1. **Basic Information**
   1.1 CRIS Number: 2004/016-764.08.03
   1.2 Title: Unallocated Institution Building Facility
   1.3 Sector: Administrative capacity
   1.4 Location: Slovak Republic

2. **Objectives**
   2.1 Overall Objective(s):
   
   Strengthening the institutional and administrative capacity for the full application of the *acquis communautaire*

   2.2 Project purpose:
   
   To provide Institution Building support through twinning, twinning light or technical assistance to meet the requirements related to specific urgent and unforeseen needs identified in the Comprehensive Monitoring Report of November 2003 and *acquis* in the process of adoption (pipeline *acquis*). This facility may notably help to:

   - assist the adoption and implementation of *acquis* in particular areas where assistance is still necessary,
   - strengthen the institutional and operational capacity of public administration bodies in view of the future role in the implementation of the EU *acquis*,
   - develop human resources of public administration institutions relevant for the implementation of the EU *acquis*

3. **Description**
   3.1 Background and justification:
   
   Slovakia has been the beneficiary of accession related Phare institution building projects since 1998. A large number of twinning projects have been or are being completed successfully with the assistance of Member States experts. However in the final stage of Slovakia’s accession preparation and beyond there is a clear demand to establish a more flexible institution building instrument to address specific well-circumscribed self-contained subjects of limited scope. The unallocated institution building envelope will provide the possibility to respond to emerging tasks in a more flexible and immediate way. Within the Transition Facility programme an unspecified envelope has been earmarked, from which projects to be implemented through twinning, twinning light, or commercially contracted technical assistance can be financed. In particular, projects will be supported in those areas in which an urgent or unforeseen task, specified in the Comprehensive Monitoring Report, would come up or which have high priority from the aspect of accession or being a Member State or which form part of the pipeline *acquis*. 
3.2 Linked activities:

- All Phare supported institution building projects financed since 1998
- The TAIEX Multi-beneficiary Programme, which acts as a complement to the national Phare programmes and is coordinated with them, responding to individual requests not covered in these programmes by tailor-made actions for each country in all fields of the acquis.
- SIGMA Multi-beneficiary Programme, which advises on the modernization of general management systems of public institutions, oriented to accession priorities and complementing National Programmes for Institution Building and twinning.
- SR0110 – Twinning light facility
- 2002/000.610-02 Unallocated Institution Building Facility
- 2003-004-995-01-04 Unallocated Institution Building Facility

Overlap with previous or on-going Phare funded institution building projects will be avoided.

3.3 Results:

Concrete administrative structures and management systems which satisfy the requirements of the *acquis communautaire* in a number of areas put in place.

3.4 Activities:

A financial envelope for as yet unspecified institution building projects has been earmarked. Funded projects will rest on a number of fundamental principles:

- Projects will be based on priorities identified in the Comprehensive monitoring report and early warning letters or priorities arising from pipeline acquis. There will be cases where the relationship with the acquis will be concretely established, but there might also be cases, where a focused institution building project will be the most suitable method for the achievement of a desired result in a broader sense of the acquis or in fulfillment of the Copenhagen criteria.
- The project will target very specific areas where Institution Building support is required in relation to the challenges and requirements of the EU integration process.
- The project targets a concrete, operational guaranteed result.
- The beneficiary lays out a clear work programme, how it intends to achieve the result and what means it will deploy. The project should make the commitment of the beneficiary to achieve the guaranteed result explicit.
- Size and budget of projects will be subject of individual assessment.
- All projects should be in full compliance with the Transition Facility Programming and Implementation Guide.
- Projects can be implemented through the most appropriate instrument, i.e. twinning, twinning light and/or technical assistance.

A Steering Committee (SC) for Institution Building will be set-up that will define the detailed criteria for application, the timing of call for proposals, the minimum – maximum size and duration of projects, the practical working method and if necessary the proportion between the different tools of support. It shall decide about the first allocation not later than the following three months the notification of the Financial
Decision 2004 to the Slovak Republic. The SC shall also guarantee that a clear timetable is defined in a way to ensure that the IB assistance is put in place in due time. The SC shall meet on a regular basis in order to make sure that the timetable is implemented or projects are designed in accordance with the defined needs.

3.5 Lessons learned

The take up of the previous facilities established under the Phare programme – i.e. the 2001 Twinning Light Facility and the 2002 Unallocated IB envelope – has been good and most of the funds have been committed. No evaluation has been done yet on those facilities. However, experience shows that they have been particularly useful to quickly respond to urgent needs which emerged during the accession negotiations.

4. Institutional Framework

The beneficiaries of funds of the unspecified envelope will be different institutions applying for financial support. Decision on projects to be submitted for financing within the budget will be taken by the Steering Committee for Institution Building and the Commission. Steering Committee includes representatives of the National Aid Coordinator, the Ministry of Finance (National Fund) and the CFCU. The Steering Committee will define the detailed criteria for application, the timing of call for proposals, the minimum-maximum size and duration of projects and if necessary the proportion between the different tools of support with the final approval of the Commission. From there on, the procedures will follow what is provided for in the “Twinning Manual”, “Procedures for twinning light”, and national public procurement rules.

