



EVALUATION OF PUBLIC INTERVENTIONS — REGIONAL EXPERIENCES CATALOGUE OF TOOLS

North East South West
 **INTERREG III C**

 **PROJECT PART-FINANCED
BY THE EUROPEAN UNION**

EVALUATION of Public INTERVENTIONS
– REGIONAL EXPERIENCES
CATALOGUE of TOOLS

AUTHOR:
THE INCASIS PARTNERSHIP

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The Małopolska School of Public Administration
Cracow University of Economics
Szewska 20/3, 31-009 Kraków
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INTRODUCTION



The constant improvement of evaluation practices constitutes an important element of regional policy implementation. Better evaluation contributes to better and more efficient public policies and, as a result, increases the competitiveness and economic development of the European Union as a whole. Therefore, more attention is devoted to the improvement of evaluation capacity of public administration at the national, regional and local levels, respectively. It reflects the growing importance not only of regions themselves, but also of local governments in EU policy implementation related to the decentralisation and devolution process as well as the increasing role and responsibilities of local governments and regions.

EU Structural Funds offer a good opportunity to build and improve the evaluation capacity at local and regional levels. It is both an obligatory element of policy implementation and an excellent exercise in improving the administrative potential of municipalities and regions concerned. The obligation to conduct evaluation is fulfilled in various forms that reflect different administrative settings, as well as traditions, norms and values behind evaluation efforts. Some entities approach evaluation as another nuisance or administrative burden. In consequence, insufficient attention is paid to the quality of performance, moreover, evaluation results are often disregarded in the process of shaping future public policy efforts.

A significant problem in planning and implementation of evaluation at the local and regional levels is posed by limited access to tools and good evaluation practices that might otherwise become a point of reference in planning evaluations. The present publication responds to this need through selected examples of evaluation applied in different regions participating in a joint undertaking, namely project INCASIS. The international project coordinated by the Malopolska School of Public Administration Cracow University of Economics entitled Institutional Capacity for Assessing the Impact of Structural Funds – INCASIS (carried out in 2005-2007 within the Community Initiative Programme INTERREG IIIC) aimed at: transferring, further developing and putting into practice methods to evaluate the true effectiveness of Structural Funds as well as providing participating regions with a set of policies and tools to conduct evaluations that are not only effective and comprehensive but also comparable with other regions and useful for developing regional policies. In the long run, INCASIS contributes to making Structural Funds more effective and thus supports regional development and cohesion.

The INCASIS partnership was formed by regional authorities, regional development agencies, universities and associations originating from all INTERREG IIIC zones and from both new and old Member States. Their diverse and rich expertise, different stages of development in terms of approaches and instruments used for evaluation caused that partners were complementary towards one another, while the sum and the quality of their knowledge gave rise to a synergic effect.

The following partners participated in this undertaking: the Malopolska School of Public Administration, Cracow University of Economics – MSAP (Malopolska region, Poland); Malopolska Voivodeship – MALOPOLSKA (Malopolska region, Poland); Zala County Non-Profit Development Company – ZALA (Nyugat-Dunantul region, Hungary); Vilnius City Municipal Government – VILNIUS (Lithuania); Italy Development Marche Ltd – SVILUPPOITALIA (Marche region, Italy); Finlombarda L.t.d. – FINLOMBARDA (Lombardia region, Italy); University of Kaiserslautern, Department of Regional Development and Spatial Planning – KUT (Rheinland-Pfalz region, Germany); Langhe Monferrato Roero Consortium – LAMORO (Piemonte region,

Italy); DEBEGESA – Company for Economic Development of Bajo Deba – DEBEGESA (Pais Vasco region, Spain); Asturian Federation of County Councils and Municipalities – ASTURIAS (Principado de Asturias region, Spain)¹.

The INCASIS project organisation and work focused on five components and twelve observatories – OB (working groups), each of which had a different region as their main responsibility. The components included the implementation of the following thematic issues: Principles & instruments, Resources, Networking (the remaining components were of supporting nature: Management and coordination, Evaluation, dissemination and promotion). Component 2 Principles & instruments focused on strengthening the institutional framework for evaluating structural funds by improving its constituent legal solutions and by improving the quality and reliability of evaluation tools and methods. It comprised the following observatories: 2.1 Legislative and institutional framework; 2.2 Methods and tools of evaluation; 2.3 Information processing and IT support for evaluation. The objective of Component 3 Resources was to strengthen the capacity for enhancing human capital (beneficiaries and managers of Structural Funds), the accessibility of financial resources and efficient management. The work was divided into the following observatories: 3.1 Human resources; 3.2 Financial resources; 3.3 Management. Component 4 Networking concentrated on: enhancing cooperation between the public, private and social sectors in the evaluation process, building closer cooperation between old and new member regions of the EU in this regard, and helping internationalise activities aimed at evaluating the influence of SF on the social and economic cohesion of European regions. The following observatories operated in the framework of this component: 4.1 Cooperation of local and regional organisations; 4.2 Contracting the evaluation services; 4.3 Internationalisation of the cooperation.

INCASIS activities included the identification of existing policies and tools for the evaluation of Structural Funds in each of the partner regions and a description of that regions' needs. Based on meetings, seminars and conferences, partners have planned to further develop the evaluation process and implement the new approach in their regions. Using the project meetings and the website (www.incasis.msap.pl) as a "virtual marketplace", each observatory presented its tools to all INCASIS project partners and to local stakeholders. Subsequently, the joint design and development of new approaches in the form of demonstration projects took place in the regions themselves. The principal result of the project was the transfer of tools from one partner to another as well as an elaboration of newly developed and tested models and the improvement of the quality and accessibility of existing methods. This would lead to a more comprehensive evaluation support scheme in each partner region and new evaluation tools.

The final INCASIS conference on Evaluation of Public Interventions – Regional Experiences in Kraków on 27 September 2007 is planned as a platform enabling information exchange on the outputs of the INCASIS project and dissemination of the project results to interested stakeholders and a wider audience. The principal INCASIS output is a comprehensive catalogue of tools for the evaluation of Structural Funds. It offers an inventory of both qualitative and quantitative methods of evaluation applied mainly as part of interventions involving EU Structural Funds. It has also been conceived as a point of reference for the development of new evaluation techniques. The catalogue presents a variety of evaluation tools and techniques as well as institutional settings and practices successfully applied by regional and local governments. It shows in a comparative perspective both internal methods and evaluation procedures as well as externally commissioned tasks. It also attempts to show potential adaptation methods and ideas for the replication of presented tools. The catalogue also disseminates a new approach to the sharing of the results of evaluation. For that reason, it should constitute an

¹ Abbreviated codes (in capital letters) designating each partner have been provided in order to ensure a more effective presentation of the working documentation of the project. In the present publication, the same convention is followed for the sake of clarity of tabulated data.

indispensable element of the learning process and facilitate the exchange of opinions among public administration managers.

The practical examples of how the tools are applied included in the present inventory, familiarise the reader with various evaluation methods and techniques, including the goals of the process, how the goals are met, and how to determine whether these goals have been met or not. The inventory includes verified evaluation results, which can be used for the purposes of public relations and the promotion of the evaluation methods. It also contains comparisons between evaluations and characterises effective evaluation programmes that can be adapted elsewhere.

The catalogue plays an important role in showing interdependencies between the evaluation and the performance of public administration, especially in its sectors responsible for the implementation and management of EU Structural Funds. It may offer a unique opportunity to present tools that support constant improvement of public policies, not only to fulfil administrative obligations imposed by the European Commission. The results show that in countries where the culture of evaluation is well established, the entire process goes beyond simple auditing and performance measurement, but becomes an integral part a new approach in the shaping and programming of public policies. The catalogue may play a useful role in the process of consulting public policy evaluation tools as well as contribute to the development of evaluation culture at local and regional levels.

METHODOLOGICAL REMARKS

Interregional work leading to the development of the INCASIS catalogue of tools started with a needs analysis that enabled the organisations involved to focus their work on individual components and to meet the needs of individual project partners.

Taking into account the diversity of partner backgrounds involved in project implementation (regional authorities, universities, regional development agencies and an association of regional authorities) and regional and/or local authorities that did not participate directly in the project, but were considered as potential stakeholders of project results, the needs analysis included the identification of needs and respective capacities of this group of organisations (regional/local authorities) following the selection process.

Next, the matrix summary was defined and jointly applied as a common framework in all regions. The matrix summary is a model tool presented as a series of tabulated descriptions. It was used in order to formulate unified description layouts of tool implementation that support the evaluation of projects and programmes.

The matrix summary includes the following elements:

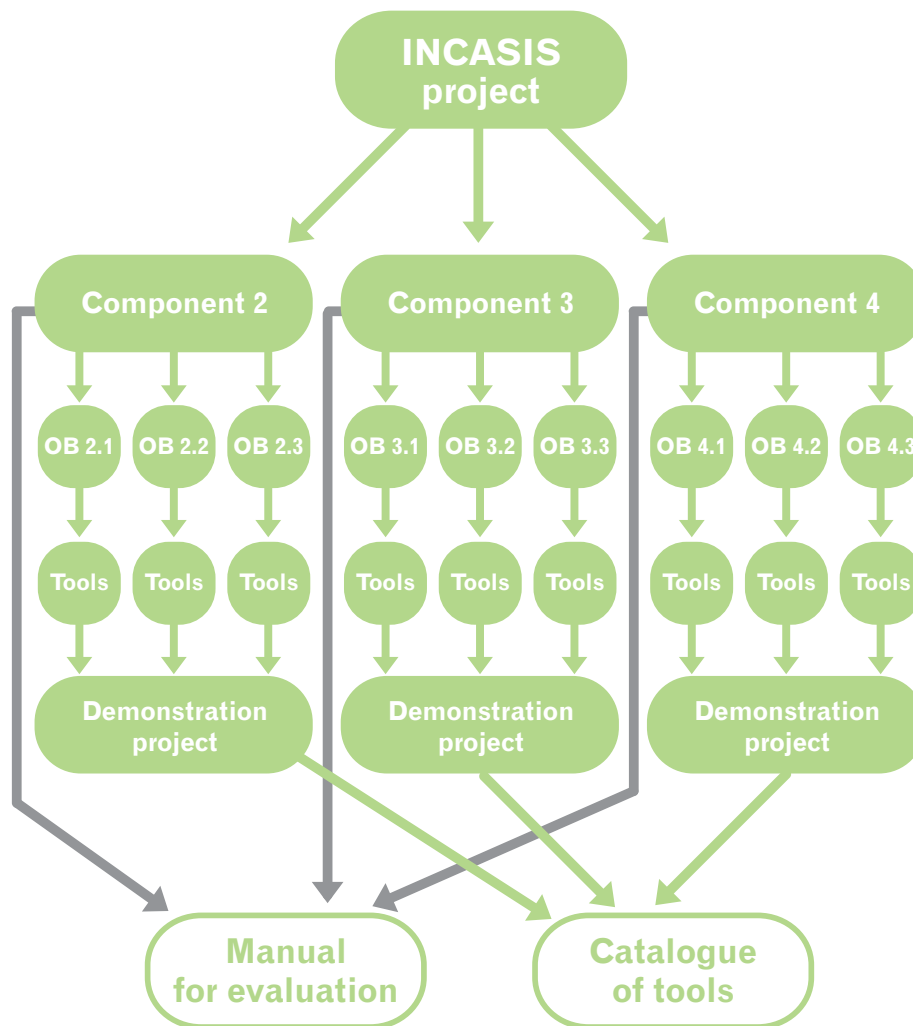
- Component name.
- Observatory name.
- Objective of tool.
- Rationale.
- Description of tool.
- Implementation procedure
- Detailed description of implementation stages.
- Timeframe/implementation schedule.

Matrix summaries in their final versions for each component were used by partners to develop relevant tools. The tool preparation process began with the identification of best practices existing in regions. The best practices found by partners were discussed during the first observatory meetings. Afterwards, selected examples approved by partners and stakeholders were described using the matrix summary structure. The tool was conceived as a complete matrix summary, including attachments.

At the kick-off meeting, partners selected the observatories in which they would be involved. Each partner participating in the INCASIS project was requested to prepare one tool for one observatory within each of the three thematic components. Nine observatories set up in Components C2, C3 and C4 worked on tool development. As part of each observatory, a total of 3-4 tools was developed (at least one for each partner). It was assumed that altogether 27-30 tools would be developed, i.e. 9-10 tools for each of the three thematic components. The process of tool selection for description by partners was coordinated by the Lead Partner.

Tool development constituted one of the crucial stages of project execution. The aim of this task was to develop a know-how databank among partners – project participants and local stakeholders – of project evaluation tools and the evaluation of programmes financed with the European Union Structural Funds.

Partners chose the tools whose descriptions they developed. In this respect, they applied their own expertise in the area of evaluation of projects and programmes co-financed with the



Structural Funds, as well as referred to the experiences of other institutions from their regions or countries. At a later stage, all partners were entitled to use the tools developed and finally, tool descriptions were used to develop demonstration projects.

The Catalogue or inventory of tools constitutes a set of tools developed at earlier stages of the INCASIS project. Tool descriptions included in the inventory are formulated in a way that permits their use by various European organisations. In parallel to the preparation of the Catalogue of tools, project experts continued working on individual components, which resulted in the preparation of a manual for evaluation of projects. The manual constitutes a practical guide for regions in the area of evaluating the effectiveness and efficiency of projects implemented in the new 2007-2013 programming period.

The two main publications by INCASIS serve to build the institutional potential of European regions in the area of evaluating Structural Funds and contribute to the promotion of a closer cooperation among European regions around such a key issue as the effectiveness of Community interventions oriented towards the strengthening of its social and economic cohesion.

I. TOOLS





INCASIS

LEGISLATIVE
AND INSTITUTIONAL FRAMEWORK





OBSERVATORY 2.1

LEGISLATIVE AND INSTITUTIONAL FRAMEWORK

1. Decentralisation of management of Structural Funds in the Basque Government

A. Partner

DEBEGESA, Spain

B. Practice observed and described by

Izaskun Jiménez

C. Tool description

The main institution that carries out the evaluation of Structural Funds in the Basque Country is the Basque Government, which manages a big portion of Structural Funds in the Region. The management of those funds is conducted by different departments:

- The management of ESF is carried out by the Department of Justice, Employment and Social Affairs.
- The management of ERDF is conducted by the Department of Treasury and Public Administration.
- The Department of Agriculture, Fisheries and Food manages the Financial Instrument for Fisheries Guidance (FIFG) and the European Agricultural Guidance and Guarantee Fund (EAGGF).

These departments manage the Structural Funds and cooperate with other national institutions. However, they do not have the specialised staff or the technical capacity to carry out the evaluation of the Funds, consequently, they subcontract this task. They apply public procurement and call for tenders procedures to select the entities that will perform this task for them.

Even though the staffs of these departments do not conduct the evaluation, they receive evaluation reports and they send them to National Managing Authorities or to the European Commission. They also participate in further evaluation meetings with the National Managing Authority (in the case of ESF) and in the exchange of good practices.

For more information on the tool, please refer to: José Antonio Varela, Department of Treasury and Public Administration (to be contacted at: + 34 945 018000).

D. Rationale / Background

The ultimate institution responsible for the evaluation of Structural Funds in Spain is the National Government, which delegates parts of this task to different Autonomous Regions.

As far as the Basque Country is concerned, the task of managing different Structural Funds is assigned to different Departments, depending on the specific division of responsibilities within the Basque Government. Therefore, the same division of tasks applies to the evaluation of Structural Funds.

This was the case when Basque Government began to manage Structural Funds and stemmed from the division of tasks between National Government and the Basque Government, which was set in the Statute of Autonomy of the Basque Country of 1979 (*Estatuto de Autonomía del País Vasco*).

E. Objectives

1. To discharge the Government mandate in an efficient manner.
2. To establish an appropriate department structure within the Basque Government in accordance with the competences of each Department.

