Multiannual Action Programme for Turkey on Transport (MAPT)

Project (Operation) Selection Criteria

SECTORAL OPERATIONAL PROGRAMME FOR TRANSPORT

1 Introduction

1.1 Background and objective

The objective of Project Prioritisation is to define the priority of operational proposals submitted. The approach provides the Operating Structure (OS) of the Multiannual Action Programme for Turkey on Transport (MAPT), as well as potential end-recipients, with an objective and consistent view on the quality of the operations to be financed under the MAPT.

2 Selection of Operations under the Multiannual Action Programme for Turkey on Transport

2.1 Relevant framework for selection criteria

According to Article 16 of the FWA, IPA II assistance shall be provided based on strategy papers, established for the duration of the Union's Multi-annual Financial Framework by the Commission in partnership with the IPA II beneficiary. That assistance shall be implemented through programmes and measures as referred to in Articles 2 and 3 of the Common Implementing Regulation. Implementation shall, as a rule, take the form of annual or multi-annual, country specific or multi-country programmes, as well as cross-border co-operation programmes established in accordance with the strategy papers and drawn up by the IPA II beneficiary and/or the Commission, as appropriate, and adopted by the Commission.

In accordance to this article, the Selection Criteria specified in this document are set for the Multiannual Action Programme for Turkey on Transport (MAPT)[1].

The selection criteria defined in this document is in line with the Article 62 of the FWA. To that aim, it refers to the implementation principles for multi-annual action programmes with split commitments implemented under indirect management by the Ministry of Transport, Maritime Affairs and Communications (MoTMAC) of the Republic of Turkey.

Article 62 defines 'activity' as a component of an action, which can be clearly identified by its costs and EU contribution, as well as, type of financing (e.g. procurement, grant, etc.) selected by the operating structures of the programmes concerned, or under their responsibility, that contributes to the objectives of an action. In the context of financial instruments, an activity is constituted by the financial contributions from a programme to financial instruments and the subsequent financial support provided by those financial instruments.

An activity can be implemented through many operations.

2.2 Eligibility Criteria in the MAPT

Selection criteria for operations are defined under each activity in the MAPT. These selection criteria determine whether an Operation is *eligible for funding under MAPT*. It should be noted that additional, elaborate information on eligibility of Operations or interventions is available in the MAPT. One is kindly referred to take note of the description of eligible interventions. The selection criteria stated under each activity in the MAPT (2014-2020) are presented below.

[1] This document is also referred to as the Transport Sectoral Operational Programme (SOPT).

Action 1 – Sustainable and Safe Transport

Activity 1.1 – Improving and Modernising Railway Infrastructure

Selection criteria:

- Location (is it on the European interest project and/or among the priority projects listed in the TEN-T Document and/or on the indicative TEN-T Rail Network Maps of Turkey annexed to the new TEN-T Regulation)
- Maturity level of the project
- Added value of the investment (increasing freight transport by rail, increase or promotion of sustainable transport, reducing greenhouse gas emissions and air pollution, etc.)
- All necessary preparation studies and assessments completed, permits available (at financing decision)
- Financing structure of the project is complete for all components and whole amounts

Activity 1.2 – Improving Transport Safety

Selection criteria:

- Measures prioritised by the Road Traffic Safety Strategy and Action plan will receive priority.
- In the first half of the planning period, preference will be given to soft measures – e.g. capacity building – with a catalytic effect
- Based on successful institution building and policy development, equipment purchases and small-scale works are also envisaged. These will be selected on the basis of their
  - Potential contribution to decrease the number of accidents, incidents and causalities;
  - Contribution to the safety culture, awareness, coordination and harmonisation with the international legislation
  - Demonstration effects, etc.

Activity 1.3 – Environmental and Climate Change-related Measures

Selection criteria:

- Measures prioritised by the NCCAP will receive priority.
- Priority will be given to soft measures – e.g. capacity building – with a catalytic effect
- Based on successful institution building, equipment purchases and small-scale works are also envisaged. These will be selected on the basis of their contribution to preventing / reducing pollution, including GHG emissions, from transport

Activity 1.4 – Promoting Inter-modality and Modal Shift

Selection criteria:

- Proximity and connection of the operation to East-West transport corridors, to Europe and networks decided in the TEN-T Document, in high traffic density and heavily populated areas
- Location facilitating shift to alternative transport modes
- Contribution to international and national trade
- Contribution to more sustainable urban transport by shifting freight volume to periphery transport links.

Action 2 –Efficient Transport

Activity 2.1 – Supporting the ITS Strategy and Other ITS Measures

Selection criteria:

- Focusing on state-of-the-art technologies and better planning,
- Contribution to reduce congestion,

- Reducing voyage time,
- Ensuring user friendly ITS systems.

Activity 2.2 – Supporting Research and Innovation in Transport

Selection criteria:

- Quality of research and development activities,
- Collaboration with other institutions such as universities, NGOs etc.

