



# WESTERN BALKANS INVESTMENT FRAMEWORK

European Commission Internal Audit Services - Audit of  
of the WBIF

PFG in Tirana, 23 May 2019



Enlargement  
Negotiations



# Background

- Audit on NIF/WBIF initiated in spring 2017 and finalized in the autumn of 2018.
- Reasons for the engagement
  - Budget involved: The cumulated global commitments allocated to the investment facilities from the EU budget
  - Complex circumstances: Multiple actors involved (NEAR HQ, EU Delegations (EUD), entrusted entities (IFIs), beneficiary countries and local actors)
  - Different forms of EU contribution
  - A constantly changing implementation environment

# Audit objectives and scope

## Overall objective of the audit

To assess the adequacy and effectiveness of the management and coordination activities of DG NEAR for the implementation of the NIF and the WBIF.

The audit covered the following aspects:

- Adequacy of the guidelines, rules and procedures;
- Monitoring and reporting arrangements at the level of the facility;
- Implementation at project level.

# Main Findings

No findings in the report put the legality or regularity of WBIF actions into question.

Most of the findings and recommendations are aiming at making the WBIF and the related Commission procedures clearer and more efficient.

Financial reporting from the Joint Fund deemed insufficient to ensure the monitoring responsibility of the WBIF Steering Committee and the WBIF Secretariat.

# Main Recommendations

## Revision of the Rules of Procedure

- Clarifying roles and responsibilities for screening the proposals.
- Decision making in case of rejection of a grant application.
- Include explicitly EC's right to ask for additional information as needed on individual project reports.
- Define clearly authority and responsibility of actors involved in WBIF reporting process.

# Main Recommendations

## Revision of GAF templates

- Final date of contracting and final date of operational implementation of the Action to be included and checked.
- Screening checklist ensuring traceability of the changes made to the GAFs.
- GAFs should be complete, have budgets adequately prepared, justification for the grant amount provided.
- Additional guidelines to develop to beneficiaries for GAF preparation.

# Main Recommendations

## Reporting

- Information sharing on project statuses / visibility activities for information purposes and to measure progress on implementation / disbursements.

## Payment forecasting 2019-2020

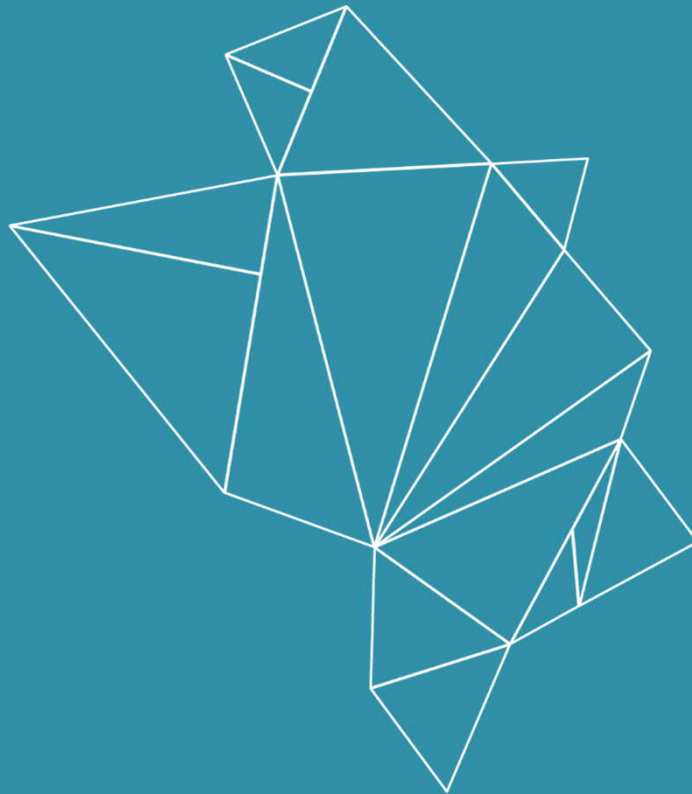
Action plan developed and under implementation

# Status of Recommendations

WBIF Rules of Procedure and General Conditions	2019 review and expansion of the WBIF is going to feed into WBIF 2.0.	2019+
Technical recommendations	2019 calls for proposal already include improvements on project cycle, monitoring and reporting recommendations. Further discussion will take place with the WBIF stakeholders.	2019
Communication and Visibility Guidelines	Already approved by WBIF Steering Committee in 2018.	✓
WBIF Monitoring Report and MIS data quality	Q2/2019 report will implement suggestions; MIS data quality procedures are currently being developed.	2019
Good practise	Assessment will be taken into consideration wherever applicable.	✓
Information sharing	Already implemented EUDs' feedback into closer cooperation with DG NEAR; issues will additionally be discussed with IPFs and IFIs and WBIF stakeholders.	2019



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