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ANNUAL EVALUATION REVIEW 2003 OVERVIEW OF THE COMMISSION'S EVALUATION ACTIVITIES AND MAIN EVALUATION FINDINGS

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Table of contents

1.	INTRODUCTION	3
2.	OVERALL DEVELOPMENT	4
3.	EVALUATION IN THE FIELD OF AGRICULTURAL POLICY.....	17
4.	EVALUATION IN THE FIELD OF REGIONAL POLICY.....	21
5.	EVALUATION IN THE FIELD OF EMPLOYMENT AND SOCIAL AFFAIRS	24
6.	EVALUATION IN THE FIELD OF RESEARCH.....	29
7.	EVALUATION IN THE FIELD OF INFORMATION SOCIETY	34
8.	EVALUATION IN THE FIELD OF ENTERPRISE POLICY	36
9.	EVALUATION IN THE FIELD OF ENERGY AND TRANSPORT.....	39
10.	EVALUATION IN THE FIELD OF EDUCATION AND CULTURE.....	45
11.	EVALUATION IN THE FIELD OF FISHERIES POLICY	48
12.	EVALUATION IN THE FIELD OF HEALTH AND CONSUMER PROTECTION	51
13.	EVALUATION IN THE FIELD OF ENVIRONMENT POLICY.....	53
14.	EVALUATION IN THE FIELD OF JUSTICE AND HOME AFFAIRS.....	55
15.	EVALUATION IN THE FIELD OF TAXATION AND CUSTOMS UNION.....	59
16.	EVALUATION IN THE FIELD OF ECONOMIC AND FINANCIAL AFFAIRS.....	60
17.	EVALUATION IN THE FIELD OF COMPETITION POLICY	61
18.	EVALUATION IN THE FIELD OF INTERNAL MARKET POLICY.....	62
19.	EVALUATION IN THE FIELD OF STATISTICS (EUROSTAT).....	64
20.	EVALUATION OF EXTERNAL POLICIES.....	66
21.	EVALUATION IN THE FIELD OF PERSONNEL AND ADMINISTRATION.....	77
22.	EVALUATION IN THE FIELD OF PUBLICATIONS (OPOCE).....	81
23.	EVALUATION IN THE FIELD OF PRESS AND COMMUNICATION	82
24.	EVALUATION IN THE POLICY AREA "BUDGET".....	83
25.	EVALUATION IN THE POLICY AREA "COMMISSION'S POLICY CO-ORDINATION AND LEGAL ADVICE" (SECRETARIAT GENERAL).....	87
	ANNEX 1 A — EVALUATION REPORTS COMPLETED (INCLUDING SOME NEARLY COMPLETED)	91
	ANNEX 1 B — ON-GOING EVALUATIONS — DECEMBER 2003.....	101
	ANNEX 2 — SUMMARY OF THE EVALUATION RESULTS	113

1. INTRODUCTION

This “Evaluation Review” aims to provide for the year 2003 information on the Commission’s evaluation activities, on the main evaluation findings and on action taken as a result of evaluation. It is the seventh time that the “Annual Evaluation Review” has been produced since the introduction of the SEM 2000 initiative that enhanced the systematic evaluation of Community programmes and actions occasioning expenditure.

The “Annual Evaluation Review” can help to facilitate the exchange of experience between Commission departments as it identifies evaluation reports that may be of interest to other areas besides the one for which they were produced. It is also meant to be a public source of information on the evaluation reports available at the Commission, in particular on EU expenditure programmes.¹ It will be published on the EUROPA web-site on evaluation² and presented to the Budgetary Authority as a Working Document of the Commission services.

The document contains the following sections:

- A presentation of the overall development, including a short overview on evaluation activities carried out at horizontal level and a statistical summary of the main features and costs of evaluation conducted in 2003 (chapter 2),
- A general description of evaluation activities, main findings and impacts of evaluation by policy area (chapters 3-25),
- A list of evaluation reports completed (and some nearly completed) in 2003 and of evaluation projects in progress in December 2003 (Annexes 1 A and 1 B), and
- A compilation of summaries of findings, methods and actions taken on each finished (or nearly finished) evaluation (Annex 2).

The “Annual Evaluation Review” covers ex ante, interim and ex post evaluation projects carried out or commissioned by the Commission’s departments. It does not include evaluations conducted by Member State and Accession Country authorities on EU-financed actions (such as Structural Fund programmes). It focuses on evaluations of ABB activities and/or actions (programme level in the case of EU expenditure programmes), which means that evaluations at project-level, as for example often carried out by the Commission delegations in Third countries before co-funding, are not included.³

The “Annual Evaluation Review” was produced by the Budget DG on the basis of material provided by the different departments and services of the Commission. The procedure was decided in the Commission’s Communication on Evaluation in 1996 (SEC 96/659 final) and has been repeated annually since then. Regular progress was made each year to improve certain aspects of the Review. Like last year, a particular effort was devoted to a more complete and comparable presentation of evaluation activities by 'Policy Areas'. Furthermore, the text in the fact sheets of Annex 2 was streamlined since it aims to provide only an overview on main aspects of completed evaluation projects. The reference to the original evaluation reports is in any case pre-condition for a correct use of evaluation results.

¹ It is, however, not meant to give a full overview on individual evaluation findings. The 'condensed' nature of the information provided in this document implies that no firm conclusions on the quality of individual interventions or activities evaluated should be drawn. For such purposes, the reader is advised to consult the original and complete evaluation reports. The Annual Evaluation Review only provides an overview on what is available, accompanied by a few and very selected findings.

² http://europa.eu.int/comm/budget/evaluation/index_en.htm

³ It should be noted that appraisals carried out in the context of selecting proposals, which are very often also called “evaluation”, are not representing evaluations in the sense of this Review. Evaluation in the sense of this Review is defined as “judgement of interventions according to their results, impacts and the needs they aim to satisfy” (definition used in SEC (2000) 1051 and in glossary annexed to the White Paper on Reform).

2. OVERALL DEVELOPMENT

2.1. Overview on evaluation activities carried out at horizontal level

After the introduction of a systematic evaluation policy in 1996, the number of evaluation projects increased regularly and has then stabilised for several years at about 80-90 projects completed each year. The year 2003 was marked by a huge increase of completed evaluation projects. In total, 117 evaluations have been finished (+51.9% compared to 2002), and the number of on-going projects at the end of December 2003 was still running at a high level. The vast majority of these evaluations relate to expenditure programmes, and in this respect evaluation in the Commission can now be seen to be firmly established. Moreover, the number of evaluations that are not linked to specific budget lines is increasing. This evolution can clearly be seen as a consequence of the attempt to extend evaluation practices from expenditure to all operational activities of the Commission. Evaluation reports are in most cases publicly available, and even in cases where evaluation projects were carried out for internal use in the Commission, the main results are reported in this Annual Evaluation Review. For reasons of transparency, the evaluation unit of the Budget DG is regularly up-dating over the year a list of completed evaluations that is published on its web site.⁴

The internal Evaluation Network of the Commission, which is co-ordinated by the evaluation unit of the Budget DG, continued its work to contribute to the improvement of current practices regarding evaluation. In particular the following achievements and new initiatives are worth mentioning:

- In order to facilitate the implementation of the Commission Communication regarding the new **“Evaluation Standards and Good Practice”**, adopted in December 2002 and requiring the services to take the necessary steps to bring them into effect by 1 July 2003 at the latest⁵, the Evaluation Network discussed several times specific aspects related to it. Several workshops were organised for exchange of good practices between services. These activities will certainly continue in 2004 with a view to achieving a higher degree and a more harmonised evaluation approach across the DGs. In fact, the purpose of the new Standards and good practices for evaluation is to improve the quality of evaluation in the Commission firstly by putting forward quality standards for the organisation of the evaluation functions and for the conduct of all types of evaluation commissioned or carried out by Commission departments and for presentation of their results. Secondly, good practices are recommended which aim at providing the operational departments with a practical basis to help them organise and manage their evaluation activities and encourage Commission services to pursue their efforts to develop and put to better use their evaluation capacity. These quality standards are binding and the manner in which the departments apply them may be subject to auditing pursuant to the Commission Internal Control Standards.
- The guide on ex ante evaluation for expenditure programmes from the year 2001 has been complemented by a new, more general document that up-dates several elements of the guide on ex post and intermediate evaluation of EU expenditure programmes, published in January 1997. A specific working group under the lead of the evaluation unit of DG Budget worked last year on that new Guide with the title "Evaluating EU Activities – A practical guide for the Commission services".⁶ This up-dated guide responds to a number of developments that have taken place in recent years in the regulatory and administrative context related to evaluation such as the Commission Communication on evaluation from July 2000 SEC (2000) 1051, the

⁴ http://europa.eu.int/comm/budget/evaluation/keydocuments_en.htm

⁵ Communication for the Commission from the President and Mrs Schreyer: “Evaluation Standards and Good Practice” from 23 December 2002. The document with the reference C/2002/5267 is available at the evaluation web site of DG Budget: http://europa.eu.int/comm/budget/evaluation/index_en.htm.

⁶ All these Guides are available at: http://europa.eu.int/comm/budget/evaluation/keydocuments_en.htm

introduction of Activity-Based Management (ABM), changes to the Financial Regulation and the Commission Communication on Evaluation Standards and Good Practices (C/2002/5267). This new guide intends to provide guidance on all kinds of evaluations, whether they concern expenditure programmes or policies. It should help practitioners of evaluation in the Commission, who need to plan, co-ordinate, carry out or utilise evaluation. It should also assist those with a responsibility for organising the evaluation structure within the services. For these purposes, the structure of the guide follows that of the new Commission Communication "Evaluation Standards and Good Practice" mentioned above.

- To facilitate quicker procurement of evaluation services, in particular small-scale projects, a **framework contract**, which has been prepared in 2001, has been concluded and is under operation since September 2002. This framework contract is managed by the evaluation unit of DG Budget, but at the disposal of all operational services of the Commission. The up-take in 2003 was very good, and after a review of its usefulness and working after one year of experience, it has been decided to prolong the validity of this framework contract until September 2004, with the option of an extension by a further one year. The request for use in the first months after the prolongation was even stronger than the year before. Within the same context, a new **open call for expression of interest in the field of evaluation** has been published by the evaluation unit of DG Budget in order to establish a general list of external evaluation consultants that may be directly contacted by the Commission services within the specific procurement procedure 'restricted call for tenders' (i.e. evaluation services with a market value below a certain threshold as laid down in the Financial Regulation and its implementation rules).

Regarding the “**strategic evaluations**”, which are part of the new Strategic Planning and Programming (SPP) cycle of the Commission and concern cross-cutting evaluations specifically designed to complement the results of evaluations carried out by the operational services of the Commission, the results of three evaluation studies became available in 2003 and are presented in the specific chapters for DG Budget and the Secretariat General, having been in charge of managing these strategic evaluations in co-ordination and collaboration with the operational Commission departments concerned and/or interested. The completed evaluations relate to:

- The **open method of co-ordination** in the context of the Lisbon Strategy, with the aim of assessing the state of play in its implementation in order to provide information that might be relevant to the latter stages of the Convention on the future of Europe;
- The assessment of **the relevance, effectiveness and efficiency of small scale actions**, in particular to check if the individual amounts involved in small scale actions are likely to reach the ‘critical mass’ to be effective and the importance of their administrative costs;
- **EU financial support for Small and Medium size Enterprises (SME)**, aimed at analysing the overall coherence and cost-effectiveness of the different types of Community financial support to SMEs;

Two further strategic evaluations are still on-going: The results of the evaluation on the **approaches to integrate sustainability into Community policies**, managed by the Secretariat General, should be become available early in 2004 and the **strategic evaluation on programme management**, of which DG Budget is in charge, is expected to be finished by the end of Spring 2004. No new strategic evaluations were decided in the context of APS 2004, not only due to the limited resources for carrying out the work but also to see the results of the first evaluations before new ones are launched.

Finally, the year 2003 was marked by the gradual implementation of the process of **Impact Assessment (IA)** decided by the Commission Communication COM (2002) 276 final from 5 June 2002. IA is introduced as a tool to improve the quality and coherence of the policy development process through the identification of the likely positive and negative impacts of proposed policy actions, enabling informed political judgements to be made about the proposal and identify trade-

offs in achieving competing objectives. As part of the actions decided in the Better Regulation Action Plan, following the Göteborg and Laeken European Councils, it should also permit to complement the application of the subsidiarity and proportionality protocol annexed to the Amsterdam Treaty.

Regarding its exclusively forward-looking orientation as a tool for preparing policy actions, Impact Assessment is clearly similar to ex ante evaluation as formally introduced by the Financial Regulation and its Implementation Rules in August 2001.⁷ The main difference is that ex ante evaluation concentrates on all proposals for programmes or activities occasioning expenditure for the EU budget, while IA covers specific regulatory and non-regulatory proposals, independently of whether they have an impact on the EU budget or not, which are identified by the Commission on the basis of its Annual Policy Strategy (APS) and/or Work Programme. Insofar as proposals being identified as candidates for Impact Assessments may lead to expenditure to be financed from the EU budget, there is a potential overlap. However, if in these cases the specific requirements of the Financial Regulation, especially those relating to the financial impact on the EU budget as well as to cost-effectiveness aspects and Community added-value, are fully incorporated at an early stage into the relevant Impact Assessments, no separate ex ante evaluation has to be carried out.

The principle for IA is that all Commission legislative and all other policy proposals presented for inclusion in the APS or the Commission's Work Programme will be subject to the IA procedure, provided that they have a potential economic, social and/or environmental impact and/or require some regulatory measure for their implementation. The IA procedure consists of two stages: A Preliminary Impact Assessment (PIA) gives a first overview of the problem identified, possible options and sectors affected. It will serve as a filter to help the Commission identify the proposals that will be subject of a so-called Extended Impact Assessment (EIA), which is in fact the tool similar to ex ante evaluation as defined by the Financial Regulation.

In the past, the Annual Evaluation Review actually already included 'Impact Assessments' but these were ex post exercises that are not covered by the Commission Communication on Impact Assessment from June 2002. In fact, assessing of impacts is usually a key issue for evaluation as it is also expressed in the definition of evaluation used in the context of the Commission.⁸ Some services are establishing procedures for combined ex ante evaluation/Extended Impact Assessments even in cases where there is no specific Commission decision requiring an Extended Impact Assessment. As far as possible, the Annual Evaluation Review will report in the future also on Extended Impact Assessments. The number of 'Extended Impact Assessments' being reported for the year 2003 is still relatively limited since most of the EIA decided by the Commission last year were still on-going at the time when the Review was drafted. However, scope exists for greater co-ordination of Extended Impact Assessment and evaluation within certain services so that some under-reporting this year can not be excluded. Improved co-ordination should help to ensure the complete reporting of all aspects of evaluation in future Annual Evaluation Reviews.

2.2. Statistical overview of the Commission's evaluation projects

The following short statistical analysis covers the data available concerning the evaluation activities of the year 2003 and compares them with those of the whole period since 1996. The analysis covers only evaluations of activities, expenditure programmes and policies launched and

⁷ Based on Article 2 of the Financial Regulation in its version from December 1977 and amended by Council Regulation No 2333/95, specific requirements for ex ante evaluation were introduced in the Implementation Rules to the Financial Regulation by Commission Regulation No 1687/2001 of 21 August 2001. The new Financial Regulation (Council Regulation No 1605/2002 of 25 June 2002) and the modified Implementation Rules (Commission Regulation No 2342/2002 of 23 December 2002) have confirmed and consolidated these requirements.

⁸ As already stated in the introduction of this Review, evaluation in the context of the Commission is defined as "judgement of interventions according to their results, impacts and the needs they aim to satisfy" (definition used in SEC (2000) 1051 and in glossary annexed to the White Paper on Reform).

managed by the Commission. Evaluations of individual projects or actions as well as evaluations carried out at national or regional level within the Member States, for instance within the context of the Structural Funds (even if in partnership with the Commission), are not included. Similarly, the evaluations mentioned here do not include purely monitoring, follow-up or activity reports, which do not correspond to the evaluation concept followed by the Commission.

The purpose of this chapter is to give an overall picture of the nature and volume of the Commission's evaluation activities. It describes also how these activities have evolved since the introduction of a Commission-wide policy for regular evaluation in 1996. For the reasons mentioned above, the statistical presentation underestimates to some extent the work done in evaluation. It should also be noted that methodological developments carried out to support evaluation, the feedback and follow-up of evaluation reports are not reflected in this short statistical overview.

The statistical description of the evaluation activities follows broadly the main headings of the Financial Perspectives, for which it gives an overview of the main characteristics of evaluation projects completed since 1996. A direct comparison, if intended, between these main headings needs much care. One should have in mind that volume and characteristics of the evaluation activities largely reflect the very distinct nature of Community actions in different policy areas. As far as possible, comments are made to avoid misleading interpretation of the statistics.

2.2.1. Number of evaluation projects

Since 1996, the Commission departments launched around 750 evaluation projects on expenditure programmes, policies or other activities, of which 643 have been completed up to December 2003. In the first years after the start of a systematic evaluation policy, the number of evaluation projects increased regularly and has then stabilised for several years at about 80-90 projects completed each year. The small decrease observed in 2002 was, as explained in the Annual Evaluation Review 2001 and 2002, due to a particular problem linked to the situation of human resources that the evaluation function of DG AIDCO experienced in 2001.⁹ Logically, a recovery to a more "normal" figure, turning at around 90 completed evaluations could have been expected for 2003. Actually, 2003 was marked by a huge increase (+51.9%) and has now, with 117 evaluations completed, the highest score so far since 1996. For the time being, it is difficult to fully explain this strong augmentation and, even more, to conclude on the future evolution. However, the number of evaluations that were on-going at the end of December 2003 is also running at a relatively high level, so that it can be anticipated that next year this overall increase of the evaluation activities, compared to the situation between 1999 and 2002, will be confirmed in some way.

As Table 1 indicates, the numbers of evaluations completed in 2003 are in all broad categories of the Financial Perspectives, except for "Agriculture"¹⁰, higher than last year. While the increase for "External Actions" is mostly compensating for the exceptionally lower number of completed projects in 2002, the biggest increase in absolute terms concerns the heading "Internal Policies", accounting in 2003 for half of all evaluation projects completed or launched. Apart from the fact that this heading is characterised by a large number of separate expenditure programmes, many of these programmes are synchronised with the expiry date of the current Financial Perspectives. As most of them will have a succession after 2006, services have already started to prepare corresponding proposals. One of the first steps in the preparatory work is to launch and carry out intermediate and final evaluations of the currently running programme generation so that they can be used as part of the ex ante assessment of proposals that will be made in the near future for the

⁹ See page 39 of the Annual Evaluation Review 2001 and page 14 of the Annual Evaluation Review 2002.

¹⁰ However, there are two evaluation projects carried out by DG AGRI last year, which concern both headings "Agriculture" and "Structural Operations" at the same time. In order to avoid double counting, one was fully allocated to "Agriculture", the other exclusively to "Structural operations".

next generation. In several Commission services, specific ex ante evaluations were already launched in this perspective. A second element contributing to an explanation for the strong increase of evaluation projects in 2003 relates to the heading "Structural Operations". In fact, evaluation activities in this heading concentrate mostly on specific years due to the common start and end date of the programming. Last year has seen not only many ex post evaluations of the different measures financed in the period 1994-99 but also was the beginning of evaluation activities concerning the mid-term review of the 2000-2006 programming period.

Table 1 - Completed and on-going evaluation projects, 1996-2003

Policy area ¹¹	Evaluation projects completed in						On-going evaluation projects in December
	1996-98	1999	2000	2001	2002	2003	2003
Agriculture ¹²	11	10	4	5	5	2	1
Structural Operations	15	6	8	2	5	6	10
Internal Policies	87	39	33	36	36	63	49
External Actions ¹³	84	25	37	34	22	26	27
Administration	1	1	-	1	2	7	3
Other ¹⁴	-	-	-	10	7	13	11
Total	198	81	82	88	77	117	101

Note: Completed evaluation projects in 1996: 45, in 1997: 76 and in 1998: 77.

Graph 1 shows that evaluation as a management tool is used in all policy areas. Evaluation projects have been particularly numerous in the field of "Internal Policies" and "External Actions", representing respectively 45.9% and 35.3 % of all evaluations. These figures reflect the fact that in these two areas Community policies are carried out through a large number of separate expenditure programmes. This is in particular true for the "Internal Policies", under which many DGs are operating a large number of relatively small programmes. Consequently, most evaluation projects in this area focus on relatively limited interventions compared to other policy areas. On the other hand, there are some DGs where the evaluation activities cover big expenditure amounts and a whole policy or sector (like, for example, DG AGRI or REGIO). In addition, in 'Structural Operations', evaluation is a shared competence with the Member States and ex ante and mid-term evaluations are carried out on a decentralised basis by the Member States and regions. Therefore, policy areas or DGs should not be compared on the basis of these numbers.

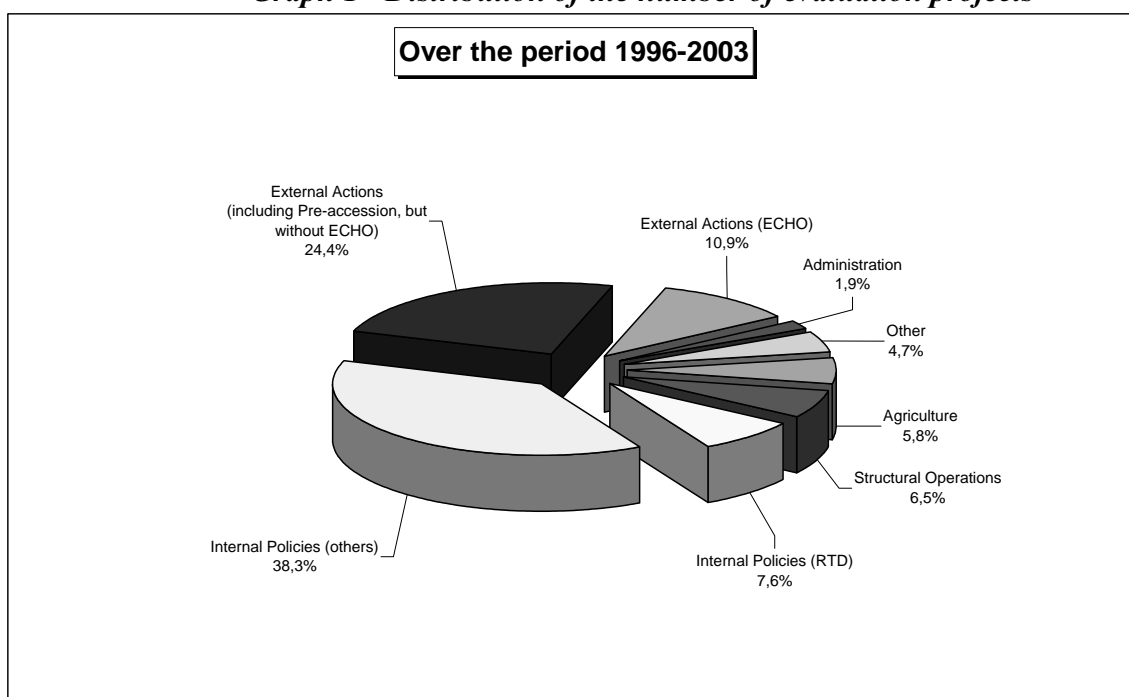
¹¹ The term 'Policy area' corresponds to the main headings of the Financial Perspectives plus the category "Other", in which evaluation projects without direct link to specific budget lines are classified.

¹² The number of evaluation projects in the area of Agriculture for the years 1996-1998 includes some small evaluations in the field of promotion of agricultural products that were excluded later on.

¹³ Including Pre-accession aid (Heading 7)

¹⁴ Evaluation projects on activities without direct link to specific budget lines.

Graph 1 - Distribution of the number of evaluation projects



2.2.2. Type of evaluation

Most of the evaluation projects managed by the Commission departments are carried out by external experts: 86.3% of the 643 reports completed since 1996 were of this type (see Table 2a).¹⁵ The number of evaluations carried out internally by the Commission services is rather limited (13.7%), but – as expected last year - somewhat increasing (from 15 in 2002 to 22 in 2003).

Table 2a - Type of evaluation by policy area: internal/external

Policy area ¹⁶	Number of completed reports									
	Internal					External				
	1999	2000	2001	2002	2003	1999	2000	2001	2002	2003
Agriculture ¹⁷	4	-	1	-	-	6	4	4	5	2
Structural Operations	-	-	-	-	-	6	8	2	5	6
Internal Policies	8	4	6	8	12	31	29	30	28	51
External Actions ¹⁸	-	-	-	-	1	25	37	34	22	25
Administration	-	-	-	-	-	1	-	1	2	7
Other ¹⁹	-	-	7	7	9	-	-	3	-	4
Total	12	4	14	15	22	69	78	74	62	95

This was in 2003, however, not due to more ex ante assessments (mostly stable) but, on the one hand, thanks to some more evaluations of activities outside budget lines and, on the other hand, to an increasing number of intermediate evaluations mainly. In 2003, 5 internal evaluations were of the ex ante type, while the remaining 17 relate to intermediate (11) and ex post evaluations (6). The Commission departments can choose this aspect when organising their evaluations. The

¹⁵ For figures prior to 1999, please refer to the Annual Evaluation Reviews 2001 and 2002.

¹⁶ The term 'Policy area' corresponds to the main headings of the Financial Perspectives plus the category "Other", in which evaluation projects without direct link to specific budget lines are classified.

¹⁷ The number of evaluation projects in Agriculture in the years 1996-1998 includes some small evaluations in the field of promotion of agricultural products that were excluded later on.

¹⁸ Including Pre-accession aid (Heading 7)

¹⁹ Evaluation projects on activities without direct link to specific budget lines.

externalisation is in most cases the best practical solution taken into account the scarcity of human resources or specialist skills in evaluation. In many cases, there is also the wish to get an outside and, hence, possibly more independent view on the evaluated activity.

Over the whole period 1996-2003, ex ante evaluations account for 9.5%, intermediate evaluations for 50.1% and ex post evaluations for 40.4% of all evaluation projects completed. In 2003, while the number of ex ante evaluations remained mostly at the same level, there was a strong increase for intermediate and ex post evaluations (see Table 2b).

Table 2b - Type of evaluation by policy area: ex ante/intermediate/ex post

Policy area ²⁰	Number of completed evaluation reports														
	Ex ante					Intermediate					Ex post				
	99	00	01	02	03	99	00	01	02	03	99	00	01	02	03
Agriculture ²¹	4	-	-	1	-	6	4	3	4	1	-	-	2	-	1
Structural Operations	-	1	-	1	-	1	6	-	2	-	5	1	2	2	6
Internal Policies	5	5	4	5	5	21	15	16	20	37	17	16	16	11	21
External Actions ²²	2	1	-	2	2	13	22	14	8	11	19	23	20	12	13
Administration	-	-	-	-	-	1	-	1	1	3	-	-	-	1	4
Other ²³	-	-	1	4	2	-	-	2	2	7	-	-	7	1	4
Total	11	7	5	13	9	42	47	36	37	59	41	40	47	27	49

As far as this relatively limited number of ex ante evaluation is concerned different elements have to be taken into account when interpreting the figures. While it is true that there is an explicit requirement in the Financial Regulation and in the different Commission Communications on evaluation for ex ante evaluation, the praxis has shown that in many cases the specific function of an ex ante evaluation is covered by other work carried out in the preparatory phase of proposals (Extended Impact Assessments, presentation and discussion of green and white paper with stakeholder consultation, etc.). In addition, if the subject of the proposals is the renewal of an already existing programme, intermediate and ex post evaluations carried out for previous periods are in general used to support this proposal. In fact, the distinction between ex ante, intermediate and ex post evaluation can be sometimes artificial. For example, the five-year assessment carried out during the 5th RTD Framework Programme (FP) comprised an ex post evaluation of actions completed under the 4th FP and was used for the conception of the 6th FP. It can therefore be regarded at the same time as intermediate, ex post and ex ante evaluation.

For the purpose of this statistical exercise, the evaluation projects were classified according to their predominant type. Consequently, there are cases in which the evaluation is classified as intermediate or ex post, but where at the same time ex ante elements or ex ante evaluation questions are explicitly included. In 2002, there were 12 such cases according to the information from the services, while the figure substantially increased to 31 last year. In addition, it is very often intended and current practice to use findings or recommendations of an intermediate or ex post evaluation for future adjustments in the intervention. Even if these evaluations, estimated at about 29 in 2002 and 34 in 2003, are used in an ex ante sense, they are not considered in this statistical overview to be specific ex ante evaluations.

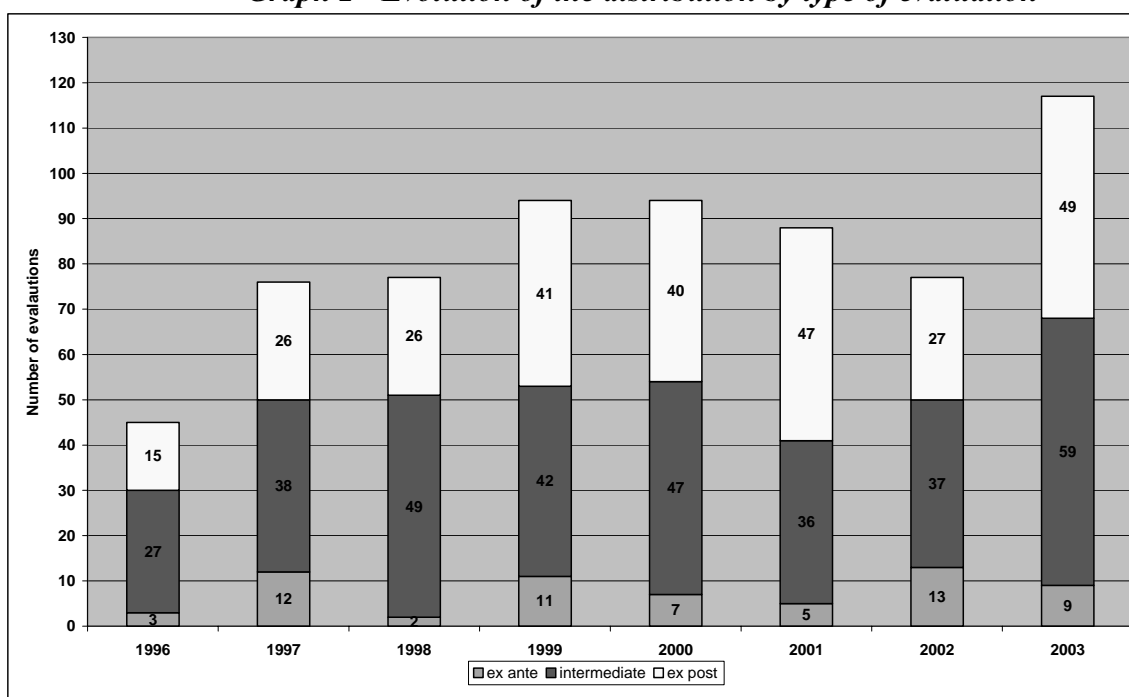
²⁰ The term 'Policy area' corresponds to the main headings of the Financial Perspectives plus the category "Other", in which evaluation projects without direct link to specific budget lines are classified.

²¹ The number of evaluation projects in Agriculture in the years 1996-1998 includes some small evaluations in the field of promotion of agricultural products that were excluded later on.

²² Including Pre-accession aid (Heading 7)

²³ Evaluation projects on activities without direct link to specific budget lines.

Graph 2 - Evolution of the distribution by type of evaluation



Furthermore, in addition to the relatively limited number of specific ex ante evaluation projects presented in Table 2b and Graph 2, systematic ex ante evaluations for all new Structural Funds and Rural Development programmes are carried out by the Member States authorities (see chapters 2 and 3). In the field of External Relations, a considerable amount of ex ante assessments is carried out by the delegations and by programme managers in the Commission in the context of launching new programmes. However, global information on the numbers and characteristics of such exercises is not available. Finally, as already pointed out above, ex ante assessments at the level of individual projects, sometimes absorbing quite important resources in operational units or of the evaluation function of some DGs, are not included in this analysis.

Despite all these elements limiting the interpretation of Table 2b, efforts within the Commission have to continue in a view of a systematic approach for analysing ex ante the feasibility, the efficiency and the relevance of new programmes or actions. This being said, there are nevertheless good practices emerging in this area and, as outlined in the Review from last year, concrete steps were already taken to improve the situation (like, for example, development of a methodological guide, organising workshops to facilitate capitalisation and exchange of good practice). Furthermore, the new Commission approach on (Extended) Impact Assessment goes clearly in the same direction and will positively influence the number and quality of ex ante evaluation. For 2003, the impact on the number of ex ante evaluations is not yet visible because most Extended Impact Assessments decided by the Commission were not completed at the end of the year.

2.2.3. Cost of the evaluations

Only the direct costs of the evaluations carried out by external experts are known and included in this study. Information on such cost is quite complete and covers around 96% of all evaluation projects carried out externally over the period 1996 to 2003. For the year 2003, the distribution by size classes (in €) and broad headings of the Financial Perspectives is summarised in Table 3, and Table 4 presents the evolution by size classes (in €) since 1996.

Table 3 - Cost of external evaluations completed in 2003 by policy area

Policy area ²⁴	Number of completed evaluation reports by size class (in €)					
	< 12 000	12 000 – 46 000	46 000 – 100 000	100 000 – 200 000	200 000 – 500 000	>500 000
Agriculture ²⁵	-	-	-	1	1	-
Structural Operations	-	-	-	-	2	4
Internal Policies	-	5	14	14	11	5
External Actions ²⁶	1	1	5	10	5	2
Administration	-	2	2	3	-	-
Other ²⁷	-	-	2	1	1	-
Total	1	7	23	29	20	11

In total, € 30.97 million was spent on external evaluations in the year 2003, compared to € 19.09 million in 2002 and € 16.32 million in 2001. Compared to 2002, this increase is clearly due to the largely higher number of completed projects. Compared to 2001, however, there is an additional explaining factor, i.e. several exceptionally large and very costly evaluation projects carried out in the context of pre-accession. Similar to 2002, the figures for the year 2003 include an intermediate evaluation of PHARE national programmes that was carried out within a multi-annual contract, which generated some 123 individual country, sector and thematic reports. Furthermore, there was an ex post evaluation of the PHARE programmes that was also relatively costly.²⁸ The contract for the intermediate evaluation is still continuing in 2004, but at a lower cost compared to 2003 and 2002 reflecting a substantial decentralisation of PHARE evaluation to the new Member States.

Without these very exceptional projects, the overall cost for external evaluation in 2003 is about € 23.67 million. Apart from that, the overall figure also includes several evaluation projects with costs close or higher than € 1 million in Research (DG RTD)²⁹, DG TREN³⁰ and DG REGIO³¹. The percentage of large evaluations (more than € 500000) has increased from 2.4% in 1996 to 10.3% in 1999 and is currently 12.1% after three years with a much lower share (between 4.1 and 8.5 between 2000 and 2002). Over the whole period 1996-2003 the share is 6.9%, compared to 5.9% on average for the period 1996-2002, 5.8% for 1996-2001 and 5.2% for 1996-2000. Evaluations costing more than € 500000 concern mainly the headings “External Actions” and “Internal Policies” but sometimes also the heading “Structural Operations”, reflecting the fact that the main evaluations for the Structural Funds are concentrated within some years.

²⁴ The term 'Policy area' corresponds to the main headings of the Financial Perspectives plus the category “Other”, in which evaluation projects without direct link to specific budget lines are classified.

²⁵ The number of evaluation projects in Agriculture in the years 1996-1998 includes some small evaluations in the field of promotion of agricultural products that were excluded later on.

²⁶ Including Pre-accession aid (Heading 7)

²⁷ Evaluation projects on activities without direct link to specific budget lines.

²⁸ Like for all evaluation projects, these costs have to be seen and interpreted with reference to the nature and global amounts spent for the programme or activity that is evaluated. So, for example, the ex post evaluation is related to pre-accession funds of € 1.1 billion and the evaluation intensity has to be seen in the context of the special and regular decision-making needs of the pre-accession preparations. Furthermore, all evaluations of the PHARE programme were centralised until now at Commission level. A substantial decentralisation will start in 2004 after enlargement.

²⁹ In fact, these relate to the Annual Monitoring and Assessment of the implementation of the EC and EURATOM RTD Framework Programmes, covering the total cost for all DG concerned (i.e. the cost for the Framework Programmes themselves and for each of the Specific Programmes) and an ex post impact assessment of finished projects of the Industrial and Material Technologies (IMT) programme, the Standards, Measurement and Testing (SMT) programme and the Transport programme; an evaluation that lasted over three years, but of which the full cost are allocated to the year 2003 when the project was finally completed.

³⁰ The evaluation concerned was carried out as part of the development of a Business Plan for the new Satellite Navigation System GALILEO.

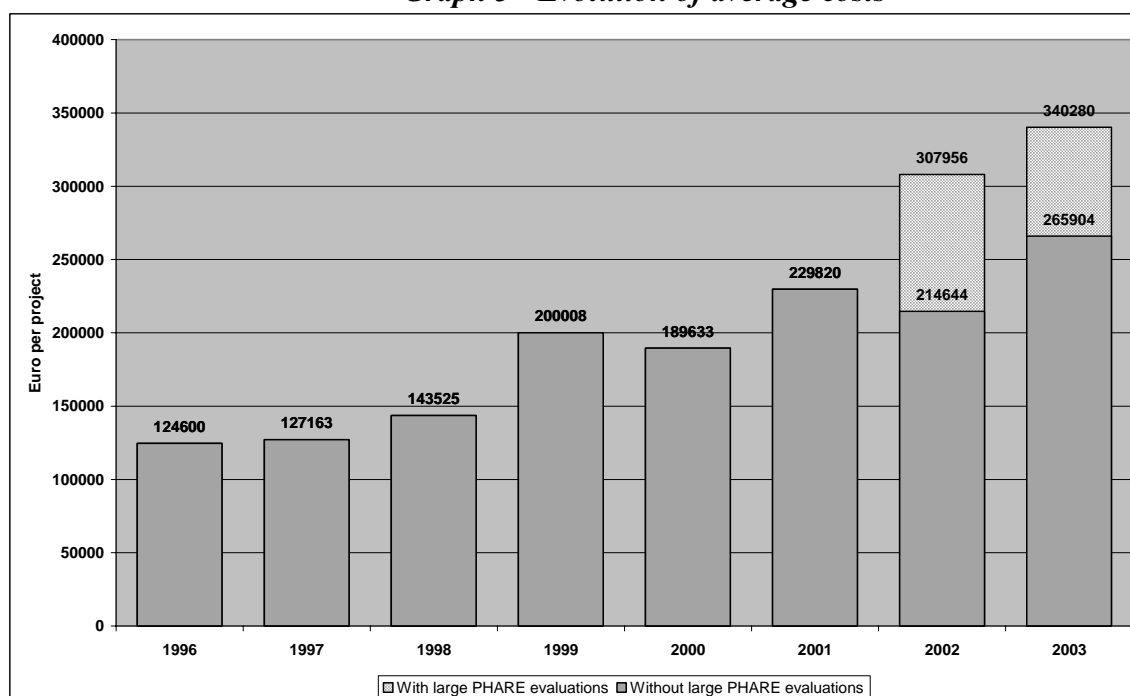
³¹ The evaluation concerns the ex post assessment of Objective 1 in the period 1994-99, which covered nearly € 200 billion of total expenditure, including € 95 billion of Structural Fund expenditure.

Table 4 - Evolution of project costs since 1996

Year	Number of completed evaluation reports by size class (in €)					
	< 12 000	12 000 – 46 000	46 000 – 100 000	100 000 – 200 000	200 000 – 500 000	> 500 000
1996	-	6	22	8	5	1
1997	4	15	18	15	7	2
1998	5	13	13	17	14	3
1999	-	16	19	13	13	7
2000	-	15	17	23	16	3
2001	-	4	26	23	12	6
2002	1	13	13	14	17	4
2003	1	7	23	29	20	11
Total	11	89	151	142	104	37

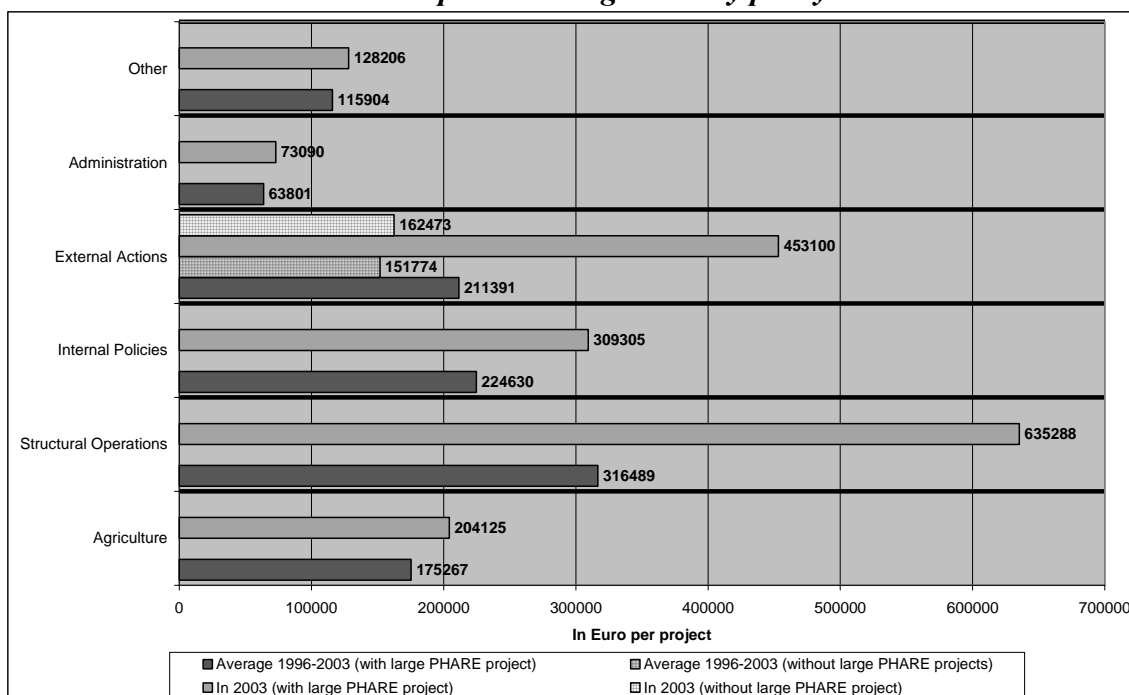
The average costs of the evaluation projects undertaken over the period 1996-2003 increased until 1999 before stabilising in 2000 and rising again in 2001 to approximately € 230000 (see Graph 3). Excluding the exceptional high-cost evaluation projects in the area of pre-accession (PHARE intermediate and ex post evaluations), the average costs per evaluation project in 2002 is about € 215000, but much higher in 2003 (around € 266000). If these evaluations are included, the average costs for the years 2002 and 2003 are much higher with around € 308000 and € 340000 respectively. However, based on the figures for the last 3 years, it can be said that “under normal circumstances” the average cost per evaluation project is about € 235000.

Graph 3 - Evolution of average costs



The figures presented above illustrate the difficulty in comparing over time the average cost of evaluation; a comparison across policy areas or headings of the Financial Perspectives is even more problematic. Nonetheless, Graph 4 has been reproduced to give a rough idea on the scale by main headings of the Financial Perspectives. As in the previous Graph 3, an attempt has been made to make the figures more comparable by excluding the effect of the exceptionally large PHARE evaluations in the heading “External Policies” for the last two years.

Graph 4 - Average costs by policy area



The analysis of the average costs of the evaluations by main categories of the Financial Perspectives over the last eight years shows that those for the Structural Funds are the highest with around € 316000. But, as already stated, given the shared competence with the Member States, the Commission is directly responsible only for ex post evaluation, as well as for thematic or strategic evaluations as necessary. This leads to a significant concentration of evaluation activities in some years (for example: most of the ex post evaluations for the programming period 1994-99 were carried out in the years 2002 and 2003, with a strong concentrating of completed projects in 2003 as reflected in the higher average cost in that year).

2.2.4. Organisation and duration of the projects

Recourse to steering groups for the management of the evaluations has become a standard practice over the last 8 years. In 2003, around 82% of all completed evaluation projects were conducted under the guidance of a steering group. The number of evaluations without steering groups is continuously declining (see Table 5). The very slight reduction in 2003 has to be seen against the background of the strong increase of the overall number of completed evaluations. In relative terms, 17.9% of the evaluations completed in 2003 were without steering group, compared to nearly 30% in 2002 and 32% in 2001.

In about 50% of the internal steering groups, Commission officials from different services are represented, while in the other cases the steering group is composed by staff from the same DG only. The number of steering groups with participation of external people is rather limited and shows unsystematic fluctuations over the years so that it is impossible to conclude on a tendency. In most cases, evaluations accompanied by external steering groups were carried out in the field of “Internal Policies”.

Table 5 – Steering of the evaluation projects by policy area

Policy area ³²	Number of completed reports according to their organisation														
	Internal steering groups					External steering groups					Without steering group				
	99	00	01	02	03	99	00	01	02	03	99	00	01	02	03
Agriculture ³³	10	4	5	5	1	-	-	-	-	1	-	-	-	-	-
Structural Operations	3	5	-	4	6	3	2	-	-	-	-	1	2	1	-
Internal Policies	15	3	17	14	38	4	14	8	7	9	20	16	11	15	16
External Actions ³⁴	13	15	25	21	22	2	1	1	1	3	10	21	8	-	1
Administration	1	-	1	-	6	-	-	-	-	-	-	-	-	2	1
Other ³⁵	-	-	1	2	8	-	-	2	-	2	-	-	7	5	3
Total	42	27	49	46	81	9	17	11	8	15	30	38	28	23	21

The duration of the evaluation projects is also an indicator that can be used to characterise the evaluation activities of the Commission. The average duration of all the evaluation projects was 11.9 months in 2003, calculated from the actual start of the work until the submission of the final report.³⁶ This is somewhat longer than last year (10.5 months), but not very far from figures already observed in the past (1998 and 2001; see Graph 5). For an accurate interpretation, it has again to be taken into account that very often large evaluations, lasting more than one year, are concentrated within a few specific years like, for example, ex post evaluations in the context of Structural Funds.

³² The term 'Policy area' corresponds to the main headings of the Financial Perspectives plus the category "Other", in which evaluation projects without direct link to specific budget lines are classified.

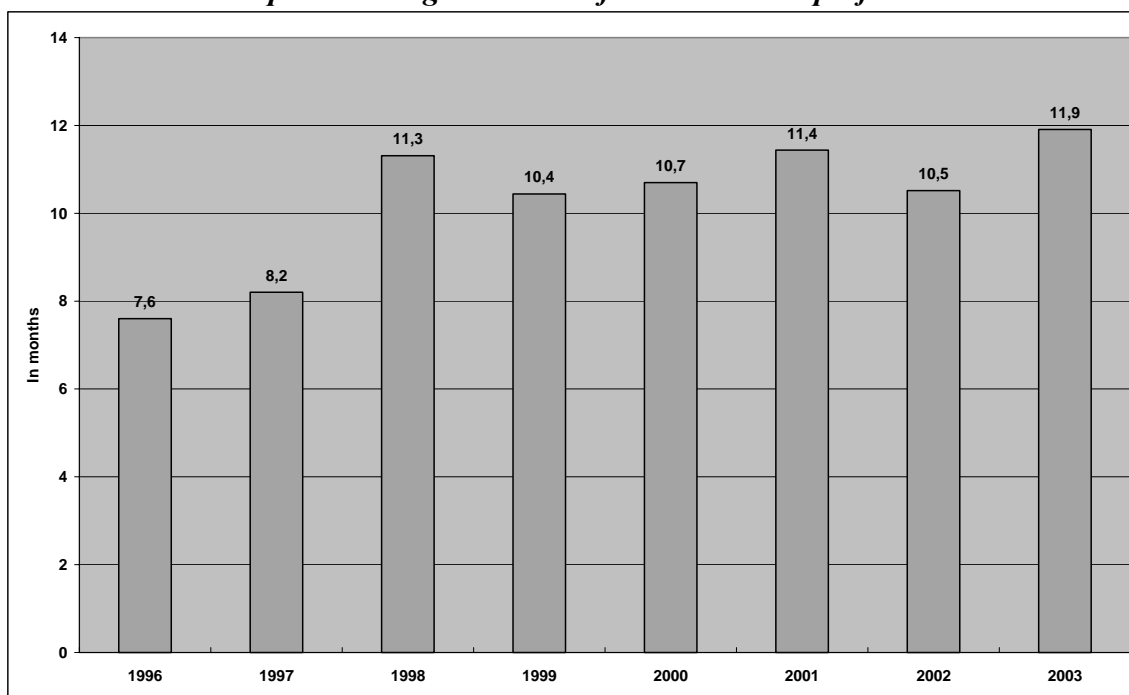
³³ The number of evaluation projects in Agriculture in the years 1996-1998 includes some small evaluations in the field of promotion of agricultural products that were excluded later on.

³⁴ Including Pre-accession aid (Heading 7)

³⁵ Evaluation projects on activities without direct link to specific budget lines.

³⁶ It should be noted that the time span between the start of the evaluation work as such and the submission of the final report is not the total time necessary to finish an evaluation project. The preparatory work before an evaluation contract is signed generally takes several months. The same is true for the validation and dissemination of a report after its submission.