Action 3 – Accessible and Inclusive Transport

Activity 3.1 – Accessible Transport

Selection criteria:

- Support to the accessibility level of transport modes
- Support to the training of public employees in transport sector about needs of people with reduced mobility
- Expected impact on the accessibility level of transport modes
- Technical capacity regarding implementation
- Size of investment for implementation
- Support to accessibility level of urban mobility

Activity 3.2 – Urban Transport

Selection criteria:

- Technical capacity regarding implementation
- Size of investment for implementation
- Increasing the share of public transport in urban areas
- Increasing the share of bicycle transport in urban areas
- Sustainable urban mobility plan for cities

Action 4 – Acquis Alignment and EU integration

Activity 4.1 – Legislative alignment & capacity building to implement the Acquis

Selection criteria:

- Corresponding legislation in the acquis
- Need for intervention reflected in the Progress Reports
- Available co-financing from the national budget
- National Instrument for Pre-Accession Assistance Coordinator (NIPAC) consultation completed

Activity 4.2 – Supporting Policy dialogue and technical cooperation

Selection criteria:

- Intervention supports the priorities of High Level Dialogue
- Intervention facilitates the cooperation activities with related EU Agencies

Action 5 – Technical Assistance

Activity 5.1 – Supporting the Operating Structure

Selection criteria:

- Relevance of the operations and their added value for the smooth implementation of the SOP
- Preparation for transition to OPSYS

Activity 5.2 – Project Pipeline Development

Selection criteria:

- Investment projects related to the implementation of the MAPT will receive special priority
- In addition, projects for elaboration will be selected in line with the applicable national sector and sub-sector strategies, with particular reference to Turkey's integration agenda and commitments under Chapters 14 and 21
- Preparation of IPA III priority areas and project pipelines

Operation Identification Sheets (OIS) will be assessed based on above-mentioned criteria, determining the *eligibility for IPA II funding*.

2.3 Prioritisation Criteria in the MAPT

The OISs, after found eligible, can be *prioritised* based on a multi-criteria analysis (MCA) approach, which is presented in this document.

As presented in Section 3.1, four main criteria re defined, i.e. (i) relevance; (ii) impacts; (iii) risks and sustainability; and (iv) maturity.

As maturity is a dynamic criterion, which changes in time, a two-step prioritisation process is developed:

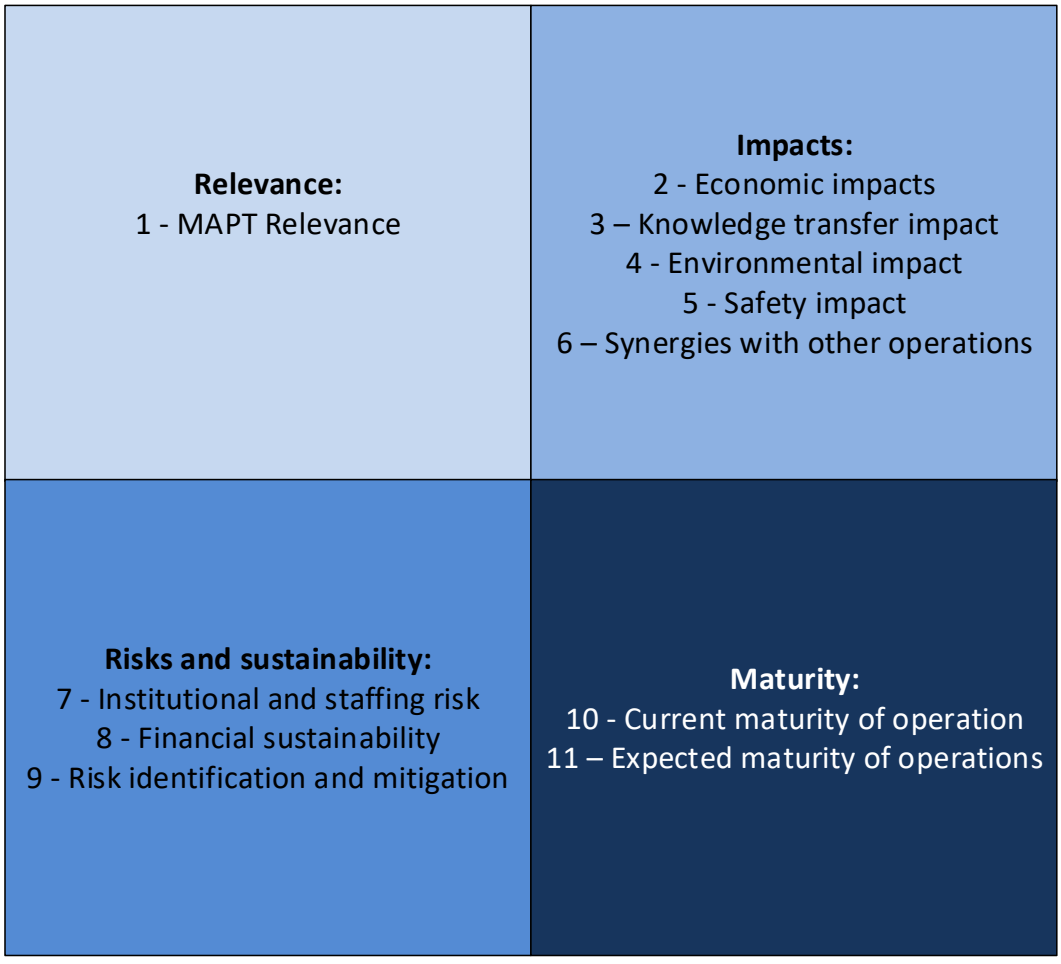
1. *First ranking*, which is based on the first three criteria, i.e. (i) relevance; (ii) impacts; (iii) risks and sustainability.
2. *Second ranking*, which is based on all four defined criteria, including maturity.