F. Implementation stages

Implementation stages	Result	Timetable
Stage 1 Update of different departments within the Basque Government	Decree 7 / 2001 of the President of the Basque Country concerning the creation, dissolution and modification of Departments within the Basque Government and a provision for their mandates	12 weeks
Stage 2 Establishment of the structure and functions Department of Treasure and Public Administration of the Basque Government	Decree 221 / 2001 that establishes the structure and functions of the Department of Treasury and Public Administration of the Basque Government	4 weeks
Stage 3 Establishment of the organic and functional structure of the Department of Agriculture and Fisheries of the Basque Government	Decree 308 / 2001 that establishes the organic and functional structure of the Department of Agriculture and Fisheries of the Basque Government	12 weeks
Stage 4 Establishment of the organic and functional structure of the Department of Justice, Employment and Social Security of the Basque Government	Decree 44 / 2002 that establishes the organic and functional structure of the Department of Justice, Employment and Social Security of the Basque Government structure	4 weeks

Stage 1

Update of different departments within the Basque Government

Decree 7 / 2001 of the President of the Basque Country concerning the creation, dissolution and modification of Departments within the Basque Government and a provision for their mandates

12 weeks

Stage 2

Establishment of the structure and functions Department of Treasure and Public Administration of the Basque Government

Decree 221 / 2001 that establishes the structure and functions of the Department of Treasury and Public Administration of the Basque Government

4 weeks

Stage 3

Establishment of the organic and functional structure of the Department of Agriculture and Fisheries of the Basque Government

Decree 308 / 2001 that establishes the organic and functional structure of the Department of Agriculture and Fisheries of the Basque Government

12 weeks

Stage 4

Establishment of the organic and functional structure of the Department of Justice, Employment and Social Security of the Basque Government

Decree 44 / 2002 that establishes the organic and functional structure of the Department of Justice, Employment and Social Security of the Basque Government structure

4 weeks

G. Total implementation time

32 weeks

H. Advantages / benefits / improvements achieved

- Less workload for each Department that manages the Structural Funds.
- Specialisation of staff that deals with each of the Structural Funds.
- Decentralization of management of Structural Funds.
- More efficient and direct contact with, on the one hand, project promoters and, on the other hand, with National Managing Authorities.

I. Users / beneficiaries

- Department of Justice, Employment and Social Affairs of the Basque Government.
- Department of Treasury and Public Administration of the Basque Government.
- Department of Agriculture, Fisheries and Food of the Basque Government.
- Different National Managing Authorities.
- Agencies for regional / local development.
- Other institutions responsible for carrying out projects financed with EU Structural Funds.

2. Marche Region Department's regulations on the verification of effectiveness of regional systems that manage and control the use of Structural Funds

A. Partner

SVILUPPOITALIA, Italy

B. Practice observed and described by

Michele Messi

C. Tool description

This tool refers to a system created in the Marche Region, placed under the supervision of the Planning, budgeting and control Department (*Programmazione e Bilancio Department*), in order to:

- verify the effectiveness of disbursed funds,
- ensure the independence of monitoring activities from disbursements of Structural Funds from the Departments (utilising Structural Funds) involved in the managing and disbursement activities.

D. Rationale / Background

EU and national legislative framework concerning the evaluation and audit of Structural and Regional Funds in the Marche Region.

E. Objectives

1. To analyse Marche Region's auditing-evaluation system in order to provide Sviluppo Italia Marche and other stakeholders with the methodological material necessary to develop an internal evaluation system.

F. Implementation stages

Result

Timetable

Stage 1

Collection and analysis of Marche Region internal auditing-evaluating procedures

Summary of Marche Region auditing-evaluating procedures

4 weeks

Stage 2

Analysing Sviluppo Italia Marche's primary goals (identification of measurable indicators)

Identification of Sviluppo Italia Marche performance indicators (i.e. business plan turnover estimates)

2 weeks

Stage 3

Comparison of Marche Region and Sviluppo Italia Marche processes in order to adapt existing procedures to Sviluppo Italia Marche process

Draft auditing-evaluation procedures of Sviluppo Italia Marche financing activity

4 weeks

F. Implementation stages

Result

Timetable

Stage 4

Experimental phase: verification of draft procedure on a sample of Sviluppo Italia Marche activity

Review of draft procedure feasibility, potential flaws and/or corrections to be made, results obtained

6 weeks

Stage 5

(Possible) corrections to be made

Draft internal auditing-evaluation procedures manual

4 weeks

Stage 6

Staff interviews in order to verify the acceptance of new auditing-evaluating procedure and quantify the final quantitative-qualitative improvement (possible second phase of corrections)

Internal approval of auditing-evaluation procedures

1 week

Stage 7

Adoption of auditing-evaluation procedures into Sviluppo Italia Marche internal official procedures

Internal auditing-evaluation procedures manual

1 week

G. Total implementation time

22 weeks

H. Advantages / benefits / improvements achieved

Improvement of the evaluating capability of Sviluppo Italia Marche in the process of financing new ventures.

I. Users / beneficiaries

– Project partners and project stakeholders (especially other Sviluppo Italia regional agencies).

OBSERVATORY 2.2

METHODS AND TOOLS OF EVALUATION

3. Environmental Authority's intermediate evaluation of Objective 2: Single Programming Document 2000-2006

A. Partner

FINLOMBARDA, Italy

B. Practice observed and described by:

Anna Barone, Silvia Vignetti

C. Tool description

The Environmental Authority's intermediate evaluation comprises the independent intermediate evaluation and aims to:

- verify the environmental strategy of the Programme and its evolution,
- update the environmental data on Objective 2 areas,
- analyse the effectiveness of mechanisms and tools for the environmental integration of non-environmental sectors,
- evaluate the actions of the Environmental Authority (self-evaluation),
- analyse the weaknesses highlighted by independent evaluation.

It comprises two types of analysis:

1. analysis by subject matter (e.g. tourism),
2. analysis by measure.

In the first case, the Environmental Authority (EA) carries out the analysis from a geographical point of view and provides for every subject matter:

- an up-to-date description through the Environmental Monitoring System,
- a systematic review of the strategy of environmental sustainability during implementation,
- sustainability indicators and targets.

The second analysis involves a detailed review of environmental integration of some important measures of the Programme. In particular, the EA verifies:

- direct investments in environmental projects,
- investments in projects with a positive environmental impact,
- environmental protection in the selection and implementation process of projects,
- environmental supervision and monitoring activities (with particular focus on sustainability indicators).

D. Rationale / Background

The Environmental Authority is an institution that operates both at a central (national EA c/o Ministry of Environment & Territory) and regional level, respectively (a regional EA for each region). It was founded in 1994, did not start operation until 2000. In Lombardy Region, the function is discharged by the Director of the Environmental Quality Department.

Its aim is to integrate the environmental dimension in all sectoral actions covered by Structural Funds in a sustainable development perspective and to ensure consistency with the EU environmental policy and legislation.

E. Objectives

1. To guarantee external coherence of Objective 2 Programme according the new European, national and regional environmental policies.
2. To update the regional environmental situation analysed in the ex-ante evaluation.
3. To identify new spheres for the integration of environmental issues in the Regional Programme.
4. To define the environmental indicators and targets for the sustainability of the Programme.
5. To evaluate the procedures used to make environmental integration and sustainability effective, the following in particular:
 - the selection process of the projects,
 - the role and contribution of the Environmental Authority in overall implementation of the Programme.

F. Implementation stages

Result

Timetable

Analysis by subject matter

Stage 1

Identification of a set of relevant themes

Scoping of the environmental analysis

4 weeks

Stage 2

Update description of the situation for each theme

In-depth knowledge of the environmental situation

12 weeks

Stage 3

Review of the general strategy after the first period of implementation

Identification of rooms for improvements

8 weeks

Stage 4

Identification of indicators and targets for each theme

Setting up of a monitoring system

20 weeks

Analysis by measure

Stage 5

Selection of relevant measures

Identification of environment-related interventions

4 weeks

Stage 6

Assessing environmental issues for the selection and implementation of the projects

Selection of projects according to environmental quality criteria

16 weeks

Stage 7

Environmental supervision and monitoring

Identification of indicators and targets

8 weeks

G. Total implementation time

72 weeks

H. Advantages / benefits / improvements achieved

- Integration of relevant environmental issues within the Programme.
- Improvement of “everyday” activities by means of evaluation processes.
- A better understanding of environmental effects of the plan.

I. Users / beneficiaries

- Local and regional governments.
- Environmental authority.
- Consulting company conducting the evaluation.

4. Evaluation of capacity building of Integrated Local Development Plans (PISLs) in Lombardy Region

A. Partner

FINLOMBARDA, Italy

B. Practice observed and described by:

Anna Barone, Silvia Vignetti

C. Tool description

In order to verify the extent to which Integrated Local Development Plans are collective self-learning instruments, i.e. whether if they strengthen the planning capacity of the local communities, the Independent Evaluator of the Lombardy Region local plans has identified the following key elements:

1. Project design and implementation capacity of the territory.
2. The partnership.
3. The integration.

The first factor is related to:

- project design capacity: number of funded projects (territorial concentration) and number of Objective 2 measures involved in the funded projects (territorial integration) within every PISL (as compared to non-PISL),
- financial performance of the projects within the Local Plan (as compared to non-PISL),
- procedural implementation of the projects within the Local Plan (as compared to non-PISL),
- incentives for private investment (as compared to non-PISL).

In order to evaluate the ability of local stakeholders to interact and collaborate, the partnership has been analysed along three main dimensions:

- formal involvement of local stakeholders (number, type),
- actual involvement of local stakeholders (number, type, kind of involvement),
- capacity to create stable forms of interaction and collaboration.

Regarding integration, the evaluation activity includes:

- integration between actors,
- functional integration,
- managing integration,
- territorial integration,
- integration between policies (integration of programming instruments).

D. Rationale / Background

Integrated Local Development Plans are a group of intersectoral actions directed towards the achievement of a common local objective. They represent the main instrument that allows the principles of integration and concentration of interventions to be used in Objective 2 areas.

E. Objectives

1. To verify project design and implementation capacity of the area in question.
2. To ensure an active participation of local stakeholders.
3. To ensure a strong bottom-up approach in the achievement of a common local objective.

F. Implementation stages

Implementation stages	Result	Timetable
Stage 1 Evaluation of the project design capacity	Indicators of territorial concentration and integration for every PISL	4 weeks
Stage 2 Analysis of financial performance	Set of financial indicators	
Stage 3 Analysis of procedural implementation	Set of procedural indicators	8-12 weeks
Stage 4 Analysis of investments	Leverage effect on private investment	ongoing
Stage 5 Evaluation of the partnership	Effectiveness of bottom-up approach	8 weeks
Stage 6 Evaluation of the integration	Relationship to the achievement of the six levels of integration	8 weeks

Stage 1

Evaluation of the project design capacity

Indicators of territorial concentration and integration for every PISL

4 weeks

Stage 2

Analysis of financial performance

Set of financial indicators

Stage 3

Analysis of procedural implementation

Set of procedural indicators

8-12 weeks

Stage 4

Analysis of investments

Leverage effect on private investment

ongoing

Stage 5

Evaluation of the partnership

Effectiveness of bottom-up approach

8 weeks

Stage 6

Evaluation of the integration

Relationship to the achievement of the six levels of integration

8 weeks

G. Total implementation time

24-32 weeks

H. Advantages / benefits / improvements achieved

Capacity building in the design and implementation of local development plans.

I. Users / beneficiaries

- Local and regional governments.
- Local stakeholders.
- Consulting company conducting the evaluation.

5. Effects on Hesse regional development of the collaborative initiative LEADER with special focus on the Vogelsberg District

A. Partner

KUT, Germany

B. Practice observed and described by

Melanie Hoffarth

C. Tool description

The analysis consists of two major parts: in addition to the introduction, the first part deals with the scoping of selected EU structural promotion programmes. This is followed by an overview of the variety of EFRE projects in Hesse with special emphasis on a summary evaluation of their effects. The first part ends with strategic activity recommendations for the reform of the European structural development policy from 2007 onwards.

In the second part, interviews with the key supporters of the project are analysed and interpreted. These interviews have helped to make estimations about the following issues:

- public perception and acceptance of the projects,
- effects of projects promoted by European capital,
- opinions and practical experience from regional and municipal development, regional and municipal economy promotion and Landesplanung (i.e. spatial planning performed by a German federal state) as well as regional spatial planning in the context of European-wide promotion of effectiveness and efficiency.

Moreover, research into individual projects has been carried out and the following issues were taken into consideration:

- the process-related organisation of initiation, financing and execution of projects,
- a qualitative estimation of project performance by its stakeholders,
- estimations of the long-term impact of projects.

For more information on the tool, please refer to:

- publication by Academy for Spatial Research and Planning (*Akademie für Raumforschung und Landesplanung* – ARL): Positionspaper.

D. Rationale / Background

Pursuant to Art. 158 of EC-Treaty, the European Union aims to foster a balanced development of EU regions, by means of specific Structural Funds.

The capital made available within EU structural promotion funds, is supplemented with national funds, which leads to a considerable increase of funding. However, the public perception of EU structural promotion is not always positive: capital loss, generally caused by projects co-financed nationally, usually relegates structural promotion to a re-financing instrument of national budgets on top of a huge bureaucratic effort.

These opinions constitute a major reason for the requirement of fundamental information concerning the impacts of EU Structural Funds to be made available.

Reforms of European Structural Funds planned for 2007, and the discussion about the new orientation of European regional and structural development policy in general focussed on the analysis of strategic activity recommendations including the approval of basic conditions, as well as organisation and evaluation of regional development.

The regional studies and planning academy ARL is a scientific institution that works on spatial

and environmental issues to provide services in the area of spatial planning theory and practice. ARL's main task is to conduct research and applied activities in spatial and environmental analysis and development.

It promotes dialogue at an abstract level between different, discrete disciplines, and acts as a neutral forum between academic research and practice. In this respect, theoretical and applied studies that deal with significant issues for spatial and environmental development, are initiated, structured, bundled, supported and promoted. The research is predominantly carried out by multidisciplinary working groups (research programme of ARL), whose results are made available to the scientific community, administration, politics and the public. With the latter in mind, publications, events and presentations make the research results more accessible.

The Department of Regional Development and Spatial Planning appointed by ARL (*Regionalentwicklung und Raumordnung*), University of Sciences, Kaiserslautern, has developed a study titled *Effects on the regional development in Hesse of the collaborative initiative 'LEADER' – with a special focus on the Vogelsberg District* in collaboration with practitioners and scientists.

E. Objectives

1. To analyse the collaborative initiative LEADER with respect to its aim, capital endowment, administration and execution.
2. To provide a synopsis of the amount, type and governing corpus of implemented projects.
3. To perform impact assessment based on selected case studies distinguishing between predominantly quantitative effects (e.g. economy, agriculture, infrastructure closed to the economy, tourism and human resources) and qualitative effects (e.g. co-operation and communication processes, transmitters, life quality in general and aspects of spatial identity and image preservation).
4. To draw conclusions and formulate strategic activity recommendations for 2007-2013, additionally dealing with the methodical promotion approaches and aims. Promotion aspects concern in general the necessity, character, administrative structures, implementation processes, transparency, programme monitoring and evaluation.

F. Implementation stages

Result

Timetable

Stage 1

Analysis of programme documents, compiled within LEADER in Hesse

Explicit knowledge of preconditions regarding the aim, administration and implementation of the project

4 weeks

Stage 2

Preparation and realisation of a pre-interview with the accountable persons of LEADER programmes in Hesse

Knowledge of problems arising during the implementation of LEADER projects

2 weeks

Stage 3

Choice of the Vogelsberg district as the area to be studied

1 day

F. Implementation stages

Implementation stages	Result	Timetable
Stage 4 Synopsis of implemented LEADER projects	Overview of information concerning the number of projects, their spatial distribution and thematic focus	2 weeks
Stage 5 Choice of projects for separate studies of individual projects		3 weeks
Stage 6 Interviewing accountable persons about individual projects	Qualitative data to estimate the effects of individual projects	2 weeks
Stage 7 Qualitative examination of all the data; acquisition of supplementary information	Results help assess the effects of individual projects	6 weeks
Stage 8 Verbalisation	Qualitative descriptions of fundamental results and experiences	4 weeks
Stage 9 Presentation of the results as to discuss them at an ARL meeting	Qualitative descriptions of fundamental results and experiences	1 day
Stage 10 Compilation of a report to be published in the ARL publication series	Publication of results	4 weeks

G. Total implementation time

27 weeks

H. Advantages / benefits / improvements achieved

An accurate description of qualitative effects of collaborative initiative LEADER on Hessian regional development and strategic activity recommendations for the following programme phases.

I. Users / beneficiaries

- Ministries.
- Sciences departments.
- Executive institutions.

6. Implementation of the tool HERMIN at a regional level

A. Partner

MALOPOLSKA, Poland

B. Practice observed and described by

Dawid Idzik

C. Tool description

HERMIN is a macroeconomic instrument that serves to model the impact of Structural Funds, which focuses on long-term growth indices arising from the use of EU funds, especially in the area of investment in human capital (education and training systems) as well as improvements in production (infrastructure), which contributes to improved productivity and competitiveness. The model emphasises positive supply side effects.