Graph 5- Average duration of the evaluation projects since 1996



In 2003, 68.4% of the evaluation projects were completed within 12 months. This share is gradually increasing since several years, which is in fact supporting the interpretation above regarding the short-term influence of several large and long-lasting evaluation projects. However, evaluation projects lasting for more than two years are common in all headings in the Financial Perspectives, but not at all if the different policy areas are considered. So, for example, evaluations in the field of humanitarian aid are in almost all cases completed within 12 months, in many cases even within half a year. Nevertheless, the amount of time needed for preparing, launching and finishing an evaluation, including publication and diffusion of the results, emphasises the importance of timely forward planning of evaluation activities - and this is valid for all policy areas.

3. EVALUATION IN THE FIELD OF AGRICULTURAL POLICY

3.1. Organisation of the evaluation function

The evaluation unit of the Agriculture DG (DG AGRI) was established in 1998 to carry out evaluations of measures applied within the Common Agricultural Policy (CAP) in accordance to the requirements of the Financial Regulation and the Commission's Communication on Evaluation from 1996 (SEC(96/659) final). Its work programme is established on the basis of an indicative multi-annual Evaluation Programme and an annual Evaluation Plan approved by the Director General and presented as a part of the DG's Annual Management Plan.

The evaluation unit is situated in Directorate G (Economic analysis and evaluation) of the DG, which supports the policy-making process of the DG with macro- and micro-economic analyses, socio-economic and political studies, preparation of medium and long-term market perspectives and evaluations. The work of the evaluation unit is mainly devoted to ex-post evaluations, while ex-ante evaluations, other analysis works and Extended Impact Assessments are under the responsibility of the unit "Studies and Overall Approach" within Directorate G, with the collaboration of the other units of the same Directorate, including the evaluation unit.

The evaluation activities within DG AGRI contribute to the preparation of policy proposals and to the management of policy instruments by operative units. Finalised reports are published on the Internet, and their results are usually discussed in the Management and Advisory Committees for the sectors and measures concerned.

The application on 1 July 2003 of the Evaluation Standards established by the Communication of the Commission C(2002)5267 of 23.12.2002, did not cause problems to the evaluation function within DG Agriculture as they were already followed before.³⁷

3.2. Overview of the evaluation projects carried out and launched in 2003

The Evaluation Plan of DG AGRI for 2003 included 17 evaluation projects and one methodological study. It had to be implemented owing to two major difficulties in carrying out the work:

- The application of the new Financial Regulation led to important modifications of the procedure used for carrying out studies contracts. The specimen contracts and other documents necessary for the launching of calls for tenders were not available in DG AGRI before August 2003. This delayed considerably the launching of the procedures for contract procurement.
- The procurement of the contracts in the case of modelling work, on which the evaluations for a few sectors will be based, suffered from a lack of valid tenders. As a consequence, the approach for the evaluation projects concerning 'cereals' and 'beef and veal' needs to be revised. To proceed timely with these two evaluation studies, it is now foreseen to integrate the modelling, as far as possible, into the respective evaluation studies.

The following four evaluations studies were completed in 2003:

- Ex-post evaluation of Regulation 950/97 (programming period 1994-1999)
- Ex-post evaluation of Regulation 951/97 (programming period 1994-1999)
- Ex-post evaluation of Objective 5b programmes (programming period 1994-1999)
- Ex-post evaluation of the Community Initiative LEADER II.

In addition, the evaluation of the CMO in the sector of raw tobacco and the evaluation of the impact of the main measures in the olive oil sector, two projects of which the results were already reported in the Review of last year, were completed and disseminated during 2003.

At the end of the year 2003, the following two evaluation projects have been already launched, while for several other evaluation studies, the preparatory work is well advanced:

³⁷ An internal guide 'Current Evaluation Practice – Guide' details the evaluations organization applied by DG AGRI (see http://europa.eu.int/comm/agriculture/eval/guide/cmo_en.pdf).

- Evaluation of the CMO for wine (contract signed in September 2003),
- Evaluation of the methods for and success of mainstreaming LEADER innovations into Rural Development programmes (contract signed in September 2003),
- Evaluation of the CMO for bananas (selection of offers underway after a call for tenders published in October 2003),
- Evaluation of the CMO relating to pork, which has finally been extended to cover also the CMO for eggs and poultry (call for tenders will be published early 2004),
- Evaluation of the environmental impact of the CMO's relating to permanent crops (call for tenders to be published early 2004).

As already mentioned above, two studies intended to provide modelling tools for the evaluation of the CMO for cereals and the CMO for beef and veal have been abolished due to difficulties connected with a very thin market for these specific sectors. The modelling work will be now, as far as possible, integrated into the respective evaluation studies. As a consequence of these difficulties, the project “Evaluation of the CMO for cereals sector”, initially foreseen to start in 2003, has been postponed to 2004.

Three evaluation projects, which will be carried out within a framework contract for “fruit and vegetables” have not yet started due to the late availability of appropriate templates in conformity with the new Financial Regulation. This concerns the evaluations relating to the market measures for citrus fruits, for raisins and for peaches and nectarines, which are now foreseen to be carried out in 2004/05.

Work for an initially planned evaluation of the rural development impacts of the CMO's relating to arable crops has been stopped because of the completely different context and changed relevance after the adoption of the 2003 CAP reform.

3.3. Key evaluation findings and use of evaluation findings in decision making

a) Rural Development

During 2003, the most important results have been achieved in the field of Rural Development policy. This was planned in a view of providing in time relevant information to the debate on Rural Development for the next programming period (post 2006). In fact, the results of four ex-post evaluations of concerning Rural Development measures (1994-99 programming period) were fed into the preparation of the 2nd European Conference on Rural Development that took place the 12 to 14 November 2003 in Salzburg. Hereafter, a brief overview of the main results and conclusions is presented according to the structure that did guide the discussions at the above-mentioned conference. A more detailed presentation can be found in the relevant fact sheets in Annex 2 of this Review.

(1) Key challenges and opportunities of Community Rural Development policy

- **Co-ordination** is essential not only between Rural Development programmes and other European or national support schemes but also within and between Rural Development programmes in a given region.
- **Territorial** approaches work best if they involve at the local level actors from several sectors. They should be open to bottom-up participation of local actors, starting from the programming phase. Specialized coordination and programme management structures at local/regional level should be supported.
- **Funding provisions and delivery mechanisms** should be simplified; the multi-fund approach causes delays in project selection and payments.
- **Networking** and exchange of good practice, both nationally and cross-border, clearly increase the effectiveness of the schemes.

- There are measures that seem particularly attractive for **accession countries** such as farm investment and support for processing and marketing. Generally, the territorial approach across sectors was an important learning opportunity for the accession countries of 1995. In this respect, the lessons from earlier accession rounds should be taken into account.

(2) Role of Community rural development policy in an enlarged EU

- **In richer regions**, there is a relatively **high danger of deadweight**, i.e. investments would be made even without Community support, unless support is well-targeted. On the other hand, **several measures are particularly effective in poorer regions**: Processing and marketing in Objective 6 and 1 regions.
- Support for **Rural Development is not large enough** to make a big difference at sector level due to the limited financial scope of the support schemes. High expectations in this respect are unfounded.
- **Targeting of poorer regions has its limits**: A certain share of support always leaves the region of the beneficiaries and is transferred to bordering or more distant regions.
- **A targeting of specific regions/zones must be based on a well-reasoned definition** of those zones, taking account of their dynamism, interaction with urban and/or economic centres, neighbouring regions. If not, artificial boundaries are set up and potential actors excluded.

(3) Priorities for Community Rural Development policy post 2006

- Individual measures are flexible enough to be applied in different ways under different contexts, thus meeting specific needs. Therefore, the **'shopping list' of measures allows Member States/regions to select a package of measures adjusted to their needs** and avoiding contradicting objectives.
- **Dispersal of support** on many measures may reduce efficiency of individual measures if judged at sector level. There is also a risk of possible adverse effects of first pillar support on second pillar uptake (i.e. diversification of activities might be hampered by a disproportional support for certain crops or animals under the Common Market Organizations).
- **Pre-conditions for a successful program** are a careful selection of measures, realistic planning and precise targeting of beneficiaries.

(4) Performance of current measures and need for additional ones

- Regarding the **'Young farmer's scheme'**, the decision by young farmer to set up is only partly influenced by the aid. There is no lowering of average farmers' age at European level, though the overall ageing may have been balanced. Therefore, the scheme seems to miss its objective to encourage setting up of young farmers. However, it has in some Member States a very great symbolic value of political support for the sector. Improvements appear possible by combining them with (national) investment aid and training. Planning obligations (*Material Improvement plan*) at farm level force farmers to reflect on the future of their holdings and increase effectiveness of the on-farm measures.
- Regarding the **'Farm investment scheme'**, effectiveness (i.e. increased income for farmers) is mostly achieved if it is well targeted towards specific needs, e.g. towards modernisation of less competitive farms. However, there is a limited financial weight of scheme and little 'innovative' investments are realised. A high degree of deadweight exists where 'traditional' investments for increase in productivity are made on already highly productive farms. The objective of diversification of on-farm activities was not met, mainly because Member States did not target this objective in the implementation of the scheme.
- Regarding the **'Less favoured Areas scheme'**, a 'significant' proportion of the disadvantages of Less Favoured Areas are compensated, and a certain positive impact on preventing land abandonment and population decline can be established. However, the effectiveness is reduced by unclear criteria and sometimes 'political' motivations for the definition of zones. Therefore cases of under- and overcompensation very likely. Flat rate payments give no incentive for innovation.

- Regarding the '**Processing and Marketing scheme**', the benefits for producers are doubtful since the measure works only in cases where producers have relatively strong bargaining power vis-à-vis processing industry, either through co-operatives or in dealing with decentralised industries. They are much more effective in Objective 6 regions and also in Objective 1 regions where the processing industry was not yet well developed and not concentrated. In other regions, the effectiveness for investment is not clear due to limited financial scope compared to overall private investment in sector and very little 'innovative' investment (e.g. into organic food or non-food use), so that there is a great likelihood of deadweight.

(5) Experience from LEADER - bottom up and integrated approaches

- LEADER is marked by its **very high adaptability to all different governance contexts** and specific challenges for different rural areas. It is highly responsive to small scale activities and it changes the social fabric in rural areas. It **mobilized a high degree of voluntary efforts and fostered equal opportunities in rural areas**.
- The '**Leader spirit**' of local actors, becoming active themselves and not waiting for top-down support, has been an asset in the working of the Leader approach. Mixed partnerships (public – private – non-profit-making organisations) achieve the best results.
- It is recommended to **mainstream the LEADER method** where possible, but also to keep a **separate Community Initiative**. Innovative projects which do not fit into the 'classical' structure of the Rural Development measures should be maintained.

(6) Potential for simplification

- Simplifying definition of measures may result in blurring of objectives, and simplifying eligibility conditions may mean a loss of targeting capacity. Both results are to be avoided when simplifications are introduced.
- In some Member States, the transfer of day-to-day management of the 'Processing and Marketing scheme' to external agencies whilst policy formulation and general implementation guidelines remained at ministerial level, proved to be a positive experience.
- Support for farmers is more effective when granted as a single premium payment and not as an interest subsidy on loans, especially in times of low interest rates. Single premium payments facilitate farmers' access to credits.

b) Market policies

In this field, the decision-making-process is more advanced in time than for Rural Development:

- On 26 June 2003, the EU farm ministers adopted a fundamental reform of the Common Agricultural Policy, based on the Commission Communication 'CAP Reform – a long perspective for sustainable agriculture'. This first part included a major change for the rules for direct support schemes. The Council further decided to revise the milk, rice, cereals, durum wheat, dried fodder and nut sectors. The final reform decisions were adopted on 29 September by the EU's Council of Ministers.

Several evaluations carried out previous years³⁸ for the sectors concerned were used as an input, together with other studies and analytical work, in the preparation of this decision process.

- The Commission adopted on 18.11.2003 reform proposals for tobacco, olive oil, cotton and hops sectors.

In this case also, the evaluations for tobacco and olive oil completed at the beginning of 2003 were a useful source of knowledge for the preparation of the proposals.

³⁸ In particular: evaluations on durum wheat, oil seeds, set aside, starch and starch products as well as on milk and dairy products.

The main findings and recommendations of these evaluations of market measures were already presented in the Annual Evaluation Review of the previous years.

3.4. Other activities carried out in relation with evaluation

Among the other activities carried out in relation with evaluation, the following are worth to be expressly mentioned:

- *Study on the criteria for establishing a typology of rural areas*

The results obtained in the four evaluations for Rural Development, where an attempt was made to establish an explanatory typology of rural areas, have raised questions about the applicability and the analytical value of this approach. Some internal work in this field was carried out and resulted in a working paper for the use of the evaluation managers. On the basis of this first work, it appeared more appropriate to launch a specific study under the working title 'Evaluation baseline for rural areas' that will start at the beginning of 2005.

- *Guide for quality assessment of the mid-term evaluation of rural development programmes*

A guide was drafted for the use of the desk officers in charge of the appraisal of the quality of the some 200 evaluations awaited for this exercise, which is built upon corresponding guidelines already distributed in the past. This exercise includes the Member States Rural Development programs (Objective 1 and outside Objective 1) as well as LEADER+. The evaluation unit also provides a helpdesk function (advice and comments) for this exercise.

- *Mid term evaluations for SAPARD programs and ex-ante evaluations of Trans-national Operational programs for accession countries*

The evaluation unit provides a helpdesk function for these exercises.

- *Evaluations works carried out by other DG*

The evaluation unit of DG AGRI participates in the steering groups for evaluations managed by other Commission services, in particular for the strategic evaluations and evaluations related to the Structural Funds.

4. EVALUATION IN THE FIELD OF REGIONAL POLICY

4.1. Organisation of the evaluation function

In the Regional Policy DG (DG REGIO), evaluation is the responsibility of the unit in charge of co-ordination of evaluation, the regional impact of community policies and additionality. The unit co-ordinates evaluation activities within the DG, and also promotes evaluation and the building of evaluation capacity in current and future Member States in the context of the design and implementation of Structural and Cohesion Fund programmes. No particular effort was needed in order to comply with the Commission's Evaluation Standards and Good Practices that entered into in force in July 2003 because all the requirements laid down there were already met.

4.2. Overview of the evaluation projects carried out and launched in 2003

During 2003, DG REGIO published three ex post evaluations related to the 1994-1999 programming period of the Structural Funds. These evaluations concerned Community measures in Objective 1 and Objective 2 regions and the Community Initiative URBAN.

DG REGIO will complete its series of ex post evaluations related to the 1994-1999 period during 2004 with the publication of evaluations on the following topics: Interreg II; Cohesion Fund projects and Innovation promotion – Regional Innovation Strategies (RIS) and Regional Information Society Initiatives (RISI). The Interreg II evaluation will be published early in 2004. Contracts for the other two evaluations have been awarded, and work will start in January 2004, with the reports published later in the year.

A thematic evaluation on the contribution of the Structural Funds to the "Lisbon strategy" and its implications for the regions has also been launched and will be published during 2004.

All the evaluations planned for 2003 have been launched, although in some cases the results will not be available until 2004.

4.3. Key evaluation findings and action taken

The evaluations published by DG REGIO during 2003 were ex post evaluations relating to the 1994-1999 Structural Funds programming period. It is a regulatory requirement for the Commission to undertake these evaluations, to account for the expenditure of the Structural Funds during the period concerned. The evaluations of measures in Objective 1 and 2 regions demonstrated the very large amount of activity which took place with the support of the Structural Funds. In general, they concluded that the strategies adopted in the Structural Fund programmes were appropriate and that they made a significant contribution to regional development. The Objective 1 study was able to quantify the impact of the Structural Funds on large Objective 1 countries/regions through a macro-economic model that demonstrated a positive impact on the GDP of those regions. An in-depth analysis of the cost-effectiveness of the programmes was not possible because of weaknesses in the target setting in 1994 and the unavailability of sufficient monitoring data on the physical performance of programmes. In part, this stems from a focus in the implementation of Structural Fund programmes on financial absorption concerns rather than consideration of more strategic issues. Both evaluations found a growing institutional and administrative capacity to implement Structural Fund programmes.

The evaluation of the Community Initiative URBAN found that it had contributed to improved quality of life in the target areas and that it had built capacity in municipalities and local communities. In a similar finding to one in the evaluation of the "Territorial Employment Pacts" that was published by DG REGIO in 2002, it was found that URBAN encouraged a move away from single sector working to the integration of various stakeholders across different departments and including the Community. This form of partnership working is an important element of the implementation of the Structural Funds and contributes to the development of social capital in the EU.

In all cases, the evaluations point to the need for better monitoring and evaluation to ensure that the effectiveness and impact of the Structural Funds can be assessed.

4.4. Lessons learned from evaluation

In addition to accounting for what has been achieved through the Structural Funds, the evaluations provide useful lessons on how Structural Funds are implemented. These lessons concern the programme design, the partnership approach as well as the implementation systems. In general, the Structural Funds method has been found to form part of the added-value of the Funds. The reports contain recommendations on how to enhance this added-value in the future.

As ex post evaluations, these reports became available towards the mid-point of the current programming period 2000-2006. Therefore, they can have two uses. One is to feed into the on-going implementation of the 2000-2006 programmes, which will undergo a mid-term review in 2004. The mid-term evaluations, which are the responsibility of the Member States, will provide further information on the issues which need to be adapted in the programmes as highlighted in the ex post evaluations. The second use is to consider the recommendations in the context of the design of the Structural Funds for the period after 2006. All evaluations have been published on DG REGIO's website. They have been discussed within the DG, and the findings are currently being considered in the context of the preparation of the 'Third Report on Economic and Social Cohesion', which will make proposals on the future shape of the Structural Funds after 2006.

4.5. Other activities carried out in relation with evaluation

Much of the work of the evaluation unit in DG REGIO concerns the promotion of evaluation and the provision of guidance for the development of evaluation capacity in the current and future Member States. Structural Fund programmes are implemented by regional and national authorities in partnership with the Commission, and therefore their evaluation is also carried out in partnership. The Member States have responsibility for ex ante evaluation and they are also, in consultation with the Commission, responsible for mid term evaluation while ex post evaluation is the responsibility of the Commission in collaboration with the Member States.

Among the other activities carried out in relation with evaluation, the following are worth mentioning specifically:

- *Mid-term Evaluation*

The end of 2003 is the regulatory deadline for the submission of the mid-term evaluations of the current Structural Fund programmes. Therefore, during the year, the evaluation unit devoted much time to reviewing draft reports and feeding back comments to the national or regional authorities to ensure that the reports are of the highest quality possible. The Structural Funds Regulation requires that the Commission should assess the quality and relevance of the mid-term evaluations and this process of assessment started during 2003, to be finished by the end of January 2004. The reports are being assessed not only at draft stage to allow for improvements to be made before the reports are finalised but also a second time at the final stage. The MEANS criteria³⁹ are being used for the assessment. In total, mid-term evaluations for approximately 200 Objective 1 and 2 and 140 Community Initiative programmes (INTERREG III and URBAN II) have to be assessed.

- *Methodological Guidance*

During 2003, DG REGIO undertook a number of projects to provide evaluation guidance. The main project was the updating of the MEANS Collection of methodological guidance. The new 'Guide to the Evaluation of Socio-Economic Development' will be available on the DG REGIO website from early 2004. A further project was the development of a regional economic model. The report on this model will also be placed on the DG REGIO website in early 2004.

- *Conference on Evaluation*

Also in the context of capacity building, DG REGIO organised a major conference on evaluation of the Structural Funds in Budapest on 26th/27th June, 2003. The conference was the fifth in a series which began in Brussels in 1995 and was followed by Berlin in 1996, Seville in 1998 and Edinburgh in 2000. The objective of these conferences is to bring together evaluators and those who use evaluations in order to identify and disseminate good practice. The theme for this conference was "Challenges for Evaluation in an Enlarged Europe". In total, 474 people from 32 countries attended the conference. The 29 papers which were presented at the conference are now publicly available on the DG REGIO website. Some of the main messages from the conference were as follows:

- *A greater maturity of evaluation:* Evaluation capacity in the EU has developed both within administrations and among evaluators. This is evident in greater integration of evaluation in planning and implementation and higher quality evaluations which use a variety of methods.
- *Evaluation as an aid to decision making:* The most important contribution of evaluation is as an aid to decision making. Evaluators can play a vitally important role by asking the right questions, which may highlight contradictions in policies or policies which are inappropriate, too complex or too broad. The more evaluation is integrated into the system of governance, the more useful its contribution will be.
- *Complexity of Policies and Complexity of Evaluations:* Structural policies are becoming ever more complex, being decided upon through systems of multi-level governance and involving a

³⁹ European Communities (1999): Evaluating Socio-Economic Programmes (MEANS Collection Volumes 1 - 6)

wide range of eligible activities as well as transversal themes. Complex evaluations are required in response but they should point up any inherent contradictions and assist in the process of prioritisation.

- *Evaluation for Learning and Accountability*: Evaluation has a dual role, to contribute learning and to demonstrate accountability. Both are important. Learning should involve all partners and should take place at all stages in the evaluation life cycle. Accountability should also involve all partners and be an ongoing process, rather than being the exclusive competence of the Commission, discharged only at the ex post stage.
- *Learning - the Need for Explanation*: Evaluation needs to explain why things happen. In this way, lessons can be learned and improvements made to current and future programmes both within a region and across regions and Member States.
- *Building Evaluation Capacity Takes Time*: The objective of building evaluation capacity is to improve the quality of programmes supported by the Structural Funds rather than to produce good evaluations as an end in itself. This process takes time and requires learning in administrations and among evaluators.
- *Balance in Evaluation*: Good evaluation of the Structural Funds balances issues of efficiency, opportunity costs and market failures with ownership among the wide stakeholder partnership, taking account of the different perspectives on efficiency and cost issues. Good evaluation balances quantitative information with qualitative explanations.
- *Monitoring and Evaluation are Interdependent*: Without good quality monitoring, it is not possible to have good quality evaluation.

- *Studies*

Finally, the evaluation unit in DG REGIO also undertook a study on the efficiency of the Structural Funds method during 2003. The report was commissioned to feed into the development of the Third Report on Economic and Social Cohesion.

5. EVALUATION IN THE FIELD OF EMPLOYMENT AND SOCIAL AFFAIRS

5.1. Organisation of the evaluation function

The evaluation unit with the Employment and Social Affairs DG (DG EMPL) unit was established in 1996. It is currently part of Directorate G 'Horizontal and International issues'.

DG EMPL has set in place a multi-annual rolling evaluation plan since 2001, which is now prepared in the context of the Annual Management Plan of the DG. The process of identification of evaluation needs is carried out by the evaluation unit through discussion with the DG hierarchy and operational and policy units. The plan is discussed and adopted by the Programming Committee of DG EMPL.

An internal Evaluation Charter was established in November 2001 defining the scope of evaluation activities, the mission and roles of the evaluation unit and the operational units in the process of programming, management, feedback into the policy cycle and communication of evaluation, and the financial resources to be mobilised. The Charter is in conformity with the Commission's new Standards and Good Practices for evaluation.

Functionally, the evaluation activities of DG EMPL encompass two main areas with a different role of the evaluation unit and different stakeholders:

- **The evaluation of DG EMPL policies and programmes (outside the European Social Fund)**: Evaluations related to specific activities are managed by operational units with the technical support and co-ordination of the evaluation unit, who ensures the application of the Commission's Evaluation Standards. Horizontal evaluations covering several activities of the DG are organised directly by the evaluation unit.
- **The evaluation of European Social Fund (ESF) interventions**: These evaluations are mostly organised by the management authorities within the Member States in cooperation with the

Commission. The evaluation unit assumes the role of methodological guidance, organisation of EU-wide evaluations and synthesis, as well as the co-ordination and support to geographical desks, which have a key role in the follow-up of the evaluation of ESF national programmes.

The evaluation unit actively participates to evaluation activities at Commission level such as the strategic evaluations, methodological work development and co-ordination networks. The evaluation unit also provides assistance to the operational and policy co-ordination units in the preparation of the impact assessments of the DGs main policy proposals and in the development of methods to assess social impacts.

5.2. Overview of the evaluation projects carried out and launched in 2003

The strategic challenge for evaluation in DG EMPL until 2005 is to ensure that evaluation activities provide relevant inputs for the review of the current Social Policy Agenda (SPA) and the preparation of the new one. The evaluation plan 2001-2003 identified a number of key evaluations enabling such a contribution:

- The evaluation of the European Employment Strategy (finalised in 2002);
- The evaluations of the actions programmes on equal opportunities, anti-discrimination and social inclusion;
- The mid-term and final evaluations of 2000-2006 of ESF interventions.

During 2003 the evaluations of the three social action programmes have effectively started, and the mid-term evaluations of the ESF interventions (organised by the managing authorities of ESF programmes) should be completed by the end of 2003.

DG EMPL's evaluation plan for 2003 was ambitious, involving mainly financial programmes supporting policies and the application of some legislative acts. Overall the objectives have been achieved, in terms of completed evaluations as well as the preparation and launching of new evaluations, although with unexpected delays in some cases. A problem encountered has been the need to republish the tender of some external evaluation contracts. The information below is organised according to the activities of the DG.

a) Employment and European Social Fund

During 2003, DG EMPL has continued to support the mid-term evaluation of national and regional ESF programmes, organised by the management authorities within the Member States in partnership with the Commission, particularly under Objectives 1 and 3 and the Community Initiative EQUAL. By the end of November 2003, draft mid-term evaluation reports were available for almost all Member States and programmes. The Structural Funds Regulation requires that mid-term evaluation reports shall be submitted to the Commission by 31.12.2003 at the latest. These mid-term evaluation reports are the main element underpinning the mid-term review of the ESF programmes. DG EMPL is ensuring the assessment of the relevance and quality of these reports with a view to the mid-term review of ESF assistance through internal (evaluation unit and country desks) and external expertise. A synthesis at EU level of the main results of the mid-term evaluation reports will be prepared for early 2004 in time for the EU Conference on ESF (Brussels, 29-30 January 2004).

The ex post evaluation of the 1994-1999 ESF programmes under Objectives 1, 3 and 4 and the Community Initiative Employment and Adapt has continued and are nearly completed. Preliminary results on the basis of the draft final reports have been discussed with the Member States and were used in the preparation of the Third Cohesion Report. In addition, the evaluation unit of DG EMPL was involved in the follow-up of relevant ex post and thematic Structural Funds evaluations for which DG REGIO has the lead. The EU-wide evaluation of the Community Initiative EQUAL is still on-going; a first interim report was available by the end of September 2003 and a mid-term report is scheduled for early 2004.

The Commission services continued to organise periodic meetings with Member States (ESF Partnership for Evaluation) and evaluators (Technical support group) to co-ordinate approaches and to promote exchanges of information and experiences. In 2003, the work focused on the follow-up of on-going evaluations at EU (ex-post, EQUAL) and national level (mid-term). Various national evaluators were presenting their experiences in evaluating ESF programmes (Lifelong Learning, ALMP, implementation systems, contribution of ESF to the European Employment Strategy). DG EMPL has also actively contributed to the preparation of the Budapest Conference on Structural Funds and Evaluation (June 2003).

Concerning the evaluation of innovative measures under Article 6 of the ESF Regulation, the evaluation of the 1998 pilot projects on 'Local Social Capital' has been completed early 2003, while the evaluation of the Article 6 projects on the 'New economy in the context of social dialogue' is still on-going with results expected at the end of 2004. The public tender for the evaluation on 'Local Development Strategies and Innovation 2002 projects' was successful, and the project started in 2003 but will be completed in 2006 only.

As far as the accession and candidate countries are concerned, the evaluation activities of DG EMPL mainly consisted in the examination of the ex-ante evaluations and in the negotiation of the monitoring and evaluation systems of ESF programmes in future Member States as part of the preparation of programming documents.

The horizontal evaluation on 'Local Employment Development' should be completed soon; the draft final report is under preparation. In the same field, the evaluation of the preparatory measures for a 'Local commitment on employment' (2001 call) effectively started in November 2003.

Finally, the initially foreseen evaluations of the 'Employment Incentive Measures' programme and of 'EURES' had to be postponed because the tendering processes were concluded without the award of the contract to any firm. They will be tendered again in 2004.

b) Promoting an Inclusive Society

Within this area, the evaluation of the preparatory measures carried out in 2000 in the field of anti-discrimination was completed early 2003. Two further evaluations are currently on-going: Community Programmes to combat discrimination and social exclusion. First interim reports are scheduled for the end of 2003. Furthermore, the evaluation of the 'European Year of People with Disabilities 2003' is also underway with results expected by October 2004.

c) Work organisation and working conditions

The evaluation of the practical implementation of national legislation transposing Health and Safety Directives 89/391, 89/654, 89/655, 89/656, 90/269 and 90/270 in undertakings and public-sector bodies of the Member States is in the process of finalisation, with the expected adoption of a Communication from the Commission early 2004. A new evaluation study on the practical implementation and technical conformity of national legislation with Directives 92/29 EEC, 92/57/EEC, 92/58/EEC, 92/91/EEC, 92/104/EEC and 93/103/EEC was tendered unsuccessfully in 2003 and will be re-published in 2004. The same is true for the evaluation of the financial instruments in support of European 'Social Dialogue': it will be tendered again in 2004.

d) Promoting Gender Equality

The mid-term evaluation of the Community programme on 'Gender Equality' started early 2003 and the results will be available early 2004.

e) Policy strategy and co-ordination

Three studies (readership survey, Eurobarometer, stakeholders survey) feeding into an internal evaluation of the DG EMPL communication strategy have started in 2003. The evaluation will support the review of the information and communication strategy in 2004.

5.3. Key evaluation findings and action taken

a) Employment and European Social Fund

Although a number of mid-term evaluations of ESF interventions are available, it is still somewhat too early to draw an overall account of the results. The draft reports will be synthesised at EU level and used to prepare the mid-term review of the programmes.

The first interim report of the EU-wide evaluation of the Community Initiative EQUAL allows drawing some preliminary conclusions concerning the appropriateness of the strategies, the implementation and the management of the Initiative. There is a spread of EQUAL funding across the four pillars of the European Employment Strategy (EES) that is more even than in the ESF, with the exception of the 'Equal Opportunities' pillar that is, logically, more important in EQUAL. The priorities are consistent with current orientations of employment and social inclusion policies, and the same is true regarding objectives and priorities of the 'Development partnerships', with the exception of some gaps in the 'Entrepreneurship and Asylum seekers' themes. There is a great variety of organisations involved in EQUAL. The management and implementation system of EQUAL is highly influenced by the degree of decentralisation of Member States. There are contradictory findings concerning the length of Action 1, perceived as either too long or too short, although the relevance is not questioned. There is also a lack of common understanding of the EQUAL principles. Differences in timing and process have a negative impact on the 'Trans-nationality principle'.

The evaluation of the 'Local Social Capital' pilot action under Article 6 of the ESF Regulation suggests that the use of global grants managed by an Intermediary Body, distributed in the form of small grants to support social cohesion and micro-enterprises, may be a very effective approach to problems of employment and social inclusion, particularly in the context of increasing decentralisation and empowerment of local and regional actors. The pilot action has ended with positive achievements in terms of hard (employment creation) and soft (closeness to labour market) outcomes. According to the evaluation, the key factors for the success of the approach were: the high degree of discretion of the Intermediary Body, which allowed adaptability of its method of operation to local conditions, needs and characteristics of target groups and problems it aimed to address as well as the internal (cohesion and capacity) and external (in particular its delivery strategy) characteristics of the partnership approach. Just providing small grants would not have worked since the non-monetary support at the various stages was generally as important as the monetary one itself. The provision of small amounts of funding and quick dispersal (and monthly payments) was a very good approach for starting initiatives with most disadvantaged groups, in particular within the context of a combination of substantial capacity (possibly through a strong lead-partner) with a highly participative approach ("interaction with the territory" and active local partners if the lead partner was based outside the project area). Traditional forms of publicity were not enough to reach disadvantaged people. Direct contact with target groups was a key factor for effective publicity and promotion.

b) Promoting an Inclusive Society

The evaluation of the actions undertaken as preparation for implementation of a programme to combat discrimination (call for proposals of the year 2000) concludes that, although having a limited impact, the actions funded have demonstrated the potential of some new approaches. The main added-value of the 2000 preparatory actions is found in the learning that took place in relation to the conceptual framework. The experience with 'mini-civil dialogues' at local level does demonstrate a potential for developing relevant activities and can be used as relevant input for the

action programme. After two years of experimentation, the horizontal approach in the field of anti-discrimination is increasingly viewed as adding a perspective instead of replacing one and can potentially contribute to the development of a knowledge-base on multiple discrimination. Actions explicitly targeted at the issue of multiple discrimination, however, were too limited in number and too short-lived for any significant contributions to be made. The effectiveness of the delivery mechanisms in general has increased compared to the first call (1999).

5.4. Lessons learned from evaluation

a) Employment and European Social Fund

The ESF mid-term evaluations to be submitted to the Commission during 2003 are intended to inform the mid-term review of ESF programmes taking place in 2004. ESF evaluations and/or evaluators have contributed as background documents and/or speakers to a series of Conferences on ESF and the European Employment Strategy organised in each Member State during the period October-December 2003. As already stated earlier, a synthesis at EU level of the main results of the mid-term evaluation reports is under preparation and will be available early 2004 in time for the EU Conference on ESF (Brussels, 29-30 January 2004).

The first interim report of the EU-wide evaluation of the Community Initiative EQUAL has confirmed the appropriateness of the strategies of the programmes carried out under it. However, it casts some doubts on the degree EQUAL principles are being commonly understood. Differences in timing have made more difficult to develop trans-national co-operation agreements. One of the lessons of the evaluation of the Community Initiatives EMPLOYMENT and ADAPT, confirmed by other evaluations in the field of local partnerships, was the need to introduce a period to consolidate partnerships and develop strategies (the so-called Action 1 in the EQUAL jargon). The evidence shows that there are different views as to the appropriate length for such a period. The results of the evaluation, made available to the Member States, are being considered by the Commission as part of the preparation of a Commission Communication setting out guidelines for the second call for projects under EQUAL.

The evaluation of the 'Local Social Capital' pilot action under Article 6 of the ESF Regulation offers a complementary dimension of how to support social inclusion through local partnerships. The results demonstrate the feasibility of the global/small grants mechanism foreseen in Article 4.2 of the ESF Regulation. However, it also shows the limits of the approach to reduce financial management complexities and therefore facilitate access to ESF. Intermediary bodies managing global grants need to operate a firewall approach shielding micro-projects and individual participants from the full financial management requirements. In addition, micro-projects should be supported actively, but financing should remain limited and flexible in its scope. The non-monetary aspects of support are crucial. The results of the Article 6 evaluation have been presented to the ESF Committee and have been widely disseminated.

b) Promoting an Inclusive Society

The evaluation of the actions undertaken as preparation for implementation of a programme to combat discrimination have shown the need to set up an additional strategy at programme level to reach key actors not directly involved in the trans-national actions funded through the programme and to attract relevant actors. Trans-national learning can be enhanced through European level thematic working groups. The recommendations of the evaluations of the 1999 and 2000 preparatory actions have been duly taken into account in the context of the 'Action Program to combat discrimination', in particular as far as the need to strengthen the capacities of the organisations submitting proposals is concerned. A two-stage selection process has been set up similar to the one experimented in the Community Initiative EQUAL, with a six-month preparatory phase helping to develop the partnership, the objectives and the strategy of implementation.

5.5. Other activities carried out in relation with evaluation

Since June 2003, evaluation within DG EMPL has its own pages on the EUROPA server, providing the user with access to evaluation reports, methodological documents and interesting links on evaluation of the policies supported by DG EMPL and the European Social Funds.

Periodic assessments of national policies are conducted in the fields of employment (annually), social inclusion (every two years) and pensions based on national plans or reports. In the case of employment and social inclusion processes, peer-review exercises allow for the identification of good practices.

6. EVALUATION IN THE FIELD OF RESEARCH

6.1. Research

6.1.1. Organisation of the evaluation function

Since the mid 1990's there has been a legal requirement for Annual Monitoring Exercises and Five-year Assessments of Community Research and Technological Development (RTD) Framework Programmes (FP) and their corresponding Specific Programmes (SP)⁴⁰. This position has been strengthened by the introduction of Strategic Planning and Programming (SPP), Activity Based Management (ABM) and Internal Control Standards.

Within the Research DG (DG RTD), the evaluation activities are managed at a strategic level by a central evaluation unit and at operational level by the relevant programme management units. Major exercises, such as the Five-year Assessment and annual monitoring, involve coordinated and joint working between services.

In 2001, a new unit with the title 'Planning, Programming and Evaluation' was created that is directly linked to the Director General. It thus combines evaluation with planning and programming work, reflecting the linkage foreseen with the implementation of SPP/ABM. Within a reorganisation of DG RTD, this unit will be transferred on 1 February 2004 to Directorate A 'Coordination of Community actions', while another unit, also in Directorate A, will be created to deal with ex ante impact assessment. Co-ordination of evaluation is supported by an interservice group, which has a membership that includes DG RTD Directorates, DG INFSO, DG TREN, DG ENTR, DG FISH, JRC and DG BUDG, who have an active involvement or interest in research evaluation.

In a recent self-assessment exercise, DG RTD reviewed the set-up of its evaluation functions against the new Commission "Evaluation Standards and Good Practice". This revealed there was a very high degree of compliance with the standards. Just two areas were noted for even further attention: the emphasis given to multi-annual planning and the actions and procedures set up to improve the use of evaluations.

6.1.2. Overview on the evaluation projects carried out/launched in 2003

For DG RTD as a whole there have been three major poles of evaluation-related activity during the course of the year: the Annual Monitoring exercise; planning and preparations for the Five-year Assessment (1999-2003) and the evaluation work at operational level.

The Annual Monitoring exercise, which this year took place between end 2002 and May 2003, provides an intermediate evaluation of the implementation of Community research programmes. Using external experts, the exercise has allowed for detailed scrutiny of how successfully the research activities are being implemented as well as monitoring efforts to make changes and in

⁴⁰ See for example Article 6 of the Decision of the European Parliament and the Council on the 6th RTD Framework Programme (1513/2002/EC)

particular has provided a quick response mechanism to policy and programme developments. In this respect, the exercise goes far beyond pure monitoring, and a synthesis of the main recommendations from this year's exercise is provided below in the next chapter as well as in a more detailed fact sheet in Annex 2.

The Five-year Assessment is mainly an ex post evaluation of impacts although with significant intermediate and ex ante evaluative aspects. It covers the five years prior to new proposals on research activities and as such overlaps the activities of several RTD Framework Programmes. The next Five-year Assessment (1999-2003) will be implemented through a single Panel composed of external high-level experts, supported by separate evaluation studies plus other analyses and data collection. The Panel is expected to first meet in spring 2004 and a final report is foreseen for the last quarter 2004. Intensive planning of the Five-year Assessment took place during 2003, including especially the coordination between different services through a 'Five-year Assessment Steering Group'. Specific tasks already completed include preparation of the mandate, identification of experts for the Panel and further expertise to be used as well as development of the support studies and other analyses. In this regard, during the year an evaluation of Technological Implementation Plans (TIPs) was completed, and the results of an impact evaluation of the 3rd and 4th Framework Programmes will become available soon after approval of the final report. In addition, preparations were made for an evaluation of 'High Impact' research activities under the 3rd, 4th and 5th Framework Programmes, an impact evaluation of research under the 5th Framework Programme and a bibliometrics analysis of research under the 3rd and 4th Framework Programmes. Further supporting analyses for the Five-year Assessment have been planned for 2004, which include, an analysis of the changing research landscape in Europe and a synthesis of all Community research evaluation work undertaken during the period covered by the Five-year Assessment.

Eight evaluations were completed during the year:

- the Annual Monitoring and Assessment 2002 of the implementation of the different EC and EURATOM RTD Framework Programmes;
- a Methodological Assessment of the Technological Implementation Plan (TIP) as a tool for impact assessment and evaluation;
- an Evaluation and Impact Assessment of finished projects under the Industrial Materials and Technologies (IMT) programmes, the Measurement and Testing/Standards, Measurements and Testing (SMT) programmes and the Transport programme;
- an Impact Assessment of the EU-US Science and Technological (S&T) Cooperation Agreement;
- an Intermediate evaluation on project-completion monitoring and assessment of SME RTD projects;
- an Assessment of the industrial impact and commercial success of the AIR programme in the area of biomaterials and green chemicals (non-food);
- a Mid-term assessment of the sub-action 'Support for the Development of Science and Technology Policies in Europe'
- an Impact Assessment of the Non-nuclear Energy Programme.

New operational-level evaluations that started during the year include an Impact Assessment of Marie Curie Fellowships and an Impact Assessment of the EU-China S&T Co-operation agreement. Finally, work began in October 2003 on the mid-term review of the effectiveness of the New Instruments – Networks of Excellence and Integrated Projects, used in implementing the 6th Framework Programme. The evaluation is foreseen to conclude in June 2004.

6.1.3. Key evaluation findings and action taken/follow up planned

The sheer breadth of Community research activities and as a consequence the range of different evaluations, makes it impossible to single out just one study or set of findings, full details of which are contained in Annex 2. The closest to be found is the report of the 2002 Framework Programme Monitoring Panel (FPMP), which gives an integrated overview of all the activities and main

findings from the 2002 Monitoring Exercise and of previous exercises 1999-2001. Key recommendations were: Dissemination of coherent information on the 'New Instruments' of the 6th Framework Programme; better definition of the role of advisory groups especially regarding strategic planning and implementation; promotion of a better coordination concerning co-financing of large infrastructure facilities; a closer link between human resource management and the ABM process; address urgently the crucial problem of dissemination of research results; adoption of a systematic approach to improve the impact assessment; continuation of implementation of the Action Plan for supporting Candidate Countries (targeted actions, information); rethink the approach concerning participation of SMEs; replacement of the four year period of RTD Framework Programmes by a seven year length; reconfiguration of the monitoring system.

As with previous years, great effort has been directed at the process of following-up and, where appropriate, responding to the recommendations made in the Annual Monitoring exercise. The key features of this are: a written reply with commitments made by services to follow-up the respective panels' recommendations; attention of senior management to the follow-up process, achieved through inter alia agenda items in the Director's meeting as well as regular discussions and reviews of progress in the different services at the interservice group meetings.

6.1.4. Main lessons learned from evaluation and use of evaluation findings in decision making

In general, evaluation findings and recommendations (as listed in detail in Annex 2) have confirmed the direction, relevance and impact of Community research activities, the need to develop or reorient activities and the need to improve some aspects of implementation and evaluation including better means to integrate the results of evaluation in the policy and priority setting process.

In order to best exploit the overall sum of evaluation results, it is planned that the results of the previous five year's research evaluation exercises will be fed into the forthcoming Five-year Assessment (1999-2003).

At a more general level, unit RTD-04 is finalising the work on a database of evaluation reports and other related information sourced both from within the Commission and from Member States. The information system that is produced will provide a valuable support for both the planning of future evaluations and better use of evaluation results.

6.1.5. Other activities carried out in relation with evaluation

During the year a strategy for future evaluation of Community-funded research was prepared and discussed internally. The need for change is underlined by a series of major developments that have impacted on European research policies and activities, including: the Lisbon strategy; the development of the European Research Area; introduction of the 6th Framework Programme; the enlargement of the European Union; new means for strategic planning by the Commission; the introduction of *ex ante* Impact Assessment and overall, the requirement for greater transparency and accountability. In addition, the report of the 2002 Framework Programme Monitoring Panel recommended a more extensive and integrated approach to impact evaluation and revision of the Annual Monitoring exercise to better meet the needs of programme management and other stakeholders.

In light of the new context, some significant modifications to the research evaluation system are now planned for 2004. The first will be the introduction of a revised format to Annual Monitoring, which integrates a lightened form of the current panel-based monitoring with a follow-up of the Annual Management Plan of DG RTD. The next step, already prepared for the 2004 Annual Management Plan of DG RTD, will be the setting-out of a more integrated and multi-annual approach to impact evaluation, scheduled to lead up to the major periodic assessments of Community research, such as the current Five-year Assessments.

Work in support of the forthcoming Extended Impact Assessment for future Framework research also got underway during the year. Steps have been taken to form an integrated approach which brings together contributions from relevant services.

At the European level, research evaluation activities were supported through the continuing work of the European Evaluation Network. Composed of evaluation experts and/or representatives of RTD evaluation or policy systems from Member States and associated states, the network is managed by unit DG RTD-04. Biannual meetings are usually hosted by the EU Presidency country. This year meetings were held in Athens in June and in Trento in October, which in the case of the latter was linked to an external conference on Regional Foresight and Assessment. The purpose and aims of the Network are underlined in the move towards realising a European Research Area.

During the year efforts were made to strengthen international contacts in the field, in particular with nations such as Japan and Korea and also through the recently established Washington Research Evaluation Network (WREN), which offers the potential to develop into a worldwide evaluation network.

6.2. Direct Research

6.2.1. Organisation of the evaluation function

Until the end of October 2003, the evaluation function of the Joint Research Centre (JRC) was located as a sector within the unit 'European Research Area, Innovation and Evaluation', which belonged to the Directorate for Science Strategy. Since the 1st of November, an evaluation unit was established within the newly created Directorate for Programme and Resource Management.

In 2003, various working groups dealing with evaluation-related matters (e.g. user surveys, benchmarking) were merged into a single JRC internal evaluation network. This has led to an efficiency increase in internal evaluation-related communication, and the network holds several meetings/video-conferences per year. In addition, there are almost permanent bilateral contacts between the staff in Brussels and in the JRC institutes. The evaluation function, the internal audit unit and the Total Quality Management group exchange a lot of information concerning methodologies, experience with surveys, definition of indicators etc.

Evaluation reports are being discussed at the level of the JRC internal evaluation network and with JRC management. Action plans devised by the evaluation function together with the internal network serve to initiate follow-up activities in the wake of an evaluation. Furthermore, evaluation-related matters are regularly on the agenda of the JRC's Directors' and Board of Governors' meetings.

The JRC evaluation function fulfils the requirements set by the Commission's new "Evaluation Standards and Good Practices", and the evaluation website that is presently under construction will allow for greater external transparency. In addition to the activities implemented by the evaluation function, several laboratories of the JRC have been ISO-certified. This involves regular inspections and controls by an independent body of procedures and standards.

6.2.2. Overview of the evaluation projects carried out and launched in 2003

- *The Annual Monitoring of the implementation of the Framework Programme*

In line with obligations stemming from the Community Research and EURATOM Framework Programmes, the Annual Monitoring exercise is carried out by the JRC's Board of Governors on the basis of the Annual Report. The evaluation function facilitates communication of the results to the overall Framework Programme Monitoring Panel.

- *The Five-year Assessment*

The Five-year assessment is carried out in fulfilment of obligations stemming from the Community's Research and EURATOM Framework Programme. It involved a 17-persons strong high-level expert panel and assessed the implementation of the JRC's multi-annual work programmes 1999-2002 and 2003-2006. Being a mid-term evaluation, it also focussed on how the JRC is prepared to implement the remainder of the present multi-annual work programme'. The conclusions and recommendations of this evaluation will feed into the JRC's preparation for its Specific Programmes under the 7th RTD Framework Programme. The fieldwork was carried out between October and December 2003, and the final report is expected in the first quarter of 2004.

- *'Internal Evaluation' exercise*

In 2003, the JRC ran its first 'Internal Evaluation' exercise, which characterised the outputs of the JRC using a set of indicators across all JRC projects.

- *User Satisfaction Surveys*

There had been institute-individual user surveys in the past. In 2003, the experiences and methodologies were integrated and the first corporate 'User Satisfaction Survey' was run. The survey was organised as a two-tier exercise addressing users of the Commission on the one hand, and users external to the Commission on the other.

6.2.3. *Key evaluation findings*

a) *'Internal Evaluation' exercise*

In 2003, the JRC succeeded to link large parts of its set of corporate Key Performance Indicators (KPIs) with research project-based output indicators. To this end, a pilot study was launched, which consisted of mapping project outputs onto a set of evaluation indicators. These allow for both, characterisation and evaluation of research projects. The exercise was performed on 2002 data and allowed for a project ranking that can be used in the future for more evidence-based priority setting.

It is planned to run this exercise on an annual basis, to derive a large part of the JRC's KPIs from it, as well as to evaluate and characterise the JRCs output in a systematic manner in the following years.

b) *User Satisfaction Survey*

The user survey fed directly into the Five-year Assessment. The survey also led to an action plan addressing identified areas of concern at the level of user data base- and project management.

6.2.4. *Lessons learned from evaluation*

An important objective in the definition of the JRC evaluation portfolio was to devise a complementary set of tools and methodologies that allow:

- to characterise and evaluate the outputs and performance of the JRC in terms of effectiveness and efficiency, and
- to make use of the results not only for evaluation and management decisions, but also to integrate them into the JRC's and the Commission's management and reporting procedures.

These two goals were achieved, and more streamlining can be expected in the years to come.

The 'Internal Evaluation' exercise is innovative, in so far as hardly any other research organisation analyses their outputs in such a systematic way.

Finally, with the increase in staff and the creation of the internal evaluation network, a qualitatively better and more efficient management of the JRC evaluation activities has become possible.

6.2.5. *Other activities carried out in relation with evaluation*

As the JRC spends considerable effort on the development of indicators, frequent demands by other DGs in that matter were noticed.