As such, the prioritisation process is a dynamic one; it is envisaged that the second ranking will be done on a periodic basis, i.e. every six months. This will facilitate the disbursement process and related pressure on the Operating Structure.

3 Operation Prioritisation - criteria and sub-criteria

3.1 General outline

Four criteria are proposed for inclusion in the MCA framework for prioritisation of projects within the MAPT 2014-2020. The four criteria, with their sub-criteria, are presented in the figure below.



In the next sections, the four criteria are presented. Where required, sub-criteria are adjusted for works and services projects.

3.2 Relevance

Relevance describes how well a proposed operation will address a real problem and, based on this, the extent to which an operation addresses the relevant policies as outlined in the MAPT and EU development policies.

3.2.1 MAPT relevance

Definition

The MAPT defines actions, which are further detailed in activities. This sub-criterion concentrates on whether the operation can be linked to the defined MAPT activities. In addition, this sub-criterion considers the extent to which a project can be linked to IPA II policy priorities. These two elements (link to defined MAPT activities; link to IPA II policy priorities) are further elaborated below.

Rationale

Link to defined MAPT activities

An operation should include at least one activity, as this is an eligibility criterion. The rationale is that if an operation addresses more than one MAPT activity, the MAPT relevance increases.

Out of the five MAPT actions, the first four are considered relevant for this sub-criterion[2]. Under these four actions the following activities are defined in the MAPT:

1. Improving and modernising railway infrastructure
2. Environmental and Climate-Change related matters
3. Improving Transport Safety
4. Promoting intermodality and modal shift
5. Supporting ITS strategy and other ITS measures
6. Supporting research and innovation in transport
7. Accessible transport
8. Urban transport – including improving Sustainable Urban Mobility Plans (SUMPs)
9. Legislative alignment and capacity building to implementation of the acquis
10. Supporting policy dialogue and technical cooperation

Link to IPA II policy priorities

The goal in the IPA II period is to align national policies with EU policies through a sectoral programming approach. To this end, five policy areas have been identified for the management of funds in 2014-2020 programming period[3]:

1. Reforms in preparation for Union membership and Capacity Building
2. Regional Development
3. Employment, Social Policies and Human Resources Development
4. Agriculture and Rural Development
5. Regional and Territorial Cooperation

Scoring

Link to defined MAPT activities

It is proposed that operation proposals be scored according to the extent to which the operation addresses the defined ten (10) activities, as laid out in the next table:

[2] The last action is specifically dedicated to supporting MoTMC in managing the MAPT.

[3] See: EU-Turkey Financial Cooperation. https://rekabetcisektorler.sanayi.gov.tr/en/eu-turkey-financial-cooperation.

Score intervals	Points	Remarks
One activity	1	The operation is expected to fit into at least one category, as that is part of the eligibility check in the pre-screening process
Two activities	2	If an operation, besides its "own" activity can be linked to one additional activity.
More than two activities	3	If an operation, besides its "own" activity can be linked to more than one additional activity.

Link to IPA II policy priorities

Operations are scored according to the extent that the five policy areas are addressed, as laid out to the table below.

Score intervals	Points
No link to other policy areas	0
Link to one or two policy areas	1
Link to more than two policy areas	2

Combined score

		Link to other Operational Programmes		
		Link to no OPs (0)	Link to one OP (1)	Link to more than one OP (2)
Link to defined MAPT activities	No activity (0)	0	1	2
	One activity (1)	1	2	3
	Two activities (2)	2	3	4
	More than two activities (3)	3	4	5

3.3 Impact

The second criterion, impact, describes how and to which degree the operation is expected to solve the "problem" and help achievement the overall objective[4]. Impact sub-criteria are described below, including the basis for scoring in each case.