As regards the Malopolska region, the HERMIN model is designed to assess the impact of the Regional Operational Programme (financed by ERDF) on the region's economy, primarily in the context of proposals for the next Polish National Development Plan (NDP) for 2007-2013.

The model will be implemented by the Department of Regional and Spatial Policy of the Marshal Office. One employee is trained and responsible for the implementation of the model and one of Deputy Directors of the Department coordinates his activities.

The HERMIN model will be utilised to make ex-ante and ex-post evaluation of the Structural Funds in the Malopolska region.

D. Rationale / Background

Although this instrument will definitely be implemented in 16 Polish regions, substantial difficulties persist in the implementation of the model in the Malopolska region as well as in other Polish regions. This is caused by little available data (e.g. economic indices, statistical data) or even the absence of data at the regional level, which is necessary to build regional HERMIN model.

Until now, HERMIN has been successfully implemented at the national level for the 2004-2006 programming period of the National Development Plan (NDP).

Implementation of the model will assist in the development of regional policy and in analysing the cohesion effect of EU interventions by way of structural funds. The model will also be helpful in implementing voivodship contracts.

E. Objectives

General objectives:

1. To ensure compliance with Polish legislation, EU regulation 1260/99, and other regulations concerning Structural Funds.
2. To provide the basis for the preparation of development plans (as well as operational plans).
3. To optimise the allocation of budget measures in operational programmes as well as improve the quality of programming.
4. To model the impact of Structural Funds on regional economy.

Specific objectives:

1. To model the process of the key objective of the Regional Operational Programme (ROP)* intervention: boosting the supply-side capacity of the regional economy.

* In the case of new member states ROPs were called the Integrated Operational Programmes for Regional Development (IOPRD).

2. To perform a macro-sectoral impact analysis of ROP: physical infrastructure impact analysis, human resources impact analysis, direct aid to production sectors.
3. To analyse spill-over effects (zero, medium, high).

F. Implementation stages Result Timetable

Stage 1

Training in the HERMIN model to be implemented at the regional level	1 trained employee in Marshal Office	1 week
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Stage 2

Transfer of software and documentation of the model as well as its copyrights, user's manual	Technical and organisational capacity to utilise the model	1 week
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Stage 3

Using the HERMIN model at Department level	Internal improvement of the model	ongoing
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G. Total implementation time

Ongoing, but first results were achieved after two weeks.

H. Advantages / benefits / improvements achieved

- More effective way of spending Structural Funds in the Malopolska region.
- A stimulus to aggregate economic data at regional level (in close cooperation with Polish Central Statistical Office).
- Strengthened ex-ante evaluation procedures.
- Specialisation of staff in the area of evaluation of Structural Funds (in specified Departments).

I. Users / beneficiaries

- Department of Regional and Spatial Policy of the Marshal Office of the Malopolska Region.
- Other Departments involved in creating and implementing regional policy.
- Regional Development Agencies.
- Institutions evaluating EU-funded programmes.

OBSERVATORY 2.3

INFORMATION PROCESSING AND IT SUPPORT FOR EVALUATION

7. Panel of experts: independent ex-ante project evaluation

A. Partner

MSAP, Poland

B. Practice observed and described by

Tomasz Geodecki

C. Tool description

The panel of experts ensures an ex-ante content-based and technical evaluation of applications for auxiliary project financing with ERDF funds within the Integrated Operational Programme for Regional Development (IOPRD). The managing authority of the programme is the Ministry responsible for regional development, and a regional government agency at the regional level. Special divisions of Marshal Offices (Project Selection Units) are responsible for the entire process of selection of applications. First, the applications are formally verified and then further evaluated by panels of experts, whose work is also managed by these units.

The system for submitting applications for IOPRD financing has been laid down by the executive order of the Ministry responsible for regional development. Detailed guidelines that concern the organisation of panels of experts are contained in the Handbook of IOPRD Implementation Procedures.

The Programme Complement contains the criteria used for evaluating submitted projects. Specialists on the panel are selected by open competition. They should have relevant education, knowledge and experience in a given area of intervention. Panels of experts are appointed for each of the selected areas.

The Marshal appoints the following on the panel:

- an expert from the Marshal's list, as the representative of regional authorities,
- an expert from the Voivode's list, as the representative of central government in the region,
- an expert from the list submitted by regional institutions that represent economic and public partners.

Such a composition of the panel ensures adherence to the principle of horizontal and vertical partnership pursuant to Article 8 of the Council Regulation (EC) No 1260/1999.

The panel of experts evaluates the projects at specially convened sessions. Each project should be evaluated by at least three experts. In the case of projects whose value exceeds 2,000,000 euro, a fourth expert from the national list is invited to consult. The chairman manages all panel work.

Panel members are required to sign a declaration of confidentiality and impartiality. In the event that an expert may not be impartial in evaluating a project, another panel should evaluate such a project. The above-listed conditions ensure independence of experts.

Finally, the panel secretary is appointed. This is an employee of Marshal Office responsible for administrative services to the panel who does not participate in project evaluation.

Before evaluating an application, experts will verify whether the documentation submitted

C. Tool description

is complete. Next, the project is evaluated as to compliance with evaluation criteria. Sample criteria contained in the Programme Complement are:

- project justification,
- sustainability and institutional feasibility of the project,
- project impact on regional economy,
- suitability of project indicators,
- technical feasibility,
- correspondence with horizontal policies of the European Union,
- correspondence with other projects implemented in the country and financed with Structural Funds,
- effectiveness of the project in terms of achieving planned outputs and results.

Special significance is attached to the legitimacy of proposed technical solutions and the anticipated expenses. If experts need additional information, they will contact the applicant through the Marshal Office requesting explanation.

Each expert independently evaluates the project using the thematic and technical evaluation chart. In order to ensure similar understanding of evaluation criteria, experts consult criteria with each other before the session. Then each expert undertakes an independent assessment of the project. Each element of the project is assessed by each expert and is scored on a scale of 1 to 4 points. 1 point stands for weak compliance with a given criterion, whereas 4 points denote full compliance. Apart from the score, a descriptive evaluation of the project is required. If the score difference given by two experts equals 3, the project is subject of additional evaluation panel.

If a given evaluation criterion is more important than others, scores awarded by experts are multiplied by their weighting. The final project score is computed as an arithmetic mean of scores given by all experts who have evaluated a particular application. If the project has achieved at least 60% of the maximum score, it has been evaluated positively.

Project evaluation should be performed within 45 working days of the confirmation of application list following formal verification. In complicated cases, the process may be extended by another 20 working days. The secretary writes a report on each session of the panel.

On completion of content-related and technical evaluation, the Marshal Office posts the evaluation results of projects that have passed the process on its website. Moreover, the applicants are informed in writing of the decision taken by the panel. Based on the ratings lists compiled after each session, general ranking lists of applications are formulated for a particular measure. The order of applications on these lists depends on the number of points awarded. Collective ranking lists are then submitted to the Regional Steering Committee, which verifies project agreement with regional development priorities.

Resources necessary to organise panel work involve expert remuneration and costs of administrative services. The number of sessions depends on the number of areas of support and the number of applications. The administrative service comprises a dozen of staff employed by the Project Selection Unit in the Marshal Office that also performs formal verification of applications. At meetings, they fulfil secretarial duties. To the above expenses should be added the costs of catering, room and computer equipment rental charges.

D. Rationale / Background

The need to establish the panel of experts as an institution stems from the need for specialist content-based and technical evaluation of the project with a view to its feasibility and results before the funds are allocated. Evaluations are performed in order to ensure the most effective

D. Rationale / Background

allocation of limited structural funds. The make-up of the panel of experts warrants commitment to the implementation of structural assistance on the part of the regional governments, the central government as well as economic and social partners.

E. Objectives

1. To ensure reliable initial evaluation of applications from the content-based and technical point of view.
2. To conduct evaluation of applications by an independent expert panel.
3. To ensure the participation in the selection process of representatives of government and regional institutions in accordance with the principle of vertical partnership as well as social and public partner representatives, in accordance with the principle of horizontal partnership.

F. Implementation stages

Result

Timetable

Stage 1

Preparation of a handbook of programme implementation procedures (depending on specific solutions adopted – central or regional institution)

Programme implementation procedures ready

4 weeks

Stage 2

Identification of thematically uniform support areas

Thematically uniform support areas identified

1 week

Stage 3

Appointment of panel of experts by open competition

Lists of experts ready

4 weeks

Stage 4

Preparation for expert training

Preparation for expert training

4 weeks

Stage 5

Expert training

Experts trained for their jobs

2 days

Stage 6

Planning dates of panel sessions

Map of panel sessions ready

1 day

Stage 7

Preparation of team for work

Evaluation cards, declarations of confidentiality and impartiality ready, meeting venue announced

1 day

Stage 8

Conducting expert evaluation

Projects scored

9 weeks

F. Implementation stages	Result	Timetable
Stage 9 Possible additional evaluations	Documentation complete	4 weeks
Stage 10 Report on panel session complete with ratings list	Panel session report ready	1 day
Stage 11 Completion of a global ranking list	Global ranking list ready	1 week
Stage 12 Informing applicants of session results	Applicants informed of session results	1 week
Stage 13 Evaluation results published	Evaluation results available on website	1 week

G. Total implementation time

29 weeks. Stages 1-5 (single occurrence for a given programming period): approx. 3 months; Stages 6-13 (repeated for all series of applications): up to 80 working days, the time-span is shorter in practice.

H. Advantages / benefits / improvements achieved

Independence of panels of experts – members monitor each other; in the event of considerable discrepancies in ratings, the project is handed over to another panel for evaluation.
 Partnership – the process of project evaluation involves the most important institutions in the region, whose area of activity is relevant to the group under evaluation.
 Increased likelihood of technical feasibility of projects and accordance with evaluation criteria adopted.

I. Users / beneficiaries

- Regional governments that select applications.
- Applicants.

8. A monitoring tool for entrepreneurs

A. Partner

ASTURIAS, Spain

B. Practice observed and described by

Ian Goldring

C. Tool description

Largely used to support various evaluation procedures, this is an IT tool for monitoring a complete range of entrepreneurial start-up activities; in its practical essence it is a specialised database system.

The system was developed by the European Centre of Businesses and the Innovation of the Principality of Asturias (*Centro Europeo De Empresas E Innovación Del Principado De Asturias – CEEI Asturias*) <http://www.ceei.es>. The tool was actually created along with the CEEI Asturias organisation itself and has followed a path of ongoing development, in which it has been continually improved and adapted thanks to feedback from its practical application. The tool has been used by CEEI in the various EU projects it has participated in – mainly EQUAL, though it also offers a clear applicability in other aspects of Structural Funding.

This tool has been devised in order to monitor the progress of the entrepreneur once he / she enters the project.

Once the entrepreneur arrives at the centre, all the data – including his needs, answers to the questions asked by advisers, etc. – provided by him / her is then entered into a computer file of the system (subject to the Spanish law on the protection of data) on the same day.

The type of data entered includes:

- age, sex, education, family conditions, business sector, business idea, employment situation, places, etc.,
- training needs, training received, presence / distance, time period results,
- development of business plan, needs, minutes of meetings with business advisor / mentor, progress,
- monitoring and progress during 2 months work practice,
- financial condition, aid received, etc.,
- how company was set up, type of business,
- business consolidation needs, services provided, etc.,
- evaluation by different beneficiaries.

The follow up on the entrepreneurial subject is continuous, throughout the business creation experience. If the initiative is abandoned, the reason is given, which is also the case if the company created is later closed.

Once the company has been set up, this tool will automatically provide valuable information for information document generation, such as progress reports, strategic planning and evaluation reports.

The tool is also used in offering help and training, i.e. in matching suitable candidates to specific training and advisory services.

Included in the process is ongoing evaluation of the tool, its application and the team who run it. Evaluation is elicited directly from the entrepreneurs-users themselves and then fed back into the continual Quality Control process of the organisation.

D. Rationale / Background

With the breakdown in the region of employment dependent on large scale employers and traditional industries, the provision of employment and business activity through small and medium-sized enterprises, has gained prominence. SME start-ups were on the rise and encouraged, however a too significant portion of these start-ups proved to fail.

To cope with these difficulties, there was a clear need for a tool to examine and secure an overview of the complete entrepreneurial start-up process.

E. Objectives

1. To create a tool for a comprehensive monitoring of the entrepreneurial process that has the following qualities:
 - can be used by different people coming in and out of the process without disorientation (i.e. one which could be used by different people coming in and out of the monitoring and advisory process, allowing them, in a fully informed way, to pick up the case where it was left off),
 - can be used to generate reports and key data for evaluation, strategic planning and similar exercises,
 - is a support tool for planning training programmes and evaluating how the programmes match the recipients of such training efforts (i.e. for recipient targeting).

F. Implementation stages	Result	Timetable
<p>Stage 1</p> <p>Evaluation and profiling of business plan and of training needs</p>	Report on needs assessment	4 weeks
<p>Stage 2</p> <p>Development of business plan and training and mentoring programmes</p>	Business plan and related training provided	12 weeks
<p>Stage 3</p> <p>Business start-up and consolidation accompanied by continuous monitoring of the process</p>	Continuing support for entrepreneurs	12 weeks

G. Total implementation time

28 weeks

H. Advantages / benefits / improvements achieved

1. The key feature is that the tool follows up and tracks the complete entrepreneurial start-up process with all the attendant problems and challenges encountered – from the moment of submission of the business proposal until the establishment of a company, including even business failure, were this to be the case.
2. All the information obtained is given easy 'at your fingertips' accessibility and facilitates all kinds of cross-referencing, specific data extraction and other data processing manipulations.
3. The tool is very effective in producing a variety of report types, apart from business plans and business viability studies.

H. Advantages / benefits / improvements achieved

4. All subsequent entries are placed in the same system file. Thus, if someone leaves the organisation all the information is saved and is still available.

I. Users / beneficiaries

- Regional entrepreneurs.
- Local development agents.
- Regional authorities.
- Organisations working with future entrepreneurs.

9. Technological advisory services for SMEs

A. Partner

ASTURIAS, Spain

B. Practice observed and described by:

Ian Goldring

C. Tool description

Ad hoc methodology involving specialised database and web tools that serve to advise Asturian SMEs, particularly on IT use.

It is an effort to stimulate use of IT by Asturian SMEs, via a complete technological evaluation and advisory service.

There are various regional actors involved in dissemination, the key ones being:

- IDEPA: as the promoter of the SAT Network of Centres in Asturias. Their centres are located in the main areas of business activity: Avilés, Gijón, Llanera, Mieres, La Felguera, Cangas del Narcea, Llanes and Tineo. The proximity of these centres to the business community is an important facilitator of the dissemination of this service,
- Business Associations: through agreements for the dissemination of the service and for the involvement of further companies,
- The 'Fundación CTIC' itself, as promoter and manager of all the involved projects and as the organisation designing and developing this action.

D. Rationale / Background

There was a need to take greater advantage of IT technology in Asturian SMEs. Developing the use of IT required an evaluative process, among other things.

The service dates back to 2003, when the first version of the advisory methodology was developed as part of an experimental Project – SI-Local Project promoted by the Fundación CTIC and financed by ESF and the Education and Science Ministry (Consejería de Educación y Ciencia) of the Asturian Regional Government, as part of EU Structural Funding, specifically the EQUAL programme.

Given the success of the intervention, the service was transferred to the 'SAT Network of Centres' in 2004 and was later developed through other projects (Multiplic@, COMPYTE, COTICEMA, PIATIC, ESTIC, TICPYME, etc.), over the course of which the work methodology has been continually refined.

E. Objectives

1. To provide mechanisms of technology focused evaluation, control and follow up.
2. To serve as an intervention guide, allowing for new team members to be brought onto the work team efficiently.
3. To guarantee the homogeneity of the process being followed with the companies and of the quality of service provided.

F. Implementation stages

Result

Timetable

Stage 1

Business and technological evaluation and diagnosis

1. Initial information gathering on a company
2. Personal visits (fieldwork): gathering information on the business and compiling an inventory of technology

approx. 4 weeks

Stage 2

Consulting

0. Analysis of the business model
1. Identification of needs and selection of objectives
2. Development of specific action proposals tailored to the company according to various criteria
3. Initial situation in terms of technology
4. Scale and characteristics of company (number of employees, financial capacity, resources and infrastructure, geographical location, sector, etc.)
5. Strategic objectives of the company
6. Prioritising proposals: Orientation in terms of cost and time requirements
7. Comparison of proposed solutions with the consulting team (group of experts). The goal of the consulting group is to accumulate the knowledge generated via the various advisory services provided and to feed this knowledge back into the system

approx. 4-12 weeks

Stage 3

Delivery

Client / beneficiary receives, at company facilities, the resulting advisory document and presentation of the proposed solutions

approx. 1 week

F. Implementation stages

Result

Timetable

Stage 4

Follow up

After the advisory report is delivered, various follow up activities are carried out on the application of the proposed solutions.