The JRC evaluation function is part of the steering committee in an evaluation exercise of DG SANCO's Food and Veterinary Office (FVO), addressing the prioritisation of the FVO's inspection missions.

The JRC participate also part in the steering committee of the 'Strategic Evaluation on the Integration of Sustainability Dimensions into Commission Policies', which is led by the Commission's Secretariat General. Moreover, the JRC is involved in the Commission inter-service groups on Extended Impact Assessment and the follow-up of the 'Göteborg strategy'.

7. EVALUATION IN THE FIELD OF INFORMATION SOCIETY

7.1. Organisation of the evaluation function

In the context of a reorganisation of the Information Society DG (DG INFSO) in late 2002, a new Directorate 'Strategy and Policy Co-ordination' was established. The evaluation function is located in this Directorate with a mandate to co-ordinate evaluation and monitoring of all programmes, actions and policy initiatives. It reports to the Director for 'Strategy and Policy Co-ordination' and then to the Director General. The evaluation unit also co-ordinates evaluation activities with those of other services, notably with DG RTD, DG BUDG and the Secretariat General, as well as with Member States.

The current staff situation has proved sufficient to co-ordinate evaluations across all the DG's activities and to ensure substantial compliance with the new "Evaluation Standards and Good Practices" that entered into in force July 2003.

7.2. Overview of the evaluation projects carried out and launched in 2003

Five evaluation projects were completed in 2003, of which three have been carried out to meet formal requirements: the mid-term evaluations of the *eContent* programme, the final evaluation of the Safe Internet Action Plan and the final evaluation of the PROMISE programme. The evaluation reports regarding the *eContent* programme and the Safe Internet Action Plan have already been published. The findings and recommendations have been taken into account in the implementation of the final 2 years of these programmes and used as main input for ex ante assessments supporting proposals for follow-up measures. The final evaluation of the PROMISE programme will be published in early 2004. The PROMISE programme supported developments of the Information Society from 1998-2002. The recommendations from the evaluation will be taken into account in a new programme under the title MODINIS, which will support the *eEurope* Action Plan to the end of 2005.

In addition to these three programme evaluations, an external evaluation has been completed of the Information Society Technology (IST) Event – the annual conference and exhibition which brings together participants in Information Society Research and Technology Development. This evaluation has identified how such events can be more effective and less costly in the period 2004-06. Finally to be mentioned under completed projects is the 2002 external Monitoring and Assessment of the Specific Programme for Information Society Technologies (IST) in the context of the RTD Framework Programme (FP).

Two further major multi-annual evaluations were initiated in 2003 and will be completed in 2004: the mid-term evaluation of the support to Trans-European Telecommunications Networks (*eTEN*) and the Five-year Assessment of RTD activities. The *eTEN* evaluation has been designed and external contractors have been selected. The evaluation will review the effectiveness and impact to date, and will assess options for the further implementation of measures in 2004-06 in the context of the Growth Initiative, and in the light of the new decisions on the level of financial support to trans-European Projects. The Five-year assessment of support to Research and Technology Development in the Framework Programme will also be carried out in 2004. As a contribution to it, an external evaluation of support to IST Research and Technology Development has already been

designed in 2003, the supporting measures are in place and a panel of independent experts has been identified. They will evaluate the effectiveness and impact of activities and assess options for the future – both in the completion of the 6th FP in 2005-06 and for the 7th FP beyond 2006.

In 2004, the internal continuous and systematic monitoring of IST RTD implementation will be validated by an external panel of experts. The mid-term review of the *eEurope* Action Plan, currently underway, will be completed. Proposals for re-orientation will be subject to an ex-ante evaluation and impact assessment. Finally, an Extended Impact Assessment of options for interactive digital television standardisation and the ex ante assessment for re-orientation of *eEurope* 2005 Action Plan will also commence in 2004.

7.3. Key evaluation findings and lessons learned from evaluation

The key findings and recommendations of each evaluation completed are described in the fact sheets of Annex 2. In general, the external evaluations have confirmed the value and effectiveness of actions taken in the area of Information Society. They have confirmed that the *eContent*, *Safe Internet*, and *eEurope* action support remain relevant despite a rapid evolution in technologies and societal use of them. They have confirmed that these actions provide valuable network effects and help ensure greater coherence across the EU.

The main lessons learned from evaluation activities in 2003 are that evaluation must still be strengthened at the earliest stage of policy development. The discipline of evidence-based evaluation of policy options will allow objectives to be better defined and a greater consistency between objectives and resources to be assured.

Evaluations have also re-emphasised the importance of wide consultation – beyond the potential immediate beneficiaries of actions – as Information Society development have an increasingly pervasive impact on society and growth.

While evaluations in 2003 have generally confirmed the value of each specific action and programme, they have also illustrated the need for greater coherence and synergy between them. One of the evaluative studies launched in 2003, concerning the contributions of the EU Information Society policy and programmes to the Lisbon and Sustainable Development Strategies, will help identify where synergies between actions can be better realised.

7.4. Other activities carried out in relation with evaluation

The evaluation unit was also involved in a number of monitoring activities completed in 2003. These included monitoring of the implementation of IST RTD, the 1st and 2nd IST call of proposals for evaluation as well as of proposals for Research Infrastructures and the monitoring of the evaluation of proposals for *eTEN* actions. To strengthen IST monitoring, sets of indicators for continuous and systematic monitoring of the 23 strategic objectives in the IST work programme for 2003-2004 were initiated in 2003 and will be further developed in 2004. Furthermore, an analysis of the instruments used in the IST programme was carried out in 2003 via case studies. This should allow improvements in the use of the new instruments in 2004.

A number of other studies are to be launched at the end of 2003 and at the beginning of 2004. These include a preliminary analysis of the contributions of the EU Information Society policies and programmes to the Lisbon and Sustainable Development Strategies, the monitoring strategy and requirements for IST-RTD in the 6th FP, the evaluation of Networks of Collaboration between Participants in IST Research and their evolution to Collaborations in the European Research Area (ERA) and the analysis of impacts of Benchmarking and the *eEurope* Actions in the Open Method of Co-ordination.

A further three studies are planned in 2004 in support of a future ex ante evaluation of options for development of a competitive, dynamic and sustainable Knowledge Society (2006-2013), the

further development of a European Research Area for IST and of mid- to long-term impacts of IST-RTD for selected strategic objectives.

8. EVALUATION IN THE FIELD OF ENTERPRISE POLICY

8.1. Organisation of the evaluation function

In May 2003, the evaluation function in the Enterprise DG (DG ENTR) migrated from the unit 'Development of Enterprise Policy' in Directorate A (Enterprise Policy) to the unit 'Strategic Planning and Management' that is part of Directorate R (Management and resources). This move was made in order to group horizontal standard-related teams (evaluation, APP/ABM, ex-post control, internal control standards, mini-greffe, and the central mail handling and archiving service) in one unit, whose mission is to promote Activity Based Management and to generally enhance the effectiveness of management in the DG.

In organisational terms evaluation activities in the Enterprise DG can be described as “de-centralised”. The operational units are mainly responsible for preparing and managing all evaluations that are not horizontal. The role of the evaluation function and of the operational units is laid down in detail in a specific Evaluation Charter for DG ENTR that was endorsed by the Director General in June 2003. The Charter stipulates that the role of the evaluation function is to provide support, through the evaluations, in the formulation of policies and programmes and also in the management process. The detailed role of the evaluation function has been defined in the Charter in conformity with the new 'Evaluation Standards and Good Practices' of the Commission. In addition, DG ENTR has adopted a new set of internal evaluation guidelines, in conformity to the Evaluation Standards and Good Practices, and published these on the internal DG web.

Since February 2003 the evaluation function in DG ENT is using an MS Access-based database to track the progress of evaluation projects and to follow-up on the use of evaluation results after their completion.

8.2. Overview of the evaluation projects carried out and launched in 2003

DG ENTR's evaluation plan for 2003 included 8 evaluation projects that started in 2002 and were carried over to 2003. All these projects have been completed:

- Annual monitoring 2002 of the Innovation and SME programme (5th RTD Framework Programme);
- Evaluation of CORDIS and printed publications for the Innovation and SME programmes;
- Evaluation of the Action to promote the development of the Mutual Guarantee Schemes;
- Evaluation of the EU-Japan Centre for Industrial Co-operation;
- Evaluation of the system of European Technical Approvals (ETA);
- Mid-term evaluation of the Multi-annual Programme for Enterprise and Entrepreneurship 2001-2005;
- Evaluation of the TICQA Database on Conformity Assessment;
- Evaluation of the Standardisation in support of the eEurope Action Plan.

6 new evaluation projects have been launched in 2003, of which the results will become available in 2004:

- Evaluation of the Dialogue with Third Country administrations and industries;
- Evaluation of the application of the Directive 95/16/EC ("Lifts Directive");
- Evaluation of the Commission Communication on the State of Competitiveness of the forested-based and related industries in the EU (COM (1999) 457 final);
- Final evaluation of the IDA II programme (Networks for the interchange of data between administrations);
- Final evaluation of the multi-annual Programme for Enterprise and Entrepreneurship 2001-2005;

- Evaluation of the Activities of the Observatory of European SME's.

Preparatory work has already started for 5 evaluation projects that will be launched in 2004: CREA Seed Capital Programme; Impact of the work of G10 Medicines; Implementation of the grant theme on Market Surveillance.

8.3. Key evaluation findings and action taken

The key findings and recommendations of the most important evaluations completed in the course of 2003 are summarised below:

a) Intermediate evaluation of Multi-annual Programme for Enterprise and Entrepreneurship (2001-2005), in particular for small and medium-sized enterprises (SMEs)

The main recommendations of this evaluation were:

- To review the further objectives in the annex to the Council Decision to ensure a better focus for the preparation of any new programme.
- To ensure that the annual work programmes be better focused so clear priorities are formulated with clear links to the global objectives, reflected in the project objectives, which should preferably be envisaged to lead to concrete outputs and results.
- To refine the objectives set for the projects, and that both specific and operational objectives are set at project level. Particular attention should be paid to setting the objectives and indicators designed to gauge the effectiveness of the projects. To consider establishing quality criteria established for objectives and indicators.
- To set up a short-term working group to create a model and a structure for project objectives and indicators, to be used in project fiches for future work programmes.
- To ensure that the final external evaluation of the MAP examines how the needs of beneficiaries are met by the programme and whether they should be more involved in the design of the projects.
- To improve the dissemination of project outputs/results.

Regarding action taken/follow up planned, a working group was set up which revised the project fiche structure of the annual work programme. Project fiches now include both specific and operational objectives at project level, and should ensure that projects now have a clear link to one or more global programme objectives. Criteria were established in a guide to enhance the quality of the indicators and particular attention was given to establishing meaningful effectiveness indicators. The final external evaluation of the programme will examine how the needs of target populations have evolved since the inception of the current MAP and thus to what extent it (or a successor) needs to be re-orientated, especially in view of the enlargement. Dissemination has been improved, for example by publishing the work programmes on-line. Finally the recommendations from this evaluation regarding the objective and indicator structure are also being incorporated in the design of the proposal for the successor programme to the MAP, which is currently on-going.

b) Pilot action to promote the development of Mutual Guarantee Schemes (MGS)

The main conclusions and recommendations of this evaluation were:

- Mutual Guarantee Schemes are local institutions by nature. The EC should avoid giving direct support to such bodies for reasons of subsidiarity as regions and local government are better placed to do so.
- The EC could give indirect support to MGS by disseminating best practice on this area.
- Special attention should be paid to Accession and Candidate Countries, where the need for MGS is particularly high as they can facilitate access to finance for SMEs.

Regarding action taken/follow up planned, DG ENTR will not launch any further pilot actions in this field. A study on best practices has been launched, of which the final report will be available at the end of 2004. In addition, a study on guarantees in, and training for managers of guarantee

societies from, Accession and Candidate Countries will be launched in 2004, after completing the relevant tender process.

c) TIQCA Database on Conformity Assessment

In its conclusions, this evaluation identifies and makes recommendations for two options concerning the future of the database: either to maintain TICQA or to cease public funding and terminate the database. Further decisions on the options available to the Commission will be taken in the near future.

d) European Technical Approval (ETA) System

The main conclusions/recommendations of this evaluation are designed to lead to a facilitation of the operation of the ETA system, to reduce delays and to improve the whole set of procedures leading to the elaboration of European Technical Approvals. They are addressed to the Commission services, to ETA actors and to the Member States. Though no final position has been taken at the time of writing this Review, it is possible that DG ENTR will incorporate some or all of these recommendations into the upcoming proposal to amend the Directive 89/106/EEC, and into the new Framework Agreement between the Commission and EOTA.

e) EU-Japan Centre for Industrial Cooperation

The evaluation conclusions confirm the overall relevance and effectiveness of the Centre. It provides useful operational and strategic findings and recommendations, both to the EU-Japan Centre and to the European Commission as a major funding body. Some of those confirm changes that were already underway, others have been or are planned to be implemented. In particular, a series of measures have been taken in order to improve the operational and management efficiency of the Centre itself (staff management, communication, marketing, data collection) as well as of specific programmes managed by the Centre. Other recommendations, requiring deeper structural modifications to the financing and legal structure of the Centre, confirm the necessity of some changes that were already underway but will be implemented on a longer term.

f) CORDIS and printed publications of the Innovation and SME Programme

The evaluation confirmed the relevance of CORDIS and its high-value to the RTD and Innovation community. Evaluation results indicate that the need for information in that area is high and that CORDIS is effective in responding to that demand. The evaluation includes a cost-benefit-analysis with good results for CORDIS. It also confirms the need to pursue the activity and provides a set of recommendations to increase its value, in particular in terms of improving its usability and navigability. It also indicated areas for improvement in the management of the contractors that have been integrated to the technical specifications of the call for tender to renew the 4-year contracts.

g) eEurope Standardisation Action Plan

Surveying different categories of stakeholders to the standardisation process confirmed that the main objectives of the eEurope Standardisation Action Plan have been met. The report recommends, however, improving some aspects of the implementation, to reinforce its visibility and to further encourage stakeholder participation, in particular end users and consumers. A more proactive approach from the Member States is also recommended. The evaluation suggests the set up a strategic framework for any successor programme as well as a set of ex ante indicators and benchmarks. Those will help improving the monitoring of the process and the measuring of performance, stakeholder satisfaction and cost-benefit. Indicators should also be integrated to the contracts with the European Standardisation Organisations.

The recommendations of the report will be followed-up to a large extent. In particular, it is envisaged to select proposals of funding on the base of pre-defined evaluation criteria, taking into account their relevance for eEurope and the expected impact. Member States will be more actively involved in the decision making process. Future contracts will be based on clear objectives and performance indicators, allowing for a better and more consistent evaluation of the results. In this respect, the report can be considered as very helpful to improve the efficiency of standardisation

work in support of the eEurope initiative. It is suggested to apply the learned lessons also to other fields of standardisation.

8.4. Lessons learned from evaluation

The key findings presented above and in the detailed fact sheets in Annex 2 show that the evaluation results confirm the relevance and value of some of DG Enterprise's evaluated activities. The findings and recommendations also resulted in different measures aimed at improving the way they are operated and managed, which will certainly result in an increased efficiency (MAP, EU-Japan centre, eEurope Standardisation Action Plan, European Technical Approvals System).

Furthermore, some of them set bases for more efficient monitoring and evaluation in the future, by defining indicators and benchmarks for future assessment of the execution of evaluated programmes and activities (MAP, eEurope Standardisation Action Plan, Final evaluation of IDA II).

As far as policy-making is concerned, evaluation results have already provided valuable input for the renewal of certain programmes and the adjustment or discontinuation of certain activities (MAP, ETA, MGS, TICQA database, EU-Japan Centre).

8.5. Other activities carried out in relation with evaluation

In addition to the evaluation activities on programme or policy level as outlined above, DG ENTR has completed in 2003 evaluations at project level (Grants awarded to Eurowindow and to the European Village) and several internal Extended Impact Assessments (Communication on European Tourism, Communication on the Integration of Environmental Aspects into Standardisation, Pack sizes in the EU). Further Impact Assessments were launched in 2003 but still on-going at the end of the year (Regulation on Human Tissue Engineering, Proposal for a new Regulation for Paediatric Medicinal Products) respectively under preparation (On-board diagnostic systems for passenger cars, new requirements relating to the emissions from two- and three-wheels motor vehicle).

DG ENTR was also associated at the strategic evaluations on EU financial support to SME's and approaches to integrate sustainability into Community policies, for which DG BUDG and the Secretariat General had the lead.

9. EVALUATION IN THE FIELD OF ENERGY AND TRANSPORT

9.1. Organisation of the evaluation function

The evaluation function in the Energy and Transport DG (DG TREN) is decentralised to the operational units with a strong co-ordination at the horizontal level as far as the planning and follow-up of evaluation is concerned. Operational units are responsible for the implementation of the individual evaluation projects, the relationship with the (external) evaluators and the validation of their reports and conclusions. The co-ordination is assumed by two officials working in the budget and evaluation cell that is part of the unit 'Financial Resources and Activity Based Management'.

This small team is in charge of establishing the annual and multi-annual evaluation plan/programme of DG TREN through planning, co-ordination and centralisation of proposals from operational units as well as for the transmission of evaluation results to the DG's hierarchy and to other stakeholders. It also participates in steering groups for evaluation projects and ensures an efficient use of the evaluation in the view of improved implementation of the different programmes managed by DG TREN.

The new Commission "Evaluation Standards and Good Practices" has given the opportunity to strengthen the evaluation function by using different means:

- An evaluation charter has been proposed to clearly define objectives and responsibilities within the services.
- Specific guidelines for carrying out evaluations will be set up so that it can be used by all operational units.
- Early in 2004, two multiple framework contracts for evaluation and impact assessment will be signed, rapidly offering the necessary expertise for a timely evaluation of activities.
- Several internal procedures are being reinforced and implemented. Evaluation, for example, will be included in the general procedures for managing contracts and grants.
- An internal network of representatives for each programme/budget line/directorate will soon become operational.
- Internal and external websites specific to evaluation will be implemented early 2004.

9.2. Overview of the evaluation projects carried out and launched in 2003

During the year 2003, 3 evaluation projects have been completed, of which two were carried over from 2002 (Galileo: Equity Plan Phase II, Impact Assessment of the 4th RTD Framework Programme relating to Non-nuclear Energy) and one that was initially not foreseen in the evaluation plan (Ex ante evaluation for the externalisation of the Intelligent Energy Programme). The most important results of these evaluations are presented in the chapter below and in the fact sheets of Annex 2. In addition, DG TREN has also contributed to the evaluation of the Technology Implementation Plans under the 5th RTD Framework Programme; a project that is also completed but was managed by DG RTD.

Several evaluations are currently still ongoing:

- The mid-term evaluation of TEN-Transport (draft final report under approval);
- The mid-term evaluation of the Intelligent Transport System in the road sector, which is part of the TEN-Transport (final report scheduled for end of 2003/beginning 2004);
- The evaluation of the communication and information activities of DG TREN (results will be available by April 2004);
- The mid-term evaluation of TEN-Energy (results will be available by June 2004);
- The ex post evaluations of the ALTENER and SAVE Programmes (results will be available by mid 2004 and February 2005 respectively);
- The evaluations of key actions funded in the area of 'Transport Safety' and 'Sustainable Mobility' (results of both will become available end of June 2004);
- The ex post evaluation of the sectoral objectives of the Campaign for Take-off of Rational Use of Energy (results will be available by mid 2004);
- The evaluation of the EU policy on the Transport of Dangerous Goods since 1994 (contract signed at the end of 2003 with results expected by mid 2005).

The initially foreseen evaluation relative to the Energy Charter activities has been cancelled following a cost-opportunity assessment, and the assessment of the usefulness of the virtual facilities development within 'ManagEnergy' as well as the evaluation of the project management of TEN-Transport have been postponed from 2003 to 2004. ManagEnergy is a Commission's initiative to promote co-operation between local and regional energy actors in Europe through workshops, study tours and online events on energy saving and renewable energy.⁴¹ This initiative resulted from the evaluation findings on the SAVE and ALTENER programmes, in particular the low dissemination of project results and the lack of communication between the local and regional energy actors.

⁴¹ See web site at: <http://www.managenergy.net/index.html>

9.3. Key evaluation findings and action taken

a) Galileo - Equity Plan Phase II (second phase of the ex ante evaluation of the Galileo Programme)

Galileo is a Global Navigation Satellite System (GNSS) promoted by the European Commission and the European Space Agency at a cost of about € 3.6 billion for the development (Phase I) and deployment (Phase II) of the system. EGNOS (European Geo-stationary Navigation Overlay System), that should be fully operational in 2004, is the first phase of the Global Navigation Satellite System (called GNSS 1), while the second phase is the Galileo programme and the actual launch of a new constellation of radio navigation satellites (GNSS 2).

The purpose of the evaluation was threefold:

- **Planning and implementing the Procurement Plan for Galileo Public Private Partnership (PPP) in the most optimal way:** The principal objective of a Public Private Partnership is to achieve “value for money” for the public sector by transferring appropriate risk and responsibility to the private sector.
- **Possibility of generating revenues by Intellectual Property Rights:** The Concessionaire could potentially generate license fees in connection with the copyright in software and software relating to the signal waveform. The objective was the assessment of the implications of the output of other European Commission work on Intellectual Property Rights protection for the revenue generating potential of the Galileo chipsets. It also considered other sources of additional revenue that may be open to the Concessionaire.
- **The optimal way to proceed with EGNOS (European Geo-stationary Navigation Overlay System) in relation to the GALILEO programme:** This work reflects the resolutions of the European Council on Galileo requiring an action plan to be presented for the optimal integration of EGNOS into the Galileo programme (covering technical, operational, financial and institutional aspects) as soon as possible and not later than the end of 2003. The analysis focused on the EGNOS procurement programme, the implications for the Galileo business case and the benefits to both programmes of the preferred integration solution.

The key findings and recommendations of this evaluation project are:⁴²

- **Regarding the planning and implementing the Procurement Plan for Galileo Public Private Partnership (PPP) in the most optimal way:**

For a successful concession to be elaborated, the private sector must be able to influence and control the specification, design, procurement, financing, commercialisation and operation of the infrastructure. It is recommended that a “Public Sector Comparator” be drawn for Galileo, to quantify the costs and revenue generating potential of undertaking the project under public sector control. It would provide a benchmark against which to measure the overall benefit of private sector bids for the PPP and consequently improve the public sector negotiating position. The Public Sector Comparator will create an additional incentive for bidders to offer competitive solutions to the PPP competition.

⁴² The final report entitled 'Galileo: Support the development of a business plan Phase II' became available in January 2003 and the executive summary has been published on the web site: http://europa.eu.int/comm/dgs/energy_transport/galileo/doc/gal_phase2_exec_summ.pdf

- **Regarding the possibility of generating revenues by Intellectual Property Rights (IPR):**
Arrangements that facilitate revenue generation for the concessionaire will possibly need to be made by the 'Galileo Joint Undertaking', predominantly through contractual arrangements with third parties who generate relevant Intellectual Property Rights in the development phase. Given the clear 'value-added' in purchasing a GPS/Galileo enabled receiver compared to a GPS-only receiver, and consequently significant demand for the product, it is believed that a royalty on Galileo chipsets may be acceptable provided that its level is not too high (end-product too costly in comparison to a GPS-only product) and that chipset manufacturers are charged the same 'royalty' fee (so as to keep competition between them even).
- **Regarding the optimal way to proceed with EGNOS (European Geo-stationary Navigation Overlay System) in relation to the GALILEO programme:**
The outcome of the evaluation study has already been used in a Communication from the Commission (COM (2003) 123 final), adopted on 19 March 2003 and endorsed by the Council on 5 June 2003. Therein it is proposed to conceive a dual structure, based on the one hand on the GPS system amplified by EGNOS and, on the other, the Galileo system. The two systems would be fully interoperable and supply complementary information. It would further improve the reliability of the services provided by satellite radio navigation. EGNOS should be used both as a precursor to Galileo and as an instrument enabling Galileo to penetrate rapidly the market for the various satellite radio navigation services. To ensure that the services provided by EGNOS are fully co-ordinated with the future Galileo services, the best approach would be to place EGNOS under the control of the Galileo Joint Undertaking, created for duration of four years by Council Regulation (EC) No 876/2002 of 21 May 2002. The basic EGNOS system should receive public funding of € 33 million, from 2004 to 2008. The extension of EGNOS to other parts of the world should be promoted.

The Proposal for a Council Regulation on the establishment of structures for the management of the European satellite radio navigation programme of July 2003 offers to set up the Supervisory Authority which will be the successor of the Joint Undertaking (scheduled to break up at the end of the development phase) and it will be the owner of the entire satellite radio navigation system, including whatever may have been developed by the Galileo concessionaire during the deployment phase.

b) Externalisation of the Intelligent Energy Programme

In the mid-term evaluation of the previous Energy Framework Programme, it was recommended to externalise the day-to-day management of the programme, by creating an external agency in order to enable the person in charge of the specific work areas in DG TREN to devote more thought to strategic operations. DG TREN followed this recommendation and, before presenting the proposal to the Council and to the European Parliament, a cost-effectiveness assessment was carried out.

For this cost-effectiveness assessment, it has been assumed that two organisational options are open for a strengthened programme management:

- An **in-house scenario** assuming that all staff, current and newly recruited, will work in DG TREN.
- An **externalisation scenario** with the creation of an 'Executive Agency' that would have a staff partly through a number of transfers from DG TREN to the Agency and partly through staff newly recruited. In fact, the study included an analysis of the various externalisation alternatives and instruments. The main options for externalisation are: (i) network(s) of national agencies, (ii) administrative and technical assistance (ATA), (iii) Executive Agency. The study concluded that the latter option was preferable. This option is supported by the new Financial Regulation.

The main purpose of this study was to substantiate the policy decision regarding the above options (i.e. in favour of one or the other scenario or possibly in favour of an in-between scenario). The key figures are the following:

- The overall staff involved in the management should be of 68 people (composed by A, B and C grade). If the option of externalisation is taken, 38 people will be recruited as staff in the Executive Agency and 30 people will be working as staff of DG TREN.
- The cost comparison is for the period 2003-2006 (present value): € 29.01 million for the in-house scenario and € 27.72 million for the externalisation scenario (creation of the Executive Agency), of which € 15.66 million represent the cost for DG TREN staff and € 12.06 million the cost for the Executive Agency.

Finally, the externalisation scenario has been chosen for different reasons:

- The recommended solution is the less costly.
- The Executive Agency should ensure the recruitment of energy specialists with project managers and financial managers, and consequently it will represent a guarantee of higher level of performance in implementing the new “Intelligent Energy for Europe” Programme, with a better quality.
- The flexibility for human resources management should guarantee a better adequacy between required skills and staff competencies.

Overall, the future Executive Agency should have a technical profile with an aim to tighten the connections between the “Intelligent Energy for Europe” Programme and the communities of energy experts in the Member States. A Commission Decision (2004/20/EC), on the basis of the Council Regulation 58/2003, for the implementation of such an Agency has been approved on 23 December 2003.

c) 4th Non-nuclear Energy programme (THERMIE and JOULE)

The Non-Nuclear Energy programme, which received funding of almost € 1 billion, covered a very broad area, ranging from improving efficiency in the use of fossil fuels, to developing renewable energy technologies, to energy uses in transport, buildings and industries and on to areas such as modelling and strategic studies. The programme covered two main types of projects:

- Research projects – JOULE Programme – which were selected for scientific quality, with the technologies at a pre-competitive stage, and
- Demonstration projects – THERMIE Programme – where the objective was to show the commercial feasibility of a particular technology.

The programme is structured along four major themes: renewable energy sources, rational use of energy, fossil fuels and a much smaller modelling and strategy area.

The evaluation study had the objectives to better understand how to develop and operate future EU research and demonstration programmes and projects as well as to increase the transparency of EU activities, providing information to individuals, to researchers, and to industry as well as to the Member States, the European Parliament, and the European Commission, itself. The impact assessment tried to measure the degree of maturity of the research and demonstration projects at their completion to see how far research projects are from demonstration, to what extent research and especially demonstration projects are ready for market deployment, or when they will reach such maturity. The main outcome was:

- Almost half of the demonstration projects and one-third of research projects led to lower cost technologies compared to previous, similar applications.
- The programme resulted in a significant contribution to the development of EU leadership.
- Positive return on investments was expected from the partners in half of the demonstration projects and one third of the research projects.
- The co-operation between industry and RTD was strengthened as a result of the programme in more than 60% of the projects; industry provided half of the cost of demonstration activities.

The strongest message sent across through the impact assessment was the absolute need to integrate technical research and demonstration activities into the political, social and economic structures of the EU and of Member States. This has been specified in the following recommendations:

- The need to reorient and reengineer both projects and programme to participate actively in the social, economic, political, legislative, and especially commercial life of Member States and of the EU. Energy research is essentially a socio-economic activity.
- The need to build up the coherence and the identity of the programme so that value is added to the projects making that the sum is more than its parts.
- Putting in place, by programme management, a continuous improvement system which covers management processes from setting work programmes to undertaking impact analysis.
- Furthermore a need to examine the feasibility of project structures grouping sets of complementary research needs and ensure all projects have a strong external dimension.
- Finally, all projects should have explicit legal, tax, fiscal, commercial, publicity and political dimensions in both research and demonstration activities, as appropriate. The programme is to be published and results disseminated.

Results of this evaluation will be used as further input to define priorities for a future RTD Framework Programme in the field of non-nuclear energy.

9.4. Lessons learned from evaluation

The evaluation function of DG TREN has obviously improved and extended its efforts beyond the evaluation of multi-annual expenditure programmes to all activities. This approach needs to be further developed in the future.

Results from the ex post and intermediate evaluation studies are always taken into account in defining new policies/programmes, and those from the ex ante evaluations are very useful to facilitate choices among possible options.

The next planned improvements will focus on timing and quality of evaluation reports. As far as timing is concerned, the framework contracts for evaluation and impact assessment will become operational in 2004. This will allow DG TREN to recruit external expertise in a shorter period; a pre-condition to get timely results that could be used for decision-making. As for quality, the evaluation function will in the future be more systematically involved in the definition of terms of reference and in the steering groups for individual evaluation projects. Furthermore, internal training will be organised in a view to improve the quality of evaluation activities.

Finally, better communication between the evaluation function and the operational services will contribute to a better use of evaluation findings in the decision-making process. The internal network that will be set up should facilitate this kind of communication and strengthen the expertise on evaluation.

9.5. Other activities carried out in relation with evaluation

The DG TREN, being in charge of a minor part of the Research and Technological Development (RTD) Framework Programme, participates in the evaluation carried out by the Research DG (RTD). In particular, DG TREN contributed to the following evaluation activities:

- Methodological assessment of Technology Implementation Plans as a tool for impact assessment and evaluation (see fact sheet under the RTD section of Annex 2);
- The Five Year Assessment of the Research and Technological Development Framework Programme 1999-2003, for which preparatory work is already underway since 2002 but that will be finished in 2005 only with a final report to be used as giving the input for the proposal of a new RTD Framework Programme.

Other activities carried out in relation with evaluation are related to Extended Impact Assessments. During 2003, DG TREN worked on 4 Extended Impact Assessments related to the following areas:

- Directive on access to international rail passengers transports market;
- Regulations revising the 3rd air transport package;

- Revision of the regulation on computerised reservation system;
- Proposal for a Decision amending the TEN-T Community Guidelines and the TEN-T Financial Regulation (Decision n° 1692/96/EC). The final report of this Extended Impact Assessment is published as official Commission documents (SEC (2003) 1060 and COM (2003) 564 final).⁴³

Finally worth to be mentioned is the fact that DG TREN also carries out evaluations at project level that are not included in this Review (i.e. TEN project related to the international section Lyon-Turin).

10. EVALUATION IN THE FIELD OF EDUCATION AND CULTURE

10.1. Organisation of the evaluation function

The evaluation function of the Education and Culture DG (DG EAC) is characterised by a decentralised structure. The evaluation sector as part of the unit "Inter-institutional Relations, Coordination, Evaluation" reports directly to the Director-General and coordinates the evaluation activities at central level, while the services responsible for managing activities, programmes or actions prepare and carry-out evaluation projects relating to their working area.

The central evaluation sector has specific responsibility for ensuring the application of the Commission's "Evaluation Standards and Good Practice". To this end, in 2003 the evaluation sector was associated in a more systematic way with evaluation work, ranging from the design of evaluation projects to the quality control of the final reports, in line with the established procedures approved by the management board of DG EAC. With regard to these procedures, one important change occurred, namely the monitoring of follow-up measures stemming from evaluation findings and recommendations.

The procedure now in place obliges all services that have carried out an evaluation, after reception of the final evaluation report, to draft a "service document" in which they examine the conclusions and recommendations made by the evaluation and indicate what follow-up they intend to give, accompanied by a timetable for the implementation of corrective or other measures. The modification introduced relates not only to the structure of this document but also to the setting of deadlines for follow-up to be respected by the services. The evaluation sector of DG EAC delivers its preliminary opinion on the "service document" and takes care that this document is brought to the attention of DG EAC's management, with copy to the internal audit function. The main aim of this reinforced procedure is to improve the practical application of the Commission's Internal Control Standards, in particular Standard 23, which expressly requires the systematic follow-up of the conclusions of evaluation reports.

During 2003, the evaluation sector was closely associated with and has put considerable effort into the preparation of the new generation of DG EAC programmes for the period after 2006. In particular, it contributed to this preparatory process by:

- Providing a reference document on the structure of the ex ante evaluation reports that have to be presented together with the proposals for new expenditure programmes. This document integrates both the elements of ex ante evaluation as required by the Financial Regulation (and its Implementation Rules) and the specific aspects of the new Commission tool 'Extended Impact Assessment'.
- Providing services in the form of specific methodological support. A series of 10 workshops, managed by an external consultant, was organized of which the first cycle was devoted to the analysis of the relevance as well as of the internal consistency of programme objectives, while the second covered the review and setting of appropriate indicators. Furthermore, the methodological support also concerned specific questions and assistance for different aspects of

⁴³ Available at: http://europa.eu.int/comm/ten/transport/revision/doc/revision_1692_report_en.pdf

ex ante evaluation and impact analysis. The general aim of these activities is to improve the "evaluability" of the new DG EAC programmes post-2006, taking into account the critical comments that were made in the intermediate evaluations of the current programmes.

10.2. Overview of the evaluation projects carried out and launched in 2003

The year 2003 was marked by a large number of evaluation projects completed and newly launched due, on the one hand, to the need to finalise the intermediate evaluations of all major expenditure programmes of DG EAC and, on the other hand, by the need to anticipate several evaluation projects with a view to properly prepare the next generation of programmes for the period after 2006. Overall, DG EAC launched 22 new evaluation projects (15 external and 7 internal), of which some are already completed and included in the Review. 18 evaluations (15 external and 3 internal evaluations) were finished during the reference period. At the end of November 2003, DG EAC had 13 evaluations on-going and, for 2 further external evaluations, the selection procedure for an external consultant was well advanced so that contracts can be expected to be signed at the end of 2003/beginning of 2004.

All evaluations launched in 2002 and the years before are now completed with the exception of two. However, both of these are well advanced and results can be expected in early 2004. A draft final report for the evaluation of the linguistic impact of actions in the Socrates and Leonardo da Vinci programmes is already available, and the final version of the report should be available in February 2004. The evaluation results concerning the financial support granted to associations and federations of European interest (budget line ex A-3024) are expected for March/April 2004.

Compared to the initial evaluation plan for 2003, only two evaluation projects were postponed to 2004. On the other hand, two other projects were carried out in addition to those foreseen in the Plan, of which one is already finished (ex ante evaluation concerning a Commission proposal for a single framework for the transparency of competences and qualifications: EUROPASS).

A full list of completed and on-going evaluations managed by DG EAC can be found in Annexes 1A and 1B, respectively, of this Review.

10.3. Key evaluation findings and action taken

Due to the high number of evaluation reports completed by DG EAC in 2003, the text below can only deal with several cross-cutting findings. A more detailed presentation of findings and recommendations of the individual evaluation projects can be found in Annex 2.

The results of the individual evaluations show that the programmes managed by DG EAC are *relevant* insofar they respond to problems perceived and satisfy needs expressed by the beneficiaries concerned. The priorities and the political objectives defined at Community level are reflected in the general and specific objectives of the programmes. However, nearly all evaluation reports indicate a need to introduce greater flexibility into the legal instruments of the programmes and management methods with a view to incorporate more easily possible developments intervening in the various fields covered.

Regarding *effectiveness*, the programmes achieve in general their objectives as set. In particular, effectiveness was assessed as very good for the mobility activities, and the results are very largely appreciated by the beneficiaries. Also, the European added-value is strong, in terms of recognition of the cultural diversity and better comprehension and tolerance of these differences. However, as far as the conception of existing programmes is concerned, objectives are considered too vague and sometimes too ambitious compared with the budgets available and the actual capacity of the instruments to reach the target population, in particular those who have never taken part in trans-national actions. Furthermore, the lack of internal consistency between the different level of objectives (general or overall objectives, specific objectives and operational objectives) is also an issue in many evaluation reports. Another observation relates to the lack of appropriate indicators,

in particular in relation to the specific objectives - something what makes the monitoring and evaluation of programmes difficult. Finally, the lack of strategies for the valorisation of results concerning trans-national co-operation is mentioned in several evaluation reports. On these points, current programmes need to be adjusted and the new generation of programmes for the period after 2006 will fully incorporate the relevant findings and recommendations.

On *efficiency*, the results emerging from evaluations are generally positive, even if a whole series of operational recommendations are put forward in order to improve the efficiency of programme management. On the latter point, there is already progress underway at all levels (individual projects, management structures in the Member States and the Commission), starting from more systematic information on the programme, more accurate selection of the projects, improved administrative and financial management, and more systematic monitoring, audit and evaluation. However, 'bureaucracy' often appears in evaluation findings, in particular regarding procedures to be followed. The volume of information required for the presentation of a proposal and for accounting purposes is considered to be excessive. Tight deadlines, at all stages of procedures, are also criticised. An effort is clearly needed to lighten procedures (especially financial), not only in the context of current programmes but in particular within the preparation of the next generation of programmes.

More *specifically on EAC policies*, the absence of a link between vocational training and education is often mentioned as one of the major structural weaknesses of the two programmes concerned. This critical comment has been taken into account in the proposal for a new, post-2006 programme on Life-long Learning.

As far as the *follow-up on evaluations* completed in 2003, critical comments on aspects that can be improved have been duly taken into account during the discussions on the new generation of programmes after 2006. Specific workshops have already been held concerning, in particular, the question of the internal coherence and consistency of programme objectives and the ex ante setting of relevant indicators. In addition, special attention was given to the monitoring systems planned for the new programmes. It should be noted that conclusions from the mid-term evaluations of the main EAC expenditure programmes became available only very recently. This means that, in relation to the current programmes, it is not yet possible to completely assess how far recommendations made have actually affected the management of these programmes. Nevertheless, some services have already taken account of evaluation results for adapting certain management practices, especially those of a more operational nature.

10.4. Lessons learned from evaluation

Overall, DG EAC has noted the difficulty of evaluating programmes and activities that have too general or vague objectives and which are often, except at the operational level, not accompanied by indicators that allow an evaluation of the extent to which the objectives have been achieved. Although a particular effort was made to incorporate these aspects into the design of the new programmes, the issue is likely to recur in the ex post evaluation of the current programmes.

DG EAC has also experienced problems with the budget available for evaluation. Relatively limited amounts, for instance, not only discourage a good number of experienced experts in the field from tendering but also often lead to offers of limited quality. Internal reflections should be started on how to improve this situation envisaging, and could envisage the conclusion of a framework contract for evaluation activities to be managed by the evaluation sector of DG EAC. Such contracts are already used by a number of other Commission services, and DG EAC will be able to benefit from the experiences gained.

Regarding the design of evaluation, it is now clear that a limited number of evaluations were badly prepared, especially those that started in the years 2001 and early 2002. In 2003, significant improvements in the quality of the evaluation projects and the terms of reference preceding the

launch of calls for tender were achieved. In this respect, and taking into account the importance of a good design of an evaluation project in order to obtain evaluation reports that correspond to acceptable quality standards, the question needs to be raised whether these task should be fully taken over by the evaluation sector (naturally, in close cooperation with the operational services concerned).

Despite progress achieved within the operational services, it is still the case that basic evaluation concepts are not always known and used by the staff in charge of preparing and managing evaluation projects. In this respect, the evaluation sector needs to reinforce the training activities, either by developing own specific course or using the facilities available in the context of the general training policy of the Commission.

Within DG EAC, it has been noted that the shared responsibility between the evaluation sector (providing methodological support and looking at the overall quality of evaluation projects and reports) and the units responsible for the programme or action to be evaluated (which have to prepare and manage the evaluations as well as to implement follow-up measures) functions better where there is co-ordination across the policy domain concerned. Such co-ordination could be organised in a satisfactory manner for 2003 because several large-scale evaluations were started (intermediate evaluations of all current expenditure programmes as well as ex ante evaluations/impact assessment of successor programmes for the period after 2006), but there is a risk that this will not be a permanent way of work since evaluation within the different ABB activities of DG EAC is not yet systematically co-ordinated.

Regarding the use of evaluation in decision-making, despite the great progress achieved within several operational services, it is still the case that the systematic use of evaluation results needs to be further strengthened. In this context, the modified procedure introduced in October 2003 (described in section 10.1 above) will certainly contribute to improve the situation as from 2004.

A particular effort is also needed for improving the use of evaluation results in the ABM/SPP programming cycle. In this respect, the link between the planning of evaluation activities and the programming cycle should be strengthened.

10.5. Other activities carried out in relation with evaluation

The evaluation sector of DG EAC was associated with several evaluation-related activities for which methodological support to other services was provided. It was also involved with the preparatory work concerning the launch of public stakeholder consultations on the future EU programmes in the fields of education, vocational training, youth and audiovisual policy for the period after 2006. The results of these consultations are intended to contribute to the ex ante evaluations/impact assessments of these programmes. The evaluation sector already contributed to several preliminary impact assessments in these areas as well as to certain studies in the field of culture and language.

11. EVALUATION IN THE FIELD OF FISHERIES POLICY

11.1. Organisation of the evaluation function

The evaluation function of the Fisheries DG (DG FISH) was established in April 2001 as part of the unit in charge of "Audit and Evaluation". Taking into account the human resources of the evaluation sector of the unit as well as the size and nature of the evaluation activities of DG Fisheries, a decentralised evaluation system was set up. In July 2003, an "Internal Evaluation Network" of evaluation correspondents, appointed by the units of the DG, was created in which the "Strategic Planning and Programming" (SPP) function of the DG and the financial unit are also represented. The objective of this Internal Evaluation Network is to improve the visibility of evaluation and to reinforce the evaluation activities in the DG. The evaluation function co-ordinates, supports and contributes to the evaluation activities of DG FISH through the Network.

Meetings are held regularly in order to inform the members on evaluation and impact assessment in the Commission and the DG. The Network had its first meeting in October 2003.

Also in July 2003, the evaluation function presented a first draft "Evaluation Charter" to the management of DG FISH. This Charter is based on the new Evaluation Standards and Good Practices of the Commission (SEC/2002/5267). It was discussed within the Evaluation Network in November 2003. A final version, taking into account the numerous accurate comments of the Evaluation Network was approved by the Director General in February 2004. Approval is foreseen by the end of January 2004. The Charter aims at clarifying and formalising the mission and objectives, the functioning and roles of the evaluation function in DG FISH. As these activities in DG FISH are carried out in a decentralised way, the Charter gives a clear repartition of the roles and competences of respectively the evaluation function, the operational and horizontal units, the SPP function of the DG and the Director General.

11.2. Overview of the evaluation projects carried out and launched in 2003

Most of the evaluations included in the evaluation plan of the year 2003 have been finalised, while one was still on-going at the end of the year:

- Intermediate evaluation of the Northwest Atlantic Fisheries Organisation (NAFO) Observer Scheme: Inspection and surveillance of Fishing activities/Observers (completed in April 2003),
- Ex ante evaluation on the proposal for amendment of Regulation 1543/2000 – Determination of environmental variables of interest for the Common Fisheries Policy capable of regular monitoring (completed in August 2003),
- Ex post evaluation of Council Decision 2001/431/CE on a financial contribution by the Community to certain expenditure incurred by the Member States in implementing the control, inspection and surveillance system applicable to the Common Fisheries Policy (completed in November 2003),
- Ex post evaluation of the Financial Instrument for Fisheries Guidance (FIFG) over the period 1994-1999 (still on-going with expected completion date April 2004).

The ex ante evaluation on the proposal for measures on the use of alien species in aquaculture (included in the evaluation plan 2003) will start in 2004 instead of November 2003.

In addition to these evaluations scheduled in the initial evaluation plan for 2003, several evaluation activities have been carried out outside the plan, of which one already resulted in a report of mid-2003 and for a second one, the report is will be completed in early 2004:

- Ex post evaluation of the Protocol 2000-2002 concerning the Fisheries Agreement between the EC and the Republic of Guinea, including an ex ante evaluation and impact assessment of a new Protocol for the period 2004-2007 (completed in June 2003),
- Ex ante evaluation and impact assessment of a possible Fisheries Partnership Agreement between the EU and Libya, including an analysis of the fisheries sector in Libya (completion date: January 2004).

Beyond this evaluation report, there were several projects for which evaluation work was carried out for the preparation of proposals but that work is not documented in form of specific reports for different reasons (small budgetary impact, main input came from ex post evaluation reports, etc.):

- Ex ante assessment of the Commission proposal (COM/2003/607 final) for a Council Decision establishing Regional Advisory Councils under the Common Fisheries Policy (completed in August 2003),
- Ex ante assessment of the Commission proposal (COM/2003/706 final) for a Council Decision concerning a financial compensation from the EU budget for Fisheries Control programmes of the Member States (completed in November 2003),
- Ex ante assessment of the Commission proposal (COM/2003/516 final) introducing a scheme to compensate for the additional cost incurred in the marketing of certain fishery products from

the Azores, Madeira, the Canary Islands and the French overseas departments as a result of those region's remoteness (completed in August 2003).

11.3. Key evaluation findings and action taken

The intermediate evaluation of the *NAFO Observer Scheme* examined the utility and cost-benefits of the scheme. The evaluation supported the policy of the Commission to transfer those tasks to the Member States, as proposed in the amendment of Regulation 3069/95 establishing a European Community Observer Scheme applicable to Community fishing vessels operating in the Regulatory Area of the Northwest Atlantic Fisheries Organisation.

The evaluation concerning *Council Decision 2001/431/CE* and its extension, has led to two main conclusions:

- Funding under the scheme established by this Decision had been directed in such a way as to address the most deficient means in fisheries control for each Member State, and
- The imbalance in Member States capacity for fisheries control purposes has not been completely solved and there is a certain scope for additional expenditure.

These findings will be used to draft a Commission report to the Council and to the Parliament and have already been used to propose a further extension of the scheme until the end of 2005. A thorough ex post evaluation will be undertaken after reception of Member State reports (deadline 31.12.2006).

Regarding the '*Compensation scheme for the additional cost incurred in the marketing of certain fishery products in the most remote regions of the EU*', a technical study carried out as part of the preparation of a new Commission proposal allowed identifying the reasons for such additional cost: different production and marketing conditions resulting from the remote situations of the regions concerned, large distance of these regions from EU continental and non-continental markets, permanent constraints as far as access to commercialisation places is concerned due to the absence of regional markets and higher transport cost. On the basis of these findings, the Commission has proposed to extend the regime that was already in place in the past.

11.4. Lessons learned from evaluation

The Evaluation of the *NAFO Observer Scheme* gives a good independent view on some policy areas and is a good basis for the development of future proposals or reviews.

Regarding the evaluation of *Council Decision 2001/431/CE*, apart from the general lesson that additional financial assistance to Member States for fisheries control purposes may still be granted, the evaluation has shown specific control means for which additional funding can be granted to help the Commission to establish priorities for funding.

Following the ex ante evaluation on the proposal for a Council Decision establishing *Regional Advisory Councils under the Common Fisheries Policy*, a number of indicators linked to the objectives of the proposal have been identified.

11.5. Other activities carried out in relation with evaluation

Apart from the evaluation activities mentioned above, several evaluation-related studies have been finalised or launched in 2003:

- The fishery sector in the Russian Federation: an overview and identification of potential future development opportunities”, carried out in a view of the possible conclusion of a Fisheries Agreement;
- Impact analysis of the Commission proposal (COM/2003/451 final) for a Council Regulation laying down measures concerning incidental catches of cetaceans in fisheries and amending Regulation (EC) N° 88/98;

- Study on the impact of the FIFG measures on the fish processing industry for the period 1994-1999;
- Methodological study on the identification of criteria and indicators for the evaluation of Fisheries Agreements;
- Feasibility study on "Joint Inspection Structures" (still on-going; expected completion at the end of August 2004).

The mid-term evaluation of the Financial Instrument for Fisheries Guidance (FIFG) over the period 2000-2006 is not included in this Review because the evaluation is carried out by Member States. A synthesis report (completed in March 2004) presents a quality assessment of the national reports and summarises the key findings of these mid-term evaluations.