3.3.1 Economic impact (works operations only)

Definition

Economic impact is the change in welfare attributable to an operation. Economic impact is normally assessed using Cost-Benefit Analysis (CBA), which entails the estimation of all (or the most important) costs and benefits of an operation or all viable alternatives. The operation's overall performance is measured by indicators, namely Economic Net Present Value (ENPV), expressed in monetary terms, and the Economic Rate of Return (ERR), allowing comparability and ranking for competing operations or alternatives.

[4] Overall objectives are broader, long term changes (directly and indirectly, intended or unintended) in the environment of the project and will not be totally resolved by one project alone.

Rationale

Economic impact, as expressed in ERR and based on CBA, provides an indication of the contribution of the operation to society and as such is a strong overall impact indicator. As stated above, this sub-criterion only applies to works operations. Indeed, CBA is (in most cases) a mandatory step in determining the feasibility of a works operation. CBA is not normally estimated for operations that includes services, grants and twinning and consequently, results of CBA in terms of ENPV or ERR are not available.

It should be noted that, apparently, no CBA results are available for some works projects in Turkey. If no CBA results are available, two approaches can be followed:(i) soft rating or no rating[5].

Scoring

The economic impact of the operation that includes works projects is scored in terms of the Economic Rate of Return (ERR). This indicator should be available for all projects with a feasibility study. The discount rate applied in IPA projects is used as the minimum score for a project, after which intervals of ERR scoring are defined.

Score intervals	Points	Remarks
ERR < 5%	0	Operation scores lower than the economic discount rate applied (see Guide to Cost-Benefit Analysis of Investment Projects)[6], thus making this project not feasible
5% < ERR < 8%	2	Positive outcome of the CBA in the given range
8% < ERR < 10%	3	Positive outcome of the CBA in the given range
10% < ERR < 15%	4	Positive outcome of the CBA in the given range
ERR> 15%	5	Positive outcome of the CBA in the given range

It should be noted that, apparently, no CBA results are available for some works projects in Turkey. This may relate to project maturity (but this is covered by a separate criterion). In any case, if no CBA results are available, two approaches can be followed:

1. *Soft rating:* with this option scores are based on a combination of information provided in the OIS (Section 8, expected impact) and impact that can typically be realised through the type of operation that is proposed. With a soft rating the table below can be used.
2. *No rating:* with this option, economic impact is not rated at all. No score is filled in and the overall project scoring will be adjusted to exclude economic impact.

Score intervals	Points
No or low economic impact: the operation has no or low impact on mobility in terms of solving a capacity problem and thus creating reduced travel times and reduced transport costs. No or low impacts are created in terms of (regional) GDP or employment.	0
Some economic impact: the operation has some impact on mobility in terms of solving a capacity problem and thus creating reduced travel times and reduced transport costs. In addition, some impacts are created in terms of (regional) GDP or employment.	1

[5] Details available in the main document of the Operation Prioritization Methodology

[6] European Commission, Guide to Cost-Benefit Analysis of Investment Projects Economic appraisal tool for Cohesion Policy 2014-2020 (2014)

Score intervals	Points
Medium economic impact: the operation has substantial impact on mobility in terms of solving a capacity problem and thus creating reduced travel times and reduced transport costs. Substantial impacts are created in terms of (regional) GDP or employment.	3
High economic impact: the operation has high impact on mobility in terms of solving a capacity problem and thus creating reduced travel times and reduced transport costs. High impacts are created in terms of (regional) GDP or employment.	5

3.3.2 Knowledge transfer impact (operations with services, grants and twinning only)

Definition

Knowledge transfer impact applies to services, grants or twinning operations/projects (e.g. training, studies etc.) and is the equivalent of economic impact (above) for works operations. Knowledge transfer or capacity development relates knowledge of the institution to the theme or subject of the OIS.

Rationale

Most of the services, grants and twinning operations proposed for funding (to date) under the MAPT are technical assistance projects aimed at filling some knowledge gap, either through a study, training, or preparation of a grant application. Thus, it is important to rank operations according to their ability to transfer knowledge.

Scoring

Operations that solve an existing knowledge problem and do not increase capacity in the recipient organisation can be useful from the perspective of solving the problem, but will score low in terms of knowledge created. On the other hand, operations that solve an existing knowledge problem and include a lot of elements that transfer knowledge to the recipient organisation will score high on knowledge created.

