due to the high costs and restrictions of the agricultural insurance system (floods are only an additional option to fire, hail etc, and crops must be protected by embankments), many of the flood-affected farmers would have been rejected by all insurance companies.

The report identified a significant need for improvements in the institutional and legal framework, capacity development and farmers' resilience building.

EQ 11: criteria 11.1 - At the national / local level, has sustainable capacity been created (WB/GFRR)

Among the 7 WB/GFDRR national counterparts, Republic Hydro-Meteorological Service of Serbia (RHMSS) had the poorest capacities and is the main cause for latest delays (no capacity to implement procurement...). RHMSS is an independent service, not supported by any key line Ministry. They were not considered as important before climate changes, and lack budget and capacities.

Otherwise, "*capacities are there but they are scattered*". There is a lack of established cooperation and exchange of information. The data is "*available but not accessible*": institutions follow their own regulations, and are not ready to open their data to others. This was already the situation before the floods of 2014.

In addition, whilst WB/GFDRR supports a mapping of the areas at risk of flooding, this work still covers only the 1st category rivers (cross-boundaries/ border catchments of several municipalities or foreign countries), but NOT the "2nd tier" rivers (which remain inside the boundaries of the same municipality). According to the law on water, these depend from municipal authorities. Among these, there are some 3.000 (17.000 according to PIMO) potentially dangerous torrential streams, although without historical records of risks (narrative, figures...)

EQ 13; criteria 13.1 - Comparative EU advantages

No up-to-date figures related to the international DRR assistance, the EU share in this framework, or the corresponding national budget, could be found. Nonetheless, the **donations based on the Donors' Conference in Brussels in July 2014, and until the end of 2015**, as presented in the Table 9 of the Appendix 9.1. A.1, could serve some comparison purpose, at least for the first year and a half of the flood recovery and prevention assistance. According to these data (source: MEI), EU funds amount nearly to **85% of the total** donations pledged at the Brussels Conference (116.8 million EUR), realised, and increased (to 191.3 million EUR) during the period between mid-2014 and the end of 2015, as presented in the Table 12:

Table 12: Flood Recovery donor funding overview 2014-2015, based on Brussels Donor Conference (and increased afterwards, until end of 2015)

	Serbia	Regional character	Total
TOTAL EU	€ 152 million	€ 10 million	€ 162.2 million
TOTAL BILATERAL DONATIONS	€ 29.155 million	N/A	€ 29.155 million
GRAND TOTAL			€ 191.355 million

Figures from the national budget are unknown.

In a matter of perspectives and for comparison purposes only, figures regarding the funding to the current **migrants' crisis**, which has somewhat overshadowed the DRR achievements due to a much poorer perception of EU policies, are presented in the table below; EU funding amounts to nearly 64% of the total.

When it comes to **assistance for migration crisis** since its start in 2015, the figures are in the following table (updated '90% correct' 2015 – early 2019). The EU figures are confirmed and harmonised between MEI and EUD, while bilateral donations remain unconfirmed since the implementation was done via international organisations (UN, NGOs etc). It is therefore very difficult to assess accurately what was utilised in Serbia/region and to which extent. It should be emphasized that the main output of the budget below in Serbia are some 6,000 places in migrants' centres. Figures from the national budget are unknown.

Table 13: Migrants Crisis donor funding overview 2015-2019

	Serbia	Regional character	Total
TOTAL EU	€ 89,622,448	€ 9,293,087	€ 98,915,535
TOTAL BILATERAL DONATIONS	€ 52,017,552	€ 4,140,000	€ 56,157,552

Appendix 11 – Table of Recommendations

Table 14: Recommendations and Proposed Follow-up Action

Findings (Conclusions)	Recommendation	Deadline for Implementation	Required Follow-up Action	Responsible for Implementation
Much still remains to be done for DRR in Serbia; more investments are needed, especially for the Sector of Emergency Management and at municipality level; there are possible problems of maintenance/sustainability of roads and flood protection infrastructures	Among national DRR authorities, to focus support on the Sector for Emergency Management (Ministry of Interior).	Continuously	In line with NDRM Programme	EU in collaboration with WB/GFDRR
	To pursue DRM strengthening and capacity building efforts undertaken by WB/GFDRR.	Continuously	Same as above	EU in collaboration with SEM (Mol), PIMO, and other relevant national stakeholders
	To advocate significant systemic improvement in defining water management financing at the level of public water management companies, thus enabling at least mid-term planning - particularly at crucially important flood-protection/ prevention sector - through careful consideration and harmonisation (aquis) of all aspects of upcoming draft Law on Waters; to encourage careful reconsidering Strategy on Water Management 2016-2034 (which is due to be re-assessed in the first six years) in order to prioritise flood protection/prevention investments at least to be equally important in terms of budgetary planning in compare to other water management sectors' investments, such as drinking-water factories, pollution purification / sewage infrastructure, etc.	Mid-term	Programming	EU through relevant national stakeholders
Overall, the Action has been a very successful programme: there was a high degree of satisfaction from concerned national	To pursue support through NGOs for the most potentially at risk municipalities, focusing on resilience, and advocating for river basin associations of concerned municipalities.	Continuously	Programming	EU through relevant NGOs and relevant national and local self-government stakeholders

Findings (Conclusions)	Recommendation	Deadline for Implementation	Required Follow-up Action	Responsible for Implementation
authorities and municipalities, as well as from the beneficiaries about the professionalism of all the implementing partners. The quality of cooperation, of outputs, and the speed of implementation have all been duly appreciated, with only a slight caveat for long procurement tendering processes by the World Bank and ADA. There were very few – and minor only – complaints.	To capture all lessons learnt and good practice from the Action and ensure institutional memory by drafting guidelines.	by end 2019/ mid-2020	Lessons learned exercise	EU in collaboration with 5 IPs and national counterparts
	To maintain a network of skilled implementing partners for future disasters.	Continuously	Programming, implementation of DRR and DRR-related projects/actions	EU/EUD with IPs of this Action
However, much still remains to be done for DRR in Serbia; more investments are needed, especially for the Sector of Emergency Management and at municipality level; there are possible problems of maintenance/sustainability of roads and flood protection infrastructures.	To support updating of the national damage and loss assessment methodology and aligning it with PDNA standards.	Mid-term	Programming, capacity building	UN agencies, PIMO
	Simultaneously, to support institutions at national and local levels who should be in a position to use the updated methodology.	Mid-term, continuously	Programming, capacity building	As above, including LSGs
	To support development of insurance schemes that cover all categories of potential beneficiaries (private households, small farms and enterprises) against a wider array of disasters; the system should be transparent and easily understood by all.	Mid-term	Programming	Development banks (EIB, CEB, EBRD) through relevant national stakeholders