12. EVALUATION IN THE FIELD OF HEALTH AND CONSUMER PROTECTION

12.1. Organisation of the evaluation function

Within the Health and Consumer Protection DG (DG SANCO), a de-centralised model for evaluation became operational at the beginning of 2002, with the objective to increase the use of evaluation and the usefulness of results from evaluations. The model consists of:

- A central evaluation section, being a part of the unit 'Audit and Evaluation' that reports directly to the Director General. This central section coordinates the evaluation activities of DG SANCO, develops and maintains the evaluation procedures and provides advice through the participation in all evaluation steering groups.
- An internal Evaluation Network representing the directorates of DG SANCO is in charge of the co-ordination of evaluations within the directorates.
- The operational units and directorates are responsible for the planning, organisation and follow-up of evaluations.
- A web-based 'Handbook' sets out the rules and procedures for organising and managing evaluations, with a focus on the key decision points of the overall evaluation process.
- Evaluation training for staff involved in evaluation is regularly organised.
- A system for monitoring of progress and reporting of evaluations as well as for the follow-up of recommendations from evaluations is put into place.

12.2. Overview of the evaluation projects carried out and launched in 2003

The 2003 evaluation plan of DG SANCO contained 10 evaluations projects, whereof 4 were carried over from 2002. By the end of 2003 the status of these projects is as follows:

- Three evaluations are completed: the intermediate evaluation of the Foodstuff Labelling, the evaluation of the Commission's Tobacco Prevention Media Campaign and the evaluation of Regulation 258/97 concerning Novel Foods and Novel Food Ingredients. The results will be analysed and action plans will be established as soon as possible.
- Two evaluations are still on-going with expected completion dates in July 2004 (Community Action Programmes on Public Health) and October 2004 (Evaluation of actions providing financial support for specific projects to promote the interest of consumer according to Article 2 c) of Council Decision 283/199/EC).
- For 4 evaluations, the preparatory work is done so that contracts with independent external consultants can be signed in January 2004. A further one is in the preparatory stage, and it is estimated that a contract with external consultants will be signed in April or May 2004.

The evaluation on Novel Food was mainly carried out internally, with an element of the evaluation outsourced to an external consultant. The final report is being drafted by the central evaluation section to support the objectivity of the evaluation. All other evaluation projects are contracted to external consultants, of which for two the Framework Contract for evaluation services from DG BUDG was used, while the remaining opens call for tender were drafted and published. In addition, DG SANCO was concerned by and involved in two evaluations commissioned by other DGs (DG AGRI and DG ECFIN).

12.3. Key evaluation findings and action taken

Since the three evaluations reported above were completed by the end of the year 2003 only, their results have not yet been analysed in detail. Nevertheless, the fact sheets in Annex 2 provide a very summary overview on findings and recommendations. A more detailed presentation of what concrete use is made of these evaluations will be included in the Annual Evaluation Review 2004. During 2003, follow-up actions have been taken on the basis of results from several evaluations from last year:

- *Network on Epidemiological Surveillance and Control of Communicable Diseases*: This evaluation was finalised at the end of 2002, and the results were analysed at the beginning of 2003 for the use within actions referring to disease specific networks under the new Public Health programme and for the setting-up of the European Centre for Disease Prevention and Control.
- *Euro Campaign* (evaluation managed by DG ECFIN): The evaluation report contains a number of general recommendations directed to the Commission Services concerning future information programmes and large-scale communication activities. DG SANCO has analysed the relevance of these findings for its own work.
- *Common Market Organisation (CMO) in the Sector of Raw Tobacco* (evaluation managed DG AGRI): The results are also relevant for DG SANCO since some of it can be used to improve the effectiveness of projects currently financed by the Tobacco Fund. In the medium term, however, according to the Commission proposal for a reform of the CMO for Tobacco, the Tobacco Fund will be phased out over the next few years alongside the intended changes of the overall support for tobacco production.

12.4. Lessons learned from evaluation

The following general lessons can be drawn from evaluation activities carried out so far by DG SANCO:

- The understanding by the operational management of evaluation and the required procedures is crucial for the establishment of a sound evaluation culture. This can be supported by training of staff and information meetings with the management.
- The active involvement by the operational management is crucial for achieving useful results of evaluations.
- It is important to develop a medium term (~5 years) evaluation strategy and a multi-annual plan to ensure a proper timing and coverage of the evaluation needs and requirements.
- Quality of evaluations is best ensured by a step-wise and focused procedure of quality assurance starting from the planning of evaluations until the implementation of evaluation results (as opposed to just controlling the quality of the final report).
- It is beneficial to have a close co-operation between the DGs, by exchange of good practice and working together in evaluation Steering Groups.

13. EVALUATION IN THE FIELD OF ENVIRONMENT POLICY

13.1. Organisation of the evaluation function

In the Environment DG (DG ENV), the evaluation function is integrated in the 'Strategic Planning and Evaluation Unit', reporting directly to the Director-General. The main tasks of the evaluation function are to co-ordinate and establish the annual evaluation plan and the multi-annual evaluation programme of the DG; to provide service, advice and training to the operational units; to represent the DG in internal Evaluation Network of the Commission and contribute to over-arching evaluation activities (i.e. the Annual Evaluation Review); to monitor the implementation of the evaluation action plan as well as to participate in strategic evaluations.

Internally, there is no established network of evaluation correspondents in DG ENV; however, ad hoc steering groups are set up to conduct individual evaluations. In the second half of 2003, the evaluation function made an assessment of the impact of the new 'Standards and Good Practices' for evaluation within the Commission. The level of compliance of the evaluation function and activities was found to be in line with the baseline requirements. This will also be the basis for preparing measures to reinforce and formalise day-to-day practices.

13.2. Overview of the evaluation projects carried out and launched in 2003

The 2003 evaluation plan of DG ENV included, firstly, 2 evaluations that started in 2002 but were still on-going at the beginning of 2003: The "Mid-term evaluation on the implementation of the LIFE financial instrument" was completed in July 2003, while the results of the "Interim evaluation assessing the implementation of the Community framework for co-operation to promote sustainable urban development" will not be available before June 2004. The results of a third one, the "Mid-term Evaluation on the Implementation of the Action Programme in the Field of Civil Protection", were already reported in the Annual Evaluation Review 2002 (see page 134 of Annex 2); the final report was finalised in January 2003.

Three new evaluations started in 2003:

- the "Interim evaluation of the implementation of the framework for co-operation in the field of accidental or deliberate marine pollution", scheduled to be completed by early 2004;
- the "Evaluation of the European Environment Agency", completed in August 2003; and
- the "Interim evaluation with an assessment of the Community Biodiversity strategy and the Biodiversity Action Plans", expected to be finalised by June 2004.

An initially planned evaluation on the experience of Member States with Genetically Modified Organisms placed on the market under Dir.2001/18/EC was removed from the evaluation plan since it was substituted by a study conducted by an external body that will serve as a basis for a Commission report to the European Parliament.

Apart from the three evaluations initiated in 2003 that will be continued in 2004 (see above), work has already started for all the evaluations planned in 2004 in order to improve timing and delivery of evaluation reports. In particular, the terms of references for the final evaluation of the "Civil Protection programme", involving a request for service using a framework contract for evaluation from DG BUDG, have been discussed and agreed by the operational unit and the evaluation function, before it was sent to the contractor. Furthermore, preliminary meetings have been held on evaluation methodology for: an evaluation of the "Community action programme promoting non-governmental organisations primarily active in the field of environmental protection", an "Evaluation of the role of EMAS and Eco-Label in fostering sustainable production and consumption" and for an "Evaluation of the IMPEL network".

13.3. Key evaluation findings and action taken

a) LIFE

Some common elements from all three components of the programme (Nature, Environment, Third countries) were identified:

- The lack of an appropriate communication strategy and the lack of dissemination of projects results affected replication and multiplier effects.
- The selection procedures and the management systems have been flagged by some stakeholders as areas where improved transparency is desirable.

Furthermore, the evaluation revealed that the contribution to policy development of LIFE Environment and LIFE Third countries (LIFE Nature focuses on implementation) was limited.

More specifically, *LIFE Nature* has proved to be necessary and highly effective in co-financing conservation projects linked with the implementation of the 'Birds and Habitats' directives. The impact of the programme is limited by the funding available, representing only a small portion of that estimated to be required for implementing 'Natura 2000'. An increased focus on co-operative projects facilitating the share of knowledge between conservationists could address the shortage of capacity in Europe.

LIFE Environment has proved to be effective at a local level in the demonstration of projects area (e.g. developing valuable novel clean technologies), but failed to have a major impact at Community level. There is also limited evidence that it supported preparatory actions to develop Community environmental policy. It is recommended to distinguish between dissemination and innovation projects, and to fund the latter at a higher level.

The findings and conclusions of the "Mid-term evaluation on the implementation of the LIFE financial instrument" were taken into account in the proposal for an extension of the Programme.

b) European Environment Agency (EEA)

The main findings from the Evaluation of the European Environment Agency are mostly in line with the ones coming out from the "*Meta-evaluation on the community agency system*" carried out by DG BUDG (see Annex 2), showing that the EEA shares problems common to other agencies. The central issues identified were the lack of a targeted communication and dissemination strategy, the relations with Agency stakeholders in particular the Commission and the Parliament, the need for a medium-term staff policy, organisational set-up, the role of the Commission on the Board of the Agency Board and the size of the Board. A follow-up action plan is being drafted and should be ready by December 2003.

c) Civil Protection

The evaluation of the Community Action Programme in the field of Civil Protection identified some key areas where action is needed: long term impact and influence of the programme on national procedures; focus and result orientation; dissemination of results and information on civil protection related areas, strategic planning; co-ordination and synergy with other civil protection instruments and related policies; participation of the accession countries; internal management of the programme.

13.4. Lessons learned from evaluation

2003 was a "pilot" year, in which the new evaluation policy of the DG was launched. Progress was made relative to 2002. Evaluation findings in 2003 have been used either as a basis for the renewal of the programmes (LIFE, Urban) or as a major input for the reviewing existing activities (Civil Protection, EEA). The main issues for DG ENV are to improve timing of the evaluations, to maximise the use of recommendations in the decision-making process and to reinforce the evaluation culture within the DG. Evaluations have been limited to compulsory evaluations in this

"trial" year. In 2004, additional selected evaluations will be included in the evaluation plan, and an overall and long-term approach to evaluation needs will be designed.

13.5. Other activities carried out in relation with evaluation

Among the other activities carried out in relation with evaluation, the following are worth mentioning:

- *Information about evaluation*

This activity already started in 2002 with information sessions on the newly adopted DG ENV evaluation policy, but was continued and further developed in 2003. The major challenge for evaluation activities is to be fully integrated in the policy cycle and in the daily work of the staff. The evaluation function has therefore made a significant effort to support that process. In particular, a specific Intranet website on evaluation, which is regularly updated, was created. Supporting documents are available to the operational units on a page "How to do an evaluation" providing general information on the organisation of evaluation; earlier evaluations reports; the assessment of implementation of the new Commission Standards for evaluation; information on the evaluation plan, strategic evaluations, the Annual Evaluation Review and an internal evaluation policy document. The effort to offer relevant information to operational units dealing with evaluations will continue in 2004.

- *Impact Assessment*

The unit 'Strategic Planning and Evaluation Unit' contributed to several Impact Assessment activities. For the first year of operation of the new Impact Assessment approach of the Commission, DG ENV carried out 7 Extended Impact Assessments on its proposals. In order to facilitate that process, policy approaches were regularly defined/updated and submitted to the DG management. Practical training and information were also developed for the units; ad-hoc help was granted on request. The conduct and appraisal of Impact Assessments represented a significant part of the unit activities in 2003 and are likely to do so in 2004.

14. EVALUATION IN THE FIELD OF JUSTICE AND HOME AFFAIRS

14.1. Organisation of the evaluation function

Compared to 2002, little has changed as regards the organisation of the evaluation function in the Justice and Home Affairs DG (DG JAI). It consists of a central function (one A-grade post) within the unit responsible for "Strategic Policy, Legal and Institutional Affairs" and an internal network of evaluation correspondents from operational units. The main tasks of the evaluation function are the following:

- Co-ordination and support of the evaluation activities of DG JAI;
- Follow-up of evaluations regarding decision-making by ensuring that the results/recommendations of evaluations are taken on board;
- Ensuring the application of the Commission 'Evaluation Standards and Good Practice', keeping abreast of developments in evaluation methodology;
- Preparation of the DG's Annual Evaluation Plan and the co-ordination, monitoring and support of its implementation;
- Contribution to the Annual Evaluation Review on the evaluation activities of the Commission, to cross-cutting strategic evaluations, to the Commission's internal evaluation network and the wider policy planning cycle;
- Leading on the Extended Impact Assessments to be carried out by DG JAI.

The *central evaluation function* of DG JAI is located in the unit "Strategic Policy, Legal and Institutional Affairs" in order to ensure close links between evaluation, monitoring and policy planning. A forthcoming restructuring of the DG will place this unit within a directorate devoted to General Affairs, which will include among others the units "Resources" and "Information and

Communication". The title of this new directorate will include an explicit reference to evaluation ("Strategic Policy, Evaluation and Institutional affairs"), to ensure visibility to the central function in the organisation chart, according to the Evaluation Standards.

The central function is supported by a *network of evaluation correspondents*, representing all operational units of DG JAI, while the Internal Audit Capability and the "Resource" unit take part as observers. The network meets on a bi-annual basis, in the first quarter of the year to prepare a contribution to the Annual Activity Report of DG JAI, and in the third quarter of the year to prepare the Evaluation Plan.

The central evaluation function is responsible for providing support and participating in key evaluation projects. Furthermore, it collates evaluation reports and ensures dissemination of results. The central function also ensures quality standards and feeds evaluation results back into the policy-making cycle. It also plans the DG's evaluation activities ensuring their relevance to the multi-annual strategic priorities.

The implementation of the new Commission's "Evaluation Standards and Good Practice" was discussed extensively by the internal evaluation network of DG JAI, which adopted an Action Plan at its meeting in February 2003. This Action Plan detailed the measures needed to comply with these Standards and allocated responsibilities. The central evaluation function reported to the Director General on the degree of implementation of the Action Plan in July 2003.

14.2. Overview of the evaluation projects carried out and launched in 2003

The Evaluation Plan 2003 of DG JAI has been almost fully implemented. The situation at the end of the year is as follows:

- Carry-overs from 2002: The ex-ante evaluation on the Role of Security, Legality and Transparency in Economic Development was finalised in June 2003. The mid-term evaluation of the ERF is nearly completed; results are already available and the final report should be approved soon. Furthermore, the preliminary (methodological) phase of a study on the evaluation of policies and legislation was completed in July 2003.
- Evaluations launched in 2003: The final evaluation of the Daphne programme, which has been launched in January 2003, is on the verge of completion, and the final report is expected by early 2004. There has been a slight delay in the launching of the second phase of the study on policy evaluation, which is now expected to start in December. The ex post evaluation of co-operation programmes (Oisin, Stop, Hippokrates, Grotius and Falcone), which was to be launched in November 2003, has been postponed to the first quarter 2004. This is due to the fact that the implementation of these programmes is still not yet finished. In addition to the evaluations initially foreseen in the Evaluation Plan 2003, the final evaluation of the EU Action Plan on Drugs, initially foreseen for 2004, has already been launched in April 2003. It has been decided to launch this exercise sooner than foreseen, given its complexity and the need to involve all relevant stakeholders.
- Forthcoming evaluations: Early 2004 will see the launch of the mid-term evaluation of the Framework programme on judicial co-operation in civil matters. The Migration Observatory and the preparatory actions on co-operation with Third countries in the field of migration will be priorities for the first quarter of 2004, along with the above mentioned ex-post evaluation of Oisin, Stop, Hippokrates, Grotius and Falcone.

14.3. Key evaluation findings and action taken

a) Role of Security, Legality and Transparency in Economic and Social Development

The evaluation study considered the rationale behind interventions in the field of security, legality and transparency, the relative conditions in the Acceding Countries as well as the experience of the relevant PHARE programmes and the Structural Funds. It concluded that there is a very strong case

for improving the conditions of security, legality and transparency in the Accessing States. The main findings are as follows:

- There is a strong link between security, legality and transparency and socio economic development. Without improvements in the former the development of some or all of the Accession Countries will be held back.
- Available data indicate significantly worse conditions with respect to security and legality in the Accession Countries compared with the EU.
- There have been positive benefits from the interventions under PHARE and the major Structural Fund programmes in Italy that were focused on security and legality. These include an improved effectiveness in the fight against crime, corruption and organised crime as a result of support for institution building, design and development of the strategies to fight crime and the training of law enforcement agencies personnel.

b) European Refugee Fund (ERF)

The main findings of the mid-term evaluation include:

- The continued relevance of the ERF and its measures of reception, integration and voluntary repatriation in terms of the evolving needs in the Member States, as well as the relevance of the distribution of funding between Member States to the overall ERF objective of promoting a balance in the efforts of the Member States in bearing the consequences of receiving refugees and displaced persons.
- A reported high level of goal attainment, with more than 90% of the projects considered that their objectives and planned results had been achieved. However, the complex management rules and very small amount of funds available implied that the general level of impact on the national policies in the areas of reception, integration and voluntary repatriation, as well as on harmonisation and burden sharing among the Member States, remained too limited.
- Identification of four main problems regarding the efficiency and effectiveness of management procedures: the one-year project duration; funding delays; excessive administration and bureaucracy; and inefficient management implementation in some Member States.

The recommendations put forward by the evaluation dealt in particular with process issues. They also recommend that the role of the Commission in the development of national strategies should be strengthened, in particular to establish a more relevant balance between support for immediate national priorities and support for activities likely to contribute to helping Member States to gradually meet their future obligations regarding harmonised legislation, policies and procedures in the field of asylum.

c) DAPHNE final evaluation

The main findings of this final evaluation of the DAPHNE programme are as follows:

- Regarding effectiveness, the evaluation concludes unambiguously that outputs and impacts of the programme contribute to achieving DAPHNE's objectives.
- Regarding efficiency, the outputs and impacts are impressive with regard to the resources allocated. This is, however, partly due to insufficiently accounted contributions in kind by the voluntary sector.
- On relevance, the programme is appropriate because it addresses the diversity of needs as regards violence against children, young people and women.
- Regarding sustainability, the impact was assessed as rather weak mainly because of insufficiently planned and targeted dissemination as well as difficulties in obtaining post-project funding.
- Concerning implementation of the programme, the clarity of the Daphne documents and the quality of the support from DAPHNE satisfy a large majority of project co-ordinators. Nevertheless, at selection stage and during the project, smaller NGO's suffer from administrative and financial procedures perceived as hard for them.

14.4. Lessons learned from evaluation

a) Role of Security, Legality and Transparency in Economic and Social Development

The conclusions of the study have been fed into on-going discussions with interested Directorates General and Acceding Countries regarding the use of Structural Funds 2004-2006. The study is also being used in the context of preparations for specific programmes in the area of Justice and Home Affairs to address a broad range of crime prevention measures, in particular in the Accession states and Candidate Countries, for the post-2006.

b) European Refugee Fund

The findings and recommendation of the mid-term evaluation are primarily being used in the context of preparing the draft proposal for the second phase of the European Refugee Fund (ERF), which should be adopted by the Commission in January 2004. In this context, the conclusions of the study were presented at the Conference organised by the European Commission on 30-31 October 2003 on the future of the ERF. The mid-term evaluation is also a valuable information source for an Extended Impact Assessment accompanying the draft proposal.

c) DAPHNE final evaluation

The findings of this evaluation will be an input to the final report on the DAPHNE programme that the Commission should submit to the Parliament and to the Council at the beginning of 2004. Most of the recommendations put forward in the report have already be incorporated in the design of the DAPHNE II programme. For example, a helpdesk to assist NGOs (especially from the new Member States) is planned to be set up.

14.5. Other activities carried out in relation with evaluation

In 2003, DG JAI continued to contribute actively to the introduction of Impact Assessments in the Commission. This has included, inter alia, issuing guidelines on identifying and measuring social impacts in the area 'Fundamental Rights and Crime-proofing' and carrying out three Extended Impact Assessments: on a Commission Communication on Immigration, Integration and Employment; on the Draft Framework Decision on Procedural Safeguards for Suspects and Defendants in Criminal Proceedings throughout the EU and on the Draft Decision on the European Refugee Fund.

Monitoring of the implementation of the 'Tampere mandate' has continued through a biennial update of the Scoreboard. DG JAI also ensured a continued participation in the Peer Review exercises organised by the Council in different areas (the 'Mutual Evaluation' exercises). Also within the context of the 'Tampere conclusions', establishing a European area of 'freedom, security and justice', an analytical framework for the evaluation of policies and legislation has been developed.⁴⁴ There is relatively little experience evaluating policies and laws: most evaluation carried out within the Commission, as elsewhere, pertains to programmes and projects. The main impetus for this methodological study is the need to prepare for a full evaluation of the 'Tampere Conclusions' in 2004. Firstly, the evaluation framework is being applied to two policy areas: asylum policy and judicial cooperation in criminal matters addressing in particular financial crime.

⁴⁴ http://europa.eu.int/comm/dgs/justice_home/coordination/evaluation/epec_final_report_en.pdf

15. EVALUATION IN THE FIELD OF TAXATION AND CUSTOMS UNION

15.1. Organisation of the evaluation function

Within the Taxation and Customs Union DG (DG TAXUD), the evaluation function is integrated into the unit "Strategy, political and economic forward studies, evaluation" within the Directorate "General Affairs". During 2003, the evaluation function exclusively concentrated on the internal evaluation of the programmes managed by DG TAXUD. All decisions regarding evaluation of these programmes are taken in co-ordination with the other Directorates in charge of programme management.

15.2. Overview of the evaluation projects carried out and launched in 2003

During the year 2003, two reports concerning the final evaluations of the FISCALIS and Customs 2002 programmes were established. Both evaluation projects, which started in 2001 and were completed last year, have been carried out internally by DG TAXUD. The results are presented below and in the fact sheets of Annex 2 to this Review.

Evaluation and evaluation-related studies foreseen for 2004 includes:

- The launch of a study (ex ante evaluation/Extended Impact Assessment) on the functioning of the external borders, taking into account modifications of the context (new Treaty, 25 Member States instead of 15, increase of risk regarding the exchange of goods and services between the EU and other countries) and the points of view of different Commission services (TAXUD, JAI, RELEX, etc.);
- An assessment of the impacts of the Intergovernmental Conference and the enlargement regarding the EU's objectives in the area of taxation;
- A comparative evaluation of different alternatives for financing the EU budget.

15.3. Key evaluation findings and action taken

The final evaluations of the FISCALIS and CUSTOMS 2002 programmes show that these programmes allow a better co-operation not only between Member States but also between Member States and the Commission through the creation of informal communication networks and informatics systems for exchange of information. The exchange of experience between Member States has contributed to improve the administrative procedures.

15.4. Lessons learned from evaluation

The succession of programmes and the evaluation cycles (in particular intermediate and final/ex post) needs to be well co-ordinated in order to guarantee that relevant findings and recommendations are incorporated into new programmes or used to re-orient their implementation.

15.5. Other activities carried out in relation with evaluation

Regarding other activities carried out in relation with evaluation, the evaluation function of DG TAXUD has started work on policy evaluation, i.e. beyond the classic evaluation of expenditure programmes, in line with the Commission orientations in this field. The evaluation function of DG TAXUD was also involved into work related to the two new programmes FISCALIS 2007 and CUSTOMS 2007 by identifying and defining appropriate indicators in view of a later evaluation. For this exercise, the expertise of an external consultant was used in the form of technical assistance. Finally, work on the terms of reference for the external mid-term evaluation of these new programmes has started.

16. EVALUATION IN THE FIELD OF ECONOMIC AND FINANCIAL AFFAIRS

16.1. Organisation of the evaluation function

Within the Economic and Financial Affairs DG (DG ECFIN), the year 2003 has seen the evaluation function become fully operational within the unit 'Interinstitutional Relations, Strategic Planning and Evaluation', situated within the Resources Directorate. A first external evaluation was completed in September, and a series of initiatives implemented in order to ensure that appropriate procedures and tools were in place so that the DG would be in compliance with the Evaluation Standards when they entered into force in July 2003.

A major element of these initiatives was the development of a multi-annual evaluation programme, involving an analysis of the DG's activities and consultations with services directly and indirectly concerned by the activities identified for evaluation. Accompanying actions to support this process were or are being implemented, notably an information visit to the Evaluation Office of the International Monetary Fund (IMF) and a market building exercise, with the respective objectives of learning from the evaluation experience of an entity with similar policy instruments and aims to the DG, and to increase the probability of receiving good quality responses to calls for tender.

A significant change has also been introduced in the way that evaluations are organised and managed within DG ECFIN. The evaluation function was initially conceived to operate in a decentralised mode, being responsible for the overall co-ordination of evaluations within ECFIN, for the design of the evaluation strategy, for providing support to units implementing evaluations, and, occasionally, for conducting in-house evaluations. A more centralised arrangement has recently been approved where the function now takes responsibility for the entire chain of activities in the case of external evaluations from the initiation to the follow up of the use of evaluations, with the objective of ensuring the coherence of the whole process. Procedures in respect to assuring the quality of ex ante evaluation (and extended impact assessment) are also being strengthened. In accordance with these changes, it is foreseen that staffing will be reinforced in the not-to-distant future.

16.2. Overview of the evaluation projects carried out and launched in 2003

The 2003 evaluation plan presented four evaluations to be launched or carried out in the course of the year. The PRINCE programme ex post evaluation was launched in January and the consultant delivered the final report at the end of August. Two ex post evaluations of Macro-Financial Assistance (MFA) operations (Serbia & Montenegro and Armenia) were the subject of open calls for tenders in July. The contract with the consultants for the Armenia evaluation was signed in December, somewhat later than originally planned. However, the Serbia & Montenegro evaluation was postponed when the call for tenders did not result in proposals of a sufficient quality. Finally, a partial quality control exercise of the DG's consumer and business survey activities took place in 2003 as a prelude to the full evaluation to be launched in 2004.

16.3. Key evaluation findings and action taken

The PRINCE evaluation found that despite the unusually disruptive change of Commission midway through the programme and the subsequent reorganisation of Commission services a key contribution was made to the provision of information by the programme, which facilitated the smooth introduction of the EURO. Sixty recommendations were formulated by the consultants with a view to improving the performance of future information and communication campaigns. A good number of these had already been adopted by the Commission services and incorporated into current strategy and practice, or addressed by the Reform. DG ECFIN's own information and communication strategy is being developed with due regard to the recommendations of the PRINCE evaluation.

16.4. Lessons learned from evaluation

The main lessons learned from evaluation activities in the DG in 2003 are largely of an organisational and managerial nature. The initial decentralised set up gave rise to a number of risks that were judged to be potentially significant vis-à-vis the attainment of the evaluation function's objective of promoting high quality and timely evaluation. As a consequence, a new centralised arrangement is being put into place with the aim of reducing these risks. In respect to the multi-annual programming of evaluations, the data available through the IRMS (a Commission internal data base system), close cooperation between the Strategic Planning and Programming (SPP) function and the evaluation function located within the same unit, and the solid input into the process of concerned services were factors of primary importance in ensuring the successful development of the programme.

16.5. Other activities carried out in relation with evaluation

DG ECFIN launched its first Extended Impact Assessment which was completed within a very tight timescale, with the evaluation function being involved in advising the concerned services throughout the process. With respect to activities outside the DG, the evaluation function and the relevant operational services have been closely involved in the preparation of the evaluation of the final evaluation of the Multi-annual Programme for Enterprises and Entrepreneurship, in particular for SME's (2001-2005), managed by the Enterprise DG (DG ENTR). The DG, through its evaluation function, has also provided inputs into some of the initiatives launched by DG Budget in 2003, in particular the development of the new evaluation guide and the specification of a revamped evaluation training course. Also in the area of training, the evaluation function is contributing to the running of "masterclass" workshops for impact assessment organised by the Secretariat-General.

17. EVALUATION IN THE FIELD OF COMPETITION POLICY

17.1. Organisation of the evaluation function

Within the Competition DG (DG COMP) evaluation is coordinated by the unit 'Strategic planning and Resources' but carried out by operational Directorates according to their needs. Since the DG has no spending programmes and no specific evaluation budget, its evaluation programme is a modest one.

17.2. Overview of the evaluation projects carried out and launched in 2003

The main evaluation activities within DG COMP in 2003 relate to the transposition of the Community 'acquis' in the area of state aid in the enlargement countries, the information policy of DG COMP and to the Commission's practice on remedies in cases assessed under the Merger Regulation. On the latter subject, an internal evaluation is still on-going, and the results are expected by the end of 2004.

17.3. Evaluation findings, action taken and main lessons learned from evaluation

As regards the transposition of state aid rules in the Acceding and Candidate countries, the results are summarized in and integrated into the 12 country reports established in the context of enlargement. Globally the situation is satisfactory in half of the Acceding countries, and further improvements are necessary in the other half. A detailed list of points to be followed up has been established in these reports.

On its information policy, DG COMP sees that a major marketing campaign is needed to promote the activities and products of the Information Services, and that there is a need to do more to develop its information and knowledge policy and strategy.

17.4. Other activities carried out in relation with evaluation

The DG has also conducted a lot of work in regard to its IT environment, with both an effort to develop new planning tools and a reflection on our IT strategy overall. Although included in the evaluation plan for 2003, this did not, strictly speaking, take the form of an evaluation and hence this project is not reported here in the Annual Evaluation Review.

18. EVALUATION IN THE FIELD OF INTERNAL MARKET POLICY

18.1. Organisation of the evaluation function

Following the Commission's Communication on evaluation from July 2000 (SEC (2000) 1051), the Internal Market DG (DG MARKT) has its own permanent evaluation function to conduct systematic evaluations of a selection of activities, policy actions, plans, programmes and initiatives. Within DG MARKT, the unit in charge of 'Economic analysis and evaluation' is responsible for application of the evaluation mandate, adopted by the Director General, and its internal operation. The unit also provides significant technical support and basic information on evaluation to operational units. Furthermore, it is responsible for examining final evaluation reports. There is an internal network of evaluation correspondents, one from each directorate in DG MARKT, established as part of that mandate. A major effort was done to meet the new Commission 'Standards and Good Practices for evaluation', and, in short, the evaluation function of DG MARKT will fully meet the required standard.

Due to the fact that DG MARKT does not manage many operational budget lines, ex ante evaluation activities as required by the Financial Regulation play a minor role, while the focus is on ex post evaluations and the new tool for ex ante assessments introduced within the context of 'Better Governance': Extended Impact Assessment. Within the precise context of DG MARKT, i.e. in the absence of big spending programmes, it makes no sense to distinguish explicitly between an ex ante impact assessment and an ex ante evaluation in the terms of the Financial Regulation. In order to avoid confusion amongst colleagues in the DG about the difference between both instruments, it has been decided to concentrate on the Extended Impact Assessment but, in case that it applies to a proposal that has significant impact on the EU budget, this tool will be widened so that also the specific aspects of an ex ante evaluation as required by the Financial Regulation are covered.

18.2. Overview of the evaluation projects carried out and launched in 2003

Seven evaluation projects were defined in DG MARKT's initial evaluation plan for 2003, which represents a significant increase over the previous year. Of these seven evaluations, two were carried over from 2002.

Four of the seven evaluations have been successfully concluded: one evaluation of DG MARKT's study programmes, one intermediate evaluation of Directive 98/71 (the "Design Directive") and two Extended Impact Assessments on the 'Services Directive' and the 'Reinsurance Directive'. The Extended Impact Assessments were conducted internally, the other two made use of external consultants.

Of the other three outstanding evaluations, one, the ex ante impact assessment of a possible extension of the scope of the 'Design Directive' is in interservice consultation. Another, the interim evaluation of the operation of Directive 95/46/EC on data protection has already been preceded by a first Commission report on the transposition of the 'Data Protection Directive' of May 2003. The responsible unit prepared in December 2003 preliminary draft terms of reference for an evaluation report which would focus on the Directive's economic and financial impact. Options for financing this evaluation are currently under examination and the evaluation will be launched as soon as possible. Finally, the third outstanding evaluation initially foreseen, the intermediate evaluation of the Internal Market Strategy was scrapped because the Strategy was re-launched in May 2003 with

a new approach and objectives, for which an evaluation is premature while an evaluation of the old Strategy makes little sense after this change.

18.3. Key evaluation findings and lessons learned from evaluation

In general, the findings from evaluations completed in 2003 confirmed the need for legal harmonisation in order to create properly functioning internal markets in different areas of the economy. The most ambitious (in terms of the size of the market targeted) initiative from DG MARKT - a Directive to establish an Internal Market for Services - was prepared by an impact assessment that found that not only is there is no functioning internal market in services but that only legislative action can create one. Furthermore, it was found that of all legislative instruments available, horizontal measures would be more efficient and effective than sectoral measures as services are highly interconnected and everywhere in the economy. Meanwhile, the intermediate evaluation of the 'Design Directive' confirms that harmonising design law within the EU is correct and identifies ways to improve transposition of the Directive. Similarly, impact assessment of the 'Reinsurance Directive' confirms the need to harmonise EU law on reinsurance supervision.

As for the efficiency of DG MARKT's own activities, the evaluation of its study programme came up with a number of recommendations on the way that the utility of external studies can be maximised.

Five general lessons have been drawn from the evaluation experience in 2003:

- The best way to select the most suitable approach for an external study is to establish a “study board” or to foresee a post specifically dedicated to provide technical advice for the preparation of the terms of reference.
- Greater effort and more care needs to be taken with the presentation and dissemination of evaluation results by the unit responsible for each concrete evaluation.
- Evaluations should be made of cases of particularly unsatisfactory transposition of Directives in order to identify what really caused the problems. Lessons learned should be shared with the management of DG MARKT.
- The Commission needs to consider adopting measures that improve the application of the principle of 'Mutual Recognition'.
- The use of external consultants in the preparation of evaluations should be the default position of MARKT services because they offer more objectivity and credibility in the eyes of the public.

18.4. Other activities carried out in relation with evaluation

A framework contract to carry out evaluation services for DG MARKT was launched in July 2003 and a tender committee selected the best offer received in October. In addition, DG MARKT launched in July 2003 a call for expressions of interest (AMI) to create a list of experts in the field of evaluation and impact assessment in the area of the Internal Market Policy.

To improve the level of awareness and training in evaluation and impact assessment in DG MARKT, two lunchtime training sessions inside the DG were organised. Furthermore, the highly experienced UK Cabinet Office's unit dealing with 'Regulatory Impacts' was present for a one-day training session for DG MARKT officials at the beginning of December 2003. All DG MARKT evaluation correspondents have been informed about these training sessions and encouraged to attend.

Finally, during 2003, DG MARKT created a web page specifically dedicated to evaluation and impact assessment and that is open to the general public.⁴⁵

⁴⁵ http://europa.eu.int/comm/dgs/internal_market/evaluation_en.htm#results

19. EVALUATION IN THE FIELD OF STATISTICS (EUROSTAT)

19.1. Organisation of the evaluation function

In accordance with the Commission Communication on evaluation from July 2000 (SEC (2000) 1051), EUROSTAT has created an evaluation function in 2000. This evaluation function is responsible for evaluation, or advice on impact assessment, regarding policies, programmes, quality of statistical data and EUROSTAT's activities in general. The evaluation function is directly attached to the General Director in the form of a sector.

19.2. Overview of the evaluation projects carried out and launched in 2003

The main evaluation activities of EUROSTAT during the year 2003 have been:

- An ex post evaluation of the Community Statistical Programme (CSP) 1998-2002;
- An exercise called 'Rolling Reviews', which is an internal evaluation of EUROSTAT's data-producing services; in 2003 reports were completed for the Labour Force Survey and for Trading of goods;
- An intermediate evaluation of the implementation of EDICOM II programme;
- An intermediate evaluation of the EU's Pre-Accession Instrument PHARE in relation to statistics.

An overview on the results of these evaluations is given below and in the fact sheets included in Annex 2 of this Review, which also contains fact sheets for two evaluations already completed at the end of 2002, but not reported in the Annual Evaluation Review 2002 because the results were not available at the time it has been drafted:

- An authoritative review of Agricultural Statistics;
- An evaluation of the co-operation with AFRISTAT.

An evaluation of tourism statistics, foreseen in EUROSTAT's Evaluation Plan for 2003, was replaced by an internal data quality report.

As far as the evaluation activities in 2004 are concerned, three further Rolling Reviews are planned to be undertaken in relation to study partners' satisfaction, users' satisfaction and costs for EUROSTAT and Member States.

19.3. Key evaluation findings and lessons learned/action taken

a) Community Statistical Programme 1998-2002

This evaluation was carried out with the aim to assess ex post the implementation of the 1998-2002 Community Statistical Programme (CSP). The *main findings* are:

- The implementation of the 1998-2002 CSP has to a large extent been achieved for all priority and current EU policies.
- Users are on the whole satisfied with EUROSTAT and its services.
- The planning and co-ordinations structures in the European Statistical System (CSS) are considered adequate.
- Assessment and monitoring of quality has improved.
- The CSP is considered as effective since it produces the required results. Its efficiency can not be assessed with the evaluation tools currently in place.
- Regarding the implementation of standards, European statistics have become more comparable with those of other areas of the world.
- It can not be ruled out that the total response burden has increased over the period due to new statistical requirements.
- The principle of subsidiarity has been respected by the 1998-2002 CSP.
- Regarding the balance of needs and resources, there were no sufficient additional resources allocated to the new priorities defined, and no statistical activities were given up.

- Evaluation and monitoring of progress have been substantially developed since 2000. Several external and internal evaluations led to recommendations, and according to the follow-up of improvement actions in April 2003, 70% of identified recommendations were implemented or in progress at this date.

The following *recommendations* are made in the evaluation report:

- Improve priority settings in the CSP;
- Reduce the time cycle of statistical processes;
- Rationalise statistical production;
- Find the appropriate method to work with 25 countries in accordance with the objectives of each domain;
- Identify and manage skills and knowledge at CSS level for the implementation of the CSP;
- Identify centres of excellence in the CSS in order to outsource statistical works;
- Revise the dissemination policy;
- Improve measurement of EUROSTAT's performance;
- Define a EUROSTAT Quality Assurance Plan.

b) Rolling Reviews

Evaluation *findings* differ for the different statistical areas examined. In 2003, the Labour Force Survey and Trading of Goods were reviewed, while the areas under review in 2002 were: the European Statistical System, Research and Development and Innovation Statistics, EU Household Panel and Statistics on Income and Living Conditions and National Accounts. Nevertheless, the evaluation reports have a few common points:

- A general problem is the large number of working groups, task forces and other committees through which the co-operation among EUROSTAT and the National Institutes of Statistics is organized. A number of recommendations are aimed at rendering more effective the decision making during the meetings of these working groups.
- All the evaluation reports find that there is a large scope for a broader contribution of national statistical institutes to the development of the European Statistical System.

Regarding the *follow-up of recommendations*, action plans have been established for some areas examined under the Rolling Reviews exercise, and implementation has been achieved for most of the recommendations. For other areas, the implementation status is currently under revision. Furthermore, the findings and recommendations from the Rolling Reviews have been incorporated into the ex post evaluation of the 1998-2002 Community Statistical Programme (CSP).

c) EDICOM II programme

This evaluation was carried out with the aim to assess the implementation of the EDICOM II programme. Its *main findings* are:

- The objectives of the 2001, 2002 and 2003 work programmes were coherent with those of the overall programme. The design of the programmes made it possible to share the activities efficiently between Member States and EUROSTAT. The expected results were clearly defined in most of the projects, facilitating their achievement monitoring.
- The implementation of the work programme has been particularly efficient, mainly thanks to the assistance of specific Working Groups. Progress has been achieved across a wide range of fields, from data collection to dissemination. Most of the projects managed to achieve significant results and many applications have been developed.

The following *general guidelines and recommendations* for the 2004-2005 programmes are made:

- Actions should be taken in order to ensure that the new Financial Regulation is strictly applied. Appropriate recommendations to the Member States should be provided by the Commission.
- Methods and tools developed should be made available to all the Member States and evaluated through appropriate means like seminars, workshops or guidelines in order to identify and promote best practices.

- The co-ordination of the different actions and their monitoring should be reinforced. The partnership with the Member States through “working groups” should be adapted accordingly.
- The consequences of the enlargement should be taken into account in both centralised and decentralised actions. A specific work plan for new Member States has to be prepared and the necessary resources should be available for its implementation.
- The priorities for the decentralised actions to be carried out by Member States, should be the implementation of the new Intrastat Quality requirements (coverage, timeliness, confidentiality, reporting) and the introduction of the new common methods and tools which have been developed as part of the programme.
- The reflection on whether to continue the EDICOM programme should start. A preliminary proposal by the Commission should be examined by the Intrastat/Extrastat Committee before the end of 2004.

d) PHARE Pre-Accession Instrument in relation to statistics

DG Enlargement has delegated the programming of MCP (Multi-Country Programmes) in statistics to EUROSTAT. The main finding of this evaluation, which was carried out with the aim to assess PHARE-financed actions supporting statistical activities, is that the PHARE programme has achieved its general immediate objectives of strengthening the institutions to provide appropriate statistics in general and in the pre-accession context particularly. Furthermore, the programme keeps alive a network of professionals in the statistics, at individual and at institutional levels essential for the production of comparable statistics. The Compliance Database (CDB) and the Data Availability Survey (DAS) are the tools developed for exhaustive identification of the gaps, at legal and implementation levels. They identify gaps in a number of areas but they do not give an aggregate view on all of them.

A total of 17 recommendations are given for the improvement of programming, monitoring and reporting as well as programme implementation for statistical co-operation programmes. For each recommendation, anticipated outputs, evaluation criteria, the addressee (EUROSTAT, Commission Services, National Statistical Organisations) and the deadline are specified.

19.4. Other activities carried out in relation with evaluation

EUROSTAT's 'Improvement actions database', which currently covers actions generated by the EUROSTAT Corporate Plan actions, the 2001 assessment of EUROSTAT (i.e. Internal Control Standard Actions) and the EUROSTAT Board might be expanded to cover evaluation recommendation actions as well. This is currently under consideration by the evaluation function.

20. EVALUATION OF EXTERNAL POLICIES

20.1. Enlargement

20.1.1. Organisation of the evaluation function

The evaluation function of the Enlargement DG (DG ELARG) is established as a unit within the directorate responsible for resources and finance. The evaluation unit was created in January 2002 by detaching it from the directorate responsible for negotiations and pre-accession coordination, financial instruments, and implementation and contracts. The principal division of tasks is based on the main stages of the evaluation cycle: ex ante, intermediate and ex post evaluation.

20.1.2. Overview of the evaluation projects carried out and launched in 2003

During 2003, the evaluation unit completed the following evaluation projects:

- An internal ex ante evaluation of programming mechanisms for PHARE in 2004 and beyond;
- The external interim evaluation scheme for PHARE National and Multi-Beneficiary Programmes, which generated some 123 individual country, sectoral or thematic intermediate evaluation reports covering PHARE;

- An external ex post evaluation of PHARE National programmes launched in 1997/98.

Furthermore, 3 intermediate evaluations were contracted out for assessing the pre-accession aid programmes for Malta, Cyprus and Turkey, of which the results will become available at the end of 2004 and during 2005 respectively.

20.1.3. Key evaluation findings and action taken

The *ex ante evaluation of programming mechanisms for future PHARE interventions* revealed the need for a more strategic programming approach, the increase of resources for project design and the introduction of a more systematic quality control. As a result of those findings, guidelines for multi-annual programming were introduced, and project fiches as well as application of Logframes were improved. An action plan to address the outstanding recommendations of the ex ante evaluation report was prepared.

The key evaluation findings from the *interim evaluation scheme for PHARE National and Multi-Beneficiary Programmes* are:

- Projects are generally in line with the objectives of PHARE.
- Although over three-quarters of the projects evaluated in 2003 were rated as at least satisfactory, several of them are poorly designed or prepared.
- Findings confirm that twinning (i.e. the secondment of EU experts to the Candidate Countries to help them strengthen their administrative capacities) is an essential instrument of the accession process. Although the findings point to that the results of twinning have been mixed, the tendency is for increasingly satisfactory working of the instrument. Moreover, the findings also point to the risk that, unless accompanied by widespread reform in public administration, twinning can lead to the raising of elaborate structures on very shaky foundations.

As concrete actions in this area, programme/project design workshops have been completed in most Candidate Countries to address the design weaknesses. As to twinning, a special seminar was arranged with all the stakeholders to identify actions to further strengthen the twinning instrument.

The *ex post evaluation of PHARE National programmes launched in 1997/98* indicated the following main findings:

- As to the relevance and intervention logic, the report reveals a very high relevance (94%) of PHARE where the reorientation towards an accession-driven process in 1998 had immediate results, and that the programme addressed problems that “were very critical or rather critical obstacles on the path towards accession”.
- As to the legislative/administrative and socio-economic impact, the evaluation report identifies the highest impact scores in 'acquis'-oriented policy domains (third Copenhagen criteria), whereas impact scores are lower in the domains of political and economic criteria. It also notes that many 'Institution Building' projects had wider positive side-effects on horizontal (and non-'acquis') public administration reform. Although it indicates that impacts so far on the economy, society and the environment have been more marginal, more socio-economic impacts can be expected in the longer term.
- As to the design and management of strategies/projects, the report indicates a strong Commission services domination of the programming process that partly reflects the programming weaknesses of the Candidate Countries. It also notes that many PHARE projects lacked clear objectives and clear commitment from the responsible institutions in the Candidate Countries. Whilst the twinning instrument faced considerable start-up implementation difficulties, the evaluation concludes that twinning has been a relatively effective instrument.

As to follow-up actions, the findings of the evaluation report were extensively discussed with all the stakeholders, expected to improve in particular the design and implementation of the programmes for Romania, Bulgaria and Turkey as well as the programmes of the forthcoming Transition Facility for the new Member States.

20.1.4. Lessons learned from evaluation

The general lessons drawn from the ex ante evaluation clearly demonstrate the need for a systematic review of the issues and related actions to improve the performance of the PHARE programming mechanisms. What was equally useful in this exercise was the systematic identification of the key issues carried out in close co-operation with all the stakeholders through, for instance, systematic questionnaires of the programming mechanisms. This systematic review of the issues enabled a comprehensive identification of required actions that were identified in co-operation with the stakeholders.

The interim evaluation scheme for PHARE National and Multi-Beneficiary Programmes has shown that following through on evaluation findings and recommendations has a cascade of beneficial effects. These include institutional changes within implementing agencies, better coordination within and between ministries and donors, improvements in project design, re-allocation of resources, gaining of additional co-financing and more attention paid to sustaining the results of projects after completion. Following-up recommendations is also leading to the diffusion of an evaluation culture.

The general lessons of the ex post evaluation of PHARE National programmes and use of its findings for decision-making was that:

- Partnership with national authorities favoured ownership and utilisation.
- The rating of projects allowed meaningful comparisons across policy domains, programming years and instruments as an effective input for decision-making.
- Analysis of case studies allowed lessons learned of strategic interest to be revealed for decision-making.
- However the exercise did not fully succeed in assessing impact at the level of end-users that would have been very useful information for the decision-makers.

20.1.5. Other activities carried out in relation with evaluation

During 2003, a number of measures were taken under the aegis of the evaluation unit of DG ELARG in order to improve the quality of projects at the design stage of the 2004 programming cycle:

- Reinforcing the application of the project formulation methodology: The 2004 Programming Guide lays a stronger emphasis on the requirement to specify appropriate indicators and to incorporate lessons learned from past experience.
- Training of key actors in the Candidate Countries: 2-day training workshops on programme and project design were delivered by external experts to officials in ministries, coordination offices and delegations.
- Quality checks: The evaluation unit checked early drafts of project fiches and associated log-frames for the 2004 programming cycle.

The evaluation unit also prepared a check-list for use in assessing the public-funds evaluation and monitoring capacity of each Candidate Country as part of the process of deciding whether or not a country is ready to move to the EDIS (Extended Decentralised Implementation System) scheme for the management of pre-accession funds.

The unit also launched and implemented the planned actions of the Evaluation Advisory Group (EAG) of Member State and Candidate Country representatives. EAG is being set up as a forum for discussing and proposing ways of translating Chapter 28 (Financial Control) 'acquis' requirements and EDIS guidelines into best-practice monitoring and evaluation models as well as local capacity-building strategies.

20.2. EuropeAid Co-operation Office

20.2.1. Organisation of the evaluation function

The evaluation unit in the EuropeAid Co-operation Office (AIDCO) services the requirements of several DGs, i.e. the Development DG (DG DEV), the External Relations DG (DG RELEX) and EuropeAid (AIDCO), and reports directly to the Board of Commissioners in charge of external relations. However, a very limited number of evaluations may be directly carried by these services, in particular DG RELEX, on programmes and activities for which they are exclusively responsible. Other DGs, especially DG TRADE, DG ECFIN and ECHO are associated at specific evaluations.

The annual evaluation programme, formally adopted every year by the Board of EuropeAid, is focused on geographical and sectoral programmes and policies as well as on Regulations in the area of external co-operation. It should be underlined that the large number of evaluations of single projects, which fall under the responsibility of Commission Delegations in partner countries or, in the case of non-deconcentrated programmes, under operational services in AIDCO, are neither included in the above mentioned work programme nor in the overview in the remainder of this chapter.

From end 2002, the evaluation unit has launched a major exercise on methodology to assure better evaluation of programmes and sectors. This methodological work is planned to last for 3 years.