Score intervals - capacity and/or knowledge created	Points
No capacity and/or knowledge is created by the operation: The outputs of the *operation do not target any form of knowledge and/or capacity development* [for example a study report, terms of reference, legislative proposal, (master)plan, etc.] and will be produced by an external service provider *without any form of training/ knowledge transfer* to the end-recipient.	0
Capacity and/or knowledge created is very limited: The outputs of the *operation do not target any form of knowledge and/or capacity development* [for example a study report, terms of reference, legislative proposal, (master)plan, etc.], however *some training of or knowledge transfer to the end-recipient is likely to occur* because some involvement of the end-recipient is foreseen in the preparation of the outputs and 1-2 short trainings/workshops are foreseen.	1
Capacity and/or knowledge created is limited: The *outputs of the operation include a knowledge and/or capacity development component, but it is not the main output of the operation*. Typically, an external service provider combines outputs like master planning, database development, etc. with the production of guidelines, a study tour or training sessions. Participation of the end-recipient in the production of the outputs is however limited.	2

Score intervals - capacity and/or knowledge created	Points
Capacity and/or knowledge created is high: *Knowledge and/or capacity development is the main output of the operation*, such as training projects, study visits or the preparation of guidelines and at least a basic training needs assessment (TNA) has been conducted. The focus is only on one of these components (either a training or a workshop or a visit, etc.). The operations are usually based on *short term external inputs* (a "one-off" event, limited repetition of training etc.).	4
Capacity and/or knowledge created is very high – Knowledge and/or *capacity development is the main output* of the operation. A detailed training needs assessment (TNA) has been conducted. *Several knowledge/ capacity development activities will be conducted over a longer period of time*. This may include capacity building elements, such as trainings, workshops, study visits, as well as activities aimed at building sustainable capacity, such as on-the-job training, train-the-trainers programmes, etc. As a minimum the *end-recipient is actively participating* in the operation, if not the main driver of the knowledge and/or capacity development.	5

3.3.3 Environmental impact

Definition

Environmental impact includes a range of impacts of an operation on the environment, including: emissions (e.g. Greenhouse Gasses - GHG); biodiversity; flora and fauna; water; soils and material assets; landscape; cultural heritage; and, population and human health (including local air quality and noise). The potential impact on Sensitive Sites (incl. Natura 2000, mountain areas, marine and other protected areas, cultural heritage sites etc.) could be considered as an additional factor.

Rationale

Given the fact that the transport sector is a strong contributor to environmental impact, and environment is considered one of the transport externalities, the sub-criterion is justified.

Scoring

Operations are scored according to the extent at which the results of the operation contribute to the environmental performance. This is done in the following range:

- *Negative*: the operation has an adverse effect on the environment.
- *Neutral*: the operation has no effect on the environment
- *Some impact*: the operation has elements included that contribute to a better environmental performance by addressing: emissions (GHG); biodiversity; flora and fauna; water; soils and material assets; landscape; cultural heritage; population and human health (including local air quality and noise); and, the impact on Sensitive Sites (including Natura 2000, mountain areas, marine and other protected areas, cultural heritage sites). This includes operations that promote modal shift and/or green transport solutions (cleaner engines, reduced fuel consumption, etc.).
- *High impact*: the operation is specifically designed towards improving environmental performance. The main objective is improving environmental performance by specifically addressing the above-mentioned aspects.

These scores are presented in the following table.

Score intervals	Points	Remarks
Negative	-2	The operation has an adverse effect on the environment
Neutral	0	The operation has no effect on the environment
Some impact	2	The operation contributes to improved environmental performance by addressing some elements that have a positive environmental impact. This could include many aspects, for example creating a modal shift (from road to more environmentally friendly modes of transport); reducing the demand for transport (traffic reduction or avoidance); or developing new and innovative mobility concepts. The main purpose of the operation is not improved environmental performance, yet the operation has a clear positive effect on environmental performance
High impact	5	The operation strongly contributes to an improved environmental impact. The main objective of the operation is improved environmental performance and therefore responds to the description of the environmental and climate-change-related measures – i.e. part of activity 1.2 of the MAPT. Measured prioritised in the National Climate Change Action Plan (NCCAP) and/or operations addressing soft measures with a catalytic effect (in terms of environmental impact) will receive priority.

3.3.4 Safety impact

Definition

Safety impact, is the extent to which the operation is affecting safety in transport in terms of accidents and, consequently, the number of people killed or injured and property / equipment damaged. It should be noted that the safety impact applies to all transport sub-modes (air, maritime, rail, road).

Rationale

Given the number of people killed and injured in transport and the fact that safety is considered one of the transport externalities, the sub-criterion is justified.

Scoring

Operations are scored according to their impact on safety in the following range:

- *Negative*: the operation has an adverse effect on safety.
- *Neutral*: the operation has no effect on safety
- *Some impact*: the operation has safety elements included and is expected to contribute to a reduction in accidents and people killed and injured.
  High impact: the operation is specifically designed towards improving safety in transport and is expected to strongly contribute to a reduction of accidents and people killed and injured.

These scores are presented in the following table.

Score intervals	Points	Remarks
Negative	-2	The operation has an adverse effect on safety
Neutral	0	The operation has no effect on safety
Some impact	2	The operation contributes to a reduction in accidents and people killed and injured
High impact	5	The operation strongly contributes to a reduction in accidents and people killed and injured (which is the main objective of the operation – i.e. part of activity 1.3).