The first follow-up on the application is carried out within roughly 2 weeks of report delivery. This is a telephone interview with the company, regarding the suitability of the solutions proposed and the intention of the company to put them into practice, or not; Depending on the type of solutions proposed, a timetable is established for carrying out follow-up phone calls in the medium (3 months) and long-term (6 months) perspective so as to validate the application of the solutions and the impact of the said solutions on the company

Part 1: approx.
2 weeks
Part 2: approx.
12-14 weeks

G. Total implementation time

Approx. 23-43 weeks

H. Advantages / benefits / improvements achieved

Quality evaluation of Structural Fund-supported projects, wherein detailed profile of members and work teams is gathered, as well as of the different work phases the company goes through within the project and of the follow-up on the implementation of the solutions proposed by the advisory services, thus measuring the effectiveness of the action.

This type of advisory services provides SMEs with an individualised diagnosis of their initial situation, with regards to the use and presence of IT in order to then propose on the basis of the diagnosis made various ways to improve competitiveness. This may involve e-business, internal company communication, Human resources management (tele-training, on-line recruitment, etc.), production processes, legal considerations related to IT (data privacy, e-commerce etc.) etc.

I. Users / beneficiaries

- Asturian SMEs.
- Micro-companies and entrepreneurs.
- Asturian business associations.

RESOURCES





OBSERVATORY 3.1

HUMAN RESOURCES

1. Monitoring and evaluation system

A. Partner

ASTURIAS, Spain

B. Practice observed and described by

Ian Goldring, Brendan Doyle

C. Tool description

Package of instruments and procedures for evaluating training courses, developed by the Regional Employment Service of the Community of Madrid (Regional Government). Type of training potentially eligible for ESF funding.

D. Rationale / Background

Evaluation and monitoring are mandatory practices for the Regional Employment Service of the Community of Madrid, given its public nature and hence pressures to be accountable.

Evaluation permits the necessary understanding of the training programme from various points of view: final users, those involved in monitoring the programme and the companies / organisations that provide the training.

Evaluation answers the need to identify the extent to which the programme fulfils general and specific objectives behind it.

Such evaluation provides quantitative and qualitative information required for ongoing amendment, adaptation and design of the programmes that the Service carries out.

E. Objectives

1. To allow the Regional Employment Service, through its monitoring and evaluation staff, to verify and guarantee the proper operation of the programme and to establish communication amongst those involved (learners, teachers, coordinators etc.).
2. To gather and systematically analyse information (both qualitative and quantitative) in order to evaluate activities carried out by the service, to facilitate decision making throughout the process of execution and the improvement of future training efforts.

F. Implementation stages

Result

Timetable

Stage 1

Verification of initial course requirements (prior to course commencement)

Teachers' CVs, classroom size, training project definition etc.
A meeting is held with the training provider in order to clarify any issues concerning

approx. 1-2 weeks

F. Implementation stages

Result

Timetable

what is expected of them by the Evaluation Service. The Guide for the Management of Training Actions is distributed to providers

Stage 2

Course commencement

Learners are informed of their rights and obligations. Courses are periodically checked as to attendance, materials, facilities etc. in accordance with stipulations previously agreed upon. Appropriate personal contacts and liaising is established

approx. up to 1 week

Stage 3

Provision of training

Monitoring visits are carried out to check: class attendance, adherence to established syllabi (contents, methodology, instructors' work, facilities and material etc.). Learners' opinions are solicited through questionnaires (for courses lasting over 200 hours) and student questions or consultations are attended to. Appropriate documentation is required of the company or organisation (attendance sheets, drop out notifications etc.)

Entirely depends on the length of the course; these courses vary considerable in duration, though they will generally last from a few weeks up to several months, but normally less than a year

Stage 4

End of course

Evaluators attend end of course, giving a final questionnaire to the learners, approving the distribution of certificates, attendance is verified and a final follow-up is performed with the learners as to their general experience of the course

approx. up to 1 week

F. Implementation stages	Result	Timetable
<p>Stage 5 Post-course</p>	<p>The Territorial Unit receives final documentation of the course (all attendance sheets, distribution of grades, final report from the coordinator at the company / organisation etc.). Service technician carries out the course evaluation and follow-up</p>	<p>approx. 4-8 weeks</p>

G. Total implementation time

Varies greatly, as the duration of the process depends on course length. However, the entire process would normally last from around 8 weeks to several months (most likely, less than a year).

H. Advantages / benefits / improvements achieved

Comprehensive structure of evaluation procedure complete with document-tools (questionnaires, guides, forms etc.) to be as a basis on which to build similar programmes, i.e. evaluation of training programmes.

I. Users / beneficiaries

- Training planners.
- Training recipients, coordinators and providers.

2. Workshop on evaluation of learning and training activities

A. Partner

ASTURIAS, Spain

B. Practice observed and described by

Ian Goldring, Brendan Doyle

C. Tool description

Training course on evaluation techniques.

Workshop contents:

1. Training of personnel and evaluation of quality.
2. Evaluation of goals and training needs.
3. Evaluation report writing – structuring.
4. Evaluation of course design.
5. Evaluation of course provision and teaching.
6. Evaluation of reactions to the courses.
7. Evaluation of learning in the course.
8. Evaluation of transfer and impact of training.
9. Evaluation of usefulness of training.
10. Evaluation of training benefits.
11. Evaluation report – strategic use.
12. Ethical and formal considerations.

D. Rationale / Background

There was an perceptible need to train regional administration staff in conducting evaluations of educational and training activities, there being a general lack of such training and inadequate staff preparation in this regard. This experience of evaluation-focused training is a potential model for the type of evaluation training required in the area of Structural Funds.

E. Objectives

1. To prepare and enable regional administration staff to carry out evaluations of educational and training actions.

F. Implementation stages

Result

Timetable

Stage 1

Selection of participating administration staff

Suitable participants enrolled in the workshop course

1-4 weeks

Stage 2

Workshop carried out

Participants have received training and orientation on how to evaluate educational and training actions

70 hours of training, 5 hours a day

F. Implementation stages

Result

Timetable

Stage 3

Participants return to their positions

Ex-participants conduct evaluations, as they have been trained to do by the workshop

ongoing

G. Total implementation time

4-7 weeks

H. Advantages / benefits / improvements achieved

Training of administration personnel previously not or inadequately capable of conducting evaluations.

I. Users / beneficiaries

– Regional administration staff.

3. International symposium 2006: EU funds ERDF, ESF and EAGGF – the state of the current programming period

A. Partner

KUT, Germany

B. Practice observed and described by

Melanie Hoffarth

C. Tool description

The conference takes place over two days and is divided into an introductory talk for all the participants and three separate talks and discussions dealing with one of the three EU funds: European Regional Development Fund (ERDF), European Social Fund (ESF) and European Agriculture Guidance and Guarantee Fund (EAGGF).

The first day mainly strengthens the strategic aims and backgrounds of the funds, and lays the focus for the second day on operational issues, such as evaluations and monitoring.

As far as methods are concerned, case studies and examples are will be introduced as an addition to talks and speeches.

For more information on the tool, please refer to: www.europaeischeakademie.de

D. Rationale / Background

The conference was organised due to several requests for continuing education referring to EU funds by the European academy for taxation, economics and law.

E. Objectives

1. To prevent information deficits in the approaching programming period.
2. To ensure timely and definite information about improvements, corrections and alterations.
3. To disseminate firm knowledge about official requirements of the commission.
4. To offer advice for programme implementation.

F. Implementation stages

Result

Timetable

Stage 1

Topic specification

Conference topic established

2 weeks

Stage 2

Analysis of possible target groups for the conference and their requirements of information concerning EU funds

Development of a matrix about the potential participants' requirements of information; Estimated number of participants

3 weeks

Stage 3

Choice of participants; initial contacts with about 35 participants

Establishment of a consultant pool

3 weeks

F. Implementation stages	Result	Timetable
Stage 4 Getting and translating the exposés; biographies for the intended talks	First draft of the programme, documents and manuals ready	8 weeks
Stage 5 Second analysis of the target groups; creation of an address database	Address data base ready	4 weeks
Stage 6 Creation of a flyer	Publicity material ready	4 weeks
Stage 7 Choice of an event location	Event location	4 weeks
Stage 8 Distribution of flyers; registration period	Flyers distributed; registration complete	2 weeks; for months (registration)
Stage 9 Compilation of the conference documents and manuals	Conference document file ready	4 weeks
Stage 10 Conference procedure		2 days
Stage 11 Creation of participation acknowledgements	Proof of participation in the conference	2 weeks
Stage 12 Creation and publication of conference documentation miscellany	Publication of relevant results	8 weeks

G. Total implementation time

42 weeks

H. Advantages / benefits / improvements achieved

1. Prevention of information deficits in the approaching promotion period.
2. Timely and confirmed information about improvements, corrections and alterations.
3. Firm knowledge about official requirements of the commission.
4. Advice for the implementation of programmes.

I. Users / beneficiaries

Employees of public administration, who deal with the administration of EU funds, the implementation of EU promotion programmes and the evaluations of EU funds' use; e.g. in Germany those who work at the federal, land, district or municipal levels as administration officers, as officers or as independent evaluators.

4. Master of evaluation

A. Partner

KUT, Germany

B. Practice observed and described by

Melanie Hoffarth

C. Tool description

This practice-oriented course will enable the students to carry out and/or to co-ordinate evaluations in a professional manner, observing scientific standards and complying with the standards of evaluation. The study curriculum will permit an independent, professional performance of interviews for purposes as well as the provision of expert advice in the field of evaluation. At the same time, core competencies will be developed to prepare internally for tasks related to quality management and organisational development, hence opening broad fields of opportunities.

For more information on the tool, please refer to: www.master-evaluation.de

D. Rationale / Background

Evaluation as a science-based procedure of description and evaluation of programmes, measures and organisations or organisational processes has acquired substantial importance in Germany over the past years. Typically, such a development follows on a generally increasing amount of interventions after their evaluation in a number of public policy areas as to their quality and effectiveness. Nevertheless, there is an observable deficit of properly qualified experts in the area of evaluation as well as adequate training facilities. The post-graduate course of study is planned to remedy this deficit by providing the necessary qualifications for academic research and/or practical activities in this broadly diversified field that offers excellent opportunities of development.

E. Objectives

1. To enable the graduates to carry out and/or coordinate evaluations.
2. To prepare the graduates for a scientific approach to evaluation interviews and enable them to provide expert advice in the field of evaluation.
3. To develop graduates core competencies regarding tasks related to quality management and organisational development opening broad areas of opportunity.

F. Implementation stages

Result

Timetable

Stage 1

Preparation of the curriculum

Curriculum design

16 weeks

Stage 2

Curriculum approval

The occurrence of formal preconditions

8 weeks

F. Implementation stages

Result

Timetable

Stage 3

Promotion, recruitment

The occurrence of organisational preconditions

12 weeks

G. Total implementation time

36 weeks (until the classes begin)

H. Advantages / benefits / improvements achieved

A pool of highly-qualified graduates capable of conducting comprehensive evaluations in a professional manner as well as engage in broadly conceived project management.

I. Users / beneficiaries

- Graduates of social sciences.
- Graduates of other specialties whose syllabi are related to the study programme.

5. Public Funds Evaluation and Verification Group of the Piedmont Region (NUVAL)

A. Partner

LAMORO, Italy

B. Practice observed and described by

Enrica Montù

C. Tool description

Group of experts created by Piedmont Region devoted entirely to the evaluation of public funds.

NUVAL comprises two components:

- Steering and Coordination Committee made up of managers and officials of the different Departments of Piedmont Region (the only decisional component). The Committee meets at least 3 times per year, presided by the manager representing the Planning Department,
- Technical Consultancy Staff made up of a group of senior experts and a team of junior analysts.

D. Rationale / Background

In 2001 Piedmont Region, as stated by L. 144/99, has created the NUVAL – Nucleo di Valutazione e Verifica degli Investimenti Pubblici (Public Funds Evaluation and Verification Group).

E. Objectives

1. To provide methodological guidance and managerial-technical support in evaluation activities for Regional Departments.
2. To provide training services on the subject of monitoring and evaluation activities.
3. To engage in awareness-raising activities about the importance of evaluation.

F. Implementation stages

Result

Timetable

Stage 1

Creation of NUVAL by Piedmont Region, in particular the Steering and Coordination Committee

Evaluation capabilities improved

2001

Stage 2

NUVAL expands its Technical Consultancy Staff. A group of senior experts is identified by the Planning Department of the Piedmont Region and approved by Steering and Coordination Committee:
– one expert on Public Policies Analysis

Technical consultancy assured

March 2003

F. Implementation stages	Result	Timetable
<ul style="list-style-type: none"> – one expert on Project Evaluation and Selection of Methodologies and Systems – one expert on Programmes and Projects Evaluation – one expert on Environmental Evaluation – 3 experts from specialist agencies of Piedmont Region: <ul style="list-style-type: none"> • socio-economic aspects <ul style="list-style-type: none"> – IRES Piedmont • informatics and monitoring systems – CSI Piedmont • financial aspects <ul style="list-style-type: none"> – Finpiemonte <p>These external experts work for NUVAL about 4 days per month (1 day per week). There are about 4 plenary meetings per years in order to prepare meetings with the Steering and Coordination Committee, but there are more subgroup meetings about specific subjects</p>		
<p>Stage 3</p> <p>A team of 5 junior analysts is also created to help senior experts in their work, using both internal regional staff and external collaborators for specific research and evaluation projects. They have excellent degrees in Economics or Statistics or similar Masters' degrees. They work full-time for NUVAL, in close collaboration with senior experts, but they will become self-sufficient in 5 years and they will be able to cooperate directly with the Steering and Coordination Committee</p>	<p>Senior experts supported</p>	<p>2003</p>
<p>Stage 4</p> <p>A Network of NUVALs of single Italian regions is made up.</p>	<p>Coordination of the activities of single regional NUVALs in order to improve the efficiency of public funds throughout Italy</p>	<p>April 2003</p>

G. Total implementation time

In the case of this project, implementation took c.a. two years, but under different conditions, the timeframe may be different.

H. Advantages / benefits / improvements achieved

1. Improved exchange of experiences about evaluation and monitoring subjects within regional administration.
2. Improved data processing capabilities.
3. Improved data collection.
4. Dissemination of innovative evaluation methods.

I. Users / beneficiaries

- Managers and officials of different departments of the Piedmont Region.
- Specialist agencies of the Piedmont Region.
- Turin University Institute of Engineering – Politecnico di Torino.

OBSERVATORY 3.2

FINANCIAL RESOURCES

6. Financial ex-ante evaluation of the Regional Operational Programme in the Malopolska region

A. Partner

MALOPOLSKA, Poland

B. Practice observed and described by

Dawid Idzik

C. Tool description

In the process of conducting an ex-ante economic evaluation, the evaluator must answer the following key questions:

1. Does the strategy contain clearly formulated economically justified ways of solving problems in respective programming areas?
2. Can respective priorities and sets of priorities inherent in different policies contribute to the implementation of the aims of the programme?
3. Is the achievement of strategy aims included in the operational programme realistic, considering the actual allocation of financial resources in relation to specified priorities?
4. Are the rules of subsidiarity and cohesion observed within specified priorities?
5. Do the priorities of the operational programme directly come from the socio-economic analysis as well as the SWOT analysis?
6. Is there an alternative selection of priorities whose implementation could permit a more efficient and effective achievement of the aims of the operational programme?
7. Is there a balance between interventions promoting economic growth and these related to social cohesion as well as the protection of natural environment?
8. Have the external factors that impact programme implementation been properly identified?

Detailed questions related to the Operational Programme for the Malopolska region:

1. Are the activities aimed at strengthening innovativeness of SMEs at the expense of creating conditions favourable to new businesses likely to cause a development setback of this sector?
2. Can the issues related to tourist development constitute a separate priority (e.g. sports infrastructure) or is it an area that ought to be placed under different activities of other priorities?
3. Does the extent of planned interventions in the Cracow Metropolitan Area priority justify the opinion that it contributes to the long-term development of the entire region, not only Cracow and its surroundings?
4. Are the planned activities related to the development of road infrastructure designed in a way that can increase communication accessibility of the region (esp. the south-eastern part)?