20.2.2. Overview of the evaluation projects carried out and launched in 2003

In 2003, 9 evaluations were completed or nearly completed, of which 5 Country Strategy evaluations (Morocco, Ukraine, Malawi, Bangladesh and Egypt) and 4 sectoral evaluations: (Evaluation of Economic Co-operation between the European Commission and Mediterranean Countries; Thematic Evaluation of the Integration of Gender in EC Development Co-operation with Third Countries; Evaluation of Rehabilitation and Reconstruction activities and Thematic Evaluation of Population and Development-oriented Programmes in EC External Co-operation).

In addition, 12 evaluations are still on-going at the end of 2003: 3 Country Strategy Evaluations on Honduras, Ethiopia and Lesotho; 4 evaluations on external policy aspects in specific regions concerning Mercosur, CARDS (Western Balkans), European Agency for Reconstruction and Caribbean as well as 5 sectoral evaluations related to Transport, Trade-related assistance, Food-Aid and Food Security, Environment and Tropical Forests and, finally, Private sector Development.

20.2.3. Key evaluation findings and action taken

a) Country Strategy Evaluations

The evaluation of the Country Strategy for *Morocco* notes the high relevance of the strategy put in place since 2000. Evidence of positive impact has emerged, although not as much as expected, and the Commission's role in donor co-ordination has been positive. The report recommends that the objectives of the present strategy should be better prioritised to improve the co-ordination between the various Commission instruments and to seek a better complementarity with Member States and other donors.

The evaluation of the Country Strategy for *Ukraine* identifies some impacts in certain sectors such as Justice and Home Affairs or Cross Border Co-operation, but shows these as an exception against the background of very limited involvement of Ukrainian authorities and a clear deterioration in governance. The report recommends addressing more interventions towards NGOs and the private sector and developing a better mutual understanding of EU and Ukraine's policies.

The Country Strategy evaluation for *Malawi* shows that many interventions have been effective in delivering the planned results but much of the expected impacts from these interventions have failed to materialise since many results have been achieved within a national context in which government's stated policies and commitments frequently remain unimplemented or ignored. The

report stresses that continuing co-operation along the lines of the current strategy is not advisable and indicates that good governance should be the overarching theme of the Country Strategy Paper.

The evaluation of the *Bangladesh* Country Strategy shows that even though the present strategy is a significant improvement on its predecessors, there are still weaknesses. The relationship between the EC and the Government of Bangladesh is not satisfactory, issues of democracy, human rights and corruption are causing concern, and the current strategy fails to address these issues. The great majority of interventions in the key sectors of health, education, food security and rural development addressed Bangladesh's needs, but many programmes had a poor impact. A revision of the EC Country Strategy and ways to improve project management are recommended.

The preliminary results of the Country Strategy for *Egypt* indicate that the strategy has been in line with Government of Egypt's objective of economic, social and political stability. It also indicates that the EC should now consider being a more pro-active agent of change in economic, social and political reforms. Achievement of impacts has been mixed; the predominance of large technical-assistance-based projects has led to problems of ownership and low disbursement.

b) Sectoral Evaluations

The evaluation on *Integration of Gender* shows that despite some relatively good examples of the treatment of gender as a cross-cutting issue, approaches to gender remain varied and not always coherent with policy on gender in development co-operation. Discontinuous and insufficient staffing of gender desks as well as negligible financial resources specifically allocated to gender have been major constraints on the effectiveness, efficiency and sustainability of initiatives on gender mainstreaming.

For *Economic co-operation with Mediterranean countries*, the relevance was high. Overall effectiveness was reasonably good but was hampered by the lack of national policies addressing the main weaknesses of the economies. Past management revealed serious inefficiencies which resulted in implementation delays and interruptions. Progress is being made towards ensuring sustainability. The report recommends that the Commission assist partner countries in identifying their strengths and weaknesses with respect to social and economic development. The evaluation shows that several recommendations have been taken on board such as deconcentration to improve the implementation or such as the creation of new instruments for investments.

The absence of a comprehensive strategy on conflict and disaster has reduced the complementarities of *Rehabilitation* in relation to other instruments for development. Even if some good projects in terms of local development have occurred, there is a lack of expertise to deal with crisis countries. The report shows an excessive focus on financial accountability to the detriment of a proper attention to impact.

The thematic evaluation on **Population** shows that interventions were relevant to the needs of beneficiaries and that they have been effective. The evaluation report has considered that population-related interventions are a very efficient way of addressing poverty and inequity. It is recommended to develop strategic linkages/ synergies between population actions and other development programmes of assistance like education, environment or gender.

20.2.4. Lessons learned from evaluation

a) General experience from Country Strategy evaluations

In general, the evaluations indicate that the adoption of the standard framework for Country Strategy Papers, and the resulting structured programming exercise, brought an improvement in the relevance of the EC strategies and programmes. The dialogue with partner countries (including civil society) has improved, and the supply driven approach is being abandoned to favour a more concerted one. With regard to the indicative programmes, sectoral programmes are gradually replacing the project approach. Good examples of proper strategic approach are easily found in partner countries where governance is good or improving. However, the evaluations conducted so far indicate that the Commission still has some difficulties in analysing the implications of poor governance on the response strategy as well as on programme and project design and implementation.

Achievement of results has been mixed. Expected impacts, when expressed, are often too ambitious and not achievable. An optimistic assessment of the partner country capacity and willingness to implement projects and programmes is common at design stage. Implementation is slowed down by lengthy administrative procedures. Limited use of proper reporting, of input/output monitoring systems and of evaluations diminishes the management capacity at both Country and headquarters level.

Coordination and complementarities with Member States and other donors have improved since the adoption of Country Strategy Papers and the deconcentration process.

Recommendations relate to clearly focusing the Country Strategies: in a number of countries a core theme could be identified. More attention must be paid to the analysis of the local situation in order to reach realistic assumptions, in particular in relation to the definition of the objectives. Implementation should take full advantage of the deconcentration process, which should lead to leaner procedures and better information management.

b) Sectoral evaluations

The evaluation on **Integration of Gender** shows that the regulatory framework on gender is based on high-level international standards, while the Commission's services show insufficient understanding and knowledge of policy and strategy at all levels. The evaluation also stresses the absence of an adequate level of institutional support backed up by sufficient resources. As a result, the endorsement of gender mainstreaming by the Commission does not yet translate into structural changes.

The evaluation of the **Economic co-operation with Mediterranean countries** shows that access to external financing sources by small and medium enterprises was addressed through a variety of interventions that were not part of a comprehensive approach. Trade facilitation was mainly addressed by regional projects which, while being quite effective, remained disconnected from bilateral activities.

The evaluation on **Rehabilitation** raises the necessity to define a Community policy towards the reduction of natural and political risks and placing rehabilitation instruments at the centre of the Commission's approach to long-term crises, in an attempt to reduce vulnerability and improve speed and effectiveness of response to crisis situations.

c) Joint evaluations

The *Maastricht 3Cs* (Co-ordination, Complementarity and Coherence) evaluation activities (see page 69 of the Annual Evaluation Review 2002), originally initiated by the Netherlands in late 2000 and now progressed under the aegis of the Group of Heads of EU evaluation services, have been reshuffled after a seminar held in February 2003 in Brussels. The main conclusions are: 1) to distinguish co-ordination and complementarity on one side and coherence on the other side; 2) to undertake first an evaluability study and on that basis to launch a series of pilot studies on each hypothesis that were issued during the seminar.

Furthermore, a common task within the OECD-DAC Working Party on Aid Evaluation has been launched to examine how to evaluate **Budget Support**.

These two joint evaluations are now well anchored and preparatory desk studies for a pilot evaluation focused on actual programmes should be available by the beginning of 2004.

20.2.5. Other activities carried out in relation with evaluation

a) Methodology for Country Strategy evaluations

Improving the evaluation methods for Country Strategy evaluations has been the major issue in 2003. The approach consists of five methodological components: Structuring of the evaluation, Data Collection, Analysis, Judgements, Dissemination and feedback.

The evaluation of Country Strategies and co-operation programmes is based on a set of key evaluation questions (usually a maximum of around 12). The questions may be identified in the first instance by the evaluation team (made up by independent consultants), after examining key documentation and after a round of bilateral meetings in Brussels and contacts with the EC Delegation in the field. The consultants are also required to present in a logical diagram the strategy and programming objectives and the presumed links between them. The logical diagram helps in determining the areas where EC programmes were or are supposed to impact and in identifying the logical links between input, output and impacts. The logical diagram is used to determine some areas for the evaluation questions. For each Evaluation Question at least one judgement criterion has to be identified, and for each such criterion appropriate quantitative and qualitative indicators are identified and specified.

In general Evaluation Questions will refer to the following main areas: Design and relevance of the strategy/programme; Achievement of main objectives in focal sectors; Key cross-cutting issues like, for example, gender, environment, human rights, 3Cs (co-ordination, complementarity, coherence); Implementation of assistance, choice of instruments and delivery mechanisms. The questions will call upon one or the other of the five standard evaluation criteria (relevance, impact, effectiveness, efficiency and sustainability) with different weight. The idea behind the questions is to translate the criteria into a format suitable for discussion and support from stakeholders.

The evaluation questions, judgement criteria and indicators are discussed and agreed with the evaluation unit of AIDCO and the so-called 'Reference Group' (consultative group which includes representatives of various Commission services). The choice of evaluation questions determines the subsequent phases of information and data collection, methods of analysis, and derivation of final judgements. In addition to the specific judgements on the evaluation questions, and based on those judgements, the evaluators are asked to achieve an overall assessment of the EC co-operation programmes and strategies in the selected country. On the basis of the findings related to the above points, the evaluation team draws up a set of conclusions and related recommendations. A final report presenting the findings, conclusions and recommendations is prepared by the consultants and accepted by the AIDCO's evaluation unit after consulting the Reference Group and the Delegation in the Third country concerned.

At the conclusion of each Country Strategy evaluation, a seminar is held in the selected country. The scope of the seminar is to present the evaluation to the Delegation and to relevant stakeholders,

with a particular emphasis put on the evaluation findings and recommendations. This approach presents a number of advantages: possibility of a last check of the factual basis; feedback on conclusions and recommendations from important local stakeholders; increased sense of ownership of the evaluation. This contributes to the quality of Country Strategy evaluations and strengthens their potential impact.

b) Dissemination and feedback

The evaluation unit of AIDCO has defined guidelines to ensure a common approach and to reinforce the quality of the dissemination and feedback activities related to evaluations. These guidelines address in a comprehensive form the current practices of the evaluation unit and make them official. The guidelines are also a response to the new Commission 'Evaluation Standards and Good Practice', where it is stated that “appropriate feedback mechanisms shall be provided so that all types of evaluation results are transmitted to all persons responsible for decision making”.

20.3. External Relations

20.3.1. Organisation of the evaluation function

Following a request of the Director General of the External Relations DG (DG RELEX), during the course of 2003, the audit unit assumed the task of co-ordinating evaluations of programmes and activities for which the DG RELEX is exclusively responsible (external non-aid actions), not covered by AIDCO's evaluation unit. The objective of the co-ordinator is to ensure the objectivity and quality of the evaluations to be carried out by supporting the operational services in planning, managing and reporting on evaluation of their activities.

20.3.2. Overview of the evaluation projects carried out and launched in 2003

In the course of 2003, DG RELEX completed two evaluation projects. These were the final evaluation of the ACADIA EU-Canada Internship Programme and the Evaluation of the Devolution Process.

The purpose of the evaluation of the ACADIA was to investigate whether the programme has reached its aims.

The evaluation of the Devolution Process is in line with the Communication to the Council and the European Parliament on 23 July 2002 (COM (2002) 426) in which the Commission states that under Action 2 of its Action Plan « *[The Commission] will also carry out an evaluation of the operation of the devolution exercise next year, in order to draw lessons on the effectiveness and efficiency of the introduction of changes after implementation of the external aid reform.* » In its “*Synthesis of the Annual Activity Reports 2002 of DGs and services*” (COM (2003) 391), the Commission asked that the scope of this action, for which DG RELEX was put into charge, should be extended to focus in particular on the following questions:

- The question of matching human resources to increased responsibilities in de-concentrated delegations;
- The issues of appropriate deployment of staff members in headquarters and in delegations to manage external aid properly;
- The question of the administrative expenditure which is currently executed centrally but could be de-concentrated to delegations.

Two evaluations have been launched at the end of 2003. One concerns the evaluation of the Executive Training Programme (ETP) in Japan and Korea and the other the evaluation of the EU Centres in the USA, Canada and New Zealand. These evaluations are expected to be completed by the first half of 2004.

20.3.3. Key evaluation findings and action taken

The ACADIA Programme has been well received on the European and on the Canadian side and has contributed effectively to the programme's objective of fostering people to people links between the EU and Canada. The ACADIA Programme will not be continued but the findings of the evaluation will be taken into account in reviewing the EU-Canada 'Higher Education and Training Co-operation Agreement', which must be renewed by 2005.

The evaluation of the Devolution Process confirms that the devolution has been well managed so far and that, although the process is still young and will need time to stabilise, there are already promising indications that devolution brings concrete improvements in terms of quality and delivery speed of our external assistance programmes. Based on the analysis of strengths and weaknesses of the devolution process, 11 follow-up actions are identified in order to increase the contribution of devolution to the attainment of the objectives of the reform in the field of External Relations.

20.4. Humanitarian Aid

20.4.1. Organisation of the evaluation function

From its creation the Humanitarian Aid Office (ECHO) has had an evaluation function, which has been an autonomous sector within ECHO since 2002. The evaluation sector is integrated into the unit 'General policy affairs; Relations with European Institutions, partners and other donors; Planning co-ordination and support; General support for major crises'.

20.4.2. Overview of the evaluation projects carried out and launched in 2003

ECHO's evaluation activities primarily concern evaluations of ECHO's operations in a geographic region, thematic issues and the evaluation of the co-operation with major partners. In respect of operations, the evaluations focus on the assessment of the relevance, impact, efficiency, effectiveness and sustainability, if applicable. The evaluations also seek to identify operational lessons that can be learned. Evaluations of thematic issues are more orientated towards extracting guidelines, methodological tools and best practices for use in policy-making and the conduct of operations by ECHO and its partners. Evaluations of ECHO's partners are concerned with assessing their capacities and how the working relationship between the partner and ECHO can be improved.

On average the evaluation sector undertakes approximately ten evaluations each year. In 2003, the sector carried out/launched the following evaluations.

- *Operations in geographic regions:* Disaster Preparedness in South Asia (completed); Serbia (completed); 1999-2002 actions in Sudan (completed); 2002-2003 actions in Angola (completed); Afghanistan & the Afghan crisis (still on-going); Thailand: Nutrition & food aid for Burmese refugees (still on-going);;
- *Thematic issues:* Drought response (completed); Disaster reduction (completed);
- *Partner(s):* WFP (completed); UNICEF (still on-going); ACF: 'Action contre la faim' (still on-going).

Furthermore, the evaluation sector is preparing a thematic evaluation on 'Internally displaced persons', which will be based on the results from the Angola, Sudan and Afghanistan evaluations. In addition, the award procedure for contracts concerning two external evaluations on '2002-2003 actions in Zimbabwe' and on 'Standards and practices for the security of humanitarian personnel and advocacy for humanitarian space' is underway.

20.4.3. Key evaluation findings and action taken

The evaluations of ECHO-funded operations found that, overall, the operations were relevant to ECHO's mandate and produced positive impacts for the beneficiaries. In the near future, it may be the case that more questions will be raised as to the comparative levels of operational efficiency of ECHO's partners as outputs are now defined as standard elements of ECHO's contracts, and the actual outputs achieved are to be measured against performance indicators. This has taken place under the revision of ECHO's principal contractual tool the Framework Partnership Agreement (FPA).

The evaluations of operations also considered the linking of relief, rehabilitation and development. The key conclusion drawn was that the linking was not taking place due to problems in managing the hand over of operations to local partners and bodies and difficulties with the continuity of financing - be it from other EC services or third parties.

Previous evaluation had already identified the typology of projects to be included in a phasing out or LRRD (Linking Relief, Rehabilitation and Development) context, within ECHO's mandate, as being self-reliance projects and projects with a capacity building component.

20.4.4. Lessons learned from evaluation

In general, evaluation reports implicitly and explicitly stress the need for continued ECHO vigilance in respect of "traditional problems" related to co-ordination, LRRD, variable human resources quality within NGOs and the need for accurate contextual understanding to be applied to needs assessments and project proposals.

Evaluation is a part of project cycle management and, increasingly, it is also seen as an integral part of accountability in the humanitarian sector. This perception has also led to questions about the preservation of evaluators' independence. The use of synthetic overviews for categories of evaluation reports is more and more seen as a method by which lessons learned can be best communicated and the independence of evaluation preserved through the communication of common findings and recommendations.

ECHO ensures the follow up of evaluations by:

- Sharing the conclusions and recommendations of evaluations, together with the follow up given by the operational unit concerned, with the Member States by transmitting them to the Humanitarian Aid Committee;
- Other EC services are directly informed of the availability of evaluation reports;
- Publishing evaluation reports on ECHO's website so that the public and other third parties are informed;
- Including a chapter on evaluation, where one has been carried out, in each global plan launched by ECHO. This is seen as a requirement for the adoption of the decision.

20.4.5. Other activities carried out in relation with evaluation

The evaluation sector of ECHO is a member of the Active Learning Network for Accountability and Performance in Humanitarian Action (ALNAP). ALNAP is a humanitarian sector membership network dedicated to improving the accountability and quality of humanitarian action by sharing lessons, identifying common problems and, where appropriate, building consensus on approaches.

In 2003, the evaluation sector undertook a joint effort on evaluation with certain Member States on internally displaced persons (IDP) matters. ECHO management and Member States have viewed this activity positively and consider that similar joint efforts should be undertaken each year.

20.5. Trade Policy

20.5.1. Organisation of the evaluation function

DG Trade introduced new organisational arrangements for the evaluation function during the course of 2003. A substantial justification of the need to improve the DG's arrangements was in particular the entering into force of the new Commission "Evaluation Standards and Good Practice".

The most important features of the new arrangements are as follows:

- The unit co-ordinating the evaluation activities within DG TRADE, is re-named as 'Audit and Evaluation', in order to ensure its prominent visibility in the organisational structure of the DG.
- A document setting out the application procedures for the Standards, and approved by the Director General, has been circulated throughout the DG.
- The evaluation function is composed of two elements. The first of these is the evaluation co-ordinator, appointed from within the unit 'Audit and Evaluation'. The second of these is an internal network of evaluation correspondents, with one correspondent appointed by each unit of DG TRADE.

20.5.2. Overview of the evaluation projects carried out and launched in 2003

In the course of 2003, DG TRADE completed two evaluation projects. These were: Evaluation of the Economic Impact of Mutual Recognition Agreements (MRA) on Conformity Assessment and Sustainability Impact Assessment of proposed WTO negotiations.

The latter project comprises a suite of studies and reports produced in connection with a framework contract, concluded by DG Trade in 2002, for policy analysis and impact assessment relating to the WTO negotiations. The results from the first stage of the framework contract were delivered by the consultants in June 2003 in the form of six separate reports.

On-going evaluation projects include the following: Sustainability Impact Assessment of trade negotiations for the EU-ACP Economic Partnership Agreements, Sustainability Impact Assessment of the negotiations of a trade agreement between the European Community and the Countries of the Co-operation Council for the Arab States of the Gulf (GCC) and Sustainability Impact Assessment of the trade aspects of negotiations for an Association Agreement between the European Communities and Mercosur. These projects are also organised through the mechanism of framework contracts. In each case, final reports in respect of the current phase of work are expected early in 2004.

In 2004, DG TRADE expects to launch further evaluations in association with each of the four framework contracts mentioned above. Additionally, interim/ex post evaluations will be launched in respect of the European Union's anti-dumping strategy and the Trade Barriers Regulation.

20.5.3. Key evaluation findings and action taken

The evaluation study on the ***Economic Impact of Mutual Recognition Agreements on Conformity Assessment*** analysed the economic impact of the Mutual Recognition Agreements (MRAs) with Australia and New Zealand; but it did not demonstrate any significant impact on trade relative to the total of trade covered by these agreements. More generally, the study went on to define certain limiting factors, or characteristics, for the types of market or sector where an MRA might prove useful or beneficial.

The most significant findings of the ***Sustainability Impact Assessment (SIA) of proposed WTO negotiations*** are listed in the fact sheet of Annex 2. The different reports produced represent merely the first stage in a substantial impact assessment programme tied to the WTO negotiations. This first stage includes a preliminary overview of all the measures included in the Doha Development Agenda as well as the first three of a planned programme of detailed sector studies. So far, the main

sustainability impacts are identified, both for developed and developing countries, and flanking measures proposed to mitigate negative impacts and enhance positive impacts on sustainable development. Furthermore, recommendations are made for further SIA in several areas and for additional methodological refinements in undertaking the further detailed studies proposed. It is also suggested to conduct a final global overview SIA of the Doha-Agenda as a whole.

Perhaps the most important recommendation in this context is that of the further sectoral studies to be undertaken in the next stage of the programme. These include: agriculture (all sub-sectors); automobiles, automotive products and other transport equipment; leather goods and footwear; energy services; financial services; distribution services; tourism and travel services; trade and investment; trade and environment; and TRIPs and public health.

20.5.4. Lessons learned from evaluation

The results of the intermediate evaluation of MRAs have been taken into account in drawing up guidelines for future priorities for bilateral and regional activities undertaken by the Commission in the field of technical regulations, standards and conformity assessment.

DG TRADE's SIA programme is closely synchronised with the decision-making needs of negotiators and policy makers. The programme is designed with the usefulness of results to negotiators as an integral feature – with its emphasis on the identification of flanking measures or other adjustments that would prove effective in tackling any adverse impacts of trade liberalisation, and/or in promoting positive impacts. Additionally, the conclusions and recommendations of the SIAs are fully integrated into DG TRADE's intensive programme of dialogue with representatives of civil society.

At the same time, DG TRADE recognises that work to date is both incomplete and imperfect. The SIA methods employed by the consultants, and the underlying methodological research conducted worldwide, are still evolving. Comprehensive data governing all aspects of a trade agreement is often conspicuously lacking. The robustness of certain aspects of the analysis - notably on the linkages between the economic, social and environmental components of sustainable development - has been called into question. The analysis is also incomplete not least because the results produced thus far represent merely the first fruits of an on-going programme of investigations.

With the SIA findings on the WTO negotiations delivered in June, DG TRADE has committed itself for the first time to producing formal position papers in order to document its response to SIA reports. The position papers summarise the main findings of each SIA; the consolidated comments of Commission services to the findings of the report; the intended responses of Commission services, or else a reminder of how existing Commission activities respond to the concerns identified and the reactions to the findings received from Civil Society.

21. EVALUATION IN THE FIELD OF PERSONNEL AND ADMINISTRATION

21.1. Organisation of the evaluation function

Within the Personnel and Administration DG (DG ADMIN) the evaluation function, which was established at the end of the year 2001, is part of the unit "Relations with the Institutions, ABM and document management" and is situated in the Resource Directorate of DG ADMIN.

The evaluation function is, since the reorganisation of DG ADMIN at the beginning of 2003, competent for DG ADMIN and the three administrative offices; the Paymaster Office (PMO), the Office for Infrastructure and Logistics Brussels (OIB) and the Office for Infrastructure and Logistics Luxembourg (OIL). The role of the evaluation function, its basic principles and procedures, have been clearly defined. The mandate of the evaluation function has been renewed on 1 July 2003, to take account of the creation of the new DG ADMIN, PMO, OIB and OIL. The mandate is authorised by the Office Directors and the Director General of DG ADMIN. The

Evaluation Guide for DG ADMIN and the Offices was adjusted and updated during August 2003 to reflect the new organisational setting, the planning and follow-up procedures for evaluation.⁴⁶

Evaluations are for a major part outsourced to specialised evaluation experts. The evaluation function does not only manage these evaluation projects, but also contributes, in the context of Activity Based Management (ABM), to the process of objective and indicator setting, planning, and the preparation of the Annual Management Plan (AMP).

DG ADMIN's annual evaluation plan, which has also a longer-term element, is part of this Annual Management Plan. It also includes the projects agreed upon with the Offices. On top of the annual planning, the Director General of DG ADMIN, after agreement of the Office Directors, adopted the final version of their joint multi-annual evaluation programme on 1 July 2003. Evaluations are scheduled according to the requirements of the Financial Regulation (regular evaluation of activities occasioning significant spending, ex ante evaluation or proposals for renewal or new programmes) and political priorities of the Commission. As the activities of DG ADMIN and the administrative Offices are mostly of permanent nature, evaluations often follow an "omnibus" approach, combining ex-ante, intermediate and ex-post approaches into one single exercise.

The new Commission "Evaluation Standards and Good Practice" require the respect of certain standards for the improvement of the quality of evaluation that had to be in place on 1 July 2003 at the latest. The evaluation function of DG ADMIN has secured full implementation of all the standards. The two elements, which required a particular attention in this context, were the adoption of a joint multi-annual programme for DG ADMIN and the Offices and a renewed mandate since the mandate of 27 February 2002 required adjustments. The new mandate fully incorporate changes regarding the reorganisation, internal planning procedures, new evaluation standards as well as the rules on Impact Assessment.

21.2. Overview of the evaluation projects carried out and launched in 2003

The evaluation plan for 2003 of DG ADMIN, adopted on 15 January 2003, has been slightly changed during the year.

The following evaluations, of which some were already launched in 2002, have been, or will have been, completed by the end of 2003:

- Evaluation of the management of absence at work, vacation and leave for Commission staff (Measure 11 of MAP 2000);
- Evaluation of the Commission's internal Third Action Programme on Equal Opportunities and Future Gender Equality Actions;
- Evaluation of the language training programme organised by DG ADMIN for the Commission and other Institutions;
- Evaluation of internal middle and senior management training & development in the Commission organised by DG ADMIN;
- Evaluation of the support of DG ADMIN's Informatics Directorate to the e-Commission initiative and of the ICT quality policy by the Informatics Directorate of DG ADMIN;
- Internal evaluation of the first exercise of the new appraisal system (Career Development Review) for Commission staff.

In addition, the following projects newly launched during the year 2003 are still on-going:

- External evaluation of the career guidance support in the Commission;
- Extended Impact Assessment on Industrial Security;
- Evaluation of the Commission's telephone service, centrally managed by the Informatics Directorate (DI) of DG ADMIN;

⁴⁶ It is published on DG ADMIN's Intranet, under "ABM and Evaluation", accessible for all Commission staff.

- Staff opinion and satisfaction surveys within the European Commission related to the services of DG ADMIN, PMO, OIB & OIL and the working environment of staff.

The following projects are in the pipeline and will be contracted or launched in the near future (early 2004):

- Evaluation of the policy of cultural diversity and ethnicity in the Commission
- Evaluation of the performance appraisal and promotion policy for Commission staff (in-depth second phase following the internal evaluation of the 2003 CDR exercise).

21.3. Key evaluation findings and action taken

The key evaluation findings of the evaluation projects completed in 2003 are presented in Annex 2 of this Review, while this section focus more on concrete action taken. At the time of the current reporting, action plans were officially adopted for two of these evaluations. This is the case for the evaluation on the “*management of leave and absence in the Commission after the decentralisation of MAP 2000*” and the evaluation of the “*Third Action Programme on equal opportunities for men and women*”.

For the *evaluation on the management of leave and absence in the Commission*, the steering group and all concerned directors in DG ADMIN agreed to basically all recommendations in the final evaluation report. As a result, an action plan with a follow-up table was adopted by the Director General in November 2003. This action plan details the tasks to implement the recommendations and defines the responsibilities among DG ADMIN’s services. The planned follow-up consists for instance of:

- Updating the Manual and Vademecum on leave and absence (rules, interpretations and procedures) in co-operation with the network of DG/service representatives in charge of leave and absence (GeCo network), the Medical Service and other DG ADMIN services into one single coherent set of guidelines or rules, which would be made available to all Commission staff. The updated versions will be included on the “Personnel & Administration” site before the end of the year 2003 and a Communication to adopt the new rules and guidelines will be on the Commission agenda in April 2004.
- Review and definition of specific procedures or rules: Establishment of a procedure for AIPN requests for medical controls; Rigorous rules and controls by the Medical Service concerning the ‘Article 60’ situations; Review of the procedures on the requirements of medical certificates for serious illness of parents or children and up-dating to avoid differences in Brussels and Luxembourg; Establishment of a procedure to co-ordinate and review sick leave and illnesses of Detached National Experts.
- ICT to support the management of leave will be upgraded next year with the integration of ‘SIC Congé’ functions within the IT tool SYSPER2 as regards flexitime and absence; central statistics on absence and leave and the specific linking to the IT system of the Medical Service to facilitate co-ordination, cross-checks and planning of controls.
- In the coming two years, monitoring of staff presence will be improved by central co-ordination, standardisation of methods and some automated system of presence with a direct link to the SIC/SYSPER applications.
- Unit DG ADMIN-B3 will act as mentor of the GeCo network/platform, providing clarification and advice on the rules and procedures of leave & absence when appropriate.

The implementation of the follow-up actions will be monitored via the inclusion in the Annual Management Plan 2004, and thus subject to progress reporting

A chapter in the report on the *evaluation of the Third Action Programme on Equal Opportunities* detailed the priorities and recommendations for specific actions under a 4th Action Programme. The main follow-up to this evaluation is therefore the drafting and adoption of the Commission’s internal 4th Action Programme on Equal Opportunities for Men and Women. The evaluation function has provided a first draft preliminary proposal to the operational unit, which will prepare

and submit the final proposal for the 4th Action Programme, scheduled to be on the Commission's agenda in March 2004 after inter-service consultation within the Commission services.

For the other evaluation projects that will be completed before the end of the year 2003, specific follow-up plans still needs to be decided. However, all these projects already indicate clear follow-up actions at this moment, for example:

- Evaluation of management training & development: Establishment of a Leadership Development Programme and for Action Learning Networks providing a follow-up to the successful Middle Management Training Programme (MTP), provided that additional resources could be obtained and that is it found to be appropriate.
- Even though DG ADMIN still needs to define a follow-up plan for the evaluation of language training, it is clear that some of the outcomes could possibly steer the organisation and delivery of language training. For instance, the Common European Framework of Reference (CERF)⁴⁷ will be considered in the future to improve feedback from language training courses on learning gains. The central training unit has already started implementing the recommendations to provide "training vouchers" to follow, in specific cases, external language training provided at the premises of language training institutes by including it in their call for tenders.
- For the evaluation of the DG ADMIN's support to the e-Commission, it seems clear that the project will stimulate the definition of an e-Commission scorecard, a renewed Communication on the e-Commission, a new strategic road-map and an e-Commission portal.
- The Informatics Directorate (DI) of DG ADMIN will consider implementing, following the evaluation of the ICT quality policy of the DI, the COBIT (Control Objectives for Information and related Technology) framework to assess ICT quality.

21.4. Lessons learned from evaluation

At first, DG ADMIN is realising that within their area of activities evaluation projects tend to take more time than originally envisaged, due to the time needed by outside experts for understanding the complexity of internal policies and procedures. However, once the experts climb on the learning curve, the findings seem to deliver useful feedback. Next year's challenge is to review how the implementation of follow-up actions, to implement the recommendations of the evaluations, has progressed.

A recurrent item in different evaluations deals with the balance between central and decentral management and responsibilities for personnel and administration activities. The different evaluations seem to indicate that this may require attention in regard to equal treatment of staff and uniformity while leaving at the same time enough flexibility at the decentral level. More central support and services seem to be useful as well as promoting best practices and more intense co-ordination to secure uniform best practice.

It has proven to be crucial that the evaluation function is integrated into the unit dealing with Activity Based Management (ABM) and Strategic Planning and Programming (SPP). Being close to the planning and programming processes might reveal specific needs for evaluation due to actions in the Annual Policy Strategy (APS), Annual Management Plan AMP) or could be detected via the Commission's agenda planning within the ICT tool called IRMS. Another lesson drawn from evaluation work is that new roles for evaluation are emerging, partly due to it being an integral part of ABM. The move towards performance management brings with it that some evaluation work will be focussed on service level improvement, organisational development and quality management approaches.

A separate issue, which was already mentioned last year, is the absence of a specific budget line for evaluation. Due to the fact that evaluation is an integral part of the ABM approach, many activities

⁴⁷ <http://culture2.coe.int/portfolio//documents/0521803136txt.pdf>

without specific budget lines have been, are and will have to be, evaluated or appraised. At the moment, DG ADMIN and the Administrative Offices have to use the studies budget to finance these activities, but this budget is subject to competing demands for different study projects.

21.5. Other activities carried out in relation with evaluation

The unit "Relations with the Institutions, ABM and document management" of DG ADMIN follows a practice of full transparency and publishes all relevant documents related to planning, review and evaluation on their local Intranet site called "Activity Based Management & Evaluation"⁴⁸, accessible to all Commission staff. The site is kept up-to-date during the year.

The evaluation function is actively involved in the setting and fine-tuning of objectives and indicators for actions in the Annual Management Plan (AMP). This is considered to be essential to facilitate future activity-based evaluation work.

22. EVALUATION IN THE FIELD OF PUBLICATIONS (OPOCE)

22.1. Organisation of the evaluation function

The Publications Office (OPOCE) has created an evaluation function in August 2003. This function is assumed by an official directly attached to the Director General. The mission of the evaluation function is to co-ordinate and to ensure good management of evaluations to be carried out regarding OPOCE's activities and objectives, by respecting the new Commission "Evaluation Standards and Good Practice". It has also to develop and promote an evaluation culture within the Publications Office.

22.2. Overview of the evaluation projects carried out and launched in 2003

No specific evaluations projects were launched or carried out in 2003 since, at first, the ground has to be prepared. In fact, the evaluation activities concerned the definition of an evaluation charter specific to the Office in which the mission and work frame of the evaluation function is précised. Secondly, a draft multi-annual evaluation plan was established on the basis of a first reflection on priorities, objectives and activities of the Office. This draft plan will be refined and completed during 2004 in order to integrate not only new priorities that will be defined but also to identify evaluation subjects resulting from the on-going risk assessment analysis.

22.3. Key evaluation findings, lessons learned from evaluation and action taken

There is nothing to report so far, since concrete evaluation projects have not yet been launched.

22.4. Other activities carried out in relation with evaluation

Mission of the OPOCE is to ensure the publication of the Official Journal of the European Union and to assume the editorial tasks for publications of the European Institutions. A big part of the evaluation tasks will therefore be related to the good implementation of the production activities as well as to the analysis and assessment of the results obtained compared to the OPOCE objectives set in the context of the Annual Management Plan (AMP). In this respect, the effort during 2003 consisted especially in the definition of monitoring indicators for production and other operational activities and documented controls on the basis of these indicators.

⁴⁸ <http://www.admin.cec.eu.int/abm/index.htm>

23. EVALUATION IN THE FIELD OF PRESS AND COMMUNICATION

23.1. Organisation of the evaluation function

The evaluation function within the Press and Communication Service (PRESS), which was officially set up in December 2003 when its charter was signed, is directly reporting to the Director General. The evaluation function is responsible for co-ordinating and supporting evaluation activities within the DG, including the Commission Representations in the Member States.

23.2. Overview of the evaluation projects carried out and launched in 2003

In 2003, two evaluation projects have been launched by DG PRESS: An evaluation on the Information Relays and Networks (launched in March and completed in December 2003) and an evaluation of the 'EURONEWS' actions 1993-2003 (launched in November 2003 with results expected in February 2004). The evaluation of the Information Relays and Networks should be understood as a critical assessment of the current situation rather than an evaluation of the impacts achieved.

Further evaluations will be detailed in a multi-annual evaluation plan for DG PRESS to be finalised soon.

23.3. Key evaluation findings and action taken

The evaluation on the Information Relays and Networks revealed the following findings and conclusions in relation to the four guiding principles set out in the Commission Communication on an Information and Communication Strategy for the European Union (COM (2002) 350):

- In general, the Commission Representations in the Member States already apply a rationalised and decentralised approach to the operations of the Relays and Networks.
- The Information Relays generally benefit from strong political backing at local and regional level and most can operate in a financially independent manner.
- Nevertheless, the analysis of the data also highlighted a number of factors and issues that are lacking. These include the following:
 - Identification and implementation of a common framework of objectives and working practices across the Relays and Networks; commonly applicable monitoring procedures as well as an effective support structure for cross border cooperation.
 - The analysis did not provide any credible evidence to support the notion of effective interinstitutional cooperation at the level of the EU institutions;
 - The geographical coverage is erratic across the European Union.

The recommendations made for addressing these and other issues are in summary:

- To adopt an agreed series of common central objectives across the Networks supplemented by a definition of local objectives based on local priorities;
- To implement completely the monitoring procedures across the Networks in order to define a common methodology which leads to a set of unified procedures for application as part of the new strategy, and which conform to currently accepted European Commission procedures;
- The Commission Representations should adopt a generally more active policy towards providing the Relays and Networks with support and back-up, in particular they should cultivate stronger linkages as a precursor to developing closer co-operation procedures and initiatives;
- The current status and operations of 'Carrefours' and 'Info Points Europe' should be critically assessed to determine whether there is sufficient justification and differentiation between them to continue operating as separate entities, as there is currently a great degree of overlap in their operations;
- Action is necessary to increase awareness of the EU Information Relays and Networks throughout the existing and future Member States and to enhance their influence in targeted interregional cooperation.

23.4. Lessons learned from evaluation

The 2003 stocktaking evaluation on the Information Relays and Networks has been useful in providing a snapshot of the large and varied number of information outlets and networks under the remit of DG PRESS and will serve as input for a new Commission Communication, due to be adopted in 2004, on the follow-up to the 2002 Communication on an Information and Communication Strategy for the European Union (COM (2002) 350).

More specifically, the findings from this exercise have enabled DG PRESS to ascertain to what extent its grassroots information provision already complies with the four principles in the above Communication and what remedial measures need to be put in place. This will allow DG PRESS to develop a model for "second generation" outlets, which it can ultimately roll out in the new Member States from the start of 2005. As a result of the evaluation, DG PRESS now has a clearer idea of the strengths of the current system (e.g. high level of decentralization, solid backing from domestic authorities) and its shortcomings (insufficient planning of strategic objectives for the Relays, weaknesses in monitoring, etc.). As a result, the forthcoming Communication can be tailored to address these factors and hopefully present a streamlined, manageable system of Relays and Networks.

24. EVALUATION IN THE POLICY AREA "BUDGET"

24.1. Organisation of the evaluation function

The evaluation function of the Budget DG (DG BUDG) exists already since 1996. Before October 2000, it was integrated into the unit 'Budgetary synthesis and evaluation' but became then independent and is now an own-standing unit within Directorate B 'Own Resources, evaluation and financial programming'.

The unit's activities are mainly based on the Commission's Communication on Evaluation from July 2000 (SEC (1051) 2000) and can be summarised as development of a systematic approach for evaluating Community actions. This includes in particular:

- The follow-up of evaluation activities in the Commission's operative DGs and compilation of an Annual Evaluation Review;
- Promotion of good evaluation practices in the Commission, by coordination of the Commission's internal Evaluation Network, developing standards, guidance and common tools together with the Evaluation Network, maintaining a list of evaluation consultants (AMI-list following the publication of an open call of expression of interest in the field of evaluation) and providing evaluation training;
- Providing support to Commission services in a view of effective implementation of evaluation;
- Scrutiny of legislative and other proposals with budgetary implications, with particular focus on the quality and findings of ex-ante evaluation, how they take into account evaluation findings and how they enable future monitoring and evaluation;
- Synthesising evaluation findings to support the Commission Annual Policy Strategy and reporting on progress in evaluation in the context of the Commission's Administrative Reform.

Apart from general advice and guidance on evaluation within the Commission, the evaluation unit of DG BUDG also participates in particular projects of other services, e.g. as a member of the steering committee, if requested. Furthermore, it is in charge of managing so-called 'strategic evaluations', i.e. evaluation with a cross-cutting character of policies that are run by, or mobilise the resources of several Commission services (see below).

All guidance documents on evaluation within the Commission, together with other key documents and final reports concerning evaluation projects carried out by the evaluation unit of DG BUDG, are published on the EUROPA web.⁴⁹

24.2. Overview of the evaluation projects carried out and launched in 2003

Due to the specific character of the activities of DG BUDG, i.e. an internal Commission service with the main task to secure from the budgetary authority the resources needed to implement the Union's policies, to encourage sound management of Community funds and to account for the use of appropriations, without being involved in the management of appropriations that is carried out by the Commission's operational departments, the actual evaluations carried out by the evaluation unit of DG BUDG concern mostly 'strategic evaluations' decided in the context of the Annual Policy Strategy (APS) of the Commission. In total, five of such 'strategic' evaluations have been decided so far in the APS decisions for the years 2002 and 2003, of which three were managed by the evaluation unit of DG BUDG and the other two ones by the Secretariat General.

In 2003, DG BUDG has completed two out of the three strategic evaluations it was in charge: The strategic evaluation on the relevance, effectiveness and efficiency of small-scale actions (small budget lines) was carried out internally by the evaluation unit of DG BUDG and completed in September 2003, while the strategic evaluation of the EU financial assistance schemes for SME's has been contracted out to an external consultant. The final report of this study became available at the end of the year 2003. The third strategic evaluation, examining and assessing different management methods for EU expenditure programmes, is still underway; the presentation of the final report by an external consultant is scheduled for end of Spring 2004.

Furthermore, the evaluation unit of DG BUDG carried out internally a so-called 'meta-evaluation' on the Community Agency system. The purpose of this meta-evaluation, which was based on evaluation reports for all of the Community Agencies that have already been evaluated in earlier years, was to contribute to the on-going debate on the future of the Community Agency system by taking a horizontal look at the individual evaluation findings that have so far been issued for various Community Agencies. This meta-evaluation has been completed at the end of September 2003.

24.3. Key evaluation findings and action taken

a) Strategic evaluation on the relevance, effectiveness and efficiency of small-scale actions (small budget lines)

This internal evaluation found that there are several specific purposes for which small-scale actions/small budget lines are, a priori, an appropriate instrument but almost all of these purposes are not exclusively linked to small-scale actions or small budget lines. The field work showed some concentration of small budget lines into the categories pilot projects and preparatory actions, contributions to outside bodies as well as development and implementation of a policy/activity without other (major) operational expenditure. Beyond these specific purposes, other reasons for the creation of separate budget lines included the wish to underline the specific character of an action, to demonstrate its political importance/priority, to increase its visibility, to satisfy transparency and accountability criteria, or to facilitate its management. It is, however, difficult to consider them generally as sufficient for the creation/existence of small budget lines.

The evaluation revealed several cases where a need was felt to improve the description of the ABB activity under which the budget lines are presented. It also contains several proposals to re-allocate budget lines between activities so that there is a better correspondence between the specific objectives of the actions carried out and the general objectives of the ABB activities under which

⁴⁹ http://europa.eu.int/comm/budget/evaluation/index_en.htm

they are presented. Regarding possible overlaps with other (small or larger) budget lines, the evaluation study identified a certain number of cases for which a closer examination by the competent services seems useful to clarify if a merger with other budget lines is possible, useful and worthwhile.

Most factors that potentially affect effectiveness and efficiency are not specific to small budget lines only. Furthermore, the two main problems often associated with small-scale actions/small budget lines, i.e. relatively high administrative costs and too small amounts to achieve a critical mass, are not common to all small budget lines but relate to certain types only, and that to a very different extent. The most vulnerable groups of small budget lines are those intended to co-finance individual projects and actions, followed by small budget lines for financing pilot projects and preparatory actions. Most of the existing small budget lines fall into categories that are much less concerned by these problems.

The evaluation *inter alia* recommends improving the information regarding some key concepts and terms of the Financial Regulation in the reporting and documentation of the EU budget; more discipline regarding the creation of small budget lines; establishing an action plan for the follow-up relating to concrete findings by policy areas (correspondence to ABB activities, possible overlaps with other budget lines); and, more generally, more systematic *ex ante* assessment of proposed measures also in cases where the financial envelope is rather small.

b) Strategic evaluation of the EU financial assistance schemes for SME's

This strategic evaluation examined 35 schemes managed by 9 DGs, grouping them into 6 policy clusters defined according to SMEs needs: Access to finance, Research and technological development, Business Support Infrastructure and Advice, Internationalisation and joint ventures, Human Resources and Environmental actions. The conclusions and recommendations made concern the individual "policy clusters" of financial assistance schemes as listed above and several cross-cutting issues. The main general recommendations cover the following issues:

- The design of these schemes: need for clarity about which development stages of SMEs (project inception, finance, sustainability, maturity) they are targeting; encourage the packaging of business services with other types of financial support; explore new ways of achieving risk mitigation for greater private sector participation in SME support; encourage another look at securitisation type solutions; improve the investment readiness (demand side) of European SMEs (particularly for SMEs which have been supported by other EU measures).
- The allocation of budget: further rebalancing of expenditure between traditional support mechanisms (mainly capital grants) and risk-based instruments which should be considered within large programmes (structural funds, R&D).
- The coordination mechanisms: increase the role to be played by DG Enterprise and by their SME policy framework; integrate in a better way the SMEs priorities within structural funds and R&D programmes; develop the inter-cluster integration and cooperation; reinforce policy coherence.
- The implementation mechanisms: where possible, the Commission should outsource the technical implementation of its SME-related measures to professional management teams or specialised intermediaries, take as a model what is already happening in some parts of the Commission, notably the collaboration between DG ENTR, DG ECFIN and the EIF.
- The evaluation and monitoring arrangements: greater attention to be paid to impact measurement and the use of basic comparable indicators across the Financial Assistance Schemes; standardise procedures and approaches for the evaluation of the SME dimension in the different policies.
- Enlargement: use the same general strategic approach as in the current Member States but with a greater emphasis on the supply side of finance, the business support services, networking between SMEs in the accession countries and those in the current Member States, and the development of physical infrastructure (both business support and communications broadly defined).

c) Meta-evaluation on the Community Agency System

This meta-evaluation took a horizontal look at the individual evaluation reports that have so far been issued for various Community Agencies. Overall, it concluded that Agencies had broadly met their set objectives and made a satisfactory contribution to the delivery of Community policies. Recommendations made with a view to improving future performance included the need:

- for Agencies to focus their activities on their core priorities;
- for the Agencies' Constituent Acts to be very clear about their precise competencies and tasks, including the way in which the Commission's priority needs are to be taken into account in the Agencies' work programmes;
- for Agencies to adopt a more client-oriented approach;
- for the size of the Boards to be kept within reasonable limits;
- for Agencies to establish effective quality control, monitoring, and internal communication systems; and
- for Agencies to develop a targeted communication and dissemination strategy.

24.4. Lessons learned from evaluation

While it is in most cases, for many reasons that can not be discussed here in detail, very difficult to establish a direct and straight link between evaluation results and allocation of financial resources to specific policies, programmes or actions, the value of evaluation in decision-making, managing and reporting on achievements is clearly confirmed when looking back over the period in which evaluation became systematic within the Commission. This was in particular illustrated last year when the Annual Evaluation Review reported on the implementation of the Commission Communication on evaluation from July 2000 and on findings from an external study on the use of evaluation within the Commission.⁵⁰ The different elements and aspects discussed there are still valid, and the evaluation unit of DG BUDG is continuing its efforts - in coordination with the Commission's internal Evaluation Network - in view of improving the quality and regularity of evaluation as well as to strengthen its role in the APS/ABM cycle.

24.5. Other activities carried out in relation with evaluation

In addition to the above-presented concrete evaluation projects, and in line with the tasks described in the section related to its organisation, the evaluation unit of DG BUDG has especially in 2003 provided support to the other Commission services for implementing the new Commission 'Evaluation Standards and Good Practice' by organising workshops for exchange of good practices, discussing several times different aspects of the 'Standards' at the occasion of Network meetings, delivering specific and detailed advice at the request of several DGs, etc.

As already mentioned in the section regarding the overall development of the evaluation activities within the Commission, the guide on intermediate/ex post evaluation has been updated in order to reinforce assistance by DG BUDG to DGs and services in their efforts to satisfy evaluation requirements. Within the same context, the content of the evaluation training courses organised by DG ADMIN were reviewed after expiry of the consultancy contract valid up to the mid of 2003. Furthermore, a new open call for expression of interest in the field of evaluation has been published and the duration of the framework contract for evaluation services extended by one year after an analysis was carried out concerning their use.

Within the context of the financial framework and budgetary procedures, the evaluation unit has reinforced its involvement into the formulation of DG BUDG's replies to interservice consultations from other Commission DGs and services as well as into the budgetary 'hearings' in preparation of the Preliminary Draft Budget (PDB) 2004. In particular to be mentioned are: a detailed analyses on how evaluation-related information is used by DGs and services within the context of ABM and a

⁵⁰ See chapters 2.2 and 2.3 of the [Annual Evaluation Review 2002](#).

further one regarding the extent to which evaluation-related information was included in the PDB 2004 Activity Statements; two documents summarising 'highlights' from evaluations carried out within the Commission as input to the APS debates in spring (APS+ 2004) and autumn (APS 2005) as well as a new model of a forward evaluation programme for the whole Commission.

25. EVALUATION IN THE POLICY AREA “COMMISSION’S POLICY CO-ORDINATION AND LEGAL ADVICE” (SECRETARIAT GENERAL)

25.1. Organisation of the evaluation function

In the Secretariat General (SG), the evaluation function is decentralised, i.e. concrete evaluation projects are managed under the responsibility of the operational units concerned. The only exception are the so-called strategic (cross-cutting) evaluations, decided in the context of the 'Annual Policy Strategy' (APS) of the Commission, for which the unit 'Strategic Planning and Programming' (SPP) has the lead. The unit in charge of financial resources ensures co-ordination and support, liaison with DG Budget, representation of the SG in the Commission's Evaluation Network and establishment of the evaluation programme that is integrated into the Annual Management Plan of the SG.