3.3.5 Synergies with other operations

Definition

Synergies with other projects focus on how well or not an operation works together with other operations or initiatives.

Rationale

Synergy is included as a sub-criterion to indicate whether an operation is connected to other operations, with possible positive or negative impacts. Synergy can be defined on two levels:

1. Connection to operations prepared and/or developed under *IPA I or IPA II Programme*.
2. Connection to operations prepared and/or developed with *national financial sources*.

Scoring

Operation proposals, which will build up on operations prepared and/or developed under IPA I or IPA II or national funds shall be preferred over proposals, which are not related to any of such operations.

The scores are presented in the following table.

Score intervals	Points	Remarks
Negative coherent	-2	Operation is inconsistent with or negatively affects projects under IPA I or IPA II and/or nationally funded operations.
Neutral	0	No link to operation under IPA I or IPA II and/or nationally funded operation.
Positive coherent to IPA I project(s) OR nationally funded project(s).	2	Positive coherent to IPA I or IPA II operation(s) OR nationally funded operation(s)
Positive coherent to IPA I project(s) AND nationally funded project(s).	5	Positive coherent to IPA I or IPA II project(s) AND nationally funded operation(s).

3.4 Risk and sustainability

Operation proposals will also be evaluated against the risk and sustainability core criterion in order to assess the extent key issues that affect operation risk and sustainability may jeopardise the relevance, effectiveness and efficiency of the operation - in both the short and long term - thus leading to unsatisfactory results.

3.4.1 Institutional and staffing risk

Definition

This sub-criterion combines two elements. First, the *institutional risk*, i.e. the extent to which the end-recipient has been clearly identified, responsibilities have been clearly assigned and the proposed project is supported (or opposed) by the end-recipient. Second, the *staffing risk* refers to the availability of sufficient and qualified staff to implement the operation.

Rationale

In case there is no end-recipient support (as relevant) the chances of successful and sustainable operation implementation will be very slim, whatever the merits of the operation. In addition, there should be a clear division of responsibilities for operation development and implementation amongst the parties involved.

In order to ensure efficient, effective and sustainable operation implementation it is crucial that sufficiently trained and experienced staff is in place in the end-recipient.

Scoring

A qualitative assessment of this sub-criterion can be done at two levels:

- *Institutional risk:* the extent to which:
  - The end-recipient is a clearly identified entity with an established legal basis.
  - The responsibilities for operation development and implementation are clearly defined and understood by the relevant parties (especially where there are a number of end-recipients).
  - Actions are taken to prepare for the implementation of the operation.

Based on the above aspects an operation is either scored low, medium or high on institutional risk (meaning that if an operation scores well on the above aspects, the risk is low, and vice versa).

- *Staffing risk:* the extent to which sufficiently trained and experienced staff is in place in the end-recipient. If there is sufficient qualified staff is available, the staffing risk is low. If there are serious concerns related to availability of sufficient and qualified staff, the staffing risk is high. When there are some concerns, staffing risk is considered medium.

The consequent scores are included in the table below, resulting in overall scores for this sub-criterion.

		Staffing risk		
		High (0)	Medium (1)	Low (2)
Institutional risk	High (0)	0	1	2
	Medium (1)	1	2	3
	Low (3)	3	4	5

3.4.2 Financial sustainability

Definition

Financial sustainability focuses on the financial means that are needed after the operation has been completed. For *works and supply contracts*, financial sustainability concentrates on annual operation and maintenance costs (O&M costs), which includes depreciation costs, staff costs, cost of equipment and materials, etc. For *services contracts*, financial sustainability concentrates on the work that is needed after the implementation of the operation. This is high in case of development of a database, which needs to be updated and is low in case of a law that is being (re)drafted, as that is an activity not requiring maintenance or follow-up work[7].

Rationale

The ability to provide sufficient funds to maintain and operate throughout the project lifetime (also after completion of the operation) will impact its effectiveness and sustainability.

Scoring

In the case of *works and supply contract*, annual O&M costs can be best assessed based on data from the (pre) feasibility study. If annual O&M costs are high, then the operation will receive a low score. In order to be able to compare between projects, the percentage of average O&M costs compared to total investment costs is taken as an indicator for financial sustainability, as presented in the table below.

Score intervals	Euro	Points
% O&M cost/total investment costs	>12%	1
% O&M cost/total investment costs	8%-12%	2
% O&M cost/total investment costs	5%-8%	3
% O&M cost/total investment costs	2%-5%	4
% O&M cost/total investment costs	0 – 2%	5

In case of *service contracts*, the O&M costs of the operations relate to the level of staff input or other resources required to maintain the result(s) of the operation. Based on the MAPT, typical service operations have been identified and an indication of staff and/or resources required for maintaining the result(s) of the operation. As an example, developing a database will require a lot of staff input after the project has been completed (data updates, new software, etc), thus scoring low on financial sustainability. At the other end of the spectrum, preparing a Terms of Reference or a funding application is a one-off affair, which would not require any additional work once the operation is completed, hence scoring high on financial sustainability. One is kindly invited to review the character of the operation against the prototypes of operations included in the table and score the operation accordingly.

