

# SECTOR PLANNING DOCUMENT

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**COUNTRY**

**SECTOR TITLE**

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**NOTE:** The Sector Planning Document aims at a) assessing the degree of readiness in relation to the sector approach as well as b) planning and sequencing IPA II priorities (it is an IPA II specific tool). The level at which this document is used is flexible, i.e. at the level of an entire sector (IPA II primary sector) or a 'sub-sector', depending on the purpose, size of the country, etc. Preparing this document is mandatory until the given sector has reached the required maturity to move towards fully-fledged sector support. However, the format/structure (apart for the section on sector approach assessment in Part I) and level of details are not prescriptive: this template should therefore be used mainly as guidance for development of a mid-term/long-term plan for sector support under IPA II. The document is of a working nature, to be updated regularly over the years.

## PART ONE - SECTOR PROFILE

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NOTE: PART ONE AIMS AT PROVIDING AN ANALYSIS OF THE SECTOR IN GENERAL, AS WELL AS AN OVERVIEW OF THE COUNTRY'S STATUS AND READINESS IN RELATION TO THE SECTOR APPROACH.

### 1. SECTOR CONTEXT

*This section should describe the key problems/needs and the main challenges of the sector being faced by the IPA II beneficiary, in particular in a pre-accession perspective - with a view to justifying how financial assistance will be assigned in Part II.*

*It should also identify who the stakeholders most affected by the problems are and what institutional and organisational issues should be addressed.*

*Where relevant, it should also a) briefly refer to the priority(ies) of the Enlargement Strategy and the Annual Progress Report; b) state the link with the EU policies (e.g. the contribution to the EUROPE 2020 Strategy) and any regional strategy (e.g. SEE 2020); c) indicate any links to other relevant actions or strategies supported by the national authorities and/or the donor community.*

*This section may also include a SWOT analysis deriving from the sector description and the problem analysis.*

*Information provided should, where applicable, be gender mainstreamed.*

### 2. SECTOR APPROACH ASSESSMENT

#### 2.1. Assessment criteria

The following sections aim at providing a picture of the country's readiness for the sector approach based on the 7 'sector approach assessment criteria'.

##### MAIN CRITERIA

#### 2.1.1. National sector policy(ies) /strategy(ies)

*This section should explain whether there is a coherent and meaningful sector policy/strategy in place/being prepared or alternatively a more general sector strategic framework. If so, it should highlight the main elements of the policy/strategy, the extent to which it covers the different cross-cutting issues and mention any analytical research/studies that underlie the strategy, as well as mention whether the strategy incorporates an attempt for managing risks. The section should also explain whether the different national and sub-national stakeholders were involved in the policy formulation process, the links the sector policy/strategy has with the national development policy and*

*other national policies, and whether it is publicly available. The possible Action Plans should also be mentioned.*

*An assessment of the quality of the policy document should also be inserted (as far as possible), notably with regard to coverage, coherence (link with EU policy documents), clarity, legal status, degree of implementation, etc.*

*The policy/strategy should be annexed to this Sector Planning Document (if available).*

### **2.1.2. Institutional setting, leadership and capacity**

*This section should present all government institutions that are collectively involved in dealing with sector issues, whilst focusing on the lead institution and its role in terms of coordinating all sector institutions. In addition to the government actors, this section shall also include a brief outline of other important sector stakeholders from the civil and private sector.*

*It should also include a brief description of any assessment that has been carried out on the administrative and/or human resource capacities of sector institutions/agencies (using as far as possible sex-segregated data); i.e. technical capability and adequacy of the human resources in the sector, but also relevance of the frameworks in place to ensure public sector efficiency, oversight and supervision, pressure for accountability within the public sector and from the non-state actors, as well as achievement of the past targets.*

### **2.1.3. Sector and donor coordination**

*This section should provide a description of sector coordination; i.e. how coordination mechanisms between the government institutions themselves, and with non-government actors is organised, as well as the specific arrangements for the coordination of key donors within the sector.*

*The section should specifically highlight the legal status of the consultation mechanisms, its effective functioning (frequency of meetings, attendance, secretariat, meetings, etc.), its inclusiveness, etc.*