All evaluations of SG activities mobilising financial resources are entrusted to external consultants. Terms of reference for these evaluations are established by the operational service concerned, while the financial resources unit provides support, in particular for the calls for tender and selection procedures. For the selection of external consultants as well as the monitoring of the evaluation process, a steering committee is set up, in which all relevant operational services of the SG, the financial resources unit, the internal audit capability and, if necessary, other services of the Commission are represented.

25.2. Overview of the evaluation projects carried out and launched in 2003

As foreseen in the evaluation plan 2003, two evaluations have been completed in 2003: The strategic evaluation of the open method of co-ordination and the evaluation of grants to organisations promoting the idea of Europe (budget line ex A-3021). In addition to the initial evaluation plan, an evaluation of the costs and benefits of projects financed from IDA (Networks for the interchange of data between administrations) in the area of communication and management of official documents, a part for which the SG is in charge, is nearly completed.

A further strategic (cross-cutting) evaluation on the approaches to integrate sustainability into Community policies is still underway, and the results are expected early 2004. Furthermore, and outside of the initial evaluation plan for the year 2003, an evaluation of the impact and operational features of the initiative 'Spring Day in Europe' has been launched in September 2003 and will be completed in February 2004.

25.3. Key evaluation findings, main lessons learned and action taken

The *strategic evaluation of the open method of co-ordination* is based on an internal consultation within the Commission that has led to an inventory of different types of open methods of co-ordination (Report against objectives, 'Scoreboard' approach, 'Best practice' approach). Several common themes have been identified, especially the involvement of stakeholders; commitment of Member States and "co-ordination" organised in the form of monitoring, reporting and information exchange. Due to the fact that, in most of the sectors, the open method of coordination was not applied long enough, it has been decided not to extend the evaluation in a view to actually assess results obtained and impacts achieved.

The *evaluation of grants to organisations promoting the idea of Europe* (budget line ex A-3021) made several recommendations, in particular to achieve a bigger coherence with the objectives of the organisations subsidised as well as to get a better support, from these organisations, to the working programme of the Commission. DG EAC, which is responsible for this budget line as from 2004 on, will establish a follow-up document analysing more in detail the recommendations made in view of their implementation.

25.4. Other activities carried out in relation with evaluation

Due to the horizontal nature of the main activities of the SG, mostly directed to other Commission services, and the fact that no major budget lines are managed, the scope for potential evaluation activities is rather limited.

However, there is one internal activity where evaluation-related aspects are considered, namely a global "User Satisfaction Survey", which is carried out annually by the SG. This survey aims at collecting the opinion and degree of appreciation of SG 'clients' (anonymous sample of about 400 persons) regarding its principal activity areas such as:

- The management of the decision process of the college of Commissioners;
- The co-ordination with the context of the "Strategic Planning and Programming" (SPP) cycle;
- Its actions in view of simplification of procedures;
- The inter-service co-ordination;
- The co-ordination of relations with the Council, the European Parliament, the COREPER, the work of the Conciliation Committee and other institutional bodies;
- The co-ordination of inter-institutional questions and of Governance;
- The access to information.

All appreciations and comments received for each of these areas is transmitted to the SG services concerned. On the basis of an analysis of the results, certain services undertake reorientations or specific action. On a more general level, the survey results are used as input for performance indicators within the context of the establishment of the SG's 'Annual Activity Report'.

Another user satisfaction survey concerns the treatment of inter-service consultations within the Commission as well as the implementation and utilisation of the Intranet-based tool CIS-NET, which is part of it. This survey was carried out during the two-weeks period from 13 to 28 November 2003. The survey's target population consisted in 320 CIS-NET users in Commission DGs and services. The sample, partly random-based, was built according to the different tasks carried out within the context of inter-service consultations from main co-ordinators (at the level of DGs), internal co-ordinators (at the level of directorates), authors within the units as well as people consulting CIS-NET as source of information or as follow-up of inter-service work. The survey was carried out anonymously by the Commission's Intranet and by respecting the rules governing individual data. The results, being still analysed, will be used for reflections in which way the informatics tool CIS-NET and the service offered by the SG in the context of inter-service consultations can be improved.

ANNEX 1 A — EVALUATION REPORTS COMPLETED (INCLUDING SOME NEARLY COMPLETED)

DG/Service: ADMIN			
Title – ABB Activity/ies	Completed on:	Published at:	Contact Person
Evaluation of the Management of absence of work, vacation and leave for Commission staff (Measure 11 of MAP 2000) ABB: NN Policy strategy and coordination for DG Personnel and Administration ABB: 26 01 50 Personnel policy and management	16/07/2003	http://www.admin.cec.eu.int/abm/evaluation_2002.htm	E. Weizenbach Tel. +32-2-2994953
Evaluation of the Third Action Programme on Equal Opportunities and future Gender Equality Actions ABB: NN Policy strategy and coordination for DG Personnel and Administration ABB: 26 01 50 Personnel policy and management	23/10/2003	http://www.admin.cec.eu.int/abm/evaluation_2002.htm	E. Weizenbach Tel. +32-2-2994953
Evaluation of the Language Training Programme organised by DG ADMIN for the Commission and other EU Institutions ABB: 26 01 50 Personnel policy and management	28/11/2003	http://www.admin.cec.eu.int/abm/evaluation_2002.htm	E. Weizenbach Tel. +32-2-2994953
Evaluation of the Middle and Senior Management Training and Development in the Commission organised by DG ADMIN ABB: NN Policy strategy and coordination for DG Personnel and Administration ABB: 26 01 50 Personnel policy and management	23/12/2003	Not published since for internal use Paper copy available from:	E. Weizenbach Tel. +32-2-2994953
Evaluation of the Support to the e-Commission Initiative and of the ICT Quality Policy of the Informatics Directorate ABB: 26 01 52 Information technology management and coordination	23/12/2003	http://www.admin.cec.eu.int/abm/evaluation_2002.htm	E. Weizenbach Tel. +32-2-2994953
Internal Evaluation of the first Exercise of the new Appraisal System (Career Development Review) for Commission Staff ABB: NN Policy strategy and coordination for DG Personnel and Administration ABB: 26 01 50 Personnel policy and management	31/12/2003	http://www.admin.cec.eu.int/abm/evaluation_2003.htm and http://www.cc.cec/home/admref/cdr/documentation_fr.htm#6	E. Weizenbach/ A. Fracchia-Fernandez Tel. +32-2-2994953 Tel. +32-2-2964873

DG/Service: AGRI			
Title - ABB Activity/ies	Completed on:	Published at:	Contact Person
Ex post Evaluation of the Measures under Regulation (EC) No. 950/97 on Improving the Efficiency of Agricultural Structures (1994-1999) ABB: 05 04 01 Rural Development in the EAGGF - Guarantee ABB: 05 04 02 Rural Development in the EAGGF - Guidance	23/05/2003	http://europa.eu.int/comm/agriculture/eval/index_fr.htm	D. Clemens Tel. +32-2-2993730
Ex post Evaluation of the Measures under Regulation (EC) No. 951/97 on Improving the Processing and Marketing of Agricultural Products (1994-1999) ABB: 05 04 01 Rural Development in the EAGGF - Guarantee ABB: 05 04 02 Rural Development in the EAGGF - Guidance	23/05/2003	http://europa.eu.int/comm/agriculture/eval/index_fr.htm	D. Clemens Tel. +32-2-2993730
Ex post Evaluation of Objective 5b programmes (1994-1999) ABB: 05 04 02 Rural Development in the EAGGF – Guidance	13/07/2003	http://europa.eu.int/comm/agriculture/eval/index_fr.htm	D. Clemens Tel. +32-2-2993730
Ex post Evaluation of the Community Initiative LEADER II ABB: 05 04 02 Rural Development in the EAGGF – Guidance	11/09/2003	http://europa.eu.int/comm/agriculture/eval/index_fr.htm	D. Clemens Tel. +32-2-2993730

DG/Service: AIDCO			
Title - ABB Activity/ies	Completed on:	Published at:	Contact Person
Evaluation of the Integration of Gender in EC Development Co-operation with Third Countries ABB: 21 02 Development co-operation policy and sectoral strategies	31/03/2003	http://europa.eu.int/comm/europeaid/evaluation/program/sectorrep.htm	L. Charpentier Tel. +32-2-2994876
Evaluation of EC Country Strategy for Ukraine 1996-2003 ABB: 19 06 Relations with Eastern Europe, Caucasus and Central Asian Republics	30/06/2003	http://europa.eu.int/comm/europeaid/evaluation/program/tacisrep.htm	S. Robbins Tel. +32-2-2966111
Evaluation of the EC Country Strategy for Morocco ABB: 19 08 Relations with the Middle East and South Mediterranean	31/07/2003	http://europa.eu.int/comm/europeaid/evaluation/program/medrep.htm	N. Delcroix Tel. +32-2-2992997
Evaluation of the EC Country Strategy for Malawi	30/09/2003	http://europa.eu.int/comm/europeaid/evaluation/program/	P. van Steekelenburg

DG/Service: AIDCO			
Title - ABB Activity/ies	Completed on:	Published at:	Contact Person
ABB: 21 03 Relations with Sub-Saharan Africa, the Caribbean, Pacific and Indian Ocean and Overseas Countries and Territories		acprep.htm	Tel. +32-2-2992515
Evaluation of the EC Country Strategy for Bangladesh ABB: 19 10 Relations with Asia	31/12/2003	Not yet published Paper copy available from:	L. Charpentier Tel. +32-2-2994876
Evaluation of the EC Economic Co-operation with MED Countries ABB: 19 08 Relations with the Middle East and South Mediterranean	31/12/2003	Not yet published Paper copy available from:	N. Delcroix Tel. +32-2-2992997
Evaluation of the Rehabilitation and Reconstruction Actions financed by the EU in ACP, ALA, MED and TACIS Countries ABB: 19 06 Relations with Eastern Europe, Caucasus and Central Asian Republics ABB: 19 08 Relations with the Middle East and South Mediterranean ABB: 19 09 Relations with Latin America ABB: 19 10 Relations with Asia ABB: 21 03 Relations with Sub-Saharan Africa, the Caribbean, Pacific and Indian Ocean and Overseas Countries and Territories ABB: 21 02 Development co-operation and sectoral strategies	31/12/2003	Not yet published Paper copy available from:	O. Henao- Triana Tel. +32-2-2955343
Evaluation of Population and Development oriented Programmes in EC External Co-operation ABB: 19 06 Relations with Eastern Europe, Caucasus and Central Asian Republics ABB: 19 07 Relations with Western Balkans ABB: 19 08 Relations with the Middle East and South Mediterranean ABB: 19 09 Relations with Latin America ABB: 19 10 Relations with Asia ABB: 21 03 Relations with Sub-Saharan Africa, the Caribbean, Pacific and Indian Ocean and Overseas Countries and Territories ABB: 21 02 Development co-operation and sectoral strategies	31/12/2003	Not yet published Paper copy available from:	P. van Steekelenburg Tel. +32-2-2992515
Evaluation of the EC Country Strategy for Egypt ABB 19 08 Relations with Middle East and South Mediterranean	31/12/2003	Not yet published Paper copy available from:	N. Delcroix Tel. +32-2-2992997

DG/Service: BUDG			
Title - ABB Activity/ies	Completed on:	Published at:	Contact Person
Meta-evaluation on the Community Agency System ABB: NN (cross-cutting)	30/09/2003	http://europa.eu.int/comm/budget/evaluation/keydocuments_en.htm	W. Stengg Tel. +32-2-2969159
Strategic Evaluation on the Relevance, Effectiveness and Efficiency of Small-scale Actions (Small Budget Lines) ABB: NN (cross-cutting)	30/09/2003	http://europa.eu.int/comm/budget/evaluation/keydocuments_en.htm	F. Altenhofer Tel. +32-2-2965752
Strategic Evaluation of EU Financial Assistance Schemes for SMEs ABB: NN (cross-cutting)	31/12/2003	http://europa.eu.int/comm/budget/evaluation/keydocuments_en.htm	W. Stengg Tel. +32-2-2969159

DG/Service: EAC			
Title - ABB Activity/ies	Completed on:	Published at:	Contact Person
Evaluation of the Information and Communication Policy of DG EAC: Publications ABB: 15 02 Education ABB: 15 03 Vocational Training ABB: 15 04 Culture and language ABB: 15 05 Audio-visual policy and sports ABB: 15 06 Dialogue with the citizens ABB: 15 07 Youth	31/01/2003	http://www.eac.cec/evaluation/resultats/eac.html#publications	F. Gutmann Tel. +32-2-2959650
Intermediate Evaluation of the European Training Foundation ABB: 15 03 03 European Training Foundation	31/01/2003	http://www.eac.cec/evaluation/resultats/formation.html#ETF2002	A. Macphail Tel. +32-2-2951753
Evaluation of the Grants to Cultural Organizations advancing the Idea of Europe (budget line ex A-3042)	31/03/2003	http://europa.eu.int/comm/culture/eac/sources_info/evaluation	S. Pasqua

DG/Service: EAC			
Title - ABB Activity/ies	Completed on:	Published at:	Contact Person
ABB: 15 04 01 Support of organisms active on European level in the field of culture		ation/evaluation_en.html	Tel. +32-2-2962511
Evaluation of Pilot projects in the area of the Fight against Doping in Sport in Europe ABB: 15 05 Audio-visual policy and sports	30/04/2003	http://www.eac.cec/evaluation/resultats/sport.html#fight	J. Kornbeck Tel. +32-2-2962778
Mid-term evaluation of the "Culture 2000" Programme ABB: 15 04 02 Culture	30/06/2003	http://europa.eu.int/comm/culture/eac/sources_info/evaluation/evaluation_en.html	S. Pasqua Tel. +32-2-2962511
Mid-term evaluation of the Decision of the Council 1665/51/EC on the Promotion of European Pathways for Work-linked Training, including Apprenticeship ("EUROPASS Training") ABB: 15 03 01 Vocational training and guidance	31/07/2003	http://www.eac.cec/evaluation/resultats/formation.html#EUROPASS	C. Scatoli Tel. +32-2-2957033
Mid-term evaluation of the LEONARDO DA VINCI Programme (2000-2006) ABB: 15 03 01 Vocational training and guidance	31/10/2003	http://europa.eu.int/comm/education/programmes/evaluation/evaluation_en.html	P. Baur Tel. +32-2-2994208
Ex post Evaluation of the MEDIA II Programme ABB: 15 05 01 Audiovisual media	30/09/2003	http://europa.eu.int/comm/avpolicy/media/media2_fr.html	M. S. Gatta Tel. +32-2-2954115
Ex ante Evaluation concerning a Commission proposal for a Decision of the European Parliament and of the Council on a Single Framework for the Transparency of Competences and Qualifications ("EUROPASS") ABB: 15 03 01 Vocational training and guidance	31/10/2003	http://www.eac.cec/evaluation/resultats/formation.html#frame-EUROPASS	C. Scatoli Tel. +32-2-2957033
Intermediate Evaluation of Programmes MEDIA Plus, MEDIA Training and the Preparatory Action "Growth and Audiovisual: I2I Audiovisual" ABB: 15 05 01 Audiovisual media	30/11/2003	http://europa.eu.int/comm/avpolicy/media/eval2_en.html	A. Silver/M. S. Gatta Tel. +32-2-2952290/ Tel. +32-2-2954115
Evaluation of the Co-operation with Third Countries within the YOUTH Program 2000-2002 ABB: 15 07 Youth	30/11/2003	http://europa.eu.int/comm/youth/program/evaluation_en.html	B. Roubicek Tel. +32-2-2992472
Ex post Evaluation of the previous CULTURE Programmes Kaleidoscope, Ariane and Raphael ABB: 15 04 02 Culture	30/11/2003	http://europa.eu.int/comm/culture/eac/sources_info/evaluation/evaluation_en.html	S. Pasqua Tel. +32-2-2962511
Evaluation of the Intervention Logic for Grants to Study and Research Centres (budget line ex A-3022) ABB: 15 02 01 Support of activities and organisms active on European level in the field of education	31/12/2003	Paper copy available from:	P. Martinez Macias Tel. +32-2-2996186
Ex Post Evaluation of TEMPUS II bis and Mid-term Evaluation of TEMPUS III ABB: 15 02 05 General and higher education ABB: 19 06 Relations with Eastern Europe, Caucasus, and Central Asian Republics ABB: 19 07 Relations with Western Balkans ABB: 19 08 Relations with the Middle East and South Mediterranean ABB: 22 02 Pre-accession assistance instruments	31/12/2003	http://europa.eu.int/comm/education/programmes/evaluation/evaluation_en.html	A. Gonzalez Hernandez/R. Campo Tel. +32-2-2966319/ Tel. +32-2-2968669
Evaluation of the Impact of School Partnerships (SOCRATES/COMENIUS I) ABB: 15 02 02 General and higher education	31/12/2003	http://www.eac.cec/evaluation/resultats/i/education/2004/comenius1-interim-final.pdf	F. Perotto Tel. +32-2-2958045
Evaluation of projects and Mobility actions (SOCRATES/COMENIUS 2) ABB: 15 02 02 General and higher education	31/12/2003	http://www.eac.cec/evaluation/resultats/education.html#Comenius2	F. Perotto Tel. +32-2-2958045
Intermediate Evaluation of the YOUTH Programme ABB: 15 07 Youth	31/12/2003	http://europa.eu.int/comm/youth/program/evaluation_en.html	V. Guerreiro Tel. +32-2-2950054
Mid-term Evaluation of the SOCRATES II Programme (2000-2006) ABB: 15 02 02 General and Higher Education	31/12/2003	http://europa.eu.int/comm/education/programmes/evaluation/evaluation_en.html	M. Schuller Tel. +32-2-2985013

DG/Service: ECFIN			
Title - ABB Activity/ies	Completed on:	Published at:	Contact Person

DG/Service: ECFIN			
Title - ABB Activity/ies	Completed on:	Published at:	Contact Person
Evaluation of the PRINCE programme (Information programme for the European Citizen: "The euro – one currency for Europe") ABB: 01 02 Economic and Monetary Union	30/09/2003	Paper copy available from:	K. Williams Tel. +32-2-2985516

DG/Service: ECHO			
Title - ABB Activity/ies	Completed on:	Published at:	Contact Person
Evaluation of ECHO's Reaction to Serious Drought Situations (Kenya, Ethiopia, Afghanistan & and Central America) ABB: 23 02 Humanitarian aid	28/02/2003	http://www.europa.eu.int/comm/echo/evaluation/reports_2002_en.htm	P.Cavendish Tel. +32-2-2963203
Evaluation of the First DIPECHO Action Plan for South Asia 2002 ABB: 23 02 Humanitarian aid	28/02/2003	http://www.europa.eu.int/comm/echo/evaluation/reports_2002_en.htm	P.Cavendish Tel. +32-2-2963203
Evaluation of ECHO-funded WFP Programmes in Afghanistan, Eritrea, Tanzania, and Serbia ABB: 23 02 Humanitarian aid	31/05/2003	http://www.europa.eu.int/comm/echo/evaluation/reports_2002_en.htm	P.Cavendish Tel. +32-2-2963203
Evaluation of ECHO's interventions in the Federal Republic of Yugoslavia (Serbia) ABB: 23 02 Humanitarian aid	31/07/2003	http://www.europa.eu.int/comm/echo/evaluation/reports_2003_en.htm	P.Cavendish Tel. +32-2-2963203
Evaluation of ECHO-funded Actions 1999 to 2002 in Sudan ABB: 23 02 Humanitarian aid	31/07/2003	http://www.europa.eu.int/comm/echo/evaluation/reports_2003_en.htm	P.Cavendish Tel. +32-2-2963203
Evaluation of ECHO's Strategic Orientation to Disaster Reduction and ECHO's Disaster Preparedness, Prevention and Mitigation Actions ABB: 23 02 Humanitarian aid	31/12/2003	http://www.europa.eu.int/comm/echo/evaluation/reports_2003_en.htm	P.Cavendish Tel. +32-2-2963203
Evaluation of ECHO's Global Humanitarian Plans in Angola, particularly with regard to treatment of IDPs, and Assessment of ECHO's future strategy in Angola ABB: 23 02 Humanitarian aid	31/12/2003	http://www.europa.eu.int/comm/echo/evaluation/reports_2003_en.htm	P.Cavendish Tel. +32-2-2963203

DG/Service: ELARG			
Title - ABB Activity/ies	Completed on:	Published at:	Contact Person
Ex post Evaluation of PHARE National Programmes in Central and Eastern European Candidate Countries (1997/98) ABB: 22 02 Pre-accession assistance instruments	31/03/2003	http://europa.eu.int/comm/enlargement/phare_evaluation_ex_post_evaluation_97_98.htm	M. Apelblat Tel. +32-2-2950480
Ex ante evaluation of Programming Mechanisms for PHARE in 2004 and beyond ABB: 22 02 Pre-accession assistance instruments	30/04/2003	Not published since for internal use	M. Merker Tel. +32-2-2960684
Interim Evaluation of PHARE National Programmes and Multi-Beneficiary Programmes ABB: 22 02 Pre-accession assistance instruments	31/12/2003	http://europa.eu.int/comm/enlargement/phare_evaluation_reports_interim.htm	J. M. Moreau Tel. +32-2-2952943

DG/Service: EMPL			
Title - ABB Activity/ies	Completed on:	Published at:	Contact Person
Evaluation of Local Social Capital Pilot projects under Article 6 ESF ABB: 04 02 Employment and European Social Fund	28/03/2003	http://europa.eu.int/comm/employment_social/evaluation/evaluation_news_en.htm	A. Zoric Tel. +32-2-2994070
Evaluation of the Actions undertaken as preparation for Implementation of a Programme to combat discrimination ABB: 04 04 Promoting an inclusive society	31/03/2003	Paper copy available from:	S. Finné Tel. +32-2-2965486
Evaluation of the practical implementation of national legislation transposing Health and Safety Directives ABB: 04 03 Work organizations and working conditions	30/03/2003	Summary will be published as COM document; Paper copy available from:	J. R. Biosca de Sagastuy Tel. +32-2-2934988

DG/Service: ENTR			
Title - ABB Activity/ies	Completed on:	Published at:	Contact Person
Evaluation of CORDIS and printed Publications of the Innovation and SME Programmes ABB: 02 03 Research - Promoting innovation and change	31/03/2003	ftp.cordis.lu/pub/cordis/docs/temp/cft2002/CORDIS_Monitoring_Executive_Summary.zip	K. Koenig B. Niessen Tel. +32-2-2932372 Tel. +32-2-2933638
Annual Monitoring 2002 of the Specific Programme for Innovation and SMEs (4th, 5th, and 6th RTD Framework Programmes) ABB: 02 03 Research - Promoting innovation and change	30/04/2003	Paper copy available from:	L. Briol Tel. +32-2-2934450
Evaluation of the Action to promote the Development of Mutual Guarantee Schemes (MGS) ABB: 02 02 Encouraging entrepreneurship	31/05/2003	Not published since for internal use Paper copy available from:	J.-F. Aguinaga Tel. +32-2-2951442
Evaluation of the EU-Japan Centre for Industrial Co-operation ABB : 02 05 Competitiveness and sustainable development	31/07/2003	http://www.eujapan.com/europe/executivesummary_tech_nopolis.pdf (Executive Summary)	Ph. Jean J. M. Avezou D. Van Bockstal Tel. +32-2-2950539 Tel. +32-2-2957465 Tel. +32-2-2990359
Evaluation of the System of European Technical Approvals (ETA) ABB: 02 04 Getting still more from the Internal Market	31/07/2003	Paper copy available from:	G. Katsarakis Tel. +32-2-2965150
Intermediate Evaluation of the Multi-annual Programme for Enterprise and Entrepreneurship 2001-2005 (in particular for Small and Medium-sized Enterprises) ABB: 02 02 Encouraging entrepreneurship	31/07/2003	http://europa.eu.int/comm/enterprise/enterprise_policy/multientr_programme/doc/intermediate_eval603.pdf	D. Herbert M. Nyman Tel. +32-2-2990087 Tel. +32-2-2984371
Evaluation of the TICQA (Testing, Inspection, Certification and Quality Assurance) Database on Conformity Assessment ABB: 02 05 Competitiveness and sustainable development	31/10/2003	Not published since for internal use Paper copy available from:	M. Stadler Tel. +32-2-2995158
Evaluation of the Standardisation in support of the eEurope Action Plan ABB: 02 04 Getting still more from the Internal Market ABB: 09 03 eEurope	30/11/2003	Paper copy available from:	A. Lehouck Tel. +32-2-2968976

DG/Service: ENV			
Title - ABB Activity/ies	Completed on:	Published at:	Contact Person
Intermediate Evaluation on the Implementation of the Financial Instrument for the Environment (LIFE) ABB: 07 03 Environmental programs and projects ABB: 07 02 Global environmental affairs	31/07/2003	http://europa.eu.int/comm/environment/life/news/index.htm	A. Salsi G. Maiorca Tel. +32-2-2969376 Tel. +32-2-2998896
Intermediate Evaluation of the progress of, and tasks undertaken by, the European Agency in relation to the Community overall policy on the environment ABB: 07 04 Implementation of environment policy	31/08/2003	http://europa.eu.int/comm/environment/pubs/eea.htm	H. Stielstra G. Maiorca Tel. +32-2-2991198 Tel. +32-2-2998896

DG/Service: ESTAT			
Title - ABB Activity/ies	Completed on:	Published at:	Contact Person
Authoritative Review of Agricultural Statistics ABB: 29 02 Production and statistical information ABB: 05 08 Policy strategy and coordination of Policy area Agricultural and Rural Development	31/12/2002	Not published since for internal use Paper copy available from:	D. Peare Tel. +32-2-2935188
Evaluation of the Co-operation with AFRISTAT ABB: 29 02 Production of statistical information	31/12/2002	Paper copy available from:	J. Heimann Tel. +32-2-2934593
Rolling Reviews: Internal Evaluation of EUROSTAT's Data-producing Services (Labor Force Survey, Trading of Goods) ABB: 29 02 Production of statistical information	30/04/2003	Paper copy available from:	M. Karlberg Tel. +32-2-2935934
Ex post Evaluation of the Statistical Programme 1998-2002 ABB: 29 02 Production and statistical information	30/10/2003	Paper copy available from:	M. Karlberg Tel. +32-2-2935934
Mid-term evaluation of the implementation of EDICOM II programme ABB: 29 02 Production and statistical information	31/12/2003	Paper copy available from:	J. Lanneluc Tel. +32-2-2934094
Mid-term evaluation of the EU Pre-Accession Instrument PHARE in relation to Statistics ABB: 22 02 Pre-accession assistance instruments ABB: 29 02 Production and statistical information	31/12/2003	Paper copy available from:	N. Wurm Tel. +32-2-2933589

DG/Service: FISH			
Title - ABB Activity/ies	Completed on:	Published at:	Contact Person
Evaluation of the Northwest Atlantic Fisheries Organisation (NAFO) Observer Scheme ABB: 11 07 Fisheries conservation, control and enforcement	30/04/2003	Not published since for internal use Paper copy available from:	M. Newman Tel. +32-2-2957449
Evaluation of the Protocol 2000-2002 to the Fisheries Agreement between the EC and the Republic of Guinea, including an ex ante evaluation and impact assessment of a new Protocol for the period 2004- 2007 ABB: 11 03 International fisheries	30/06/2003	Not published since for internal use Paper copy available from:	A. Fernandez-Aguirre Tel. +32-2-2951611
Ex ante evaluation on the proposal for amending Regulation 1543/2000 - Determination of environmental variables of interest for the Common Fisheries Policy capable of regular monitoring ABB: 11 07 Fisheries conservation, control and enforcement	31/08/2003	Not published since for internal use Paper copy available from:	M. J. Fidalgo Tel. +32-2-2952085
Ex post Evaluation of Decision 2001/431/CE (Financial contribution to the Member States for expenditure in the field of control) and its extension ABB: 11 07 Fisheries conservation, control and enforcement	30/11/2003	Paper copy available from:	G. Gallizioli Tel. +32-2-2955047

DG/Service: INFSO			
Title - ABB Activity/ies	Completed on:	Published at:	Contact Person
External Monitoring and Assessment of the Specific Programme for Information Society Technologies (ST) 2002 ABB: 09 04 Research and Technological Development on Information Society Policy	30/04/2003	http://europa.eu.int/information_society/programmes/evaluation/highlights/studies2003/index_en.htm	C. Paleologos Tel. +32-2-2968972
Evaluation of the Annual IST Events ABB: 09 04 Research and Technological Development on Information Society Policy	31/05/2002	http://europa.eu.int/information_society/programmes/evaluation/highlights/studies2003/index_en.htm	F. Cunningham Tel. +32-2-2968119
Intermediate evaluation of the eContent programme ABB: 09 03 eEurope	30/06/2003	http://europa.eu.int/information_society/programmes/evaluation/highlights/studies2003/index_en.htm	J. Hernandez-Ros Tel. +352-4301-34533
Final evaluation of the Safer Internet Action Plan 1999-2002 ABB: 09 03 eEurope	30/06/2003	http://europa.eu.int/information_society/programmes/evaluation/highlights/studies2003/index_en.htm	J. Hernandez-Ros Tel. +352-4301-34533

DG/Service: INFSO			
Title - ABB Activity/ies	Completed on:	Published at:	Contact Person
Final evaluation of the multi-annual Community Programme to Stimulate the Establishment of the Information Society in Europe (PROMISE Programme 1998-2002) ABB: 09 03 eEurope	30/11/2003	http://europa.eu.int/informati on_society/programmes/evaluation/non_rtd/promise/index_en.htm	M. Pettigrew Tel. +32-2-2965881

DG/Service: JAI			
Title - ABB Activity/ies	Completed on:	Published at:	Contact Person
Evaluation of the Role of Security, Transparency and Legality and Social Development ABB: 18 05 Law enforcement cooperation and prevention of and fight against general and organized crime	30/06/2003	http://europa.eu.int/comm/dg s/justice_home/coordination/evaluation/dg_coordination_evaluation_annexe_en.htm	M. Laperrousaz Tel. +32-2-2952192
Mid-Term Evaluation of the European Refugee Fund ABB: 18 03 Common immigration and asylum policies	31/12/2003	http://europa.eu.int/comm/ju stice_home/funding/refugee/funding_refugee_en.htm	A. Boillot Tel. +32-2-2952862
Final Evaluation of the DAPHNE Programme ABB: 18 04 Citizenship and fundamental rights	31/12/2003	Paper copy available from:	P. Trousson Tel. +32-2-2965803

DG/Service: JRC			
Title - ABB Activity/ies	Completed on:	Published at:	Contact Person
Annul Monitoring 2002 of the Implementation of the Specific Programmes for Research and Technological Development and for Research and Training (direct actions) carried out by the Joint Research Centre (JRC) ABB: 10 01 Administrative expenditure of Policy Area Direct Research ABB: 10 04 Completion of previous Framework Programmes and other activities	30/04/2003	Published as part of the JRC 2002 Annual Report available at: http://www.jrc.cec.eu.int/default.asp@sidsz=more_inform ation.htm	V. Calenbuhr Tel. +32-2-2952877
Evaluation of the Decommissioning and Waste Management Programme ABB: 10 01 Administrative expenditure of Policy Area Direct Research ABB: 10 05 Historical liabilities resulting from nuclear activities carried out by the Joint Research Centre under the EURATOM Treaty	19/06/2003	Not published since for internal use Paper copy available from:	P. Frigola G. Mahaud Tel. +32-2-2959070 Tel. +32-2-2966907
Evaluation of the User Satisfaction ABB: 10 01 Administrative expenditure of Policy Area Direct Research ABB: 10 02 Directly financed research operational appropriations – 6 th Framework Programme (2002-2006) – EC ABB: 10 03 Directly financed research operational appropriations – 6 th Framework Programme (2002-2006) – EURATOM ABB: 10 04 Completion of previous Framework Programmes and other activities	31/10/2003	http://www.jrc.cec.eu.int/download/JRC_Rap_final_USS.pdf	V. Calenbuhr Tel. +32-2-2952877
Internal Evaluation of the Performance of JRC (Benchmarking exercise carried out by the JRC Benchmarking Network) ABB: 10 01 Administrative expenditure of Policy Area Direct Research ABB: 10 02 Directly financed research operational appropriations – 6 th Framework Programme (2002-2006) – EC ABB: 10 03 Directly financed research operational appropriations – 6 th Framework Programme (2002-2006) – EURATOM ABB: 10 04 Completion of previous Framework Programmes and other activities	31/01/2003	Not published since for internal use Paper copy available from:	V. Calenbuhr Tel. +32-2-2952877

DG/Service: MARKT			
Title - ABB Activity/ies	Completed on:	Published at:	Contact Person
Evaluation of DG MARKT's Study Programme ABB: 12 02 Policy strategy and coordination for DG Internal Market	30/04/2003	Not published since for internal use Paper copy available from:	U. Eiteljoerge Tel. +32-2-2998369
Intermediate Evaluation of Directive 98/71 ("Design Directive") ABB: 12 03 Internal market for goods and services	31/08/2003	Not published since for internal use Paper copy available from:	M. Olivan Aviles Tel. +32-2-2994975

DG/Service: MARKT			
Title - ABB Activity/ies	Completed on:	Published at:	Contact Person
Ex ante Impact Assessment of a possible Horizontal Directive for the Internal Market in Services ABB: 12 03 Internal market for goods and services	31/12/2003	http://europa.eu.int/comm/internal_market/en/services/services/docs/2004-impact-assessment_en.pdf	J. Bergevin Tel. +32-2-2951639
Ex ante Impact Assessment of possible Directive on Reinsurance ("Reinsurance Directive") ABB: 12 03 Internal market for goods and services	31/12/2003	Not published since for internal use Paper copy available from:	F. Caballero Sanz Tel. +32-2-2951168

DG/Service: PRESS			
Title - ABB Activity/ies	Completed on:	Published at:	Contact Person
Evaluation of the Information Relays and Networks ABB: 16 05 Coordination of information relays and networks in the European Union	31/12/2003	Paper copy available from:	S. Koppelberg Tel. +32-2-2998978

DG/Service: REGIO			
Title - ABB Activity/ies	Completed on:	Published at:	Contact Person
Ex post Evaluation of Objective 1 Interventions 1994- 1999 ABB: 13 03 ERDF and Other Regional Interventions	30/04/2003	Http://europa.zu.int/comm/regional_policy/sources/docgen/evaluation/rado_en.htm	V. Gaffey Tel. +32-2-2969596
Ex post Evaluation of Objective 2 Interventions 1994-1999 ABB: 13 03 ERDF and Other Regional Interventions	30/06/2003	Http://europa.zu.int/comm/regional_policy/sources/docgen/evaluation/rado_en.htm	P. Ungar Tel. +32-2-2965035
Ex post Evaluation of the Community Initiative URBAN 1994-1999 ABB: 13 03 ERDF and Other Regional Interventions	30/09/2003	Http://europa.zu.int/comm/regional_policy/sources/docgen/evaluation/rado_en.htm	K. Stryczynski Tel. +32-2-2956815

DG/Service: RELEX			
Title - ABB Activity/ies	Completed on:	Published at:	Contact Person
ACADIA Evaluation ABB: 19 05 Relations with Non-EU OECD countries	31/03/2003	Paper copy available from:	Ch. Hughes Tel. +32-2-2991800
Evaluation of the Devolution Process ABB: 19 11 Policy strategy and co-ordination for Policy area External Relations	23/12/2003	Paper copy available from:	V. Esposito Tel. +32-2-2990920

DG/Service: RTD			
Title - ABB Activity/ies	Completed on:	Published at:	Contact Person
Annual Monitoring 2002 of the Implementation of the 4th, 5th and 6th EC and EURATOM Framework Programmes ABB: 08 02 Genomic and biotechnology for health ABB: 08 03 Nanotechnologies, intelligent materials, new production processes ABB: 08 04 Aeronautics and space ABB: 08 05 Food quality and safety ABB: 08 06 Sustainable development, global change and ecosystems ABB: 08 07 Citizens and governance in a knowledge-based society ABB: 08 08 Specific measures covering a wider field of research ABB: 08 09 Strengthening the foundations of the European Research Area ABB: 08 10 Structuring the European Research Area ABB: 08 11 Research and Training actions under the EURATOM Treaty ABB: 08 12 Completion of previous Framework Programmes and other activities	31/05/2003	http://www.cordis.lu/fp5/monitoring/rep_2002.htm	C. H. Metzger Tel. +32-2-2964728
Methodological Assessment of TIP (Technological Implementation Plan) as a tool for Impact Assessment and Evaluation ABB: 08 12 Completion of previous Framework Programmes and other activities	30/06/2003	Not published since for internal use Paper copy available from:	A. Silvani Tel. +32-2-2950107
Evaluation of the Effects of the Euro-Atlantic Co-operation Agreement (Impact Assessment of the EU-US S&T Agreement)	30/06/2003	Paper copy available from:	I. Brach

DG/Service: RTD			
Title - ABB Activity/ies	Completed on:	Published at:	Contact Person
ABB: 08 08 Specific measures covering a wider field of research			Tel. +32-2-2956677
Assessment of the Commercial Success of the AIR Programme (1990-96) in the Area of Biomaterials & Green Chemicals (non-food)	30/06/2003	http://www.nf-2000.org/secure/FP5/F1247.htm	C. Mangan
ABB: 08 12 Completion of previous Framework Programmes and other activities			Tel. +32-2-2961279
Mid-term Assessment of the Sub-Action 'Support for the Development of Science and Technology Policies in Europe' (comprising the STRATA and CBSTII activities)	31/10/2003	Not published since for internal use Paper copy available from:	B. Martins
ABB: 08 12 Completion of previous Framework Programmes and other activities			Tel. +32-2-2960006
Evaluation and Impact Assessment of finished projects of the Industrial and Material Technologies (IMT) programme, the Standards, Measurement and Testing (SMT) programme and the Transport programme	31/12/2003	Paper copy available from:	S. Vandendriessche
ABB: 08 12 Completion of previous Framework Programmes and other activities			Tel. +32-2-2959312
Monitoring and Assessment of SME RTD projects	31/12/2003	Paper copy available from	G. Valcárcel-Resalt
ABB: 08 12 Completion of previous Framework Programmes and other activities			Tel. +32-2-2990716
Impact Assessment of the Non-nuclear Energy Programme (4th RTD Framework Programme)	31/12/2003	Paper copy available from	J. Poussielgue
ABB: 08 12 Completion of previous Framework Programmes and other activities			Tel. +32-2-2951229

DG/Service: SANCO			
Title - ABB Activity/ies	Completed on:	Published at:	Contact Person
Evaluation of the Labelling of Foodstuffs	31/10/2003	Paper copy available from:	J. Humières
ABB: 17 04 Food safety, animal health, animal welfare and plant health			Tel. +32-2-2959949
Evaluation of the Commission's Tobacco Prevention Media Campaign	30/11/2003	Paper copy available from:	J.-L. Noël
ABB: 17 03 Public health			Tel. +32-2-2938017
ABB: 05 02 09 Tobacco			
Evaluation of the Regulation N°258/97 concerning Novel Foods and Novel Food Ingredients	31/12/2003	Paper copy available from:	A. Klepsch
ABB: 17 04 Food safety, animal health, animal welfare and plant health			Tel. +32-2-2953210

DG/Service: SG			
Title - ABB Activity/ies	Completed on:	Published at:	Contact Person
Strategic Evaluation on the Open Method of Co-ordination	31/03/2003	Paper copy available from:	C. Leman
ABB: NN (cross-cutting)			Tel. +32-2-2957564
Evaluations of Grants to Organisations advancing the Idea of Europe (budget line ex A-3021)	24/07/2003	http://europa.eu.int/comm/secretariat_general/subvention/index_en.htm	A. Pooley
ABB: 25 02 Relations with the civil society, openness and information			Tel. +32-2-2956806
ABB: 15 06 Dialogue with the citizens			
Evaluation of the Cost/Benefits of Projects financed by IDA (Networks for the Interchange of Data between Administrations) within the area "Communication and management of official documents" managed by the Secretariat General	31/12/2003	Paper copy available from:	F. Kodeck
ABB: NN Coordination within the Commission (Activity without budget line within Policy Area 25: Commission's Policy Co-ordination and Legal Advice)			M. Royan Gonzalez
ABB: 02 02 Encouraging entrepreneurship			Tel. +32-2-2957435
			Tel. +32-2-2999926

DG/Service: TAXUD			
Title - ABB Activity/ies	Completed on:	Published at:	Contact Person
Final Evaluation of the FISCALIS programme ABB: 14 05 Taxation policy	30/11/2003	http://europa.eu.int/servlet/portail/RenderServlet?search=DocNumber&lg=fr&nb_doc_s=10&domain=preparatory&in_force=NO&type_doc=CMfinal&an_doc=2003&nu_doc=678	Montserrat Alvarino Tel. +32-2-2995660
Final Evaluation of the CUSTOMS 2002 programme ABB: 14 04 Customs policy	30/11/2003	http://europa.eu.int/servlet/portail/RenderServlet?search=DocNumber&lg=fr&nb_doc_s=25&domain=preparatory&in_force=NO&type_doc=CMfinal&an_doc=2003&nu_doc=672	B. Wets/D. Birkenmaier Tel. +32-2-2961638 Tel. +32-2-2951828

DG/Service: TRADE			
Title - ABB Activity/ies	Completed on:	Published at:	Contact Person
Evaluation of the Economic Impact of Mutual Recognition Agreements (MRA) on Conformity Assessment ABB: 20 02 Trade policy	31/05/2003	http://trade-info.cec.eu.int/tbt/documents.cfm?action=list	P. De Lusignan Tel. +32-2-2966189
Sustainable Impact Assessment (SIA) of proposed WTO negotiations ABB: 20 02 Trade policy	30/06/2003	http://idpm.man.ac.uk/sia-trade	E. Peters Tel. +32-2-2959697

DG/Service: TREN			
Title - ABB Activity/ies	Completed on:	Published at:	Contact Person
Ex ante Evaluation on the Externalisation of the "Intelligent Energy for Europe" Programme ABB: 06 04 Conventional and renewable energies	31/01/2003	Not published since for internal use Paper copy available from:	F. Lomartire Tel. +32-2-2992874
Impact Assessment of the 4th RTD Framework Programme relating to Non-nuclear Energy (Joule and Thermie) ABB: 06 04 Research related to energy and transport	28/02/2003	Paper copy available from:	D. Schroecker Tel. +32-2-2955869
Evaluation to support the Development of a Business Plan for GALILEO (GALILEO: Equity Plan Phase 2) ABB: 06 03 Trans-European Networks (TEN)	31/12/2003	http://europa.eu.int/comm/dg/energy_transport/galileo/doc/gal_phase2_exec_summ.pdf	E. Kavvada Tel. +32-2-2954902

ANNEX 1 B — ON-GOING EVALUATIONS — DECEMBER 2003

DG/Service: ADMIN			
Title – ABB Activity/ies	Estimated completion date:		Contact Person
Evaluation of the Career Guidance Support in the Commission ABB: NN Policy strategy and coordination for DG Personnel and Administration Personnel policy and management	31/05/2004		E. Weizenbach Tel. +32-2-2994953
Extended Impact Assessment for a Directive on Industrial Security ABB: NN Security (Activity without budget line in Policy Area 26: Personnel and Administration)	30/06/2004		S. Hutchins Tel. +32-2-2956168
Evaluation of the Commission's Telephone service centrally managed by the Informatics Directorate ABB: 26 01 52 Information technology management and coordination	31/05/2004		H. De Gendt/ E. Weizenbach Tel. +32-2-2953419 Tel. +32-2-2994953
Evaluation of the Staff opinion and satisfaction within the European Commission related to the Services of DG ADMIN, PMO, OIB and OIL, and to the Working environment of staff ABB: NN Policy strategy and coordination for DG Personnel and Administration ABB: 26 01 50 Personnel policy and management ABB: 26 01 51 Infrastructure policy and management	31/12/2004		E. Weizenbach Tel. +32-2-2994953

DG/Service: AGRI			
Title - ABB Activity/ies	Estimated completion date:		Contact Person
Evaluation of the Methods for and Success of Mainstreaming LEADER Innovations into Rural Development Programmes ABB: 05 04 02 Rural Development in the EAGGF – Guidance	29/02/2004		N. Ortega Barquero Tel. +32-2-2960643
Evaluation of the Common Market Organisation (CMO) for Wine ABB: 05 02 09 Plant Products – Products of wine-growing sector	31/07/2004		M. Lösch Tel. +32-2-2955910

DG/Service: AIDCO			
Title - ABB Activity/ies	Estimated completion date:		Contact Person
Evaluation of the EC Country Strategy for Honduras ABB: 19 09 Relations with Latin America	29/02/2004		O. Henao- Triana Tel. +32-2-2955343
Evaluation of the EC Support Strategy to the MERCOSUR Region ABB: 19 09 Relations with Latin America	29/02/2004		A. Chambel Tel. +32-2-2967403
Evaluation of the EC Interventions in the Transport Sector in Third Countries ABB: 19 06 Relations with Eastern Europe, Caucasus and Central Asian Republics ABB: 19 07 Relations with Western Balkans ABB: 19 08 Relations with the Middle East and South Mediterranean ABB: 19 09 Relations with Latin America ABB: 19 10 Relations with Asia ABB: 21 03 Relations with Sub-Saharan Africa, the Caribbean, Pacific and Indian Ocean and Overseas Countries and Territories ABB: 21 02 Development co-operation and sectoral strategies	31/03/2004		D. Carpenter Tel. +32-2-2954895
Evaluation of Trade-related Assistance (TRA) by the European Commission in Third Countries	31/03/2004		T. Schedvin

DG/Service: AIDCO			
Title - ABB Activity/ies	Estimated completion date:		Contact Person
ABB: 19 06 Relations with Eastern Europe, Caucasus and Central Asian Republics ABB: 19 07 Relations with Western Balkans ABB: 19 08 Relations with the Middle East and South Mediterranean ABB: 19 09 Relations with Latin America ABB: 19 10 Relations with Asia ABB: 21 03 Relations with Sub-Saharan Africa, the Caribbean, Pacific and Indian Ocean and Overseas Countries and Territories ABB: 21 02 Development co-operation and sectoral strategies ABB: 20 02 Trade Policy			Tel. +32-2-2999824
Evaluation of the EC Country Strategy for Ethiopia ABB: 21 03 Relations with Sub-Saharan Africa, the Caribbean, Pacific and Indian Ocean and Overseas Countries and Territories	31/03/2004		T. Schedvin Tel. +32-2-2999824
Evaluation of the CARDS Regulation (Council Regulation (EC) No 2666/2000) ABB: 19 07 Relations with Western Balkans ABB: 01 03 02 Macro-economic assistance	31/05/2004		D. Carpenter Tel. +32-2-2954895
Evaluation of the European Agency for Reconstruction (Council Regulation (EC) No 2667/2000) ABB: 19 07 Relations with Western Balkans	31/05/2004		D. Carpenter Tel. +32-2-2954895
Evaluation of the European Community support to Private Sector Development in Third Countries ABB: Various activities (19 05; 19 06; 19 07; 19 08; 19 09; 19 10; 21 03; 21 02) under Titles 19 and 21	31/05/2004		S. Wille Tel. +32-2-2955200
Thematic Evaluation of Food-Aid Policy and Food-Aid Management and Special operation in Support of Food Security (Council Regulation (EC) No 1292/96) ABB: Various activities under titles 19 and 21 (19 05; 19 06; 19 07; 19 08; 19 09; 19 10; 21 03; 21 02), but in particular two sub-actions related to Food aid in Activity 21 02 "Development co-operation policy and sectoral strategies"	30/06/2004		L. Charpentier Tel. +32-2-2994876
Evaluation of the EC Country Strategy for Lesotho ABB: 21 03 Relations with Sub-Saharan Africa, the Caribbean, Pacific and Indian Ocean and Overseas Countries and Territories	31/07/2004		S. Wille Tel. +32-2-2955200
Evaluation of the Regulations on Environment and Tropical Forests (Council Regulations (EC) No 2493 and (EC) No 2494) ABB: 21 02 Development co-operation policy and sectoral strategies	31/10/2004		A. Chambel Tel. +32-2-296703
Evaluation of the Regional Strategy Programme for the Caribbean Region ABB: 21 03 Relations with Sub-Saharan Africa, the Caribbean, Pacific and Indian Ocean and Overseas Countries and Territories ABB: 21 02 Development co-operation and sectoral strategies	30/11/2004		N. Delcroix Tel. +32-2-2992997

DG/Service: BUDG			
Title - ABB Activity/ies	Estimated completion date:		Contact Person
Strategic Evaluation on Programme Management Methods ABB: NN (cross-cutting)	31/05/2004		E. Garcia Martin-Romo Tel. +32-2-2962081

DG/Service: COMP			
Title - ABB Activity/ies	Estimated completion date:		Contact Person
Evaluation on the Commission's Practice on Remedies in Cases assessed under the Merger Regulation ABB: 03 03 Mergers, anti-trust, market liberalisation and cartels	31/12/2004		A. Kopke Tel. +32-2-2984601