[7] For works and supply contracts, financial sustainability concentrates on annual operation and maintenance costs (O&M costs), depreciation, staff costs, cost of equipment and materials etc. As these elements are incorporated in the criterion on economic impact, through cost-benefit analysis, no financial sustainability criterion is included for works projects.

Level of Staff Inputs Required: score intervals per project type	Points
Database development, communication & PR	1
Training projects	2
Preparation of (master)plans, strategies	3
Drafting guidelines	4
Draft laws, reform, studies, ToRs, funding applications	5

3.4.3 Risk identification and mitigation

Definition

Risk identification relates to the appropriateness of the risk analysis, involving the identification of adverse events that the project may face, affecting the efficiency and/or effectiveness of the operation, the causes of these adverse events as well as their probability and the severity of the consequences on the operation. Risk mitigation refers to actions foreseen to prevent risks from taking place or reduce the impact of the risks.

Rationale

The successful implementation of an operation depends on a sound estimate of potential and real risks, which might occur at any stage of implementation. Risks that have not been appropriately identified are more difficult to 'manage' by means of mitigation and/or prevention measures.

Scoring

A qualitative assessment of this sub-criterion can be done at two levels:

- *Risk identification:* the level of detail and accuracy of the risk analysis included in the OISs and whether risks have been assessed realistically: Scores are to be based on the table below.

Score intervals	Points
No or only limited risk identification has taken place in the description of the OIS.	0
Risks are partially assessed. There are limitations in the identification of risks and/or the assessment of probability and impact of the risks	1
Most risks, including their probability and impact are properly assessed in the OIS	3

- *Risk mitigation:* the extent to which risk mitigating measures are incorporated in the operation. Scores are to be based on the table below.

Score intervals	Points
No risk mitigating measures are included in the OIS	0
Risk mitigating measures are only partially included in the OIS.	1
A mature risk mitigating procedure is included in the OIS, for example in the form of a risk mitigating action plan.	2

The consequent scores are included in the table below, resulting in overall scores for this sub-criterion.

		Risk mitigation		
		Low (0)	Medium (1)	High (2)
Risk identification	Low (0)	0	1	2
	Medium (1)	1	2	3
	High (3)	3	4	5

3.5 Maturity

The maturity criterion assesses the extent to which an operation is ready for implementation. In some cases, operation proposals might be at an early stage in their identification and only consist of a project idea, whilst other operation proposals will be more mature and have progressed through the identification and formulation phase and are (almost) ready for procurement and implementation. All other things being equal, projects that are more mature will be given a higher priority. As indicated in Section 2.3, maturity is a dynamic criterion that changes in time. Therefore, project maturity is assesses at two levels:

- Current maturity of operation (now, at exercise date)
- Expected maturity of operation (future, at next round of prioritisation or close to implementation)

These two levels of maturity of operation are described below.

3.5.1 Current maturity of operation

Definition

The current maturity of the operation is defined by the level of development of the operation proposal and the level of preparation for implementation that has already been undertaken *at this stage*, i.e. exercise date.

Rationale

In preparing the list of priority operations, it is important to consider whether operations can be classified as 'realistic and mature'. All other things being equal, more mature projects can be implemented sooner and should therefore be given priority when being selected for implementation.

Scoring

All operations need to be properly developed through the stages of operation identification and formulation in order to ensure the relevance and feasibility of the operation idea and to establish a realistic operation delivery schedule.

- Calls for proposal under the MAPT, either by open call or 'invitation', are likely to generate proposals for operations that are either at the conceptual stage or are more developed and mature. In order to assess project maturity in a practical manner an assessment can be made of the extent to which key documents have been developed and/or authorisations (e.g. permits) have been obtained.
- For operations which includes works projects the level of maturity could be related to the assessment of progress with preparation of a conceptual idea, prefeasibility study, feasibility study, EIA and permits and tender documents.
- For operations which includes service, grants and twinning projects (e.g. technical assistance and studies) a similar assessment can be made, examining whether operation identification and

formulation includes: conceptual idea; detailed description of the intervention actions based on a needs assessment (pre-feasibility study); and, preparation of tender documents.

- For operations which include supply contracts the score intervals of either the works or service contracts can be used depending. For large equipment, such as machinery, it could be possible to use the score intervals for works contracts. For other kind of supplies the use of the score intervals for service contracts might be more practical to use.

Scores are presented in the following table.