D. Rationale / Background

The obligation to perform an ex-ante evaluation of public programmes financed with structural funds is provided for by the EU regulation 1260/99). EU member states have also created specific legal acts governing the scope of ex-ante evaluations (in Poland, the National Development Act imposes the duty to perform an ex-ante evaluation before the implementation of regional and sectoral operational programmes and defines the scope of evaluation). Evaluation covers the strengths and weaknesses of the state, the region and the sector especially in the area of evaluation of the socio-economic situation and the condition of the labour market, with special focus on the occupational opportunities of men and women. The evaluation also covers the state of the natural environment, taking into consideration solutions related to the conformity to state and EU common policies in this area.

The Voivodship Board, which manages the programme, is responsible for carrying ex-ante evaluations of Regional Operational Programmes. Due to the lack of financial resources (on the part of the Technical Assistance Programme), the responsibility for organizing and financing of the evaluation was assumed by the Ministry for Regional Development, Department of Regional Policy in cooperation with the Department of Structural Policy Coordination.

A decision was made to commission ex-ante evaluations in a single procurement act for all of Regional Operational Programmes (16).

The reason for such a solution was to ensure cohesion and supplement the activities implemented regionally and centrally.

E. Objectives

1. To ensure that the ex-ante evaluation contains all the necessary amendments and strengthens the quality of the final version of such programming documents as the Regional Operational Programme for the Malopolska region.
2. To ensure optimal allocation of financial measures within the National Strategic Reference Framework.

F. Implementation stages

Result

Timetable

Stage 1

Decision made by the Department of Regional and Spatial Policy related to the commissioning of an ex-ante evaluation of the operational programme for the Malopolska region

Board decision on the commissioning of the ex-ante evaluation of the operational programme

2 weeks

Stage 2

Launching selection procedure based on procurement law

Procedure determined

1 week

Stage 3

Selection of external body to perform evaluation and signing a contract

Contractor selected, All necessary data and documents transferred

2 weeks

F. Implementation stages Result Timetable

Stage 4

Conducting of and ex-ante evaluation of the operational programme by the contractor

Ex-ante evaluation completed

5-8 weeks

G. Total implementation time

10-13 weeks

H. Advantages / benefits / improvements achieved

The ex-ante evaluation should help to:

- ensure that the aims and indicators have been properly quantified,
- verify the reliability of the evaluation conducted by institutions responsible for programming,
- ensure feasible monitoring.

I. Users / beneficiaries

- Public entities.
- Final beneficiaries of the ROP.
- Managing institution of the ROP.
- Potential applicants of projects (as part of the ROP).
- The EU Commission.
- Public opinion (taxpayers).

7. Financial resources procedure for the financing of internal evaluations of Sviluppo Italia Marche self-employment projects

A. Partner

SVILUPPOITALIA, Italy

B. Practice observed and described by

Michele Messi

C. Tool description

This tool is strictly related to Observatory 2.1 tool (Marche Region auditing-evaluating procedures, adapted and implemented in Sviluppo Italia Marche organisation).

The aim of this financial tool is to quantify the value produced in the evaluation phase in order to assign the correct amount of resources (mostly in-kind-resources, in terms of man-days) to those activities.

Technical consultancy meetings that comprise the consultancy part and the inspection part of bureaucratic aspect of the business are held along each new business start-up path.

Failures or partial failures, or simply delays in every business start-up path result in the loss of opportunity to holding one or more meetings within the 12 months period, causing a loss of income.

D. Rationale / Background

Sviluppo Italia's internal procedures on internal accounting and personnel management.

E. Objectives

1. To quantify the evaluation on Sviluppo Italia Marche self-employment (SE) activities added value (AV) in order to use this AV to self-finance evaluation activities up to the AV level (loop).
2. To offer an analysis (in statistical and quantitative terms) of causes of failures and delays, as well as methods to avoid or reduce their incidence.
3. To improve the quality of self-employment activities and thus to reduce the above-mentioned loss of income.

F. Implementation stages

Result

Timetable

Stage 1

Study and definition of the entire self-employment procedure

Sviluppo Italia Marche SE procedure analytical scheme ready

3 weeks

Stage 2

Definition and pricing of the different phases, in terms of turnover and average cost in man-days

Sviluppo Italia Marche SE analytical balancesheet of costs and turnover ready

2 weeks

F. Implementation stages Result Timetable

Stage 3

Defining cost of lost turnover related to failure cases (or procedural delays)	Sviluppo Italia Marche SE failure cases balance-sheet	2 weeks
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Stage 4

Analysis of historical figures (statistics) in order to identify most frequent causes of failures-delays	Economic and statistical results on most common causes of failures	2 weeks
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Stage 5

Quantification of total costs of losses for a certain period (on a yearly or monthly basis)	This figure is the financial resource available for the evaluation activities	2 weeks
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G. Total implementation time

11 weeks

H. Advantages / benefits / improvements achieved

Definition and creation of resources (mostly in man-days) to be used in SE evaluation activities. Part of these resources can be used also for long-term profit evaluation activities (evaluation of the benefits produced from financed business in the economic environment).

I. Users / beneficiaries

- Sviluppo Italia Marche.
- Project partners.
- Project stakeholders (especially other Sviluppo Italia regional agencies).

OBSERVATORY 3.3

MANAGEMENT

8. Technical Group for Evaluation

A. Partner

DEBEGESA, Spain

B. Practice observed and described by

Izaskun Jiménez

C. Tool description

The Single Programming Document for ESF and ERDF in the Basque Country establishes Technical Groups for Evaluation. They involve representatives of the Commission, of Spanish Central Authorities, of Basque Country and of other Autonomous Communities. Such a Technical Group provides a common and permanent forum for the exchange of ideas and experiences pertaining to evaluation among its members. Furthermore, the Group assists the managing authority in carrying out the following tasks:

- watching over the deadlines with a view to integrating the evaluation results into the intervention's decision-making cycle,
- specifying the content of the evaluation process and the methodology to follow, bearing in mind the methodological guidelines established by the Community Support Framework Objective 3 in the case of ESF,
- proposing bids for technical conditions and specifying the competencies that the evaluator has to possess in order to evaluate the different Funds,
- monitoring the evaluation study,
- assessing the quality of the evaluation report, particularly the relevance of the information and recommendations made,
- ensuring appropriate use of the results of the evaluation in order to re-focus the intervention.

D. Rationale / Background

There are different Technical Groups for Evaluation (ETG) for the ESF and for the ERDF. Their coordinators and compositions are different and have slightly different characteristics.

ESF Technical Group for Evaluation: the coordinator of the group is the Spanish Managing Authority, known as UAFSE (ESF Managing Unit). This is the organisation that manages the ESF in Spain and that administers the distribution of the funds among the Autonomous Communities.

It meets periodically in Madrid, where its coordinator's offices are.

The participants of ETG are as follows:

- the European Commission (DG Employment, Evaluation Unit),
- UAFSE,
- Representatives of all the Autonomous Communities that deal with ESF (in the case of the Basque Country it is the Department of Justice, Employment and Social Affairs,
- Representatives of the thematic groups (information society, environment and equal opportunities).

D. Rationale / Background

This ETG mainly deals with the intermediate evaluation report.

As far as the work done by the ETG is concerned, it is the coordinator of the group who develops and elaborates draft documents that are then sent to all the members of the Group for feedback. After such an analysis, the ETG will meet and discuss these draft documents and reach agreements. These documents are always related to how to carry out the evaluation, for instance, which indicators should be taken into account. They can also establish the bidding conditions and specifications for contracting independent evaluators.

The ESF ETG is always at the service of the Monitoring Committee that monitors the development and results of the Operational Programmes, Single Programming Documents and Community Support Frameworks.

ERDF Technical Group for Evaluation: the coordinator of the group is the Spanish Managing Authority, the Ministry of Economy and Treasury. This is the organisation that manages the ERDF in Spain and that administers the allocation of funds among the Autonomous Communities.

It meets in periodically in Madrid, where its Coordinator's offices are.

The participants of ETG are as follows:

- the European Commission,
- the Ministry of Economy and Treasury, Community Funds Directorate General,
- Representatives of all the Autonomous Communities that deal with ERDF. In the case of the Basque Country it is the Department of Treasury and Public Administration.

This ETG mainly deals with the intermediate evaluation report and its updates.

As far as the work done by the ETG is concerned, it is the Coordinator of the group who develops and elaborates draft documents that are sent to all the members of the Group to analyse them. In the case of the Basque Government, this analysis is carried out with the technical assistance of independent evaluators. After this analysis, the EGT will meet and discuss these draft documents and reach agreements. These documents are always related to how to carry out the evaluation, for instance, which kind of indicators have to be taken into account. They can also establish the bidding conditions and specifications for contracting independent evaluators.

Results of the work and documents of the ETG are included in the Programming Documents.

E. Objectives

1. To establish the necessary cooperation procedures between the European Commission and the Member State.
2. To provide a common and permanent platform that allows for an exchange of ideas and experiences concerning evaluation to its members
3. To set common and homogeneous guidelines for all the Autonomous Communities for the evaluation process of the Structural Funds.

F. Implementation stages

Result

Timetable

Stage 1

Preparatory meeting

Work methodology, work plan developed, timetable approved

3 weeks

Stage 2

Documents preparation

Documents prepared by the Coordinator of the group and sent to the members of the ETG for review

3 weeks

F. Implementation stages

Result

Timetable

Contributions made by the members of the ETG and sent to the Coordinator in order to discuss them in the next meeting

Stage 3

Methodological Guide

The Methodological Guide developed by the Coordinator approved

2 weeks

Stage 4

Monitoring meetings

Several meetings held to monitor the evaluation process and check the progress on the provisional and final evaluation reports

3-4 weeks

Stage 4

Sending all documents to the Monitoring Committee

All the results, conclusions and final documents of the ETG are sent to the Monitoring Committee of the respective Operational Programme or Single Programming Document

2 weeks

Stage 5

Publication

Intermediate evaluation report and/or a summary is published

3 weeks

G. Total implementation time

16-17 weeks

H. Advantages / benefits / improvements achieved

1. Fostering and facilitation of co-operation and exchange of information between national and regional authorities.
2. Assistance in reaching a common understanding and common criteria for evaluations.

I. Users / beneficiaries

- Different departments of the Basque Government.
- Different departments of the Spanish Government.
- Local/regional development agencies.
- Provincial authorities.
- Municipal authorities.
- Consultancies that conduct the evaluation of Structural Funds.
- Other institutions that implement / manage projects financed with the Structural Funds.

9. The Piloting Committee

A. Partner

FINLOMBARDA, Italy

B. Practice observed and described by

Anna Barone, Silvia Vignetti

C. Tool description

The Piloting Committee was formally established on December 3, 2004, following the proposal of the Objective 2 Programme independent evaluator.

It had a fundamental role in focusing the evaluation activities on aspects of greater importance, in particular, during the definition of the evaluation design and the thematic studies.

The Committee comprises the following members:

- an independent evaluator,
- a regional agency responsible for evaluation activities,
- a representative of the Managing Authority,
- a representative of the Environmental Authority,
- a representative of Equal Opportunities Office,
- a representative of the Payment Authority,
- a representative of the Regional Presidency Directorate.

The Piloting Committee meets every 3 months and it is mainly a work group, informal and voluntary, whose aim is to exchange opinions, recommendations and information on day-to-day basis while evaluating and implementing activities.

In this way, it promotes a useful cooperative relationship between the stakeholders involved in Objective 2 Programme implementation and evaluation.

Moreover, it encourages them to reflect critically on the programme strategy, the processes and the identification of opportunities for improvement.

D. Rationale / Background

In order to set up and share the Intermediate Evaluation of the Objective 2 Single Programming Document, the independent evaluator proposed to the Managing Authority of Lombardy Region the institution of a standing advisory committee comprising all the key regional actors involved in programme implementation.

As different from other formal meetings in the manner provided for by the regulations (e.g. the Surveillance Committee), the Piloting Committee is not embedded in a strict institutional framework and, as a voluntary entity, it is perceived as useful and effective.

E. Objectives

1. To promote understanding, useful and cooperative relationships between the main regional stakeholders involved in Objective 2 Programme implementation and between them and the independent evaluator.
2. To focus on relevant and operating aspects of the Programme during the evaluation and implementation process.
3. To ensure that the perspectives of the intended regional stakeholders are reflected in the evaluation process.

F. Implementation stages

Result

Timetable

Stage 1

Identification of the actors really interested in the Piloting Committee

Formal administrative agreement on the role of the work group

4 weeks

Stage 2

Quarterly meetings

Minutes of the meetings

ongoing

Stage 3

Exchange of information and opinions in the meeting as inputs for the operating aspects of evaluating and implementing activities

Evaluation of the benefits arising from Piloting Committee meetings in the evaluation reports

ongoing

G. Total implementation time

Ongoing, but first results were achieved after 24 weeks.

H. Advantages / benefits / improvements achieved

1. Improved interaction between the stakeholders involved in Objective 2: Programme implementation and evaluation.
2. Availability of useful informative inputs.
3. Improved programme implementation mechanisms.
4. Shared evaluation process.

I. Users / beneficiaries

- Regional governments.
- Environmental authorities.
- Payment authority.
- Equal opportunities representatives.
- Consulting company that conducts the evaluation.

10. Establishing teams for the monitoring and evaluation of Structural Funds in the Malopolska region

A. Partner

MSAP, Poland

B. Practice observed and described by:

Tomasz Geodecki

C. Tool description

The Malopolska Regional Operational Programme for 2007-2013 is one of sixteen regional operational programmes implemented in the new period of EU's cohesion policy. These programmes constitute an example of decentralised management of structural assistance in Poland. In 2004-2006, the Integrated Operational Programme for Regional Development (IOPRD) has been managed at the central level – regional governments only manage the regional components of the IOPRD. After 2006, the situation will change: in the new programming period, regional authorities will independently manage regional operational programmes. Hence the need to establish organisational sections within the Marshal Office responsible for the preparation of the regional programme, including the development of a programme evaluation system, as well as for the monitoring and assessing the impact of structural assistance on regional economy.

In December 2005, an initial draft of the Malopolska Regional Operational Programme (MROP) was presented. The principles for programme management were reflected in the organisational structure of the Marshal Office of the Malopolska modified as of January 2006. The most important management aspect of the modified structure is the organisational separation of project implementation functions, where the Marshal Office is a beneficiary, from programme management functions, including monitoring and evaluation. The former was delegated to the Department of Structural Funds, whereas the latter was transferred to the Department of Regional and Spatial Planning Policy.

The organisational structure of the Regional Policy Department is typically linear. It is managed by the director who supervises four teams headed by managers and the office.

Within the Department of Regional and Spatial Planning Policy two teams were established responsible, among other things, for evaluation:

- the Programming and Evaluation Team,
- the Monitoring and Regional Analyses Team.

The Programming and Evaluation Team (P&ET) has the following responsibilities (among others):

- preparation of plans for regional development programmes,
- follow-up work on the preparation of the Malopolska Regional Operational Programme,
- participation in negotiations for MROP with Polish government and the European Commission,
- development of MROP implementation plans, including the proposal for project selection criteria and the inventory of eligible costs,
- development of the evaluation system for MROP implementation, including the preparation for and control of ex ante, mid-term, ex post, and ongoing evaluations.

The outline of responsibilities demonstrates that the Programming and Evaluation Team is a discrete organisational unit acting as a managing authority of the regional operational programme. As far as the scope of its evaluation functions is concerned, the team's responsibility

C. Tool description

is to evaluate the programme based on European Union guidelines and the Polish law. One of them is to verify the compliance of the programme with evaluation criteria developed by the European Commission for programming documents and the evaluation of programme effects against its original goals. Under Polish law, such an evaluation is conducted by external evaluators. The ex-ante MROP evaluation, like other regional operational programmes, is conducted at the central level. The evaluation of all sixteen programmes by a single institution ensures the application of uniform criteria and comparability of evaluation results.

The structure of the Programming and Evaluation Team comprises six posts:

- manager,
- investment planning officer,
- programme and legal affairs officer,
- regional development officer,
- programming officer,
- evaluation officer.

When recruiting for most posts, a degree in economics or law is preferred, except for the post of programme and legal affairs officer, where the degree in law and administration is expected and the post of regional development officer, where there are no preferences. During recruitment for the post of evaluation officer, the highest scores were awarded to graduates of economics and management.