### **2.1.4. Mid-term budgetary perspectives**

*This section should provide a preliminary brief description of the sector budget on an annual basis as well as on a medium-term perspective based on, and consistent with, government fiscal data e.g. Medium Term Fiscal and/or Expenditure Framework and, where available, the sector Medium Term Expenditure Framework (MTEF). The existence of a link between the policy and the annual budgeting process should be examined.*

### **2.1.5. Performance assessment framework**

*This section should describe the Performance Assessment Framework (PAF) for monitoring the implementation of national sector /sub-sector strategies and for the achievement of sector results and objectives.*

*The analysis should cover the existence and quality of indicators to measure the achievement of the sector objectives including the existing baselines; action plans for implementing the strategy (if available), institutions responsible for collecting and processing data; reporting arrangements, to which the non-state actors are involved in the process. The analysis should also explore the links that*

*the sector PAF has with the national performance reporting, as well as highlight the functioning of underlying IT systems and the respective capacities of the institutions for data collection and analysis.*

## **ADDITIONAL CRITERIA<sup>1</sup>**

### **2.1.6. Public finance management (incl. budget transparency)**

*The purpose of this section is to evaluate the existence of a credible PFM reform process and to summarise the main elements (strengths, weaknesses) of the current PFM system. This section should provide a brief description of the system of Public Financial Management (PFM) including relevant sector PFM policy based on information available from the government, and where available Public Expenditure and Financial Accountability (PEFA) and SIGMA reviews.*

*This section should also explore the existence of a PFM action plan and assess progress in implementation.*

*In addition, indications on ways in which budget transparency is addressed should be included (e.g. whether national budgets are published; what steps have been agreed to improve the budget transparency; etc.).*

### **2.1.7. Macro-economic framework**

*This section should provide a brief description of the macroeconomic policy based, inter alia, upon information available from DG ECFIN and/or the International Monetary Fund (IMF). The purpose of this section is also to assess the degree to which possible problems in macro-economic stability (including fiscal policy) might endanger the implementation of planned public policies.*

## **2.2. Overall assessment**

*This section should provide a summary of the sector approach assessment based on the detailed reasoning in the section above. The following questions should be addressed as far as possible: Is the sector assessed as being satisfactory with respect to the basic elements to decide whether a sector is on its way towards the sector approach (existence of a national sector policy and strategy and a medium term budget or a commitment by government to either update or refine these; lead institution/ministry responsible for the sector/sub-sector; existence of a functional sector coordination framework or a commitment by government that steps are going to be taken towards its development)? Can the problems revealed by negative assessments be addressed with domestic /IPA /other donor resources or can they be mitigated by the time of the 2014–2020 mid-term review?*

*A ROADMAP for the introduction of sector support (highlighting targets and steps to move towards a fully-fledged Sector Approach).*

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<sup>1</sup> Particularly relevant is Sector Budget Support will be used as the main type of financing.

### **3. RELEVANCE WITH OTHER POLICIES AND STRATEGIES**

*This section should indicate how the sector is addressed in key reference documents such as: the Accession Partnership (AP)/ European Partnership (EP); National Plan for the Adoption of the Acquis (NPAA); Stabilisation and Association Agreement (SAA); the most recent EC Progress Report. It should also highlight any existing link with EU policies (e.g. the contribution to the EUROPE 2020 Strategy), with regional strategies (SEE 2020), as well as with other relevant strategies or actions supported by the donor community. If relevant, any link with other sectors (and sector strategies) should also be highlighted.*

## PART TWO – SECTOR SUPPORT

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NOTE: PART TWO AIMS AT DESCRIBING THE PLANNED FINANCIAL ASSISTANCE FOR THE SECTOR (OR SUB-SECTOR) WITH A MULTI-ANNUAL PERSPECTIVE FOR PROGRAMMING AND HOW THIS WILL FEED INTO IPA II ACTION PROGRAMMES.