Score intervals	Points
For services:	
Only a conceptual idea has been formulated, no detailed needs assessment has been carried out yet and/ or no detailed operation description or justification for any proposed option has been provided yet	1
A written project concept paper exists providing a description of the planned operation and of the intended outcomes of the operation, but some gaps still remain. There are no or limited details (such as a needs assessment) provided that proof the relevance of the project. The description is also still unclear about the costs, timing of activities and level of stakeholder involvement in the project.	2
A full and detailed description of the planned operation specific operation exists. The justification for the operation is based on a needs assessment demonstrating the operation's relevance. The description is however still unclear about the costs, timing of activities and level of stakeholder involvement in the project.	3
A full and detailed description of the planned operation specific operation exists. The justification for the operation is based on a needs assessment demonstrating the operation's relevance. The description is still only unclear about just one of the following: the costs, timing of activities and level of stakeholder involvement in the project (e.g. 2/3 are clear)	4
All information for ToR / ToR and budget prepared	5
For works:	
A *conceptual idea* has been formulated, no detailed needs assessment and/ or no detail operation description and/or justification for any proposed option has been provided yet	1
A *prefeasibility* has been executed including preliminary design, costs estimates, cost benefit analysis and an assessment of environmental impacts	2
A *feasibility study* has been executed providing the detailed design, surveys, costs estimates, cost benefit analysis and assessment of environmental impacts.	3
EIA and other assessments (e.g. Habitat, Water Framework Directive) are ideally *finished* or at least sufficiently advanced (i.e. consultations with the public and other authorities finished) and development consent is expected without outstanding environmental issues. Planning, land acquisition and expropriation procedures are well advanced and can be completed in sufficient time for the start of works.	4
Final design has been completed and the EIA has been updated; full cost estimates have also been prepared	5

3.5.2 Expected maturity of operation

Definition

The expected maturity of the operation is defined by the level of development of the operation proposal and the level of preparation for implementation that has already been undertaken *in the future*, i.e. at the next round of prioritisation or near implementation.

Rationale

The rationale for expected impact is similar as for current impact. Also here, more mature projects can be implemented sooner and should therefore be given priority when being selected for implementation.

Scoring

All operations need to be properly developed through the stages of operation identification and formulation. As this criterion focuses on a moment which is close to implementation, the operation needs to be more mature. Therefore, the scores, as presented in the following table, are adjusted accordingly (as compared to the criterion expected impact).

Score intervals	Points
For services:	
Only a conceptual idea has been formulated, no detailed needs assessment has been carried out yet and/ or no detailed operation description or justification for any proposed option has been provided yet	0
A written project concept paper exists providing a description of the planned operation and of the intended outcomes of the operation, but some gaps still remain. There are no or limited details (such as a needs assessment) provided that proof the relevance of the project. The description is also still unclear about the costs, timing of activities and level of stakeholder involvement in the project.	0
A full and detailed description of the planned operation specific operation exists. The justification for the operation is based on a needs assessment demonstrating the operation's relevance. The description is however still unclear about the costs, timing of activities and level of stakeholder involvement in the project.	1
A full and detailed description of the planned operation specific operation exists. The justification for the operation is based on a needs assessment demonstrating the operation's relevance. The description is still only unclear about just one of the following: the costs, timing of activities and level of stakeholder involvement in the project (e.g. 2/3 are clear)	3
All information for ToR / ToR and budget prepared	5
For works:	
A *conceptual idea* has been formulated, no detailed needs assessment and/ or no detail operation description and/or justification for any proposed option has been provided yet	0
A *prefeasibility* has been executed including preliminary design, costs estimates, cost benefit analysis and an assessment of environmental impacts	0
A *feasibility study* has been executed providing the detailed design, surveys, costs estimates, cost benefit analysis and assessment of environmental impacts.	1
EIA and other assessments (e.g. Habitat, Water Framework Directive) are ideally *finished* or at least sufficiently advanced (i.e. consultations with the public and other authorities finished) and development consent is expected without outstanding environmental issues.	3

Score intervals	Points
Planning, land acquisition and expropriation procedures are well advanced and can be completed in sufficient time for the start of works.	
Final design has been completed and the EIA has been updated; full cost estimates have also been prepared	5

4 Operation Prioritisation - weights

4.1 Overview of criteria and weights

An overview of the criteria and sub-criteria, together with weights applied, is presented in the table below.

Criteria	Sub-criteria	Weight (Works)	Weight (Services)	Total weights
1. Relevance	1.MAPT relevance	25%	25%	25%
2. Impact	2.Economic impact	10%	0%	25%
	3 Knowledge transfer impact	0%	10%	
	4 Environmental impact	5%	5%	
	5 Safety impact	5%	5%	
	6 Synergies with other operations	5%	5%	
3. Risk and sustainability	7 Institutional and staffing risk	10%	10%	30%
	8 Financial sustainability	10%	10%	
	9 Risk identification and mitigation	10%	10%	
4. Maturity	10 Current maturity of operation	10%	10%	20%
	11 Expected maturity of operation	10%	10%	