The Monitoring and Regional Analyses Team (M&RAT) has the following responsibilities (among others):

- monitoring the implementation of regional development strategy,
- conducting analyses of social and economic processes to enable the implementation of a coherent regional development policy,
- coordinating annual reports on the state of the Malopolska Region,
- monitoring the impact of regional development programmes on the social and economic condition of Malopolska,
- maintaining the Observatory of Operational Programmes, including the preparation of information about the implementation of the Cohesion Fund as well sectoral operational programmes within the region,
- monitoring of the MROP, including the process based on the HERMIN system,
- service and handling functions of the Regional Steering Committee activities.

At the present stage, the team continues the evaluation of impacts of investment implemented in 2000-2006. The data comes from the managing authorities of individual operational programmes and are used for the preparation of annual reports on the state of the Malopolska Region. In the programming period of 2007-2013, the team will be fulfilling two fundamental functions related to its mandate:

- data collection for the monitoring of implementation of practically all investments financed with Structural Funds as part of regional and central operational programmes, the Cohesion Fund, as well as other financial instruments (e.g. the Financial Mechanism of the European Economic Area or the Norwegian Financial Mechanism),
- analyses of data with respect to effects of structural investments. Statistical data regarding the implementation of the regional operational programme serve to aid the evaluation of its effects by the Programming and Evaluation Team, whereas the Monitoring and Regional Analyses Team evaluates the effects of the entire set of regional policy instruments. The activities involve the review and evaluation of outputs and results of programmes implemented in Malopolska as well as their impact on the economy of the region. Currently, work is in progress on the

C. Tool description

adaptation of the HERMIN econometric model for the needs of the region used to evaluate the impact of structural investment on employment levels and gross regional product.

The team produces a database that illustrates the progress of implementation of structural investments and their results. The database will constitute the basis for regional investment policy. In 2000-2006 it was been impossible to obtain comprehensive aggregated information about all the activities in the region financed with Structural Funds.

At the moment, the structure of the Monitoring and Regional Analyses Team comprises four posts:

- manager,
- regional statistics officer,
- two Development Policy Observatory officers.

Most staff are graduates of economics. The team structure is relatively modest as compared with the magnitude of responsibilities in the new programming period. Ultimately, at least 8 staff are expected to work on the monitoring of the regional programme alone.

The Horizontal coordination of activities related to the evaluation of Structural Funds and the mechanisms for the exchange of information, communication and coordination of evaluation activities among the teams have not been formalised. Given the fact that teams are small and their members often work together, it is only natural that information exchange through informal channels and direct conversations.

The Programming and Evaluation Team cooperates with the National Evaluation Unit in the Ministry of Regional Development, which prepares a provisional assessment of initial versions of regional operational programmes. The evaluation officer is responsible for regular contacts with the Ministry. In the new programming period, the officer will also be responsible for cooperation with external evaluators.

In the Monitoring and Regional Analyses Team, contacts with external institutions focus on gathering data for the system of regional analyses. Their sources are mainly authorities managing programmes and institutions that implement individual measures. Owing to the absence of legal regulations in this area, contacts with these institutions and the intermediary body of IOPRD – The Voivodship Office (the Voivode is the representative of central government in region) are informal in character.

D. Rationale / Background

The decentralisation of management of regional policy and the job of preparing the regional programme resulted in the need to establish sections responsible for the monitoring and evaluation of the programme.

The separation of evaluation functions of both teams was a purposeful move.

The Programming and Evaluation Team was established as a discrete organisational unit that fulfils the functions of managing authority of the regional operational programme. It is responsible for the evaluation of the programme in cooperation with the Ministry of Regional Development and with independent evaluation institutions.

The Monitoring and Regional Analyses Team was created as a unit that collects data for evaluation. With reference to the regional operational programme, the team collects data on the basis of which the evaluation is performed by the Programming Team. As far as other investments financed with Structural Funds, M&RAT maintains the "Observatory of Operational Programmes", which involves the monitoring and impact of central operational programmes and the Cohesion Fund on the region's economy. Considering the fact that regional operational

D. Rationale / Background

programmes will absorb approx. 27% of resources in 2007-2013, most investment in the region will be made outside the regional programme. Consequently, the scope of evaluation activities performed by the team will be broader.

E. Objectives

1. To focus the Programming and Evaluation Team's activities on the most important regional responsibility – the preparation and management of the Regional Operational Programme*.
2. To provide clear division of responsibility for the tasks entrusted*.
*These two goals are to be served by the organisational separation of the Monitoring and Regional Analyses Team from the Programming and Evaluation Team.
3. To formulate independent criteria for project evaluation.
4. To separate the functions of the Office as an institution responsible for the programming of assistance from the function of beneficiaries of assistance.

F. Implementation stages

Implementation stages	Result	Timetable
Stage 1 Decentralisation of management of Structural Funds	16 regional operational programmes instead of a single central one	2 years before the new programming period
Stage 2 Specification of responsibilities in the area of monitoring and evaluation in the regional programme	Specification of responsibilities in the area of monitoring and evaluation in the regional programme	1 year before the new programming period 4 weeks
Stage 3 Determining the number of posts and assignation of tasks in sections responsible for monitoring and evaluation	Human resources needs for monitoring and evaluation activities	1 week
Stage 4 Specification of key qualifications for individual posts	Specification of key qualifications for individual posts published	1 week
Stage 5 Selection of sections' managers	The establishment of the Programming and Evaluation Team and the Monitoring and Regional Analyses Team	2 weeks
Stage 6 Delegation of staff to new sections	Sections providing services to Teams established	2 weeks
Stage 7 Recruitment of new staff	Improved performance of sections	4 weeks

F. Implementation stages

Result

Timetable

Stage 8

Teams start work

Monitoring and evaluation of effects of Structural Funds in the region

10 months before the new programming period monitoring
– an ongoing process evaluation
– a cyclic process

G. Total implementation time

14 weeks

The process of establishing new teams should finish 10 months before the new programming period.

H. Advantages / benefits / improvements achieved

1. Focus on the preparation and management of the regional operational programme.
2. Clear delineation of responsibilities for individual tasks.
3. Independent formulation of project evaluation criteria.

I. Users / beneficiaries

- Authorities implementing regional policy.
- Regional government agencies.

NETWORKING





OBSERVATORY 4.1

COOPERATION OF LOCAL AND REGIONAL ORGANISATIONS

1. Institutional Pact for Employment: 2000-2003, 2003-2007

A. Partner

ASTURIAS, Spain

B. Practice observed and described by

Ian Goldring, Brendan Doyle

C. Tool description

Co-financed with EU ESF Structural Funds and the Regional Government, it is an action plan based on consensus-building between the Regional Administration and the major social actors and stakeholders throughout the region.

The Plan's activities focus on 4 areas:

1. Employment.
2. Training.
3. General and work-related health and safety.
4. Industrial development.

With regard to the key issue of employment, the Plan pursues:

- the promotion of employment,
- improvement in employment quality,
- the development of alternative forms of employment (new sectors, non-profit organisations, etc.).

The Plan pursues these aims through subsidising:

- the creation of stable employment,
- the conversion / modernisation of business activity,
- new business initiatives.

Evaluation of the programme is carried out by the University of Oviedo in full compliance of the relevant EU guidelines.

With regards to the first Pact, the analysis of the effects of the subsidies for creating new jobs was carried out using a system of surveys. Specifically, the companies receiving subsidies to create employment participated in a written survey, while the workers, for whom new jobs had been created, were surveyed by phone, the two surveys were then compared, so as to contrast views and opinions and in order to obtain a balanced perspective.

The written survey process is considered by its makers to have an effective margin of error of 7.2%.

For its part, the telephone survey process was a random sampling, stratified by the terms of financial aid given and is considered to have a 5% total error margin (i.e. 95% reliability).

Significantly, both surveys were carried out 2 years after the subsidies were originally granted.

The Pact has an ongoing character and is of an indefinite duration. It is currently in its second period of 2003-2007.

D. Rationale / Background

Largely due to the closures and winding down of traditional industries, Asturias is in a state of a manifest economic decline, with growth rates below the Spanish average and unemployment above average. Working-age young people (another problem of the region is its aging population) leave the area of Asturias in order to seek gainful employment.

The pact signed in November 1999 by the Asturian Government, UGT and CCOO (the two main Trade Unions) and the Asturian Employers Federation.

E. Objectives

General:

1. To promote and generate stable employment, particularly for young people and the long-term unemployed.

Specific:

1. To improve business competitiveness.

2. To promote adoption of current Human resources best practices.

3. To promote social cohesion and equality.

4. To shift resources to employment creation through advancing development at a local level.

F. Implementation stages

Result

Timetable

Stage 1

Negotiation among the major stakeholders

Signing the Pact

approx. 1 year

Stage 2

Active period of the Pact

Cooperation of signatories of the Pact

Designated as a 4 or 5-year period

Stage 3

Evaluation of the Pact and negotiations of the next phase of the Pact

Evaluation report and implementation of recommendations in the next phase

approx. 2 years (i.e. carried out within 2 years after the granting of funds, so the stage will likely take 2 years after final funds have been disbursed)

G. Total implementation time

Approximately 7 years, involving the signing and agreeing of the plan the previous year (1999), four years of the plan's operation from 2000 to 2003 and a c.a. two-year wrap-up period of evaluation and reporting after the Pact time period has run out (2004).

The second period of the Pact involves a c.a. eight-year period, i.e. 1 year for negotiation and conception, 5 years of Pact activity (2003-2007) and (provided the previous experience is repeated) about 2 years for investigating results, final evaluation and reporting.

H. Advantages / benefits / improvements achieved

1. The sustained action plan is supported by a consensus built among the key actors and beneficiaries from the insights of local actors.
2. The approach is potentially exportable to other such plans, wherein regional and local actors and shareholders are coordinated around a coherent plan for economic development and renewal.

I. Users / beneficiaries

- Groups of people who have particular difficulties in finding employment, i.e. long-term unemployed, women, young people.
- Businesses (receiving aid to become more competitive).

2. INTERREG III CSRN: Sub-regional Network Project

A. Partner

LAMORO, Italy

B. Practice observed and described by

Enrica Montù

C. Tool description

The consortium LAMORO is deeply involved in INTERREG III CSRN: Sub-regional Network project led by the coordinator Bristol Municipality.

This Network seeks to provide a forum to share knowledge and expertise concerning the delivery of Structural Funds and other regeneration initiatives in sub-regional areas across Europe.

Each partner in the Network has a working knowledge of Structural Funds, whether through programme management or direct implementation of EU-funded projects. Research undertaken by the Lead Partner has identified a lack of official frameworks (networks, discussion forums, conferences, etc.) through which to identify and share best practices in the use and delivery of EU Structural Funds and other regeneration programmes at sub-regional levels across Europe.

D. Rationale / Background

Local organisations are hardly involved in evaluation, but their involvement would be of great importance.

E. Objectives

1. To share best practices in the management and delivery of Structural Funds and regeneration programmes in sub-regional (less than NUTS 2) areas, thereby meeting the needs of local populations and regional strategies.
2. To build a trans-national exchange of information about the local-led approach to the management and delivery of Structural Funds and other regeneration programmes.
3. To improve the delivery of Structural Fund programmes in order to enhance sub-regional economic competitiveness in the remaining programming period.
4. To use the experience gained in this way to inform the development and construction of future programmes.

F. Implementation stages

Result

Timetable

Stage 1

Inaugural Meeting

Trans-national Network Steering Group and its terms of reference established; administrative and financial ground rules ready; Detailed programme of workshops ready

November 2004
(Lille, France)

F. Implementation stages

Implementation stages	Result	Timetable
Stage 2 Website	Further details of the partners and all relevant documentation for the project available on the project website	March 2005
Stage 3 Network Workshops	Standardised information-gathering templates and presentation briefs supplied by the lead partner and downloadable from the website	September 2005 (Hranice, Czech Republic)
Stage 4 Mid-Term Seminar	Inventory of initial findings of the exchange and issues for further consideration during the next round of workshops; Early Findings Report	1-2 December 2005 (Santa Cruz, Tenerife)
Stage 5 Report	Information presented by the partners at earlier workshops; evidence from other networks focusing on Structural Funds implementation	February 2006

G. Total implementation time

In the case of this project, implementation took c.a. 64 weeks, but under different conditions, the timeframe may be different.

H. Advantages / benefits / improvements achieved

The expected impact will be an increased understanding, by practitioners and other stakeholder bodies, of the delivery and implementation of Structural Funds and other regeneration programmes operating across the EU. This will result in more effective sub-regional delivery mechanisms being utilised within the regions, and in the delivery of regional development policies.

I. Users / beneficiaries

- Project partners.
- Sub-regional entities outside partnership through dissemination.

3. Network of Structural Funds Coordinators in the Malopolska Voivodship

A. Partner

MALOPOLSKA, Poland

B. Practice observed and described by

Dawid Idzik

C. Tool description

The main idea of the network is to strengthen cooperation between the Marshal Office and applicants for project funding within the Integrated Operational Programme for Regional Development (IOPRD) for Malopolska Region in 2004-2006. These include: local self-government authorities, NGO's, research bodies, social and economic partners of Malopolska region. Network derives its benefits especially from the experience of Twinning contract implementation (Comunidad de Madrid). The network structure is open and accessible to further potential beneficiaries. Accession to the network is free.

There following assumptions are necessary to establish such a network: every applicant shall notify at least one representative (who is responsible for preparation and coordination of projects implemented by this institution); participation in network events such as: conferences (some of them are especially for network coordinators), training sessions related to procedures as well as to progress in the implementation of the Integrated Operational Programme for Regional Development, distribution of promotional materials (as leaflets, voivodship programme documents on CDs), direct contacts and consultation with the Marshal's Office. Membership in the network is formalised – every member has its own membership certificate. It is awarded to the coordinator after his / her participation in a number of meetings and conferences of the network.

There is very good flow of information through Marshal Office website (www.wrotamalopolski.pl) contains scans of important IOPRD documents promulgated by the Ministry of Regional Policy, the Ministry of Finance, the Ministry of Economy, the Managing Institution.

D. Rationale / Background

The Network of Coordinators was established in March 2004 in order to strengthen regional capacity to obtain Structural Funds and their effective absorption.

E. Objectives

1. To facilitate the exchange of information within the network.
2. To help in the preparation of application forms.
3. To facilitate contacts and information exchange between potential beneficiaries (Coordinators) and the Marshal Office (Department of Structural Funds).
4. To advance administrative procedures in the current programme.
5. To raise the awareness of potential beneficiaries.
6. To develop an inventory of good practices.

F. Implementation stages Result Timetable

Stage 1

Inauguration of the network	Conference for network coordinators; training delivered	30 March 2004
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Stage 2

Registration of members of the network in the Department of Structural Funds	Formalisation of the network in order to facilitate the collection and exchange of information among beneficiaries and the Marshal Office – contributing to the synergy effect	ongoing
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G. Total implementation time

Ongoing, but first results were achieved after 4 weeks.

H. Advantages / benefits / improvements achieved

1. Better exchange of information on the implementation of Structural Funds.
2. Concentration of knowledge on absorption of Structural Funds in coordinators' institutions.
3. Well-prepared application forms.
4. Synergy effect in the area of implementation of Structural Funds.
5. Marshal Office database on implementation progress of projects.

I. Users / beneficiaries

- Local government authorities.
- NGO's.
- R&D units.
- Public and business partners of the Malopolska region.

OBSERVATORY 4.2

CONTRACTING EVALUATION SERVICES

4. Commissioning an external research institution other than an independent evaluator to perform a study on the evaluation and implementation of Integrated Local Development Plans (PISLs)

A. Partner

FINLOMBARDA, Italy

B. Practice observed and described by

Anna Barone, Silvia Vignetti

C. Tool description

Within the project, 4 thematic laboratories have been identified, in relation to the 4 critical areas that emerged during the PISLs implementation:

1. Development of the planning, implementing and monitoring capacities: the laboratory analyses and works on project design and re-planning capacity, as well as on project implementation (process and structure) from an organisational point of view and the evaluating and monitoring procedures.
2. Strengthening local partnership process with a particular focus on public-private relations: the laboratory identifies and proposes the conditions for increased institutional partnership, the potential for an effective participation of non-institutional stakeholders and the networks that can facilitate the integration between PISLs and other relevant local policies.
3. Models of analysis and representation of the territory and local strategies: the laboratory experiments with new methodologies for the analysis and representation of the territory in order to verify the consistency of the programme and to exploit the "territorial capital".
4. Innovative financing and local development: in the light of the international, national and regional best practices, the laboratory aims at identifying and proposing innovative financial instruments for local integrated projects.