5. Detailed Budget

<table>
<thead>
<tr>
<th>Transition Facility</th>
<th>Support</th>
<th>Total Phare (I+IB)</th>
<th>National Co-financing*</th>
<th>TOTAL</th>
</tr>
</thead>
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<tr>
<td>Investment Support</td>
<td>Institution Building</td>
<td>1.5</td>
<td>1.5</td>
<td>1.5</td>
</tr>
<tr>
<td>Unallocated IB envelope</td>
<td>1.5</td>
<td>1.5</td>
<td>1.5</td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td>1.5</td>
<td>1.5</td>
<td>1.5</td>
<td></td>
</tr>
</tbody>
</table>

* To all institution building projects government co-financing will be allocated to cover the necessary counterpart costs arising from the implementation of the project

6. Implementation Arrangements

6.1 Implementing Agency

PAO: Director of CFCU – Mrs. Silvia Czuczorova
Štefanovičova 5
817 82 Bratislava
Tel. +421-2-5958 2546
Fax: +421-2-5958 2559
SPO: Since a number of different projects will be implemented, for each, the respective SPO will be nominated.

6.2 Twinning

Beneficiary institutions are not determined, due to the nature of the envelope.

6.3 Non-standard aspects

The Transition Facility programming and implementation guide and the specific twinning and twinning light rules will strictly be followed.

6.4 Contracts

Due to the nature of the project, it is not possible at this stage to foresee the number and value of contracts.

7. Implementation Schedule

7.1 Start of tendering/call for proposals: 1st quarter 2005

7.2 Start of project activity: 2nd quarter 2005

7.3 Project completion: 2nd quarter 2006

8. Sustainability

When selecting the projects the Steering Committee takes into account the sustainability of each project and will decide on financing it when sustainability of each project is proved by the beneficiary by both staff and administrative resources

9. Conditionality and sequencing

The envelope will be actually used provided concrete applications fulfilling the criteria identified will be submitted.

The beneficiary institutions are bound to provide the twinning partner and/or consultants with adequate staff and other resources (including translation and interpretation) to operate effectively. The full commitment and participation of senior management of the beneficiary institution is required for the implementation of the projects.

The sequencing is subjected to the deliberations of the Steering Committee meetings.
ANNEXES TO PROJECT FICHE

1. Logical framework matrix in standard format (compulsory)
2. Detailed implementation chart (compulsory)
3. Contracting and disbursement schedule by quarter for full duration of programme (including disbursement period) (compulsory)
**Overall objective**
- Strengthening the institutions and administrative capacity for the full applications of the acquis communautaire

**Objectively verifiable indicators**
- Increasing number of Slovak institutions fully prepared to apply the acquis communautaire

**Sources of Verification**
- Evaluation reports
- Comprehensive Monitoring Report

**Project purpose**
- Completion of some specific urgent, unforeseen needs identified in the updating of the Comprehensive Monitoring Report, the Peer Reviews and the Action Plan for Administrative and Judicial capacity

**Objectively verifiable indicators**
- Acceleration of the progress within ministries/institutions towards meeting the requirements of the acquis

**Sources of Verification**
- Minutes of the monthly project review meetings
- Monitoring reports
- Comprehensive Monitoring Report

**Results**
- Concrete administrative structures and management systems in place which satisfy the requirements of the acquis communautaire for a number of areas

**Objectively verifiable indicators**
- Specific identified tasks have been completed with the help of MS experts or TA provided by experts

**Sources of Verification**
- Twinning experts reports
- Monitoring reports

**Activities**
- Establishment of a facility providing support for institution building projects

**Means**
- TW, TWL, TA

**Assumptions**
- The identified tasks are completed in time and effectively
- The beneficiaries allocate appropriate human and financial resources to the specific task
- Appropriate twinning partners will be found
<table>
<thead>
<tr>
<th>Preconditions</th>
</tr>
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<tbody>
<tr>
<td>• The beneficiaries allocate appropriate human and financial resources to the specific task.</td>
</tr>
<tr>
<td>• Full participation of senior management</td>
</tr>
<tr>
<td>• The Steering Committee ensures that a clear timetable is defined</td>
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</table>
Time Implementation Chart

Project number

Project title: Unallocated Institution Building Facility

<table>
<thead>
<tr>
<th></th>
<th>2004</th>
<th>2005</th>
<th>2006</th>
<th>2007</th>
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</thead>
<tbody>
<tr>
<td></td>
<td>JAN</td>
<td>FMA</td>
<td>JAN</td>
<td>FMA</td>
</tr>
<tr>
<td>Twinning/Twinning light/ Technical Assistance</td>
<td></td>
<td>X XXXX X XXXX X XXXX X XXXX X XXXX X</td>
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Due to the nature of the facility the various phases of the project cycle will most probably run in parallel.
Cumulative Contracting and Disbursement Schedule

Project number

Project title: Unallocated Institution Building Facility

<table>
<thead>
<tr>
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<th>2004</th>
<th>2005</th>
<th>2006</th>
<th>2007</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contracted</td>
<td>0.8</td>
<td>1.5</td>
<td></td>
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</tr>
<tr>
<td>Disbursed</td>
<td>0.3</td>
<td>0.6</td>
<td>0.9</td>
<td>1.2</td>
</tr>
</tbody>
</table>

Due to the nature of the facility the contracting and disbursement schedule is an indicative estimation only.