DG/Service: DGT			
Title - ABB Activity/ies	Estimated completion date:		Contact Person
Evaluation study on optimising Co-operation between EU Institutions in the field of Translation assessing scenarios for enhanced co-operation	31/01/2004		V. Daro
ABB: NN Policy strategy and coordination for Translation Service (Activity without budget line within Policy Area 26: Administration)			Tel. +32-2-2956251

DG/Service: EAC			
Title - ABB Activity/ies	Estimated completion date:		Contact Person
Ex ante Evaluation (including Extended Impact Assessment) for a new Programme of Co-operation with Third Countries in the field of Education (2007-2013)	29/02/2004		I. Avgerinou
ABB: 15 02 Education			Tel. +32-2-2993628
Ex ante Evaluation (including Extended Impact Assessment) for a new Programme in the field of Life-long learning (2007-2013)	29/02/2004		A. Pokorny
ABB: 15 03 01 Vocational training and guidance			Tel. +32-2-2963988
Ex ante Evaluation (including Extended Impact Assessment) for a new Programme in the field of Cultural Cooperation (2007-2013)	29/02/2004		F. Metayer
ABB: 15 04 02 Culture			Tel. +32-2-2998643
Ex ante Evaluation (including Extended Impact Assessment) for a new Programme to encourage the development, the distribution and promotion of European Audio-visual works to train professionals in the European audio-visual Programme Industry (2007 -2013)	29/02/2004		A. Silver/M. S. Gatta
ABB: 15 05 01 Audio-visual media			Tel. +32-2-2952290 Tel. +32-2-2954115
Ex ante Evaluation (including Extended Impact Assessment) for a new Programme in the Field of Youth (2007-2013)	29/02/2004		V. Guerreiro
ABB: 15 01 Youth			Tel. +32-2-2950054
Evaluation of the financial support granted to Associations and Federations of European interest (budget line ex A-3024)	31/03/2004		M.L. Anastopolous
ABB: 15 06 01 Support of activities and organisms active on European level in the field of civic participation			Tel. +32-2-2961239
Evaluation of the impact of Linguistic Actions in SOCRATES I and II (first phase) as well as LEONARDO DA VINCI I and II (first phase)	31/03/2004		E. Sandvik
ABB: 15 02 02 General and higher education ABB: 15 03 01 Vocational training and guidance ABB: 15 04 03 Language			Tel. +32-2-2996642
Intermediate Evaluation of the GRUNDTVIG Action within the SOCRATES Programme	31/03/2004		R. Lardinos
ABB: 15 02 02 General and higher education			Tel. +32-2-2955193
Evaluation of the implementation of the COMENIUS 3 Action: COMENIUS Network (SOCRATES II)	31/03/2004		F. Perotto
ABB: 15 02 02 General and higher education			Tel. +32-2-2958045
Evaluation of the Activities in the field of Regional and Minority Languages	31/03/2004		T. Condeco
ABB: 15 04 03 Language			Tel. +32-2-2967322
Evaluation of the Activities of the Network of National Resource Centres for Vocational Guidance (1998-2003)	30/04/2004		L. G. Cassio
ABB: 15 03 01 Vocational training and guidance			Tel. +32-2-2961705
Evaluation of the impact of ERASMUS on Institutions: Impact of the implementation of ERASMUS European Policy Statements (EPS) on Institutions and the impact of ERASMUS on national higher education systems and policies	30/04/2004		F. Wittib
ABB: 15 02 02 General and higher education			Tel. +32-2-2985805

DG/Service: EAC			
Title - ABB Activity/ies	Estimated completion date:		Contact Person
Evaluation of the Partnership Agreement on Training in Youth work between the European Commission and the Council of Europe ABB: 15 07 Youth	31/05/2004		A. Payer Tel. +32-2-2991318

DG/Service: ECFIN			
Title - ABB Activity/ies	Estimated completion date:		Contact Person
Ex post evaluation of Marco-financial Assistance (MFA) operations carried out in Armenia ABB: 01 03 02 Macro-economic assistance	30/06/2004		K. Williams Tel. +32-2-2985516

DG/Service: ECHO			
Title - ABB Activity/ies	Estimated completion date:		Contact Person
Evaluation of ECHO's Humanitarian Intervention Plans in Afghanistan (including the actions financed in Iran and Pakistan under the plans), of ECHO's future strategy in the context of the Afghan crisis and of ECHO's policy of treating affected populations without regard to pre-conceived categories ABB: 23 02 Humanitarian aid	31/03/2004		P.Cavendish Tel. +32-2-2963203
Evaluation of ECHO's Co-operation with UNICEF and UNICEF Activities funded by ECHO ABB: 23 02 Humanitarian aid	31/03/2004		P.Cavendish Tel. +32-2-2963203
Evaluation of ECHO's Nutrition and Food-aid activities for Burmese refugees in Thailand and of the Nutritional Food-aid situation of refugees not benefiting from ECHO's activities in Thailand and of internally displaced persons (IDPs) at three resettlement sites in Burma ABB: 23 02 Humanitarian aid	31/05/2004		P.Cavendish Tel. +32-2-2963203
Evaluation of the Activities funded by ECHO from "Action Contre la Faim" (ACF France) ABB: 23 02 Humanitarian aid	31/07/2004		P.Cavendish Tel. +32-2-2963203

DG/Service: ELARG			
Title - ABB Activity/ies	Estimated completion date:		Contact Person
Interim Evaluation of the Pre-accession Aid Programme for Malta ABB: 22 02 Pre-accession assistance instruments	31/12/2004		M. Merker Tel. +32-2-2960684
Interim Evaluation of the Pre-accession Aid Programme for Turkey ABB: 22 02 Pre-accession assistance instruments	28/02/2005		M. Merker Tel. +32-2-2960684
Interim Evaluation of the Pre-accession Aid Programme for Cyprus ABB: 22 02 Pre-accession assistance instruments	31/08/2005		M. Merker Tel. +32-2-2960684

DG/Service: EMPL			
Title - ABB Activity/ies	Estimated completion date:		Contact Person
Ex post Evaluation of ESF operations 1994-1999 under Objectives 1, 3 and 4 and under the Community Initiatives Employment and Adapt ABB: 04 02 Employment and European Social Fund	31/12/2003		A. Zoric Tel. +32-2-2994070
Overall (horizontal) Evaluation of Local Employment Development ABB: 04 02 Employment and European Social Fund	30/11/2003		A. Zoric Tel. +32-2-2994070

DG/Service: EMPL			
Title - ABB Activity/ies	Estimated completion date:		Contact Person
Evaluation of the European Year of People with Disabilities (2003) ABB: 04 04 Promoting an inclusive society	30/06/2004		F. R. Ribeiro Tel. +32-2-2958805
Evaluation of Preparatory Measures for Local Commitment for Employment 2001 ABB: 04 02 Employment and European Social Fund	31/07/2004		A. Zoric Tel. +32-2-2994070
Evaluation of Innovative Measures under Article 6 of the ESF Regulation in the field of "Social Dialogue" ABB: 04 02 Employment and European Social Fund	31/10/2004		W. Bücherel Tel. +32-2-2955273
Evaluation of DG EMPL's Information and Communication strategy ABB: NA Policy strategy and coordination for DG Employment and Social Affairs (Activity without budget line)	31/10/2004		M. Morass Tel. +32-2-2966433
Evaluation of the Programme to Combat Discrimination (2001-2005) ABB: 04 04 Promoting an inclusive society	30/06/2005		S. Finné Tel. +32-2-2965486
Evaluation of the Community Initiative EQUAL (2000-2006) ABB: 04 02 Employment and European Social Fund	31/12/2005		A. Zito Tel. +32-2-2998251
Evaluation of the Programme of Gender Equality ABB: 04 05 Equal opportunities for women and men	30/06/2006		A. Zito Tel. +32-2-2998251
Evaluation of Innovative Measures under Article 6 of the ESF Regulation in the field of: "Local Employment Strategies and Innovation" ABB: 04 02 Employment and European Social Fund	31/08/2006		D. Piatto Tel. +32-2-2985085
Evaluation of the Social Exclusion Programme 2000-2006 ABB: 04 04 Promoting an inclusive society	31/10/2006		S. Finné Tel. +32-2-2965486

DG/Service: ENTR			
Title - ABB Activity/ies	Estimated completion date:		Contact Person
Annual Monitoring 2003 of the Specific Programme for Innovation and SME (4th, 5th and 6th RTD Framework Programmes) ABB: 02 03 Research- Promoting innovation and change	30/04/2004		L. Briol Tel. +32-2-2934450
Evaluation of the Dialogue with Third Country Administrations and Industries ABB: 02 05 Competitiveness and sustainable development	31/05/2004		J. E. Frydman M. L. Willems A. Karhunen Tel. +32-2-2967551 Tel. +32-2-2957716 Tel. +32-2-2960281
Evaluation of the Application of Directive 95/16/EC ('Lifts Directive') ABB: 02 04 Getting still more from the Internal Market	30/06/2004		I. Fraser Tel. +32-2-2990741
Evaluation of the Communication of the State of Competitiveness of the forest-based and related industries in the EU (COM (1999) 457 final) ABB: 02 05 Competitiveness and sustainable development	30/06/2004		K. Holstrom Tel. +32-2-29
Final evaluation of the IDA II programme (Networks for the Interchange of data between Administrations) ABB: 02 02 Encouraging entrepreneurship	30/06/2004		M. Finetti V. Riiser Tel. +32-2-2960109 Tel. +32-2-2954816
Final Evaluation of the Multi-annual Programme for Enterprise and Entrepreneurship 2001-2005 (in particular for SMEs) ABB: 02 02 Encouraging entrepreneurship	31/07/2004		P. Wragg M. Nyman Tel. +32-2-2960126 Tel. +32-2-2984371
Evaluation of the Activities of the Observatory of European SMEs	31/07/2004		G. Lemonidis G. Maddaloni

DG/Service: ENTR			
Title - ABB Activity/ies	Estimated completion date:		Contact Person
ABB: 02 02 Encouraging entrepreneurship			Tel. +32-2-2991962 Tel. +32-2-2998527

DG/Service: ENV			
Title - ABB Activity/ies	Estimated completion date:		Contact Person
Intermediate Evaluation of the Implementation of the Framework for Cooperation in the field of accidental or deliberate Marine Pollution ABB: 07 03 Environmental programs and projects	29/02/2004		G. Vincent V. Drezet-Humez Tel. +32-2-2969514 Tel. +32-2-2960038
Intermediate Evaluation assessing the Implementation of the Community to promote Sustainable Urban Development ABB: 07 03 Environmental programs and projects	30/06/2004		M. Barat G. Maiorca Tel. +32-2-2958756 Tel. +32-2-2998896
Intermediate Evaluation assessing the Community Biodiversity Strategy and the Biodiversity Action Plans ABB: 07 04 Implementation of the environment policy	30/06/2004		G. Duke G. Maiorca Tel. +32-2-2963976 Tel. +32-2-2998896

DG/Service: FISH			
Title - ABB Activity/ies	Estimated completion date:		Contact Person
Ex ante Evaluation and Impact Assessment of a possible Fisheries Partnership Agreement between the EU and Libya, including an analysis of the fisheries sector in Libya ABB: 11 03 International fisheries	31/01/2004		Ch. Adriaen Tel. +32-2-2990139
Ex post evaluation of the measures supported by the Financial Instrument for Fisheries Guidance (FIIFG) over the period 1994-1999 ABB: 11 06 Structural Interventions for Fisheries	30/04/2004		P. Barbosa Tel. +32-2-2967227

DG/Service: INFSO			
Title - ABB Activity/ies	Estimated completion date:		Contact Person
External Monitoring and Assessment of the Specific Programme for Information Society Technologies (IST) 2003/04 ABB: 09 04 Research and Technological Development on Information Society	31/10/2004		C. Paleologos Tel. +32-2-2968972

DG/Service: JAI			
Title - ABB Activity/ies	Estimated completion date:		Contact Person
Evaluation of Policies and Legislation- Application of an Analytical Framework ABB: 18 08 Policy strategy and coordination	30/06/2004		D. Correia Tel. +32-2-2950101
Final Evaluation of the EU Drugs Strategy and Action Plan 2000-2004 ABB: 18 07 Co-ordination in the field of drugs	31/10/2004		I. Faria de Almeida Tel. +32-2-2961009

DG/Service: JRC			
Title - ABB Activity/ies	Estimated completion date:		Contact Person
Annul Monitoring 2003 of the Implementation of the Specific Programmes for Research and Technological Development and for Research and Training (direct actions) carried out by the Joint Research Centre (JRC) ABB: 10 01 Administrative expenditure of Policy Area Direct Research ABB: 10 02 Directly financed research operational appropriations – 6 th Framework Programme (2002-2006) – EC ABB: 10 03 Directly financed research operational appropriations – 6 th Framework Programme (2002-2006) – EURATOM ABB: 10 04 Completion of previous Framework Programmes and other activities	30/04/2004		V. Calenbuhr Tel. +32-2-2952877
Five-year Assessment (1999-2003) of the Joint Research Centre's (JRC) activities ABB: 10 01 Administrative expenditure of Policy Area Direct Research ABB: 10 02 Directly financed research operational appropriations – 6 th Framework Programme (2002-2006) – EC ABB: 10 03 Directly financed research operational appropriations – 6 th Framework Programme (2002-2006) – EURATOM ABB: 10 04 Completion of previous Framework Programmes and other activities	31/03/2004		V. Calenbuhr Tel. +32-2-2952877

DG/Service: MARKT			
Title - ABB Activity/ies	Estimated completion date:		Contact Person
Ex ante Impact Assessment of a possible Proposal for extending the scope of the 'Design Directive' to spare parts of complex products ABB: 12 03 Internal market for goods and services	31/05/2004		U. Eiteljoerge Tel. +32-2-2998369

DG/Service: PRESS			
Title - ABB Activity/ies	Estimated completion date:		Contact Person
Evaluation of the 'EURONEWS' Actions 1993-2003 ABB: 16 04 Integrated management of means of communication (at central and local level)	29/02/2004		T. Vissol Tel. +32-2-2994418

DG/Service: REGIO			
Title - ABB Activity/ies	Estimated completion date:		Contact Person
Ex post Evaluation of the Community Initiative INTERREG II 1994-1999 ABB: 13 03 ERDF and Other Regional Interventions	31/01/2004		P. Nicolas Tel. +32-2-2956304
Ex post Evaluation of a Sample of Projects co-financed by the Cohesion Fund in the period 1994-2002 ABB: 13 04 Cohesion Fund	30/11/2004		G. Peroulakis Tel. +32-2-2958017
Ex post Evaluation of the ERDF 1994-99 Innovative Actions: 'Innovation promotion' – Regional Innovation Strategies (RIS) and 'Regional Information Society Initiatives' (RISI) ABB: 13 03 ERDF and Other Regional Interventions	30/05/2004		P. Ungar Tel. +32-2-2965035
Thematic Evaluation of the Contribution of the Structural Funds to the Lisbon strategy and its implications for the regions ABB: 13 03 ERDF and Other Regional Interventions	31/10/2004		K. Stryczynski Tel. +32-2-2956815

DG/Service: RELEX			
Title - ABB Activity/ies	Estimated completion date:		Contact Person
Evaluation of Investment and Trade Promotion Programmes towards Japan and Korea (Executive Training Programme and Gateway to Japan Programme) ABB: 19 05 Relations with Non-EU OECD countries	31/05/2004		F. Vareille Tel. +32-2-2955117
Evaluation of the Network of EU Centres in the United States, Canada, and New Zealand ABB: 19 05 Relations with Non-EU OECD countries	31/05/2004		Ch. Hughes Tel. +32-2-2991800

DG/Service: RTD			
Title - ABB Activity/ies	Estimated completion date:		Contact Person
Impact Assessment of the actions completed under the 3rd and 4th Community Framework Programmes for Research ABB: 08 12 Completion of previous Framework Programmes and other activities	31/12/2003		F. Stillemans-Virone Tel. +32-2-2958399
Annual Monitoring 2003 of the Implementation of the 4th, 5th and 6th EC and EURATOM Framework Programmes ABB: 08 02 Genomic and biotechnology for health ABB: 08 03 Nanotechnologies, intelligent materials, new production processes ABB: 08 04 Aeronautics and space ABB: 08 05 Food quality and safety ABB: 08 06 Sustainable development, global change and ecosystems ABB: 08 07 Citizens and governance in a knowledge-based society ABB: 08 08 Specific measures covering a wider field of research ABB: 08 09 Strengthening the foundations of the European Research Area ABB: 08 10 Structuring the European Research Area ABB: 08 11 Research and Training actions under the EURATOM Treaty ABB: 08 12 Completion of previous Framework Programmes and other activities	30/06/2004		C. H. Metzger Tel. +32-2-2964728
Impact Assessment of projects funded under Area 4 "Agriculture, Forestry and Rural Development" of FAIR (4th RTD Framework Programme) ABB: 08 12 Completion of previous Framework Programmes and other activities	21/12/2004		C. Mangan Tel. +32-2-2961279
Mid-term review of New Instruments ABB: 08 02 Genomic and biotechnology for health ABB: 08 03 Nanotechnologies, intelligent materials, new production processes ABB: 08 04 Aeronautics and space ABB: 08 05 Food quality and safety ABB: 08 06 Sustainable development, global change and ecosystems ABB: 08 07 Citizens and governance in a knowledge-based society ABB: 08 08 Specific measures covering a wider field of research ABB: 08 09 Strengthening the foundations of the European Research Area	30/06/2004		C. Renier Tel. +32-2-2998876
Impact Assessment of the S&T Co-operation Agreement EU-China ABB: 08 08 Specific measures covering a wider field of research	30/06/2004		I. Brach Tel. +32-2-2956677
Impact Assessment of Marie Curie Fellowships ABB: 08 12 Completion of previous Framework Programmes and other activities	30/06/2005		G. Petralia Tel. +32-2-2962169

DG/Service: SANCO			
Title - ABB Activity/ies	Estimated completion date:		Contact Person
Final evaluation of the eight Action Programme on Public Health (1996-2002) ABB: 17 03 Public health	31/07/2004		T. Piha Tel. +32-2-2985487
Evaluation of Actions providing financial support for specific projects to promote the Interest of Consumers under Article 2c) of Decision No 283/1999/EC ABB: 17 02 Consumer policy	31/10/2004		V. Arnault Tel. +32-2-2990006

DG/Service: SG			
Title - ABB Activity/ies	Estimated completion date:		Contact Person
Strategic Evaluation of Approaches for Integrating Sustainability into Community Policies ABB: NN (cross-cutting)	31/01/2004		C. Leman Tel. +32-2-2957564
Evaluation of the Impact and Operational Features of the Initiative 'Spring Day in Europe' ABB: 25 03 Governance and institutional development	29/02/2004		M. Gaudina Tel. +32-2-2994459

DG/Service: TRADE			
Title - ABB Activity/ies	Estimated completion date:		Contact Person
Sustainable Impact Assessment (SIA) of Trade Negotiations for the EU-ACP Economic Partnership Agreements ABB: 20 02 Trade policy	29/02/2004		C. Wagner Tel. +32-2-2993999
Sustainable Impact Assessment (SIA) of the Negotiations for a Trade Agreement between the European Communities and the Countries of the Co-operation Council for the Arab States of the Gulf (GCC) ABB: 20 02 Trade policy	29/02/2004		E. Pinho Tel. +32-2-2951802
Sustainable Impact Assessment (SIA) of the Trade aspects of Negotiations for an Association Agreement between the European Communities and MERCOSUR ABB: 20 02 Trade policy	31/04/2004		A. Gorgemans Tel. +32-2-2954334

DG/Service: TREN			
Title - ABB Activity/ies	Estimated completion date:		Contact Person
Mid-term Evaluation of the Multi-annual Programme of the Trans-European Transport Network ABB: 06 03 Trans-European Networks	31/01/2004		J. De Britto Patricio-Dia Tel. +32-2-2962982
Mid-term Evaluation of the Deployment of the Intelligent Transport System in the Road Sector ABB: 06 03 Trans-European Networks	31/01/2004		F. Kunkel Tel. +32-2-2954432
Evaluation of the Information and Communication Activities of DG TREN ABB: NN Policy strategy and coordination for DG Transport and Energy (Activity without budget lines)	30/04/2004		B. Moench Tel. +32-2-2967836
Mid-term Evaluation of the Trans-European Network for Energy ABB: 06 03 Trans-European Networks	30/06/2004		Ch. Helmraht Tel. +32-2-2950569
Ex post Impact Assessment for projects financed by ALTENER Programme ABB: 06 04 Conventional and renewable energies	30/06/2004		W. Gillet Tel. +32-2-2995676
Ex post Evaluation of Interventions funded in the area of "Transport Safety" ABB: 06 02 03 Transport safety and security	30/06/2004		F. Lomartire Tel. +32-2-2992874
Ex post Evaluation of Interventions funded in the area of "Sustainable Mobility" ABB: 06 02 04 Sustainable mobility policy	30/06/2004		F. Lomartire Tel. +32-2-2992874
Evaluation of the Achievements of the Renewable Energy Sources Campaign for Take-Off 2000-2003 (CTO Assessment) ABB: 06 04 Conventional and renewable energy	30/06/2004		P. Abreu Marques Tel. +32-2-2953805
Ex post Impact Assessment for projects financed by the SAVE Programme ABB: 06 04 Conventional and renewable energies	28/02/2005		W. Schmid Tel. +32-2-2996048
Evaluation of the Community Policy in the domain of the Transport of Dangerous Goods since 1994 ABB: 06 02 03 Transport safety and security	30/04/2005		E. Laakso Tel. +32-2-2961906

ANNEX 2 — SUMMARY OF THE EVALUATION RESULTS

Table of Contents

1.	AGRICULTURE AND RURAL DEVELOPMENT	114
2.	BUDGET	122
3.	ECONOMIC AND FINANCIAL AFFAIRS	127
4.	EDUCATION AND CULTURE.....	129
5.	EMPLOYMENT AND SOCIAL AFFAIRS.....	164
6.	ENERGY AND TRANSPORT	171
7.	ENLARGEMENT.....	177
8.	ENTREPRISE.....	182
9.	ENVIRONMENT.....	199
10.	EUROPE AID CO-OPERATION OFFICE	203
11.	EUROSTAT.....	219
12.	EXTERNAL RELATIONS.....	229
13.	FISHERIES	231
14.	HEALTH AND CONSUMER PROTECTION.....	237
15.	HUMANITARIAN AID OFFICE (ECHO).....	240
16.	INFORMATION SOCIETY	248
17.	INTERNAL MARKET.....	253
18.	JOINT RESEARCH CENTER.....	257
19.	JUSTICE AND HOME AFFAIRS	264
20.	PERSONNEL AND ADMINISTRATION	269
21.	PRESS AND COMMUNICATION.....	285
22.	RESEARCH	287
23.	REGIONAL POLICY	300
24.	SECRETARIAT GENERAL	305
25.	TAXATION AND CUSTOMS UNION	310
26.	TRADE.....	312

1. AGRICULTURE AND RURAL DEVELOPMENT

Ex post Evaluation of the Measures under Regulation (EC) No. 950/97 on Improving the Efficiency of Agricultural Structures (1994-1999)

Name of the programme(s)/activity(ies) concerned: Rural Development in the EAGGF – Guarantee

Rural Development in the EAGGF – Guidance

Number of the ABB activity(ies) concerned: 05 04 01 and 05 04 02

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	09/2002 - 05/2003	D. Clemens	External

Purpose of evaluation

The evaluation aimed to assess the impacts of the support schemes financed under Regulation 950/97 in terms of their relevance, coherence, effectiveness, efficiency, as well as the utility and sustainability of the result and impacts. Being an ex post evaluation at EU-level, the study is focused on the accountability and transparency with regard to the legal and budget authorities and the general public in terms of the impacts that have been achieved and how these have served the objectives. However, the evaluation is also intended to help improve this type of measures in the framework of the Rural Development Programmes for the current programming period 2000-2006, by contributing to informed planning and decisions on needs, delivery mechanisms and resource allocation, or by facilitating the mid-term evaluation at national level in 2003.

Summary of findings and recommendations

The scheme is relevant for the overall objective of "speeding up the adjustment of agricultural structures" (Objective 5a), offering a wide range of possible measures from which Member States can choose. It suffers from the fact that the intervention logic dates back to the 1970s and did not undergo much change since. The specific objectives of Regulation 950/97 are partly contradictory (social/environmental versus economic) and a lack of internal coherence of the scheme was criticised. A detailed programming including a tighter definition of objectives and subsequently a better targeting of beneficiaries is needed to increase efficiency. As all sub-schemes were applied in many different manners in the Member States, it is difficult to give a judgement as to the overall relevance, effectiveness and utility of Regulation 950/97

a. Operative objectives and inputs:

- Help restore the balance between production and market capacity
- Help improve the efficiency of farms
- Maintain a viable agricultural community
- Safeguarding environment and preservation of environment
- Co-funding of investments 1994-1999: ca. € 15.5 billion, out of which are spent on LFA ± 52 %, Farm Investment ± 33 %, Young Farmers Scheme ±15 %

b. Farm Investment Scheme:

- Relevant in regions with small or medium-sized farms with low productivity where scheme is used in a "traditional" way for economic intensification; relevant for regions with highly productive farms where it is used to address environmental and animal welfare issues; little relevance (deadweight) for regions with large, highly productive farms where scheme is used for "traditional" investments.
- Most effective where scheme was used for modernisation/ intensification of production; positive impact on beneficiaries' income
- No significant impact on re-deployment of production and diversification of activities (due to MS orientation which targeted more specialisation than diversification)
- No clearly positive impact on environment; measure not well suited for environmental objectives
- Impact of scheme is offset by factors like operation of land market, low eligibility thresholds and dilution of funding, and by limited financial weight of scheme
- in times of low interest rates capital grants are more useful than interest rate subsidies
- Too small scale for impacts at sector level
- Material investment plans (MIP) beneficial to utility and sustainability

c. Young Farmers Scheme:

- Highly relevant given the small overall proportion of young farmers and the fact that young farmers' holdings, due to above average size, tend to be more efficient
- Decision to set up as farmer more influenced by other factors such as national inheritance laws, interest rates and taxation, opportunities outside agriculture, granting of additional quota in some MS; therefore high potential for deadweight
- Nevertheless contribution to financial security during setting-up phase and thus to viability and sustainability of beneficiaries holdings
- Particularly effective if scheme is accompanied by additional national investment aid and through obligation for beneficiaries to develop Material Improvement plan (MIP)
- No notable lowering of farmers' average age across EU
- Effect of scheme less on whether young farmers set up but more on in what way do they set up (sustainability)
- Very important symbolic social and political value of granting aid to young farmers

d. Less Favoured Areas (LFA) Scheme:

- Clearly relevant for compensation of natural disadvantages on production costs. However very long implementation history in Member States and very little "innovative" features, also due to lack of planning of scheme within RD strategies
- Limited relevance regarding prevention of population decline and land abandonment
- Certain contribution to viability of rural areas
- No targeting on protection and maintaining of countryside or environmental concerns
- Undesired environmental effects (for example overgrazing) through headage-based payments
- Scheme did offset natural disadvantages to a certain extent; however problem of over-/under-compensation unsolved, partly due to lack of transparency of LFA designation by Member States

e. Effectiveness of Reg. 950/97 related to overall objectives:

- Insignificant contribution to restoring market balance; too limited weight of scheme compared to other CAP factors
- Positive contribution to improved efficiency of farms especially through Farm Investment scheme, where it was used for that purpose, and indirectly through Young Farmers scheme
- Contribution to maintaining viable agricultural communities and development of social fabric esp. through LFA and Young Farmers schemes; could be enhanced through intensified planning including sectors outside agriculture
- Contribution to safeguarding of environment through LFA scheme, but objective partly in conflict with intensification objective

f. Recommendations for Reg. 950/97:

- *Farm Investment Scheme:* Possibly concentrate on investments for the improvement of economic efficiency and serve environmental objectives through other schemes
- *Young Farmers Scheme:* Targeting of aid to new entrants who do not inherit a holding or on young farmers in alternative sectors (for example: environmentally friendly production) should be considered; Efficiency of the scheme would be improved if it were linked to training schemes
- *Less Favoured Area Scheme:* Review classification of LFAs using clear criteria for their definition (to be developed); Cross-compliance and area based payments (instead of headage-based) should help to serve the multiple objectives of the Regulation and help to avoid deadweight; Public goods like landscape maintenance, biodiversity are better served with specific positive payments instead of unspecific support schemes like LFA; Safeguarding the viability of rural areas requires "wholistic" measures influencing all local actors (such as the Leader approach)
- *General:* Tighter definition of objectives and better targeting of beneficiaries needed; Make cross-compliance an obligation; Use capital grants instead of interest rate subsidies in times of low interest rates; Note some important impacts on reform of pillar 1 on pillar 2 such as: Decoupling may lead to rises of land prices which makes installation of new entrants under the Young Farmer scheme more difficult; incentives for re-deployment of production under Regulation 950/97 are superseded by incentives from Common Market Organisations (CMO) under the first pillar.

Main evaluation methods and data used

Desk research - Field studies with: Interviews - Secondary data from: Synthesis of evaluation reports

Action taken / follow-up planned

The results of the evaluation were used in the preparation of the European Conference on Rural Development that took place in Salzburg on 12 to 14 November 2003 aiming to assess the implementation of EU rural development policy since Agenda 2000 and to look ahead to future needs. Furthermore, the results will be used in the future preparation of proposals for Rural Development Policy for the period after 2006.

Availability of the report

Published at: http://europa.eu.int/comm/agriculture/eval/index_en.htm

Ex post Evaluation of the Measures under Regulation (EC) No. 951/97 on Improving the Processing and Marketing of Agricultural Products (1994-1999)

Name of the programme(s)/activity(ies) concerned: Rural Development in the EAGGF – Guarantee

Rural Development in the EAGGF – Guidance

Number of the ABB activity(ies) concerned: 05 04 01 and 05 04 02

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	09/2002 - 05/2003	D. Clemens	External

Purpose of evaluation

Main purpose of the evaluation was to assess the effects of the measures financed under Reg. 951/97 in terms of their relevance, coherence, effectiveness, efficiency, as well as the utility and sustainability of the results and impacts. Being an ex post evaluation at EU-level, the study is focused on the accountability and transparency with regard to the legal and budget authorities and the general public in terms of the impacts that have been achieved and how these have served the objectives. However, the evaluation should also serve as a base for improving this type of measures in the framework of the Rural Development programmes for the current programming period 2000-2006. It can do so by contributing to informed planning and decisions on needs, delivery mechanisms and resource allocation, or by facilitating the mid-term evaluation at national level in 2003.

Summary of findings and recommendations

The scheme is clearly relevant with regard to market developments and industry's needs and mostly effective with regard to its overall objectives. However, its efficiency is impaired by a lack of programming and targeting which increases the likelihood of deadweight effects. Furthermore, it is too small-scale for impacts at sector level.

a. Operative objectives of Reg. 951/97 and Inputs and targeting:

- Improvement and rationalisation of marketing channels
- Improvement of product quality and presentation
- Development of new outlets for agricultural products
- Adoption of new environmental technologies
- Adjustment of regions facing economic changes in the agricultural sector
- Co-funding of investments 1994-1999: ca. € 1.500 billion in ± 50 programmes outside Objective 1 and 6 regions and ±35 Operational Programmes (OP) inside Objective 1 and 6 regions
- Little targeting of aid by MS; mostly "traditional" support for the four main sectors (meat, dairy, fruit and vegetables, wine) with the aim of increasing competitiveness
- Only in 1-3 Member States support targeted to 'innovative' enterprises such as organic food or non-food use

b. Relevance:

- Scheme very relevant to the needs of the industry under changing market conditions, which make substantial investments necessary; particularly relevant for SME for which access to credit may be a problem
- No clear relevance for primary producers. Possible exceptions are: producers who supply SME and niche-market-oriented companies; producers with a high degree of cooperative organisation, and producers in disadvantaged regions where processing industry is less concentrated (question of bargaining power is central)
- In this sense, the changes in the agri-food sector (especially market concentration) have made the intervention logic, as conceived in the 1970s, become partially obsolete.

c. Efficiency and implementation:

- Lack of monitoring system so that no clear statements about efficiency is possible
- Selection process too little competitive and no focus on project quality
- Contracting external agencies for scheme administration in some MS had positive effects
- "Wholistic" planning in the context of SPDs/ OPs (Objective 1 and 6 regions) can have positive impact on scheme implementation if properly integrated and co-ordinated with other interventions

d. Effectiveness:

- Impact limited by small scale of intervention compared to overall industry output
- High degree of deadweight, in particular for bigger companies; but even in case of deadweight certain leverage effects especially for SME observed (speeding up of investments)
- Positive impact on competitiveness through improvements in collection of raw material, improvements of storage facilities and compliance with EU health, safety and environment standards;
- Evidence from some MS of improvements and rationalisation of marketing channels; limited evidence for the development of new outlets for agricultural products
- Improvements in product quality and in timing of processing and delivery; certain reductions in the cost of production and marketing
- Positive impacts on the income of primary producers only in Objective 1 and 6 regions or where strong producers' co-operatives exist
- Positive side effects on health conditions and work environment through investments; weak evidence for positive effect on environment (waste and energy consumption)
- No clear effect on employment: most probably only displacement effects

e. Utility and Sustainability:

- Many beneficiaries are not located in rural areas and do not create multiplier effects for rural economy
- No statements about sustainability of effects possible due to lack of long-term monitoring
- Question as to whether dynamic sector needs public subsidy, except in peripheral and/or disadvantaged regions where the original intervention logic still applies.

f. Recommendations for Reg. 951/97:

- Review intervention logic and objectives especially with regard to primary sector benefits
- As a function of this: better targeting of aid; strengthening of eligibility criteria in order to avoid deadweight
- Improve monitoring system and set out evaluation criteria and indicators in advance

Main evaluation methods and data used

Desk research - Field studies with: Interviews - Secondary data from: Monitoring system, Synthesis of evaluation reports

Action taken / follow-up planned

The results of the evaluation were used in the preparation of the European Conference on Rural Development that took place in Salzburg on 12 to 14 November 2003 aiming to assess the implementation of EU rural development policy since Agenda 2000 and to look ahead to future needs. Furthermore, the results will be used in the future preparation of proposals for Rural Development Policy for the period after 2006.

Availability of the report

Published at: http://europa.eu.int/comm/agriculture/eval/index_en.htm

Ex post Evaluation of Objective 5b programmes (1994-1999)

Name of the programme(s)/activity(ies) concerned: Rural development in the EAGGF – Guidance

Number of the ABB activity(ies) concerned: 05 04 02

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	11/2002 - 07/2003	D. Clemens	External

Purpose of evaluation

Main aim of the evaluation was to assess the impacts of the Rural Development measures in programmes in Objective 5b regions in terms of their relevance, coherence, effectiveness, efficiency, as well as the utility and sustainability of the result and impacts. Being an ex post evaluation at EU-level, the evaluation is focused on the accountability and transparency with regard to the legal and budget authorities and the general public in terms of the impacts that have been achieved and how these have contributed to the objectives. However, the evaluation is also intended to help improve this type of measures in the framework of the Rural Development Programmes for the current programming period 2000-2006. It can do so by contributing to informed planning and decisions on needs, delivery mechanisms and resource allocation.

Summary of findings and recommendations

Overall, the evaluation makes a relatively positive evaluation of the 5b programmes. The actions were relevant vis-à-vis the implicit objectives of the measures and achievements were in line with expectations. Four global objectives were implemented in 83 zones covering 26% of the EU's surface area and 32.7 million people with total aid of ECU/€ 6.877billion: Increase the income of farmer households (23% of 5b funds); Develop non-agricultural activities and create jobs (46% of 5b funds); Improve the attractiveness of the zone (17% of 5b funds) and Forestry (minor in terms of support: 4% of 5b funds).

a. Main findings:

- *Farming sector:* The impact on income could not be demonstrated, although a certain improvement of farming potential and the identification of new agricultural diversification options (production characterised by higher added value) and non-farming diversification (agro-tourism, environmental services) were noted.
- *Development of non-farming activities and job creation:* The programme modernised infrastructures and companies' productive potential, increased tourist industry capacities and led to changes in employment that were generally better than in the regions in which the 5b area is located.
- *Attractiveness and quality of life:* The programme contributed to the renovation of villages (highly successful), the installation of public service infrastructures and environmental protection.
- *Forestry:* The forest's productive function was emphasised and not the (new) expected role of forestry in Rural Development (for example: the role of forest in environmental protection) and little resources were allocated.

b. Lessons for the future:

- A participatory approach works; where it was used it constituted a factor of success.
- Zoning should take into account the dynamic of the zone (its interaction with surrounding cities, economic centres, etc.).
- Programming should allow for and encourage an integrated approach with complementarity with other programmes and interventions in the zone.
- Programme management and co-ordination activities need appropriate resources devoted to them and also professional support (specialised bodies).
- The exchange of good practices especially on management and implementation issues should be encouraged and even supported through funding.
- The intervention logic (from local to community level) needs to be explicit to the programme implementers. Baseline data and realistic targets should be set. The approach to evaluation should be co-ordinated and supported at all levels from the local to the European allowing for collection of monitoring data from the outset which will eventually feed the response to the common evaluation questions.

Main evaluation methods and data used

Desk research - Field studies with: Interviews - Secondary data from: Synthesis of evaluation reports

Action taken / follow-up planned

The results of the evaluation were used in the preparation of the European Conference on Rural Development that took place in Salzburg on 12 to 14 November 2003 aiming to assess the implementation of EU rural development policy since Agenda 2000 and to look ahead to future needs. Furthermore, the results will be used in the future preparation of proposals for Rural Development Policy after 2006.

Availability of the report

Published at: http://europa.eu.int/comm/agriculture/eval/index_en.htm

Ex post Evaluation of the Community Initiative LEADER II

Name of the programme(s)/activity(ies) concerned: Rural development in the EAGGF – Guidance

Number of the ABB activity(ies) concerned: 05 04 02

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	11/2002 - 09/2003	D. Clemens	External

Purpose of evaluation

General aim of the evaluation was drawing lessons to improve the implementation and impact of measures financed by the EAGGF, and more particularly the new phase of the Leader+ Initiative. The evaluation should provide a detailed view of the added-value of Leader II compared to other Rural Development operations. In particular, it will have to verify the extent to which implementing the specific features of the Leader II approach has contributed to attaining its objectives, namely encouraging innovation and the involvement of local communities with a view to launching sustainable local development in rural areas.

Summary of findings and recommendations

Overall, LEADER was effective and efficient, relevant and useful: 'It produced high value added to 999 rural areas (more than 45 million people) both compared to Structural Funds and to other national funding schemes'. Four measures were implemented in Objective 1, 5b and 6 regions, with EU funding worth of €1.795 billion, having a leverage effect for co-funding that was higher than expected (€4 billion): Acquisition of competences (3.4% of LEADER II funds); Rural Innovation Programmes (92.1% of LEADER II funds, of which: rural tourism 30-50%, local products and SME promotion 10-25% and technical assistance); Trans-national co-operation, which started late (dependant on the Observatory) but still managed to have 600 projects (3.6% of Leader II funds) and Networking (0.9% of LEADER II funds).

a. Main findings:

- Implementation: Of the 7 LEADER features, the area-based approach, the bottom-up approach and the local partnership were the most popular; 'Innovation' interpreted in a pragmatic way as new ways of doing Rural Development (the LEADER method itself) or as 'something new to the area'; Problems of late starting of the initiative due to three-step approval process needed; LEADER I groups or experienced partnerships had an advantage.
- LEADER II was efficient because it was adaptable to every rural socio-economic context, brought key actors together, mobilised voluntary effort and was responsive to small-scale activities and projects.
- LEADER II was effective because it closed the gap between a top down programme and the local people, conveyed responsibility to local actors and linked public authorities with the local economy and civil society (mixed partnerships achieved the best results). The area based approach led to effective use of local resources.
- LEADER II contributed to sustainability by opening up new ways of creating added-value in rural areas and by capacity building. Job creation and income effects improved equal opportunities (also the bottom-up approach which brought weaker actors on board).

b. Lessons for the future:

- Keep a Community Initiative to allow for experimenting of new ways of doing Rural Development (especially important for the new Member States). The mainstream Rural Development programmes should: (i) Co-fund innovative projects which have been tested under the Community Initiative, (ii) Co-fund the core functions of local development structures in rural areas.
- Be flexible in defining the territorial space. Rural towns and urbanised areas should be included if they are (or should be) connected to the less inhabited parts.
- Networking at all levels including informal, is key: partnership building, transfer of knowledge, spread of best practice.
- The funding period for a LEADER group should be at least 5 years and Rural Development programming should have a 10-year view. The observatory needs to be established at the outset.
- The best partnerships are tripartite (public, private, non-profit-making organisations).
- Separate learning from impact evaluation (to be done 2-3 years after programme end) and encourage LEADER groups to self-evaluate; Set a restrictive core set of 12-15 qualitative and quantitative indicators.

Main evaluation methods and data used

Desk research - Field studies with: Interviews, Surveys, Focus groups - Secondary data from: Synthesis of evaluation reports - Case studies - Comparison/Control groups

Action taken / follow-up planned

The results of the evaluation were used in the preparation of the European Conference on Rural Development that took place in Salzburg on 12 to 14 November 2003 aiming to assess the implementation of EU rural development policy since Agenda 2000 and to look ahead to future needs. Furthermore, the results will be used in the future preparation of proposals for Rural Development Policy after 2006.

Availability of the report

Published at: http://europa.eu.int/comm/agriculture/eval/index_en.htm

2. BUDGET

Meta-evaluation on the Community Agency System

Name of the programme(s)/activity(ies) concerned: NA (cross-cutting)

Number of the ABB activity(ies) concerned: NA (cross-cutting)

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	05/2003 - 09/2003	W. Stengg	Internal

Purpose of evaluation

The purpose of this meta-evaluation was to contribute to the ongoing debate on the future of the Community Agency system by taking a horizontal look at the individual evaluation reports that have so far been issued for various Community Agencies. By identifying frequently recurring findings and other patterns in these reports, this paper attempts to provide useful information for those that are responsible for existing Agencies as well as for those involved in the setting up of new Agencies.

Summary of findings and recommendations

Overall, the meta-evaluation concluded that Agencies had broadly met their set objectives and made a satisfactory contribution to the delivery of Community policies.

Recommendations made with a view to improving future performance included the need:

- for Agencies to focus their activities on their core priorities;
- for the Agencies' Constituent Acts to be very clear about their precise competencies and tasks, including the way in which the Commission's priority needs are to be taken into account in the Agencies' work programmes;
- for Agencies to adopt a more client-oriented approach;
- for the size of the Boards to be kept within reasonable limits;
- for Agencies to establish effective quality control, monitoring, and internal communication systems; and
- for Agencies to develop a targeted communication and dissemination strategy.

Main evaluation methods and data used:

Desk research

Action taken / follow-up planned

The paper was widely disseminated, both within the Commission and to the European Parliament. All Directors General were made aware of the key findings of this meta-evaluation. It was also presented to the Evaluation Network.

Since its publication, a number of Services have already referred to, and acted upon, key recommendations contained in the meta-evaluation when preparing documents relating to both existing and newly created Agencies.

Availability of the report

Published at: http://europa.eu.int/comm/budget/evaluation/keydocuments_en.htm

Strategic Evaluation on the Relevance, Effectiveness and Efficiency of Small-scale Actions (Small Budget lines)

Name of the programme(s)/activity(ies) concerned: NA (cross-cutting)

Number of the ABB activity(ies) concerned: NA (cross-cutting)

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	04/2002 - 09/2003	F. Altenhofer	Internal

Purpose of evaluation

Objective of the cross-cutting (strategic) evaluation of small-scale actions was to assess their relevance, effectiveness and efficiency with the expectation to provide information on the following aspects:

- A more rational discussion on the "complex" of small-scale actions, in particular small budget lines, and their use by working out the context and conditions under which they are appropriate and by analysing the particular problems linked to specific types of small-scale actions;
- Input for decisions relating to the EU budget by identifying possibilities to simplify the budget and to facilitate the budgetary execution;
- Input for decisions on human and financial resources by identifying small-scale actions where there are problems with the effectiveness because the "critical mass" is not achieved or where the input is out of proportion if compared to the results and impacts obtained;
- Guidance to the Commission services for the management of small-scale actions by highlighting the most important elements that are critical for achieving effectiveness and efficiency.

Summary of findings and recommendations

The report, which is based on the Commission section of the EU budgets for 2000-2002 (completed by some information from the Preliminary Draft Budget 2003), is divided into three parts:

- The first, **methodological part**, analysis and structures the problem, which includes a grid for assessing the "rational" small budget lines and a typology of small budget lines based on key concepts in the Financial Regulation.
- The second part treats the **relevance aspects**, i.e. if budget lines correspond to the reasons identified in the methodological part and if there are overlaps with other, smaller or larger budget lines. In addition there is an analysis of the coherence between the objectives of individual small budget lines and the ABB Activity under which they are presented.
- The final part deals with the **effectiveness and efficiency aspects**. This part, based on elements discussed in the previous parts, identifies factors that may risk affecting negatively effectiveness and efficiency of small budget lines.

Findings and conclusions

- There are several specific purposes for which small-scale actions/small budget lines are, a priori, an appropriate instrument but almost all of these purposes are not exclusively linked to small-scale actions or small budget lines. The field work confirmed this finding showing some concentration of small budget lines into the categories pilot projects and preparatory actions, contributions to outside bodies as well as development and implementation of a policy/activity without other (major) operational expenditure. Isolated actions of limited scope and actions intended to produce a leverage effect, both also identified as cases in which small budget lines are very appropriate, are of limited practical relevance. Beyond these specific purposes, there are several potential reasons for presenting explicitly small-scale actions through a separate and specific budget line (like, for example, underlining the specific character of an action, wish to demonstrate the political importance/priority, increase the visibility, satisfying transparency and accountability criteria, facilitating the management). It is, however, difficult to consider them generally as sufficient for the creation/existence of small budget lines since no clear cut-off criteria or demarcation lines exist that could serve to a decision when a separate budget line should be used. Furthermore, it is difficult to say if there are reasons that are more valid than others since such a judgement needs to be based on objective criteria that apparently not exist.

- The line-by-line examination of existing small budget lines revealed several cases where a need was felt to improve the description of the ABB activity under which the budget lines are presented. There are also several proposals to re-allocate budget lines between activities so that there is a better correspondence between the specific objectives of the actions carried out and the general objectives of the ABB activities under which they are presented. Regarding possible overlaps with other (small or larger) budget lines, the evaluation study identified a certain number of cases for which a closer examination by the competent services seems useful to clarify if a merger with other budget lines is possible, make sense and is worth to be made.
- Most factors that potentially affect effectiveness and efficiency are not specific to small budget lines only. Furthermore, the two main problems often associated with small-scale actions/small budget lines, i.e. relatively high administrative costs and too small amounts to achieve a critical mass, are not common to all small budget lines but relate to certain types only, and that to a very different extent. The most vulnerable groups of small budget lines are those intended to co-finance individual projects and actions, followed by small budget lines for financing pilot projects and preparatory actions. Most of the existing small budget lines fall into categories that are much less concerned by these problems.
- The evaluation, inter alia, recommends improving the information regarding some key concepts and terms of the Financial Regulation in the reporting and documentation of the EU budget; more discipline regarding the creation of small budget lines; establishing an action plan for the follow-up relating to concrete findings by policy areas (correspondence to ABB activities, possible overlaps with other budget lines); and, more generally, more systematic ex ante assessment of proposed measures also in cases where the financial envelope is rather small in order to avoid the problems that are also systematically identified for larger budget lines.

Main evaluation methods and data used:

Desk research - Field studies with: Interviews - Primary data from interviews, surveys, etc. - Secondary data from several Commission documents and data bases - Case studies - Comparison/Control groups

Action taken / follow-up planned

The operational findings of the evaluation are/will be internally discussed with DG Budget during December 2003/January 2004 with a view to establish an action plan.

Availability of the report

Published at: http://europa.eu.int/comm/budget/evaluation/keydocuments_en.htm

Strategic Evaluation of EU Financial Assistance Schemes for SMEs

Name of the programme(s)/activity(ies) concerned: NA (cross-cutting)

Number of the ABB activity(ies) concerned: NA (cross-cutting)

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	09/2002 - 12/2003	W. Stengg	External

Purpose of evaluation

The general aim of this evaluation is to examine the "reason for being", the relevance, coherence, effectiveness and if possible, the overall efficiency of the various Community financial assistance schemes (FAS) for European small and medium-sized enterprises (SME) and to consolidate the useful knowledge base of the Community policies to the SMEs.

Summary of findings and recommendations

35 schemes managed by 9 DGs have been examined and analysed from the perspective of different evaluation questions. They were grouped together into 6 policy clusters defined according to SMEs needs: Access to finance, Research and technological development, Business Support Infrastructure and Advice, Internationalisation and joint ventures, Human Resources and Environmental actions.