D. Rationale / Background

Research Institute of the Lombardy Region (*Istituto Regionale di Ricerca della Lombardia – IRER*) was created in 1974. It carries out projects, research and studies on the planning, implementation and evaluation activities of the region.

IRER will be also involved in the Ex-Ante Evaluation of the new Regional Operating Programme 2007-2013.

The study was commissioned with IRER by the Managing Authority of the Lombardy Region Objective 2 and was expected to take two years

E. Objectives

1. To strengthen the strategic direction of Integrated Local Development Plans.
2. To strengthen capacity building of the local community, the technical structure, the regional and local administrations in the area of managing integrated projects.
3. To identify and disseminate best practices in the area of planning, implementation and evaluation of this type of projects.

F. Implementation stages

Implementation stages	Result	Timetable
Stage 1 Laboratory 1	Draft action plan concerning the implementation and monitoring instruments and models ready	ongoing
Stage 2 Laboratory 2	Analysis of the partnership framework and identification of the strategy for the enlargement and the strengthening of the network	ongoing
Stage 3 Laboratory 3	Identification of the territorial potentials and specificity (the territorial capital)	ongoing
Stage 4 Laboratory 4	Innovative financing instruments proposed for local development and relevant guidelines to be applied in the specific context	ongoing

G. Total implementation time

Ongoing, but first results were achieved after 2 years.

H. Advantages / benefits / improvements achieved

The study is a useful instrument for the development of all the integrated local projects in Lombardy Region, offering solutions and tools to:

- reinforce the institutional and local partnership,
- improve the strategic direction and the monitoring system, to be used also in other contexts.

I. Users / beneficiaries

- Local and regional governments.
- Local stakeholders.
- Consulting company that conducts the evaluation.

5. Commissioning external institutions to perform evaluations of public programmes: a case study of an ex-ante evaluation of Malopolska Voivodship Development Strategy

A. Partner

MSAP

B. Practice observed and described by:

Marcin Zawicki, Tomasz Geodecki

C. Tool description

The tool consists of the following elements:

- I. The scope of evaluation attached to the evaluation contract:
 1. Summary.
 2. Strategy evaluation in the following contexts:
 - a. Internal consistency of the project, including:
 - correspondence of diagnosis with project aim,
 - correspondence among the priorities and strategic objectives, and between strategic objectives and priorities,
 - adjustment of the implementation and financing system to the conditions under which the authorities operate, as related the feasibility of objectives of the Strategy.
 - b. Evaluation of results and impacts of the Strategy with a view to answering the following questions:
 - Have the strategy monitoring indices been correctly selected? If not, what alternative ones should have been used?
 - Are the assumed impacts and results feasible, given the anticipated financial outlays?
 - How is the implementation of the strategy going to impact on the social and economic structure of the Malopolska region? The assignee should suggest a set of key indices to measure the impact of the Strategy, determine for each the level of dependence between the change in the index value and strategy impact as well as quote anticipated index value change within two years after the strategy has been implemented.
 - c. Evaluation of external consistency of suggested objectives, including:
 - consistency with EU policies and information contained in the Strategic EU Guidelines for 2007-2013,
 - consistency with public policies, including especially regional policies contained in the draft National Strategy of Regional Development (NSRR) 2007-2013, draft National Development Plan (NPR) 2007-2013 and the draft Spatial Master Plan.
 3. Evaluation of appropriateness of methodological assumptions behind the Strategy.
 4. Methodology of evaluation and data collection: detailed presentation and justification of evaluation methodology, including the products of the NPR Evaluation Team as well as the data sources necessary to perform such an evaluation.
 5. Conclusions and recommendations for the Voivodship Board.
- II. Structure of the "Ex-ante evaluation of the draft Malopolska Voivodship Strategy for 2007-2013":
 1. Introduction. Aim of the overall analysis.
 2. Summary.
 3. Methods of an ex-ante strategy evaluation.
 4. Ex-ante strategy evaluation:

C. Tool description

- evaluation of methodological background behind Strategy development,
 - evaluation of internal consistency,
 - evaluation of external consistency,
 - evaluation of objectives and performance indicators,
 - evaluation of the implementation and financing system,
 - evaluation of adequacy of financial outlays vs. anticipated results and impacts,
 - evaluation of Strategy's impact on the social and economic development of the Voivodship.
5. Recommendations for the Voivodship Board.
 6. Attachments:
 - list of documents and analyses on which the evaluation is based,
 - list of legal acts and methodology documents.

D. Rationale / Background

One of the most important tasks that the Polish law imposes on regional government is to define and implement the voivodship development policy. Regional authorities define their development policy through preparing a long-term voivodship development strategy, which is approved by the legislative body of the region – Sejmik.

The Act on Voivodship Self-Government does not explicitly state the necessity to perform evaluation of the strategy. However, this duty is imposed by the Law on the National Development Plan on regional operational plans and voivodship contracts. The former establish the way of using the part of money from Structural Funds which is managed by local government. Voivodship contracts, in turn, regulate relations with regard to financing tasks in the region by central government and regional authorities. In this way, programming documents that constitute the basis for the voivodship development strategy implementation are evaluated.

E. Objectives

1. To offer regional authorities an independent expert opinion in regard of the quality of the draft strategy document.
2. To verify the appropriateness of assumptions behind the strategy or another public programme. The verification focuses on planned achievements of the strategy (of the programme) and the factors that may contribute to certain effects of the programme. Regional authorities that implement the strategy (programme) are interested to find out the real impact of the programme on solving individual social and economic problems that constitute the reason for the intervention. Of course, the institution responsible for the implementation of the programme can itself assess the planned or real effects of the programme and also indicate the factors that influence the ability to achieve aims either positively or negatively. However, such an evaluation by the managing institution will always, to a greater or lesser extent, be influenced by subjectivity. Let us add immediately that the subjectivism will always be in favour of the managing institution and hence the need to employ an independent team of evaluators.
3. To fulfil formal requirements related to evaluation based on EU and/or country-specific regulations. The duty to perform evaluations of public programmes financed with structural funds is imposed by law (Council Regulation (EC) No 1260/1999). A number of countries have also introduced specific legislation to mandate ex-ante evaluations of public programmes (for example, in Poland such a duty is imposed by the decree regarding the support programme for Voivodship contracts).

E. Objectives

4. To increase transparency and promote activity by public authorities. The commissioning of evaluation of public programmes is usually understood in terms of positive social or economic effects linked to a given programme. Yet it also entails increased transparency and the promotion of activities initiated by public authorities. This happens through the dissemination of evaluation reports. Such reports should be made available not only to entities directly involved in the implementation of public programmes, but also to the public at large. Its aim is to inform the public opinion, i.e. the taxpayers who finance the implementation of public programmes about the way their money is being spent. Hence, evaluation becomes one of the major elements of a democratic process, in which public authorities are accountable to the public for decisions made on its behalf (accountability postulate).
5. To focus the activity of voivodship self-government on the discharge of public mandates.
6. To counteract increased expenses and excessive employment.

The two latter aims apply to both the case under discussion and other tasks outsourced to external organisations.

F. Implementation stages

Implementation stages	Result	Timetable
<p>Stage 1</p> <p>Development of draft strategy (or another public programme) by a public administration unit (prior to evaluation commencement)</p>	Draft strategy (public programme)	1.5 years
<p>Stage 2</p> <p>Decision by an authorised department of public administration unit as to the commissioning of an ex-ante draft strategy evaluation (or of a programme) from a specialised external agency</p>	Board decision or other decision in writing to commission the ex-ante evaluation of draft strategy (programme)	1 week
<p>Stage 3</p> <p>Formulation of the scope of the evaluation and preparation of draft contract</p>	Scope of analysis defined; draft contract prepared	1 week
<p>Stage 4</p> <p>Adoption of selection procedure based on the Public Procurement Act</p>	Selection procedure determined	1 week
<p>Stage 5</p> <p>Selection of agency to perform evaluation</p>	Agency selected	1-4 weeks

F. Implementation stages	Result	Timetable
<p>Stage 6</p> <p>Negotiations and contract signing, transfer to the agency of draft strategy (programme) as well as other documents in order to perform the ex-ante evaluation</p>	Contract signed; agency given all necessary documents	1 week
<p>Stage 7</p> <p>Development of ex-ante evaluation strategy (programme) by and external agency</p>	Ex-ante evaluation of strategy (programme) completed	4-8 weeks
<p>Stage 8</p> <p>Transfer of results to the commissioning party</p>	Ex-ante evaluation of strategy (programme transferred to the commissioning party)	1 day
<p>Stage 9</p> <p>Informing the public of ex-ante evaluation results</p>	Ex-ante evaluation of strategy (programme) made available to the public	2 weeks
<p>Stage 10</p> <p>Analysis of conclusions in order to improve (supplement) the draft strategy</p>	Scope for possible strategy (programme) improvements agreed upon	2-6 weeks
<p>Stage 11</p> <p>Development of draft strategy (programme) using ex-ante evaluation results</p>	Final draft strategy (programme) has been developed	2-6 weeks

G. Total implementation time

15-30 weeks

H. Advantages / benefits / improvements achieved

1. Verification of strategy quality and consistency of its content with national and EU documents.
2. Regional authorities gain experience in contracting for evaluation prior to a new programming period, important in the context of managing the Malopolska Regional Operational Programme for 2007-2013. Using this experience in creating a new organisational structure of department managing the regional operational programme.
3. Opportunity to modify the contents of the strategy at the programming stage in order to improve its quality.

I. Users / beneficiaries

- Regional authorities.
- Voivodship residents.

6. Sviluppo Italia's internal procedure for contracting evaluation services

A. Partner

SVILUPPO ITALIA, Italy

B. Practice observed and described by

Michele Messi

C. Tool description

This is a compulsory procedure in an Sviluppo Italia (SI) organisation for selecting and contracting evaluation services.

D. Rationale / Background

Sviluppo Italia internal procedure SI-PO-SQ-0040

E. Objectives

To ensure effectiveness, transparency, and quality in contracting for evaluation services.

F. Implementation stages

Result

Timetable

Stage 1

Needs analysis: SI regional branch, by analysing the specific project evaluation needs, requires a specific evaluator profile

SI regional branch specifies evaluator profile

1 week

Stage 2

SI verifies the availability of evaluation resources within its own staff. If the resources are not available, the Legal Corporate Area (LCA) is charged with contracting out the task

Assignment of a SI internal expert or role assigned to Legal Corporate Area

1 week

Stage 3A

Contract value of up to 237,000 euro: LCA assists SI regional branch in defining technical-economic criteria in order to define the (minimum) 3 letters (offers in a sealed envelope) of bid to suppliers. Suppliers are chosen from among SI suppliers list, added of other possible SI regional branch suppliers

Offer or tender requests ready

4 weeks

F. Implementation stages

Implementation stages	Result	Timetable
<p>Stage 3B</p> <p>Contract value of over 237,000 euro: LCA assists the SI regional branch in defining technical-economic details of the tender</p>	Offer or tender requests ready	4 weeks
<p>Stage 4</p> <p>LCA receives the offers and selects, from among the ones that comply with the technical specifications, the least expensive one</p>	The best offer selected	2 weeks
<p>Stage 5</p> <p>LCA contracts with the selected supplier – contract signing</p>	Contract signed.	1 week
<p>Stage 6</p> <p>Fulfilment of the contract</p>	Evaluation completed	6-8 weeks
<p>Stage 7</p> <p>SI regional branch that manages the service provider (Evaluator) communicates to LCA possible problems / obstacles / delays etc. and authorises the payment of invoice(s)</p>	Service approved, payment made	2 weeks
<p>Stage 8</p> <p>LCA sends to SI regional branch a questionnaire of supplier evaluation, also in order to update SI suppliers list</p>	<p>Questionnaire on evaluation of services received.</p> <p>Updated SI suppliers list.</p>	1 week

G. Total implementation time

10 weeks

H. Advantages / benefits / improvements achieved

1. Effectiveness, transparency in contracting for evaluation services from a public point of view.
2. Improvement of Sviluppo Italia Marche's evaluating capability by contracting effective resources for evaluation activities.

I. Users / beneficiaries

- Project partners.
- Project stakeholders.

OBSERVATORY 4.3

INTERNATIONALISATION OF THE COOPERATION

7. DEPURE

A. Partner

DEBEGESA, Spain

B. Practice observed and described by

Izaskun Jiménez

C. Tool description

DEPURE is a Regional Framework Operation (RFO) consisting of 3 regional administrations (Tuscany Region, North Hungary Region and the Basque Country Region) of three European countries.

The project started on July 1, 2005, and is expected to be completed on June 30, 2008.

As far as methodology is concerned, the project is divided into 5 components:

- Component 1: Management and co-ordination,
- Component 2: Creation of regional clusters and interregional virtual clusters of administrations,
- Component 3: Design and development of a display, planning and evaluation system: DEPURE System,
- Component 4: Validation and evaluation at regional level of the DEPURE System: demonstration project,
- Component 5: awareness-raising, dissemination and promotion.

The Consortium of DEPURE project consists of two main decision-making agencies: the Interregional Technical Committee and the Interregional Steering Committee. They decide on the selection of proposals for the different calls and meet periodically to monitor the internal operation of the project (management, promotion, evaluation, etc.).

The Consortium of DEPURE project will launch two calls for proposals for the implementation of two subprojects within the scope of Components 2, 3 and 4.

The first aim of the subproject is twofold:

- to analyse the role of different public administrations on public decision-making processes (to create an inter-institutional map),
- to prepare a comparative study that will contain a list of the most important indicators for public decision making processes.

For the implementation of this subproject, three intermediate organisations were chosen (one for each region), which have worked in cooperation.

The second aim of the subproject is twofold:

- to define the Depure System,
- to validate and evaluate the Depure System through the implementation of a pilot activity.

The call for proposals for the second subproject was in September 2006 and three intermediate organisms were chosen to carry out the anticipated activities.

Component 3 promises to be the most interesting activity from our project's point of view because it deals with the design and development of the "Depure System" but Component 2 will be interesting as well because part of the first subproject is envisaged in Component 2.

For more information on the tool, please refer to: www.depure.org

D. Rationale / Background

The partners of the project identified the need to have a System of Indicators that will constantly monitor the determining factors of local development and territorial cohesion.

E. Objectives

The main objective of DEPURE is to develop a sustainable system that will facilitate the validation, evaluation and analysis of the public decision making process and, eventually, the effectiveness of use of public funds.

Specific objectives:

- to provide the public administrations with tools that can support the planning and decision making processes,
- to evaluate the impact of public policies,
- to reinforce the co-operation and the exchange of experiences among public administrations at regional and interregional level,
- to improve the efficiency of regional development and cohesion tools,
- to develop a mechanism for the co-ordinated collection of information to facilitate interregional benchmarking,
- to facilitate the exchange of knowledge and experiences through innovative techniques,
- to develop a common approach capable of influencing regional policies and to guarantee the integration of the results of the DEPURE project into the policies of the participant regions.

The objective of Component 3 is to develop a system that will provide public administrations with tools that can support the analysis, validate and evaluate public decisions. In addition, the system will also allow for interregional benchmarking.

F. Implementation stages	Result	Timetable
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Stage 1

Component 1 Subproject 1 Analyse the role of different public administrations on public decision making processes	An Inter-Institutional Map with the main institutions involved in local development	20 weeks
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Stage 2

Component 2 Subproject 1 Comparative study that will gather a list of the most important indicators for public decision making.	List of the main indicators for public decision-making processes	20 weeks
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Stage 3

Component 3 Subproject 2 Design of "Depure System"	An IT tool ready	48 weeks
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Stage 4

Component 4 Subproject 2 Implementation of Pilot Project	Demonstration project tested	48 weeks
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G. Total implementation time

Approx. 68 weeks

H. Advantages / benefits / improvements achieved

An outstanding element of this project is that it is possible to see international cooperation at two levels. On the one hand, the partners of the project who work in a coordinated way on the management, promotion and evaluation of the project. On the other hand, the partners of the selected proposals for the 2 subprojects.

I. Users / beneficiaries

– Any agency or institution involved in local and regional development and management and evaluation of local/regional development projects.

8. Project evaluation: A Case Study of an INTERREG IIIA Project "A Good Neighbourhood in the Bavarian-Czech border region"

A. Partner

KUT, Germany

B. Practice observed and described by

Melanie Hoffarth

C. Tool description

The tool presented describes evaluation based on a public questionnaire targeted at the residents of the border regions of Bavaria and the Czech Republic. The exercise focuses especially on project management activities, intercultural competencies and the role of the dedicated website with information about the region.