### 4. FINANCIAL ASSISTANCE CONTEXT

#### 4.1. Relevance with the IPA II Indicative Strategy Paper

*This section should highlight the objectives of the IPA Indicative Strategy Paper of relevance for programming for this sector or sub-sector. It should in particular explain how the support will contribute to the achievement of the Strategy Paper sector objective(s), highlighting the principal benefits that sector support will generate for its beneficiaries once the results materialise.*

#### 4.2. Lessons learned from past and on-going assistance

*This section will provide an overview of previous and on-going assistance financed by the EU, other donors (bilateral–multilateral) and/or national government in the sector/sub-sector and of the key lessons that can be drawn for future financial assistance.*

### 5. PURPOSE OF IPA II SECTOR SUPPORT AND DESCRIPTION OF THE PRIORITIES FOR ASSISTANCE

#### 5.1. Description of the sector priorities for assistance

*This section will identify the priorities for assistance under IPA II in the sector. Priorities shall be identified on the basis of a sound comprehensive analysis of the sector policy documents and the weaknesses and shortcomings identified. In this respect, it will also take into consideration the availability of public and external resources, the political will to pursue the reforms, possible constraints and risks, as well as the urgency and importance of these priorities. Such priorities will be then developed into one or more Actions to be included within the annual or multi-annual programmes financed by IPA II. Each priority must be described with all the components of the intervention logic.*

##### **Overall and specific objective:**

*Ideally there should only be one overall objective; more than one specific objective is acceptable when different priorities are identified for sector support, be it in different sub-sectors or in the same one. If the sector objective(s) is(are) met and there is coherence with the overall government performance assessment framework for the sector, it should be possible to identify how IPA II support is contributing to national sector or sub sector objectives.*

*Overall and specific sector objectives should be SMART (Specific, Measurable, Achievable, Realistic, Timely); expected results should be clearly formulated and to the best possible extent major activities foreseen should be described.*

*The section below will describe how priorities will be addressed, as well as highlight the identified pros/cons/risks. The most appropriate entity/body in charge of implementation should also be included, as well as the type of financing (procurement, grant, etc.). The different methods of implementation (direct management vs indirect management) will be compared as well as the different types of financing. The analysis will be based on principles of impact, relevance, sustainability, effectiveness and efficiency. Elements such as aid effectiveness, political sensitivity, etc. shall be taken into consideration.*

*For **each** of the priorities identified for sector support include the following information:*

**Priority area:**

*Include here a priority title. Also explain why such a priority has been identified (justification) within the sector.*

**Specific objective:**

*Include here the specific objective of the priority, contributing to the overall sector objective.*

**Expected results:**

*Tangible products or services to be delivered.*

**Indicative foreseen activities to fulfil the results:**

*Tasks that have to be undertaken to deliver the desired results. These can be broken down / grouped in a logical manner (whatever the term used (i.e. components etc.) if relevant*

*Activities related to result 1:*

- Activity 1.1
- Activity 1.2

*Activities related to result 2:*

- Activity 2.1
- Activity 2.2

*Etc.*

**Implementation arrangements (if known):**

*e.g. Ministry of Public Administration in charge of management; delivery via a Twinning grant and a service contract*

**Justification for the choice of implementation arrangements (if applicable):**

*If indications on the implementation modes have been included in the previous section, provide here a justification of why such mode has been chosen and its added value compared to others.*



## 5.2. Indicator table

For each of the priorities included above, provide an indicator table with indicators of immediate results or significant outputs, including reference to the corresponding CSP indicator(s) that will be addressed in the sector. Only key indicators should be included and there should be only one indicator (or maximum two indicators) for each result.

Indicator	Description	Baseline (year) (2)	Last available (year) (3)	Milestone 2017(4)	Target 2020 (5)	Source of information
CSP indicator (impact/outcome)...(1)						
This column should provide the NAME/TITLE of the indicator; e.g. Number of xxx (it must be an outcome indicator at sector level)	In this column, a very short description (few words only) of the indicator should be provided (if needed).	The value should be indicated (2)	The last available data/value (and year of reference)	The value expected by the first quarter of 2017 (or end 2016) should be indicated	The value expected by 2020 should be indicated	Include here the source of the information required to measure the indicator.

(1) This is the indicator as included in the Indicative Strategy Paper.

(2) The agreed baseline is 2010 (to be inserted in brackets in the top row). If for the chosen indicator, there are no available data for 2010, it is advisable to refer to the following years – 2011, 2012. The year of reference may not be the same either for all indicators selected due to a lack of data availability; in this case, the year should then be inserted in each cell in brackets.

(3) The last available data (and reference year)

(4) The milestone year CANNOT be modified: it refers to the mid-term review of IPA II.

(5) The target year CANNOT be modified.

### **5.3. Assumptions, preconditions and risks**

*This section will identify the pre –conditions to be fulfilled before IPA II funds are released. A list of preparatory activities/studies may be included, as well as any capacity-building or technical assistance required and planned in order to strengthen horizontal sector capacity.*

*It will also include a description of the main assumptions, as well as affecting successful implementation of sector support and itemise the mitigating measures.*

## **6. COMPLEMENTARITY WITH OTHER FINANCIAL ASSISTANCE**

*This section will indicate any connection with other EU-funded programme or projects supported by other donors and, if relevant, highlight the added value of the planned IPA II support.*

## **7. CROSS-CUTTING ISSUES**

*With reference to the priorities identified for the sector, include, wherever applicable, brief descriptions of the following cross-cutting issues:*

### **Equal opportunities and gender mainstreaming:**

*This section should describe measures in design and implementation phases to allow and encourage participation for women and men. It should also specifically account for the different conditions and needs for women and men identified in the field of the interventions and the intervention implications on these.*

### **Minorities and vulnerable groups:**

*Briefly describe here how the planned interventions take account of people belonging to minorities/vulnerable groups and how their involvement will be facilitated.*

### **Engagement with civil society:**

*Indicate in this section what measures have been taken to associate civil society (and, if relevant, other non-state stakeholders) in the design and implementation of the priority interventions.*

### **Environment and climate change:**

*Briefly describe in this section how environmental considerations have been integrated in the design of the priority interventions, as well as how the 'Rio marking' for climate change 'adaptation' and 'mitigation' will be applied (if relevant). Any indication (if relevant) on measures related to disaster resilience and risk prevention should also be added in this section.*

## **8. SUSTAINABILITY**

*Include in this section preliminary details on how the sustainability of IPA II assistance in the sector will be ensured.*

## 9. SECTOR SUPPORT BUDGET

Programming period: 20xx – 20xx

	ESTIMATED COSTS (EUR)	COMMENTS
<b>Priority 1</b>		
Activity 1.1.		
Activity 1.1.		
...		
Total for Priority 1		
<b>Priority 2</b>		
Activity 2.1.		
Activity 2.1.		
...		
Total for Priority 2		
...		
...		
<b>TOTAL FOR SECTOR</b>		

## 10. CHRONOGRAM FOR PROGRAMMING AND IMPLEMENTATION

EXAMPLE BELOW

SECTOR TITLE	2014		2015				2016				2017				2018				2019				2020				2021				2022			
	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
PRIORITY 1		P		C	C	C/I	C/I	I	I	I	I	I	I	I	I	I	I	I	I															
Activity 1.1		P		C	C	I	I	I	I	I	I	I	I	I	I	I																		
Activity 1.2		P			C	C	C	I	I	I	I	I	I	I	I	I	I	I																
...																																		
PRIORITY 2								P			C	C	C/I	I	I	I	I	I	I	I	I	I	I	I	I									
Activity 2.1								P			C	C	C	I	I	I	I	I	I	I	I	I	I	I	I									
Activity 2.2								P			C	C	I	I	I	I	I	I	I	I	I	I	I	I										
...																																		

P = Programming (i.e. period when the IPA Action Programme is expected to be adopted)

C = Procurement and grant award procedures (i.e. up to Contracting)

I = Implementation period

Note re. Programming: all planned Activities under a given Action may not necessarily become part of the same IPA Action Programme but spread over successive programmes (e.g. 60% of Action 1 to be part of a Country Action Programme in 2014 and the remaining 40% - i.e. Action 1 part 2 - to feed into a Country Action Programme in 2016).

## **LIST OF ANNEXES**

- Sector policy/strategy (if applicable)
- Sector approach roadmap
- Other annexes (as appropriate)