The tool implemented focused on public administration activity on both sides of the border region and the views and opinions of residents of this district.

Residents of the region were sent a covering letter with a questionnaire. The questionnaire comprised:

- questions concerning personal views of the residents on their contacts with cross-border neighbours,
- awareness of the local website.

(c.a. 700 residents in Bavaria and West and South Bohemia were interviewed).

D. Rationale / Background

Despite the undertaking of a number of cross-border cooperation projects, the Czech-Bavarian region may not necessarily build a sustainable community of cooperating institutions. Consequently, the need emerged to review and assess both the implementation and impact of the projects involving communication among residents and communities as well as the creation of cooperation networks among institutions.

E. Objectives

1. To review important local project that have an impact on communication among the residents of the border region.
2. To develop new strategies and projects enhancing network relationships in the area.
3. To assess the coherence of project implemented under the INTERREG IIIA operational programme in the Bavaria-Czech Republic.

F. Implementation stages

Implementation stages	Result	Timetable
Stage 1		
Elaboration of questionnaire	Questionnaire	1 week
Stage 2		
Inquest of addresses of target groups	Database with addresses	1.5 weeks

Stage 1

Elaboration of questionnaire

Questionnaire

1 week

Stage 2

Inquest of addresses of target groups

Database with addresses

1.5 weeks

F. Implementation stages

Result

Timetable

Stage 3

Mailing questionnaire and time until sending it back

Questionnaires distributed

3 weeks

Stage 4

Data input

Database of filled questionnaires

1 week

Stage 5

Data evaluation

Data analysed

1 week

Stage 6

Produce report

Report completed

2 weeks

Stage 7

Discussion with contractor and revision

Report revised

1 week

G. Total implementation time

10.5 weeks

H. Advantages / benefits / improvements achieved

1. The report shows the effectiveness and sustainability of the approaches of the projects in the population as target group of INTERREG IIIA.
2. With results it is possible to create new approaches and projects in the border area to achieve the demands of INTERREG IIIA.

I. Users / beneficiaries

– The Bavarian Ministry of Economic Affairs, Infrastructure, Transport and Technology.

9. Absorbing the experience of evaluating EU programmes in Lithuania

A. Partner

VILNIUS, Lithuania

B. Practice observed and described by

Asta Leonienie

C. Tool description

Lessons of major importance related to international co-operation on evaluation are to be learned from the implementation of the pre-accession programmes such as PHARE, ISPA and SAPARD. In Lithuania the most effective programme was PHARE. Best practices of co-operation of local and regional organisations for evaluation of Structural Funds in Lithuania were based on the implementation of joint projects of PHARE, INTERREG, EQUAL programmes and others. In order to gain useful insights and to increase international co-operation on evaluation, foreign experts have been contracted to assist in the evaluation of pre-accession programmes in Lithuania.

An ex-ante evaluation of Lithuanian 2004-2006 Single Programming Document (SPD) was made and two evaluation reports were prepared: 1) Evaluation of the effectiveness of the implementation system of Lithuanian 2004-2006 Single Programming Document; 2) Evaluation of the future areas for the EU Structural Funds assistance.

D. Rationale / Background

As Lithuania is one of the new EU member states, EU assistance is something of a novelty for Lithuania. For this reason, there is relatively little evaluation feedback on pre-accession programmes in Lithuania. There were no legal acts on international cooperation on evaluation, there was no experience or administrative capacity in this field. As a candidate country, Lithuania received EU assistance from various pre-accession programmes such as ISPA, PHARE and SAPARD.

Two types of investments have been approved by PHARE in Lithuania: 1). Strengthening institutional and administrative capacities; 2). Investment in Acquis implementation. The measure "Strengthening institutional and administrative capacities" was directly related to improvement of the evaluation process of EU Structural Funds and international cooperation in this field in order to exchange experience between EU member states. This measure can be implemented by "twinning" or technical assistance projects. The aim of the "twinning" projects is to effect close cooperation between a Lithuanian institution and the same type of institution from some other EU member state.

The pre-accession instruments, albeit relatively limited in financial size, have played an important role in preparing Lithuania to manage EU Structural Funds assistance. They have introduced pilot programmes in innovative approaches and have helped those implementing assistance programmes to gain knowledge of EU financial instruments and procedures, project selection and appraisal criteria, prioritisation depending on strategic needs, evaluation and monitoring aspects etc.

New regulations governing EU Structural Funds for the new programming period of 2007–2013 devote more attention to the evaluation process than in the period of 2000-2006. In order to strengthen the capacity of institutions responsible for the administration of EU Structural Funds, the Ministry of Finance of the Republic of Lithuania initiated the project focused on strengthening the evaluation capacities.

E. Objectives

1. To collect, classify and analyse legal information and statistical data on the best practices of co-operation of local and regional organisations related to EU Structural Funds evaluation in Lithuania.
2. To present the results as a methodological material.

F. Implementation stages

Result

Timetable

Stage 1

Implementation of the pre-accession programmes in Lithuania 2000-2004

1. Information collected
2. Information classified and analysed
3. Cooperation meetings with international experts on the evaluation of EU programmes in Lithuania
4. Seminars held
5. Methodological material and guidelines prepared
6. Consultations organised
7. Strengthened institutional and administrative capacity
8. Readiness for the new programming period of 2004-2006 to administer EU Structural Funds assistance

4 years

Stage 2

New programming period – Implementation of Lithuanian 2004-2006 Single Programming Document (SPD)

1. Absorbing the knowledge and experience in working with the projects and in learning at the same time
2. Strengthened institutional and administrative capacity in international co-operation on evaluation
3. Readiness for the new programming period of 2007-2013

2 years

G. Total implementation time

6 years

H. Advantages / benefits / improvements achieved

Prepared part of evaluation methodology will identify the best practices in the area of co-operation among local and regional organisations related to the evaluation of EU Structural Funds in Lithuania and improve the cooperative capacity.

I. Users / beneficiaries

- Project partners.
- Project stakeholders.
- Public administration.

II. BEST PRACTICES





COMPONENT 2

OBSERVATORY 2.1

1. Range of duties and allocation of functions to institutions responsible for the administration of EU Structural Funds, designated for Lithuania 2004-2006: implementation of the Single Programming Document

A. Partner

VILNIUS, Lithuania

B. Practice observed and described by

Asta Leonienie

C. Tool description

Allocations of Structural Funds performed on a regional basis are determined by the institutional and legal framework currently in force. The legislative and institutional framework will permit the promotion of these innovative and practically useful solutions and approaches. Partners will offer, verify and implement the best approaches and instruments along the institutional dimension of evaluation at the regional and local levels, respectively.

D. Rationale / Background

All regulations concerning the management of Structural Funds in Lithuania are written directly by the responsible ministries in accordance with current legislation and in compatibility with the Managing Authority. The Structural Fund Manual based on the SF was finalised in 2003. The Manual describes in more detail the procedures to implement specific tasks of institutions involved while administering the Structural Funds assistance. The need for a clear separation of functions as well as the implementation of the principle of audit trail is being taken into consideration when finalising the administrative system and procedures.

E. Objectives

1. To collect, structure and analyse the methods and legislative foundations of the evaluation of the impact of EU Structural Funds and projects.
2. To offer the products as methodological input to project partners.

F. Advantages / benefits / improvements achieved

Prepared evaluation methodology will improve the quality of the EU Structural Funds management system in Lithuania.

G. Users / beneficiaries

- Ministry of the Interior of the Republic of Lithuania, Regional Policy Department.
- Central Project Management Agency.
- European Social Fund Agency.
- Vilnius County Government administration.
- Association of Local Authorities in Lithuania.
- Non-Governmental Organisation Information and Support Centre.
- Institute of Public Administration.

COMPONENT 2

OBSERVATORY 2.3

2. MIP (Public Investment Monitoring) System

A. Partner

LAMORO, Italy

B. Practice observed and described by

Enrica Montù

C. Tool description

MIP is working as a coordinated group of databases connected by CUP (Codice Unico di Progetto – Single Project Code). The Administration managing the project (payment authority) must apply for its own code (CUP). It must use the web site of Italian CIPE (Interdepartmental Committee for Economic Planning): www.cipecomitato.it

D. Rationale / Background

The MIP was created by Act no. 144 of May 17, 1999, which has referred to CIPE to define how to manage it in practice. Following a feasibility study carried out by Ministero del Tesoro (Ministry of Treasury) and an external consultant (CONSIP SpA), CIPE has issued an Executive Order no. 134 of 6 / 8 / 1999 on the strength of which a MIP Coordinating Group has been set up in order to carry out MIP and to report to Parliament.

In Italy, the MIP (Public Investment Monitoring) System is designed to quickly provide information about implementation of development policies, with particular reference to programmes co-financed by European Structural Funds.

There are several existing data bases for individual types of funded projects:

- Intese: investments of State-Region negotiated planning – Accordi di Programma Quadro (Framework Programme Agreements) APQ,
- Monit 2000: ESF funded projects monitoring,
- Banca Dati Anagrafica (Registry Data Base): facilities participation of firms using the “de minimis” system,
- Regional Observatory of Public Works,
- UE funds for Piano di Sviluppo Rurale (Rural Development Plan).

E. Objectives

1. To integrate and facilitate information interchange among the different databases of different funding programmes.
2. To ensure unequivocal identification for all level of public administration of individual projects funded by different sources, which allows for a useful collection and circulation of data for evaluation.
3. To avoid double funding of projects.

F. Advantages / benefits / improvements achieved

1. Unequivocal identification of individual projects funded by different sources at all levels of public administration and thereby avoiding double funding of projects.
2. Facilitation of information interchange among the different databases of different funding programmes.

G. Users / beneficiaries

- Regional officials of several different Departments.
- National officials at ministerial level.
- Organisations managing single projects.

COMPONENT 2

OBSERVATORY 2.3

3. Uniform Monitoring Information System (UMIS): IT support for evaluation and data management

A. Partner

ZALA, Hungary

B. Practice observed and described by

Sándor Kasza

C. Tool description

Decision-makers have the authority to accept evaluation, and require more information. During project evaluation, a record is made of all steps of application assessment. The UMIS procedure is based on the 4-tier principle (minimising opportunities of errors, application procedure and claim processing is executed by a single officer and controlled by a senior officer), which is accompanied by managerial control in most cases. The software can produce sums of total project costs, committed expenditures, partial payments and final accounts, both in euro and in national currency with respect to each Regional Office, each project, each contract and each measure or sub-measure. Users can enter the network only by using special passwords that should be altered in specified periods. The decision on granting support involves the following steps: receipt of applications, opening and checking of application documentation for completeness, eligibility verification, verification of itemised costs, ex-ante on-the-spot inspection, resource analysis, evaluation of the application (business plan), feasibility check, risk analysis as well as appraisal and scoring of applications based on selection criteria. Support limits is determined by sub-measures. There are no regional fund allocations. Finally, a jury decides about the winning applications.

D. Rationale / Background

The UMIS software contains the basic data of each applicant to the Agricultural and Rural Development Operative Program (ARDOP). Decision-makers can find more information about the projects, e.g.: detailed project descriptions, planned business years for the next five years and some information about employment.

E. Objectives

1. To register all the basic data for applicants, parameters of development, financial performance and employment.
2. To enable all applicants to register by measure and sub-measure.
3. To develop a detailed UMIS manual for all the individual steps of the application process.

F. Advantages / benefits / improvements achieved

In order for the office to operate efficiently, the development and utilisation of appropriate management information system is required. The individual organisational units of the offices must submit regular reports on their operation to the management. The objective of this system of reporting is to provide a comprehensive picture of the activity to the office and of the implementation of the ARDOP programme. This system allows for the verification of the implementation of management decisions and also provides data for planning the operation of the office. The reporting system ensures the flow of data and information in order to ensure efficient and economical operation of the office. The efficiency of the operation of the office can best be measured by the operations costs projected at 1,000,000 HUF of disbursed support, therefore the management information system must provide data concerning the factors influencing the fluctuation of this index.

The responsibility of the Presidential Co-ordination Department is to co-ordinate the flow of information and to shape it into a uniform information system.

G. Users / beneficiaries

- Application processing officers.
- Payment authorisation officers.
- Local controller officers.
- Decision-makers countrywide.

COMPONENT 3

OBSERVATORY 3.1

4. A training programme for the supervision and evaluation of implementation of EU assistance programmes in the Lithuanian Institute of Public Administration (LIVADIS)

A. Partner

VILNIUS, Lithuania

B. Practice observed and described by

Asta Leonienie

C. Tool description

The objective of this tool is to enhance the level of institutional potential of public institutions related to the evaluation of EU Structural Funds in Lithuania determined by, among other things, the quality of human resources, material resources, and the degree of their integration and management mechanisms.

D. Rationale / Background

The Lithuanian Institute of Public Administration is engaged in the following activities:

1. The training of civil servants (improvement of professional skills):
 - in EU issues,
 - focussing on the improvement of administrative skills,
 - in the strategic management of Structural Funds,
 - in the management of human resources,
 - of top-level managers (grade 18-20),
 - for political advisors,
 - in the strengthening of institutional management,
 - in effective organisation and division of work,
 - IT literacy course (European Computer Driving Licence – ECDL).
2. The training of trainers.
3. Participation in international programmes and projects related to the development of public administration skills and the mission of the Institute.
4. Methodical, consultancy and organisational support for state and municipal institutions.

E. Objectives

1. To develop a training programme for the supervision and evaluation of implementation of EU assistance programmes based on the following:
 - implementation aspects of EU assistance programmes,
 - eligibility in EU programmes,
 - process of evaluation and selection in EU programmes,
 - criteria of evaluation in EU programmes,

E. Objectives

- control and audit of EU finances,
- supervision of EU programmes,
- evaluation of impact of EU funds.

F. Advantages / benefits / improvements achieved

Vision of the Lithuanian Institute of Public Administration: LIVADIS is the leader in civil service training, working for the benefit of its clients, the Lithuanian society and integration into the European Union.

G. Users / beneficiaries

- Presidency of the Republic of Lithuania.
- Parliament of the Republic of Lithuania.
- The Office of the Government of Republic of Lithuania.
- Ministries.
- Other public institutions.
- Counties.
- Municipalities.
- Other organisations.

COMPONENT 3

OBSERVATORY 3.2

5. Assessment of application: evaluating SAPARD applications on their merits

A. Partner

ZALA, Hungary

B. Practice observed and described by

Sándor Kasza

C. Tool description

Assessment of application: evaluating SAPARD applications on their merits. Analysis shall focus on examining the outcomes of the project described in the application, examining the efficiency and effectiveness of the project, and examining the economic feasibility of the project itself.

D. Rationale / Background

Prior to on-the-spot control, the technical officer responsible for application processing checks, analyses and evaluates the business plan. S/he fills in the application assessment datasheet (business plan) on the basis of the business plan submitted by the applicant. In the process, business plan (feasibility study) submitted for the application is analysed. At the same time, the plan's compliance with eligibility criteria to be determined on the basis of the business plan, the viability and competitiveness of the undertaking, the need for the investment, and its compliance with the objectives specified for the given measure are reviewed.

In the course of examining the application (business plan), the technical officer takes into consideration the fact that an expenditure is eligible for Community support under SAPARD only if in addition to being in conformity with this agreement, the use of SAPARD assistance is also in accordance with the principles of sound financial management and, in particular, with the principles of economy and cost-effectiveness. In order to evaluate this condition, the technical officer compares individual budget items with national average expenditures related to individual investments. Deviations from that can be supported in justified cases. The applicant also submits the statement of cash flow over the last two years, as well as the financial results and projected outcomes for the next five years.

While reviewing the business plan, the technical officer checks whether the business plan and cash flow submitted ensure the post-financing of the grant. Applications are then scored based on the results of application assessment (business plan) in four groups:

1. Very good: 100 – 71 points – applications in full compliance with the SAPARD Programme.
2. Medium: 70 – 41 points.
3. Weak: 40 – 0 points.
4. Non viable: the application is not completed properly and does not meet the criteria of economy, effectiveness and efficiency.

E. Objectives

1. To ensure that all applications fully meet the criteria of the SAPARD Programme.
2. To ensure that the planned enterprise is viable and that the project is feasible.
3. To ensure maximum possible economy, effectiveness and efficiency.

F. Advantages / benefits / improvements achieved

Accurate application processing on its merits.

G. Users / beneficiaries

- Application processing officers.
- Applicants.



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