The conclusions and recommendations (cf. the executive summary) concern the individual "policy clusters" of financial assistance schemes as listed above and several cross-cutting issues. The main general recommendations cover the following issues:

- The **design of these schemes**: Need for clarity about which development stages of the SMEs (project inception, finance, sustainability, maturity) they are targeting; encourage the packaging of business services with other types of financial support; explore new ways of achieving risk mitigation for greater private sector participation in SME support; encourage another look at securitisation type solutions; improve the investment readiness (demand side) of European SMEs particularly for SMEs which have been supported by other EU measures.
- The **allocation of budget**: Further rebalancing of expenditure between traditional support mechanisms (mainly capital grants) and risk-based instruments which should be considered within large programs (structural funds, R&D).
- The **coordination mechanisms**: Increase the role to be played by DG Enterprise and by their SME policy framework; integrate in a better way the SMEs priorities within structural funds and R&D programmes; develop the inter-cluster integration and cooperation; reinforce the policy coherence.
- The **implementation mechanisms**: Where possible, the Commission should outsource the technical implementation of its SME-related measures to professional management teams or specialised intermediaries, take as a model what is already happening in some parts of the Commission, notably the collaboration between DG Enterprise, DG ECFIN and the EIF.
- The **evaluation and monitoring arrangements**: Greater attention to be paid to impact measurement and the use of basic comparable indicators across the FAS; standardise procedures and approaches for the evaluation of the SME dimension in the different policies.
- The **enlargement**: Use the same general strategic approach as in the current Member States but with a greater emphasis on the supply side of finance, the business support services, the networking between SMEs in the accession countries and those in the current Member States and the development of physical infrastructure (both business support and communications broadly defined).

Main evaluation methods and data used:

Impact matrix - Desk research - Field studies with: Focus groups – Secondary data from: Literature/experts - Expert panels

Action taken / follow-up planned

A global follow-up plan will be prepared with the help of the concerned DGs.

Availability of the report

Will be published at: http://europa.eu.int/comm/budget/evaluation/keydocuments_en.htm

Paper copy available on request from the evaluation unit of DG BUDG (DG BUDG-B5)

3. ECONOMIC AND FINANCIAL AFFAIRS

Evaluation of the PRINCE programme (Information programme for the European citizen: “The euro – one currency for Europe”)

Name of the programme(s)/activity(ies) concerned: Economic and Monetary Union

Number of the ABB activity(ies) concerned: 01 02

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	01/2003 - 09/2003	K. Williams	External

Purpose of evaluation

The focus of the evaluation was largely on learning from this experience and using the lessons to improve future communication strategies to support the introduction of the EURO in Member States actually outside the EURO-zone and the new Member States. Lessons learnt will also support the design and implementation of other related communication initiatives of the Commission.

Summary of findings and recommendations

Despite the unusually disruptive change of Commission midway through the programme and the subsequent reorganisation of Commission services a key contribution was made to the provision of information by the programme, which facilitated the smooth introduction of the EURO. Elements largely judged positively by the evaluator were: (i) Conventions with Member States to support national level campaigns; (ii) Commission recommendations to Member States and other actors; (iii) Co-financing of projects aimed at specific target groups, which would have not have otherwise taken place; (iv) Some types of direct actions (websites, newsletters, information materials, events, etc.). Sixty “general” and “specific” recommendations were made by the evaluator, a good proportion formulated with respect to the following identified weaknesses:

- At the planning and development phase of actions, there was an absence of clear strategy development, objective-setting, differentiation of target groups, design testing and feedback mechanisms.
- At the level of implementation, there was a lack of recognition of: staffing and project ramifications of such a large programme; the continuing need for specialist communication skills; the important role the Commission Representations should have consistently played in the process.
- In the area of co-financed projects, the Commission's efforts were under-resourced in terms of staff to select, manage and follow-up projects.
- There were problems of supply and usefulness of some information products produced by the Commission
- There was an absence of coordination of centrally implemented actions and those carried out at Member State level.

Main evaluation methods and data used:

Desk research – Field studies with interviews – Primary data from interviews, surveys, etc. – Secondary data from: Monitoring system, Literature/experts

Action taken / follow-up planned

Lessons learnt from the evaluation will be applied in future information and communication campaigns, within the limits set by cost and staffing constraints. To facilitate this process, DG ECFIN is inviting the evaluators to discuss the results of their work with Commission staff active in communication activities. The evaluation is also being used as an input into helping new Member States to establish communication strategies in the field of the European Monetary Union and the EURO. At EU level, in many cases recommendations have already been incorporated into current strategy and practice (e.g. the Action Plan presented in the “Information and Communication strategy for the European Union” (COM (2002)350)), or addressed by the Commission Reform. DG ECFIN's own information and communication strategy is being developed with due regard to the recommendations of the PRINCE evaluation.

Availability of the report

Paper or electronic copy available on request from: Kevin Williams (DG ECFIN).

4. EDUCATION AND CULTURE

Evaluation of the Information and Communication Policy of DG EAC: Publications

Name of the programme(s)/activity(ies) concerned: Education; Vocational training; Culture and language; Audio-visual policy and sports; Dialogue with the citizens; Youth

Number of the ABB activity(ies) concerned: 15 02; 15 03; 15 04; 15 05; 15 06; 15 07

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	07/2002 - 01/2003	F. Gutmann	External

Purpose of evaluation

Main purpose of this evaluation is to contribute to improving the impact and the effectiveness of the communication strategy of DG EAC. In this context, it is a part of a group of three evaluations that are foreseen:

- An evaluation concerning the participation of DG EAC at fairs and markets, either public or professional (carried out in 2001);
- An evaluation of publications (carried out at the end of 2002);
- An evaluation of the on-line communication, including the Internet websites of DG EAC and gateways (planned for 2004).

The evaluation project concerning the publications has 2 objectives: (1) Optimize the impact and effectiveness of a specific communication channel; (2) Strengthen the coherence and the handling of the annual and multi-annual communication strategy.

Summary of findings and recommendations

As **strengths** of the publications, the following ones were noted:

- The official character of the source (Commission, DG EAC) attributes to the documents an aspect of quality, appropriateness and reliability of information.
- In general, the graphical and esthetical presentation of publications are well appreciated.
- They are also perceived to be useful for the start of projects and the search for partners, and they rise the interest for the European programmes.

The **weaknesses** identified are:

- The writing style often seems to be too abstract and institutional.
- In general, the publications are more oriented towards the presentation of programmes than on the projects concretely resulting from it. Thus, the brochures of the SOCRATES and LEONARDO DA VINCI programmes lack illustration about project results. On the other hand, the series "Good practices" for LEONARDO DA VINCI lists projects by topic or sector without putting it in a clear context.
- Most publications fail to reach their supposed target, i.e. the beneficiaries of the programmes and especially the "large public", remaining a 'mythical target' due to the absence of a real need assessment and analysis of the dissemination networks.
- The people interviewed regret the lack of practical and simple information, even if all of them acknowledge that this information is too specific, voluminous and changing over time to be addressed satisfactorily by publications at European level.

- Users wish in first line concrete consideration of their project; a need which can be satisfied only by a privileged and personalized relationship with the relays, information centres and national agencies.
- The articulation and complementarities between the publications of DG EAC and those of the national agencies of the programmes are not clearly identified.
- The lack of access to a publication catalogue that would allow the handling of orders upon request was also critically noted.

The **recommendations** for more attractive and better targeted publications are as follows:

- Refocus the publications of DG EAC on its 3 natural targets: the institutional and political actors; the information centres, relays and national agencies; the real or potential beneficiaries of the programmes;
- Adopt a more cordial, more concrete and simpler style;
- Making dissemination more professional;
- Optimise the production line.

Main evaluation methods and data used

Desk research - Field studies with: Interviews, Direct observation - Primary data from interviews, surveys, etc.

Action taken / follow-up planned

For 2003 and beyond, the focus is make on 'better publishing' through a systematic analysis of each publication in terms of 'cost-effectiveness' (preliminary analysis of the needs, degree of satisfaction, dissemination plan, systematic evaluation of each publication) and by optimising the internal channel of publication production (terms of references detailing the responsibilities of all participants at the different work stages). For 2004 and 2005, the objective is to publish less after a rationalization of the publications programme (ceiling of 30 publications with a mechanism of selection and validation) and, from 2005, to delegate the publication to an executive agency that will be created to carry out certain management tasks for DG EAC programmes.

Availability of the report

Published at: <http://www.eac.cec/evaluation/resultats/eac.html#publications> (A paper or electronic copy is available on request from: F. Gutmann (DG EAC).)

Intermediate Evaluation of the European Training Foundation

Name of the programme(s)/activity(ies) concerned: European Training Foundation

Number of the ABB activity(ies) concerned: 15 03 03

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	12/2001 - 01/2003	A. Macphail	External

Purpose of evaluation

The evaluation had to assess the efficiency and effectiveness of the European Training Foundation (ETF) compared to its statutory objectives. It took into account the new direction reflected in the recently agreed Work Programme 2001 and the Foundation's Mid-Term Perspectives 2002-2004. It aimed at providing useful lessons and recommendations for the programming phase 2002-2004 and for the future activities of the Foundation, in particular its ability to meet the challenge of developing as a centre of expertise. It addresses the past and present capacity of the Foundation to achieve its objectives by successfully adapting to the evolution of the EU external policy priorities and providing three types of services in the field of education and training. It also analyses past and current experience and will have a formative character.

Summary of findings and recommendations

- **Coherence with Community priorities and policies:** The evaluator found that the Foundation, as a Community Agency, must better ensure that its activities are coherent at all times with Community strategies and Commission requests per region and country.
- **Links between Work Programme and budget:** The evaluator concludes that annual Work Programmes should contain better links to the budget, agreed at same time by the Governing Board.
- **Added value and expertise:** The Foundation is perceived to have provided a valuable service and that the comparative advantages of the Foundation as a Community Agency are complementary to the needs and capacity of the Commission services. The evaluator found that, in particular through activities such as building of capacity in partner countries, designing and implementing innovative projects and the definition of training needs, the Foundation's operational objectives have been met.
- **National Observatories:** The National Observatories are well regarded by each partner country, good value given their co-funded status and that their reports are considered to be effective in terms of contributing to the vocational education and training reform/development of system process. This puts the National Observatories in an important position in terms of the provision of information and analysis.
- **Communication and transparency:** The issue of the Foundation's external communication and transparency is intrinsically linked to the points made above on increasing the effectiveness of support to the Commission. The improvement of external and strategic communication will help ensure that the Foundation's activities are always coherent with Community regional and country priorities and strategies. It will also ensure greater clarity of the position and role of the Foundation as a centre of expertise in particular in the light of the increasing devolution to the Delegations. The foundation has been inefficient in the way it has engaged with its customers and clients.
- **International bodies:** The Foundation should pursue cooperation and contact opportunities with other bodies so as to maintain an up-to-date knowledge basis in the field of vocational education and training and labour market reform in third countries. In the case of concrete collaboration in a partner country with an international organisation such as the World Bank, the Commission encourages the Foundation to keep it informed of these priorities.
- **Cooperation between the Foundation and CEDEFOP:** Both CEDEFOP and the Foundation cover the area of vocational training, but each has a separate geographical coverage, and their missions and tasks are quite different. As such, the Foundation uses CEDEFOP as a resource for best practice in Member States in the field of vocational education and training and labour market in the context of third countries' economic reform, whilst CEDEFOP, being an actor in policy development in the Member States can benefit from the Foundation's experience to date both in the candidate and in partner countries. The Commission has always insisted that no overlap or duplication exists between the work of the two Agencies and has ensured that tools are in place for the Agencies to achieve maximum synergy and complementarities.
- **Internal efficiency:** The overall vision of the Foundation's role as a centre of expertise in support to the Commission should be firmly established by the Directorate and communicated to all staff. This should be done both externally, as set out under the sections on Support to the Commission and Communication and Transparency above, but also with concrete measures internally. Therefore, there must be improved internal communication to lead to the joint and mutual development of a centre of expertise with all staff having the necessary competences and mobilised to

contribute to the activities and products that will providing analyses and disseminating innovative experience in the area of teacher trainer training.

- **Internal management and resource allocation:** The Foundation has good management and information systems and this brings the Agency good financial solidity and transparency.
- **Advisory Forum:** The Advisory Forum has fulfilled its statutory function of providing advice to the Foundation on the preparation of the annual Work Programme.

Main evaluation methods and data used

Desk research - Field studies with: Interviews, Surveys - Primary data from interviews, surveys, etc. - Case studies

Action taken / follow-up planned

On the basis of the conclusions and recommendations of the external evaluation, actions for implementation has been proposed by the Commission in its Communication on the European Training Foundation (COM (2003) 287 final).

Availability of the report

Published at: <http://www.eac.cec/evaluation/resultats/formation.html#ETF2002> (A paper or electronic copy is available on request from: A. Macphail (DG EAC).)

Evaluation of the Grants to Cultural Organisations advancing the Idea of Europe (budget line ex A-3042)

Name of the programme(s)/activity(ies) concerned: Support of organisms active on European level in the field of culture

Number of the ABB activity(ies) concerned: 15 04 01

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	12/2001 - 03/2003	S. Pasqua	External

Purpose of evaluation

The evaluation is carried out following a commitment by the Commission, having been made within the context of the General Budget of the EU for 2001, to establish and to assess the activities financed with support from budget line A-3042 to reconsider, for the networks and organizations having benefited from the financial support of the European Union for at least three years, if it is necessary to continue or not the financing. "

Summary of findings and recommendations

Generally, the assessment of the evaluators concerning the work carried out by the networks and organizations receiving grants is rather positive. In fact, they develop many useful activities despite a general lack of financial and human resources. Overall, they encourage meetings and exchange of experience between operators or artists across Europe, playing a useful role as information relays between the European institutions and national/local cultural operators, or even with the general public. They allow the beneficial confrontation of young artists coming from different educational backgrounds while sometimes serving as bridges between the university curriculum and the professional world, and they often incorporate the "enlargement" dimension into their strategy. More precisely, the conclusions of the evaluation regarding effectiveness, efficiency and the European added value were as follows:

- **Effectiveness:** The evaluators considered that the organizations supported from budget line A-3042 seem able to develop their activities in accordance with the planned objectives and concluded that their level of effectiveness level is high.
- **Efficiency:** The evaluators faced difficulties to evaluate the efficiency of Community financing as such, given that the financial resources of the organizations come from various sources. However, and taking into account this difficulty, the evaluators considered that organizations make good use of the received funds and point out that Community support is essential for the survival of some of them (particularly for those who depend on Community financing for more than 50% of their resources).
- **Added value:** The added value of the organizations is mainly reflected in the fact that they bring together members of various European countries and develop trans-national activities, which result in the emergence of new ideas and debates about questions concerning the European cultural policy.

Given the positive contribution of the organizations support by budget line A-3042 to the European civil society, the recommendations made in the evaluation relate to the selection criteria, financing as well as the geographical and thematic distribution of the organisations supported rather than to questions concerning the management of the organizations, their objectives, work and activities. Evaluators suggest that organisms shall, from now on, be selected following a call for proposals on the basis of objective criteria, and that the contracts with the Commission are concluded for a longer period (three years at minimum) in order to allow the beneficiary organisations to achieve satisfactory results and expected impacts. Moreover, it is suggested that organisations should submit interim activity reports and that extensive evaluations of their actions should be planned. Finally, better public access to the procedures underlying the grants financed from budget line A-3042 (in particular through the pertinent websites of DG EAC) would also lead to improvements regarding transparency.

Main evaluation methods and data used

Desk research - Field studies with: Interviews, Surveys, Direct observation - Primary data from interviews, surveys, etc.

Action taken / follow-up planned

With regard to the comments, conclusions and recommendations made in the evaluation, the Commission considers legitimate to continue with the support of networks and organizations promoting the idea of an European civil society under the condition that a more precise and objective framework is set. Taking into account the gaps of the current system as identified by the evaluation, the Commission is in favour of implementing modalities that ensure a maximum level of transparency in the choice of the selected networks and organizations. This has to be done in full respect of the rules and procedures applicable at Community level, particularly as laid down in the new Financial Regulation. The evaluation is one of the elements used by the Commission for a proposal to the European Parliament and the Council establishing a Community action programme for the promotion of the organizations active at European level in the field of culture (COM (2003) 275 final).

Availability of the report

Published at: http://europa.eu.int/comm/culture/eac/sources_info/evaluation/evaluation_en.html

Evaluation of Pilot projects in the area of the Fight against Doping in Sport in Europe

Name of the programme(s)/activity(ies) concerned: Audio-visual policy and sports

Number of the ABB activity(ies) concerned: 15 05

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	10/2002 - 04/2003	J. Kornbeck	External

Purpose of evaluation

Main purpose of the evaluation was to assess the pilot action as a whole and to evaluate in more detail the specific projects (16 in total), which have been funded by the European Commission as well as to make recommendations with regard to remedial actions and future programmes' structure for increasing the programmes' impact and efficiency in focusing on the best projects, optimising results in fighting doping in sport (according to the sector's needs and European Union general aims) and improving the European Union's added-value in this field.

Summary of findings and recommendations

- **Education/information/prevention:** It has been clearly demonstrated by the projects having performed education/information activities that in order to achieve successful results it is necessary to address specific target groups. Information through the mass media can reach a wide audience, yet it is a very expensive method with ambiguous results. Since it has been decided that addressing specific target groups is the recommended strategy, it is necessary to define such groups.
- **Control and research:** This is another major axis of the fight of doping in sports. However, big steps should be made in this direction, since it involves research in various sectors.
 - **Research on new doping substances and methods**
New doping substances and methods are developed all the time. Yet, research on their tracking is far behind. Therefore significant steps should be made in this direction, if doping control is to be effective and up-to-date. For this reason, projects that would also combine research on doping (for example through collaboration with DG Research) are highly welcome by the sports community.
 - **Research on the psycho-social aspects of doping**
The psycho-social factors that push athletes to doping should be investigated. There is a need for such activity and not many steps have been made in this direction. Statistics are required, as well as intense investigation, in order to present recommendations for confrontation of the problem.
- **Legislation and policies:** It is obvious that the pilot projects have largely contributed towards the harmonisation of doping rules and regulations at international level through involvement of all stakeholders and analysis of the current situation. They have complemented very successfully with all current international activities, especially at a time that much effort is given in the fight against doping. However, more actions are needed in this direction, since harmonisation of rules and adaptation at a world-wide level is still far away. Moreover, underlying factors, such as the interpretation of rules in each country and gaps in legislation (e.g. trafficking of substances from one country to another) cannot be dealt with through mere acceptance of rules and legislative actions.

It is strongly recommended that collaboration between governments and national bodies takes place through constant mutual activities and exchange of views and methods. Only through such a strategy can the inherent problems and gaps be solved. For example, the cooperation of National Anti-Doping Agencies can lead to the delivery of common national anti-doping policies much faster than acceptance of common laws. The same applies to the cooperation of federations and sports clubs. At the same time, in order to change the situation concerning trafficking of drugs from one country to another (especially so far as European countries are concerned), it is necessary to call for cooperation at European level of all actors involved, including: national anti-doping agencies, national pharmaceutical organisations and all bodies concerned with the production and transportation of medicines. A special note must be made to the role of police which should be underlined in such actions. Its active involvement is expected in such future actions.

Main evaluation methods and data used

Desk research - Field studies with: Interviews - Primary data from interviews, surveys, etc - Secondary data from: Monitoring system - Statistical agencies - Literature/experts

Action taken / follow-up planned

The outcome of the evaluation will be used when drafting future actions in the field of fight against doping allowing possibly future Community action to be better tuned and more targeted.

Availability of the report

Published at: <http://www.eac.cec/evaluation/resultats/sport.html#fight> (A paper or electronic copy is available on request from: J. Kornbeck (DG EAC).)

Mid-term evaluation of the “Culture 2000” Programme

Name of the programme(s)/activity(ies) concerned: Culture

Number of the ABB activity(ies) concerned: 15 04 02

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	10/2002 - 06/2003	S. Pasqua	External

Purpose of evaluation

The evaluation was carried out in accordance with Article 8 (1) of Decision 508/2000/EC of the European Parliament and of the Council requesting a detailed assessment report on the results of the Culture 2000 programme, having regard to its objectives, and accompanied if necessary by a proposal for the amendment of this Decision not later than 31 December 2002. The evaluation results has been feed in the above mentioned report from the Commission (COM (2003) 722 final) and it will support the Commission proposal for the post-2006 program in the field of culture.

Summary of findings and recommendations

- **Programming:** The evaluators consider that the Culture 2000 programme follows a comprehensive and coherent logic, which is aimed at fostering cultural co-operation in Europe. Regarding the programme's objectives, the evaluator considers that the programme is complementary to other Community actions and the cultural policies of the Member States. In the period 2000-2001, the programme management and specifications underwent some changes. Most notably, the scope and eligibility of the funding was widened to encompass the associated countries. Also, a minimum of 5 % financial involvement (of the total budget) was established for all project leaders and co-organisers, thus ensuring the trans-national participation of all parties in the project. The evaluator's assessment shows that this financial requirement is a good instrument to ascertain the active participation of all cultural operators in the project. However, according to the evaluators, the use of this instrument may dissuade new partnerships with no prior history of collaboration from entering into partnerships together. Furthermore, the financial requirement may impede some cultural operators in the associated countries from participating in the Programme, as the financial commitment is relatively high for these operators. Concerning the dissemination of knowledge about the programme, the evaluators recognise that the Commission has carried out a number of activities, including the establishment of Cultural Contact Points, a website and a newsletter dedicated to Culture 2000 and the launch of a Cultural Portal that assembles all activities and actions of the EU related to culture. However, they feel some aspects could be improved concerning this point.
- **Projects:** In 2000 and 2001, the first two years of its existence, more than 1 600 project applications were submitted to the programme, one quarter of the operators having been granted funding. The distribution of funding among sectors reflected the objectives of the Decision. Generally, the selected projects targeted more than one of the specific objectives in the Programme. The operators neither perceived the objectives as difficult to convert into projects, nor as constraints on their artistic creativity. The evaluators underlined the fact that the number of project applications refused on the basis of technical eligibility criteria increased between 2000 and 2001. A decrease in the number of applications rejected on the basis of formal eligibility criteria, as well as an increase in the number of applications, could further optimise the Programme.
- **Partnerships:** The evaluators consider that a relatively high proportion of the cultural operators receiving funding from the Programme were relatively small in terms of operational capacity (annual turnover; full time equivalent staffing). The projects funded were managed by a wide variety of organisations ranging from NGOs to national cultural organisations and private enterprises. The evaluators also consider that in general the project partnerships were forged on the basis of previous collaboration, that the operators tended to forge partnerships with similar organisations in other countries, that the cultural operators from the larger countries were the most active in trans-national partnerships and that cultural operators from all Member States managed projects, while the participation of operators in the associated countries was more uneven.
- **Results:** The project participants' self-assessment indicated a high degree of satisfaction with the quality of their output, which was in accordance with their plans. In terms of the projects' relevance, approximately two thirds of the project leaders thought that their trans-national partners were indispensable for the output produced. It is the conclusion of the evaluator that the Culture 2000 programme did create cultural added value through creating new forms of cultural expression, attracting greater attendances than planned to participants' performances and encouraging the movement of artists and cultural operators. The evaluators consider equally that cultural operators completed their projects with the level of quality foreseen when they submitted their applications.

Main evaluation methods and data used

Concept mapping - Desk research - Field studies with: Interviews, Surveys - Primary data from interviews, surveys, etc - Case studies - Comparison/Control groups

Action taken / follow-up planned

- **On improving systematic monitoring of the program**, through the creation of a complete and aggregated database, the Commission will launch in 2004 the new “symmetry” management system, which will address this and other problems.
- **Regarding more attention to pay to the cash-flow problems of the operators**, by reconsidering the 50% before/after paying procedure applied to Action 1 projects, the cash flow problems of the operators will be settled, as from 2003 on the payment ratio is 70/30.
- The recommendation for **improved feedback to non-selected applicants** so that the project's evaluation rating of the experts is available to the applicant could be implemented in the frame of the 2004 selection.
- The recommendation **to reconsider the objectives** of the programme by suppressing those related to socio-economic development and/or by prioritising target groups will be taken into account in the Commission proposal of a Decision establishing a new cultural program. Indeed, the Commission envisages reducing the number of objectives in the program that will replace Culture 2000 from 2007.

Availability of the report

Published at: http://europa.eu.int/comm/culture/eac/sources_info/evaluation/evaluation_en.html

Mid-term evaluation of the Decision of the Council 1999/51/EC on the Promotion of European Pathways for Work-linked Training, including Apprenticeship (“EUROPASS Training”)

Name of the programme(s)/activity(ies) concerned: Vocational training and guidance

Number of the ABB activity(ies) concerned: 15 03 01

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	06/2002 - 07/2003	C. Scatoli	External

Purpose of evaluation

This evaluation is part of different activities aiming to comply with Article 9 of the Council Decision 1999/51/EC that obliges the Commission to submit a report, three years after adoption of the Decision, on the implementation of the initiative. The mid-term evaluation, focussing on the efficiency and effectiveness of the implementation of the Decision, should provide lessons and recommendations for the management of the initiative, particularly in the view of proposing legislative action in the field of transparency of qualifications and competences.

Summary of findings and recommendations

- **Relevance of objectives:** The specific objective of promoting trans-national mobility is still relevant, but consideration should be given to extending the initiative’s objective beyond work-linked training. EUROPASS Training is consistent with and relevant to the policy developments in the field of life-long learning, particularly in relation to transparency and transferability of qualifications and skills. Existing instruments and services supporting transparency of qualifications are not sufficiently visible and accessible to citizens, and EUROPASS Training could play a very important role.
- The **main results** are: All operational objectives have been reached through consistent operational tools, although the results vary from one country to another. The decentralised approach to implementation is considered effective and efficient and should continue unchanged. If the initiative is to be expanded and take-up and dissemination increased, resource implications will have to be taken into account. The initiative has been efficient in its use of resources. The increasing numbers of EUROPASS Training documents recording European pathways suggests that the initiative is being increasingly recognised and used by potential beneficiaries. The EUROPASS Training document has been an efficient transparency mechanism, but the availability of an electronic version and further specification of the content of the document are deemed necessary. EUROPASS Training has had its greatest impact in improving the transparency of training periods abroad, filling a vacuum that existed in the pre-2000 situation. In contrast, it has not directly encouraged mobility of persons in training.
- The following **conclusions** are made: The EUROPASS Training initiative has been relatively successful in a variety of aspects during its first years and has established the basis for future progress in the area of transparency of qualifications. In a short time it has confirmed itself as an important transparency tool, valued by its users. The objectives have been fulfilled to a large extent. Different stakeholders have identified both the continuing relevance and the need for reform, in relation to both the document itself and the initiative, in the current policy context. Potential improvements of the initiative, opening new possibilities in terms of both the format of the EUROPASS Training document and its content, include in particular the need for an electronic version of the document, further specification of its contents, integrating the initiative better with other transparency tools and extending the initiative beyond work-linked training to encompass all training undertaken abroad should be considered in the short term.

Finally, the evaluators presented four “**policy options**”, changing the situation from very little to significantly, but largely compatible with each other, to be considered for the future of EUROPASS Training.

Main evaluation methods and data used

Desk research - Field studies with: Interviews - Primary data from interviews, surveys, etc - Secondary data from: Monitoring system

Action taken / follow-up planned

From the policy options presented in the evaluation study, the Commission prefers Option 2: Simplify the situation of the set of transparency tools, including EUROPASS Training. It will present a proposal for a Decision in this sense that also covers several points included in other policy options (see also the fact sheet on the ex ante evaluation supporting the Commission proposal for a Decision of the European Parliament and the Council on a single framework for the transparency of competences and qualifications – EUROPASS).

Availability of the report

Published at: <http://www.eac.cec/evaluation/resultats/formation.html#EUROPASS> (A paper or electronic copy is available on request from: C. Scatoli (DG EAC).)

Mid-term evaluation of the LEONARDO DA VINCI Programme (2000-2006)

Name of the programme(s)/activity(ies) concerned: Vocational training and guidance

Number of the ABB activity(ies) concerned: 15 03 01

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	11/2002 - 10/2003	P. Baur	External

Purpose of evaluation

This external evaluation should, together with reports from the participating States, provide input to an interim report from the Commission's to be submitted, according to the Council Decision establishing the LEONARDO DA VINCI programme, to the European Parliament, the Council, the Economic and Social Committee and the Advisory Committee on Vocational Training by 30 June 2004. The results of the evaluation will also feed into the on-going implementation of the LEONARDO DA VINCI II programme with the aim to remedy identified weaknesses and to improve it as well as in the process for the definition of a new generation of programmes in the field of training for the period after the year 2006.

Summary of findings and recommendations

- Regarding the **coherence between the measures and the objectives and priorities of the programme**, the implementation measures are not appropriate to the objectives and priorities of the programme due to the absence of a formulated or explicit strategy for LEONARDO II: (1) There is no ranking of objectives and their quantification; (2) The articulation between the different levels of objectives does not seem coherent, and the way in which the outputs should allow achieving the expected results and impacts is not explicit; (3) Targets and priority sectors or areas for intervention are not or almost not identified; (4) The general objectives of the programme seem disconnected if not disproportionate with regards to the allocated means. Nevertheless, the readability of the Decision 1999/382/CE improved compared to Decision 1994/819/CE, and the specific objectives of the programme, by moving from 19 (under LEONARDO I) to 4 (under LEONARDO II), were simplified.

It is recommended to start an overall reflection on the objectives and strategy of the programme. Precise and quantified objectives have to be proposed for the various activities of the programme, in close cooperation by the Commission departments, the national Agencies and the LEONARDO Committee: number of projects, number of beneficiaries, types of projects, characteristics of the beneficiaries targeted, fields of interventions (priority sectors and areas). By the way, the ambition of these objectives has to be proportionate to the means allocated to achieve them. This will allow strengthening the coherence of the specific objectives and their translation into operational objectives and targeted implementation measures, with means adapted to their degree of priority.
- Concerning **the relevance of the objectives in relation to the needs of target groups**, the objectives and priorities of the programme LEONARDO DA VINCI II, generally, seem to meet the major expectations and the needs of the real promoters and beneficiaries. LEONARDO seems indeed to respond to their expressed needs in terms of development of a European dimension, of improvements of the competences and employability of people and, to a lesser extent, in terms of the need for innovation (particularly in the linguistic field). However, the definition of targets and priority areas for interventions becomes central in order to avoid a spread of efforts and resources and to refine reflections about the strategy of the programme. Target groups have to be clarified in a better way. The definition of the targets could be preceded by wide-ranging measures to know precisely the promoters and real beneficiaries, their respective expectations and their degree of satisfaction with respect to the activities and measures of the programme.

By the way, it seems that the increasing need for innovation transfer, for large-scale projects and for transparency/recognition of qualifications is not fully covered by the LEONARDO programme. The programme should develop a substantial activity supporting the transfer of innovation between countries rather than financing innovative projects in one country that are already implemented in other ones. In fact, it would be more effective to encourage a transfer on the base of these experiences and to adapt such projects to the realities of the importing country. A strategic reflection should also cover the appropriateness of the current financing ceilings.
- Regarding the **coherence with the political context at Community level**, a detailed analysis of the relevant texts reveals that the programme, in its current design and with its main goals as well as the priorities defined in successive calls for proposals, did not become incoherent with this political context despite recently developed political initiatives regarding vocational training and the European Strategy of employment. On the contrary, the calls for proposals allowed the integration of the most important of the recent aspects regarding Community cooperation, while respecting subsidiarity principle.

- Over the period 2000-2002, as far as **outputs and achievements of operational objectives** are concerned, the programme was globally satisfactory.
- At the level of **results et the contribution to the specific objectives**, the effectiveness of the programme is globally rather good, even if there are discrepancies between several objectives. In particular, the effectiveness has clearly improved if compared with the decade before.
- Regarding **intended impacts**, LEONARDO is perceived by all actors as a programme that brings a high added value into the development of Community cooperation concerning vocational training. If the LEONARDO programme remains an innovation platform, its impacts will become real at the level of the public interested in experimentation. But if LEONARDO II, as an instrument of the European policy in the field of vocational training, has itself to have an impact on the systems and the socio-economic balance, adaptations have to be made regarding procedures, size of the projects and their valorisation, as being underlined by the recommendations made in the context of the assessment of the relevance and coherence of the programme as well as the quality of its implementation.

Main evaluation methods and data used

Concept mapping - Desk research - Field studies with: Interviews - Primary data from interviews, surveys, etc. - Secondary data from: Monitoring system, Literature/Experts

Action taken / follow-up planned

The findings of the evaluation will be taken into account in the preparation of a new programme in the field of education and vocational training after 2006. With respect to the current programme, actions will be taken according to DG EAC internal evaluation follow-up procedures. A "service document" will be drafted by the service responsible for the evaluation project. The "service document" will contain information on possible actions to be taken on the basis of the evaluation recommendations and conclusions as well as on the follow-up planned. Progress made on the planned follow-up will be monitored.

Availability of the report

The final report of the external evaluation as well as the Commission's report on the implementation of the second phase of the Leonardo programme (COM (2004) 152), which is based on the external evaluation and reports submitted by countries participating in the programme, are published at:

http://europa.eu.int/comm/education/programmes/evaluation/evaluation_en.html

Ex post Evaluation of the MEDIA II Programme

Name of the programme(s)/activity(ies) concerned: Audiovisual media

Number of the ABB activity(ies) concerned: 15 05 01

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	04/2002 - 09/2003	M. S. Gatta	External

Purpose of evaluation

The evaluation was carried out in the context of the preparation of a report dealing with the implementation of the MEDIA II programme. This Commission report has to be submitted to the European Parliament, the Council and the European Economic and Social Committee as stipulated in the legal base of the programme.

Summary of findings and recommendations

- The **general analysis established in 1995-1996, which was at the basis of the launch of the programme, was relevant.** The selected aspects for action to take (training, development, distribution) in order to improve the situation of the audio-visual sector were relevant in 1996 and remained it so far. These angles of discussion were also relevant because they were perfectly complementary to the national state aids. The state aid systems at national and regional level are in fact to a great extent oriented towards the support for financing productions, based on the location where films are produced. MEDIA II support, on the contrary, concerned the trans-national distribution of films and programmes as well as the development of projects. Since 1996, various national aid systems have included aid to development and writing. This has decreased only slightly the subsidiarity of MEDIA II support as far as development of projects is concerned because the amount of this national aid remains small. On the other hand, this shows that MEDIA II inspired innovation and the diversification of state policy in certain countries.
- **MEDIA II has played a positive role for the development of professional practices and mentalities of this sector.** MEDIA II did not develop the overall structure of the European industry, which remains divided into a vertically integrated "commercial" sector, on the one hand, and "art-house" sector where self-employment dominates, on the other hand. But the programme contributed to strengthening the professionalism of the latter. Firstly, the success of the training programmes on management and project development supported by MEDIA shows that there is, today, a better awareness regarding the importance of development and marketing the success of a film or of a programme. Secondly, the trans-national dimension in the support mechanisms (required level of multi-national aspects in training initiatives, selective support linked to the existence of trans-national partnerships) contributed to the establishment of trans-national networks of self-employed people that are certainly informal but more active than in the past, sometimes somewhat artificial but contributing to a larger exchange of ideas, "best practices", human resources and products. All this can, in the medium term, only improve the level of professionalism of the European companies and, therefore, their competitiveness.
- The **positive discrimination has effectively worked.** To achieve the goal of structural balance, the programme made the choice of not creating special desks for companies or projects resulting from 12 restricted markets. It was right not to isolate in this way small-scale industries but to encourage the European actors in the audio-visual sector to work with the same mechanisms. Rather than setting up ex-ante quotas for companies, the Commission set up two types of levers that should finally achieve a distribution of support that is favourable to the 12 countries having a low production capacity: (i) coefficients that are favourable to companies or work originating from these countries within the 'standard' aid, (ii) explicit preference for these countries in the selection criteria for selective aid. The results of the evaluation show that companies from these 12 "small" markets benefited from 26% to 30% of MEDIA II support. Such a rate means an over-representation in so far as this set of countries account, according to the references that are taken, for around 20% of the market or of total European audio-visual production.
- **The organisation of MEDIA II was globally effective.** The architecture of MEDIA II seems, as perceived by the totality of professionals interviewed, at the same time more effective and more transparent than that of MEDIA I. With the re-concentration of management and in particular the selection and payment procedures, certain professionals had sometimes the impression of having lost an element of proximity and common language (MEDIA I projects "were self-managed" by industry professionals) and they were obliged in 1996-1997 to adapt to the new procedures. But the predominant impression is that they gained overall in return, in terms of clarity, reliability, neutrality and transparency.
- The **administrative deadlines are still too long.** The treatment of files and payments took too much time in relation to the rhythm of the industry. Between the closing of the call for proposals and the first payment of aid, 10 months on average expired in 1996. This delay was sometimes perceived as disproportionate in relationship with the objective when selective and reimbursable aid was concerned. These delays were to some extent due to the precaution measures taken to guarantee neutrality and equal treatment during the selection procedures (meeting of committees

of experts). However, the situation improved over the period with an average delay of months in 2000. Furthermore, it has to be mentioned that the level of administrative complexity and slowness felt by certain beneficiaries (especially in comparison with national aid), was not discouraging for continued competition for access to the different mechanisms.

- The **design of the intervention mechanisms was interactive and globally satisfactory**. Programmes were flexible. The decision-making bodies of the programme managed to evolve the mechanisms according to the market reactions and to keep, at the same time, regularly listening to external experts, professionals and managers. To be mentioned in this context for example the introduction of the ' Slate Funding' in 1999, complying with a request of the experts. A non-intended effect of this permanent attempt to adjust the programme was the multiplication of counters ("guichets"), which not only increased information/promotion work and management costs but also contributed to a slow down of the processes. Taking into account the operation of a mechanism, in particular a selective one, involves fixed costs (independent from the allocated amounts), it can be questioned if the 12 or 13 separate mechanisms applied in 2000 were not excessive for distributing a total amount of 300 M€.

Main evaluation methods and data used

Desk research - Field studies with: Interviews - Primary data from interviews, surveys, etc - Secondary data from: Monitoring system, Literature/experts, Intermediate evaluation of the Media II programme - Expert panels - Delphi methods - Factor analysis - Statistical analysis

Action taken / follow-up planned

The findings of the evaluation will be taken into account in the preparation of future Community interventions in support of the audiovisual sector. Regarding the current programme, actions will be taken according to DG EAC internal evaluation procedures for follow-up. A "service document" will be drafted by the services responsible for the evaluation project. The "service document" will describe the action that will be taken in response to the evaluation recommendations and conclusions, as well as the follow-up planned. Progress made on the planned follow-up will be monitored.

Availability of the report

Published at: http://europa.eu.int/comm/avpolicy/media/media2_fr.html

Ex ante Evaluation concerning a Commission proposal for a Decision of the European Parliament and of the Council on a Single Framework for the Transparency of Competences and Qualifications (“EUROPASS”)

Name of the programme(s)/activity(ies) concerned: Vocational training and guidance

Number of the ABB activity(ies) concerned: 15 03 01

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	07/2003 - 10/2003	C. Scatoli	Internal

Purpose of evaluation

Main aim of the ex ante evaluation is to support for a Commission proposal to establish “EUROPASS”, a Community framework for the transparency of qualifications and competences that provides for the related implementation, management and support measures.

Summary of findings and recommendations

Existing transparency instruments need to be brought into a common framework supported by coordinated implementation and support mechanisms, information systems and promotional activities. Further action is needed at Community level. The proposed action is cost-effective because the same action could not be achieved at lower cost, nor could the same or better results be achieved with the same cost by using other instruments.

Main evaluation methods and data used

Desk research – Secondary data from: Literature/experts, Other: Mid-term evaluation of EUROPASS Training - Cost-effectiveness analysis

Action taken / follow-up planned

The ex ante evaluation was used to underpin the Commission proposal for a new legal base. The proposal was adopted by the Commission on 17 December 2003 (COM (2003) 796).

The proposal establishes a single transparency framework, under the name “EUROPASS”, as a portfolio of documents carrying a common logo. For the time being, it includes the European CV (which is the core of the portfolio), the Diploma Supplement, the so-called 'MobiliPass' (an expanded EUROPASS-Training), the European Language Portfolio and the Certificate Supplement. The framework is open to the future inclusion of new documents. All documents should be available in electronic form, and the paper format will be agreed together with national authorities.

The decision stresses the need for promotional activities, and the budget to this purpose is increased. The choice of a common logo will in itself allow a more effective promotion. The EUROPASS Training in particular will be reformed (probably changing also the name): There will be guidelines for describing the pathway in terms of acquired skills, along the lines of the European CV. This will allow using the terminological tools established for the CV and the Certificate Supplement.

Availability of the report

Published at: <http://www.eac.cec/evaluation/resultats/formation.html#frame-EUROPASS> (A paper or electronic copy is available on request from: C. Scatoli (DG EAC).)

Intermediate Evaluation of Programmes MEDIA Plus, MEDIA Training and the Preparatory Action "Growth and Audiovisual: I2I Audiovisual"

Name of the programme(s)/activity(ies) concerned: Audiovisual media

Number of the ABB activity(ies) concerned: 15 05 01

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	03/2003 - 11/2003	A. Silver/M. S. Gatta	External

Purpose of evaluation

The main purpose of the evaluation was to analyse results of the MEDIA Plus and MEDIA Training programmes over the reference period (Jan. 2001-March 2003), to identify adjustments needed to optimise the likelihood that the programmes attain their objectives, and to analyse the results of the first year of implementation of the "i2i audiovisual" preparatory action.

Summary of findings and recommendations

The assessment of the MEDIA Plus and MEDIA Training programmes is positive:

- The two programmes and the preparatory action have responded to market trends in a flexible and appropriate manner.
- The overall objectives of the two programmes remain relevant.
- MEDIA Plus is a programme known by an increasing number of European professionals.

The indicators used for the evaluation show that the tools set up by the Commission produced satisfactory results and achieved their mid-term goals. They were particularly necessary in the difficult economic period of the year 2001/2003. The overall analysis of the mid-term evaluation report shows that the distribution of Media support is well balanced and backs up national support.

Relevance: MEDIA Plus operates in line with changing needs (newcomers, funding crisis, consolidation of the industrial base, international expansion), which are increasingly at the heart of the problems of European professionals.

European added-value: The evaluation team looked at the extent to which the different fields of support of the MEDIA programme provided European added-value through an analysis of the guidelines of the different actions. European added-value is particularly apparent in the implementation of European networks.

Effectiveness: The first assessment of the programme after 18 months of implementation demonstrates a high level of results. Effectiveness is also measured by the fact that MEDIA Plus accompanies risk-taking by European SMEs, otherwise increasingly hesitant to develop pan-European actions and strategies and to try to get a foothold on European markets.

Efficiency: The evaluation demonstrated that the MEDIA Plus and MEDIA Training tools are in line with market trends and the needs of the companies and that MEDIA is the way to encourage the film and TV world stakeholders to think and act in a more European manner

Main evaluation methods and data used

SWOT analysis - Desk research - Field studies with: Interviews, Surveys - Primary data from interviews, surveys, etc. - Secondary data from: Monitoring system, Statistical agencies - Case studies - Comparison/Control groups

Action taken / follow-up planned

The findings of the evaluation will be taken into account in the preparation of future Community interventions in support of the audiovisual sector. As to the current programmes, action will be taken according to DG EAC internal evaluation procedures for follow-up. A "service document" will be drafted by the services responsible for the evaluation project. The "service document" will describe the action that will be taken in response to the evaluation recommendations and conclusions, as well as the follow-up planned. Progress made on the planned follow-up will be monitored.

Availability of the report

Published at: http://europa.eu.int/comm/avpolicy/media/eval2_en.html

Evaluation of the Co-operation with Third Countries within the YOUTH Program 2000-2002

Name of the programme(s)/activity(ies) concerned: Youth

Number of the ABB activity(ies) concerned: 15 07

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	03/2003 - 11/2003	B. Roubicek	External

Purpose of evaluation

The evaluation aims to assess the results of the action so far, to verify its relevance and to prepare orientations for the new programme. It is part of a series of modular evaluations which have been/will shortly be carried out on the different actions of the YOUTH Programme.

Summary of findings and recommendations

- The **strengths** are: (1) Good coverage of geographic reach; (2) Organizations, young participants and other actors agree with the programme's aims and objectives; (3) National authorities' contribution for further development of the programme's priorities and aims; (4) Adequacy of the Actions 1, 2, 5 to the objectives of the Programme; (5) Good results achieved so far, both on young people, youth workers and youth structures; (6) Good level of efficiency; (7) General criteria for activities are well known by the participants; (8) National agencies and EC Delegations in Third countries can provide effective support and fasten the procedure; (9) Progressive involvement of a higher number of youth structures in the Third country co-operation strand; (10) Reinforcement of long-lasting and solid partnership among structures; (11) Promotion of the exchange of youth work expertise and know-how between structures in EU and Third countries; (12) Many organisations, by increasing the visibility of the project through publications, help the promotion and visibility of the Programme.
- The **weaknesses** identified relate to: (1) Difficulty of cooperation with some countries; (2) Lack of flexibility as regards the mixing of Regions; (3) Lack of focus on thematic priorities; (4) The criteria according to which youth exchanges must involve a minimum of four countries appears to be excessively demanding; (5) 'One-application' projects hinder the possibility of constructing stable relationship and partnership with Third country organisations; (6) Long duration of the selection process; (7) Selection criteria need to be better adapted and assessed bearing in mind managerial capacities and experience of some associative structures; (8) Obtaining visa and residence permits takes time and resources, and sometimes it represents an impediment for the realisation of the projects; (9) Weakness of some associative structures at local level in terms of managerial capacities and experience in international exchanges; (10) Small grass-roots organisations are the most difficult ones to reach; (11) Activities of National authorities regarding promotion and dissemination generally target organisations somehow "known" and already involved in the Programme.
- Several **recommendations** are made that concern the following aspects:
 - **Relevance:** (1) Maintain the aims and objectives of the Third country co-operation strand; (2) Give priority to neighbouring regions; (3) Keep paying attention to Latin America
 - **Effectiveness and sustainability:** (1) Introduce large scale projects; (2) Broaden the geographic reach by means of project pilots; (3) Promote follow-up activities; (4) Promote local and national co-funding as a priority; (5) Increase the financial budget for the third-country cooperation strand
 - **Efficiency:** (1) Adapt funding rules to the needs of young people with less opportunities by tackling the economic difficulties of some participants in the projects; (2) Speed up the procedure for the provision of grants; (3) Speed up the procedure for the issue of visas and residence permits

Main evaluation methods and data used

Concept mapping - SWOT analysis - Desk research - Field studies with: Interviews - Primary data from interviews, surveys, etc. - Secondary data from: Monitoring system

Action taken / follow-up planned

The findings of the evaluation will be taken into account in the preparation of the new programme in the field of YOUTH and for the re-orientation of the current YOUTH programme. With respect to the current programme, action will be taken according to DG EAC internal evaluation follow-up procedures. The evaluation of the strand 'co-operation with Third countries' of the YOUTH programme will be integrated in the overall mid-term evaluation report of the whole YOUTH programme. This mid-term evaluation report will include a description of the action that will be taken in response to the evaluator's recommendations and conclusions, as well as the follow-up planned. Progress made on the planned follow-up will be regularly monitored.

Availability of the report

Published at: http://europa.eu.int/comm/youth/program/evaluation_en.html

Ex post Evaluation of the previous CULTURE Programmes Kaleidoscope, Ariane and Raphael

Name of the programme(s)/activity(ies) concerned: Culture

Number of the ABB activity(ies) concerned: 15 04 02

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	12/2002 - 11/2003	S. Pasqua	External

Purpose of evaluation

This evaluation was a response to the requirement imposed on the Commission in Article 10 of Decision No 2228/97/EC (hereinafter, the "Raphael Decision") to submit to the European Parliament, the Council and the Committee of the Regions a report assessing, both qualitatively and quantitatively, the implementation and achievements of the Raphael programme. In the interests of coherence and transparency, and also in order to have access to additional information material for the preparation of a new culture programme for the years after 2006, the Commission felt it made sense to include in this evaluation exercise the Kaleidoscope and Ariane programmes, which are of the same generation as the Raphael programme and for which no ex-post evaluation was provided in the Decisions establishing them. Main purpose of the evaluation was to assess the relevance, efficiency, effectiveness and impact of the three previous programmes Kaleidoscope, Ariane and Raphael in the field of culture.

Summary of findings and recommendations

All in all, the programmes worked well and were very relevant. The European added-value was clearly guaranteed by the support of partnerships of a least three countries whereas Member States generally co-finance national or bi-national organisations only. On efficiency and effectiveness, the evaluator voiced very little criticism, finding that the results obtained were proportional to the resources committed, i.e. they were effective but not commensurate with the more ambitious expectations formulated in the Decisions establishing the programmes. The evaluator considers that the old programmes could have been more effective if administrative matters had not required so much time and effort and if more resources had been available to help with disseminating the project results. The principal impacts of the programmes after 5 years is the fact that not only networks and partnerships exist and were reinforced, but also that operators in the field of culture became positively aware of these networks and partnerships. The evaluator notes that certain weaknesses or shortcomings found (e.g. the excessively narrow aspect of certain themes and the absence of continuity in the themes selected) were, in the view of the operators, a sort of test for the subsequent programme (Culture 2000). The old programmes were therefore a useful stage in building up the Union's role in the field of culture. Combining them within the Culture 2000 programme also helped to make the Community's contribution more effective and more visible. These programmes have therefore made a positive contribution to cultural cooperation in Europe (development of partnerships, creation of networks, etc.). They represented a first, essential step towards the attainment of the objectives set out in Article 151 of the Treaty. The evaluator also considers that the contribution made by the old programmes has been bolstered by the Culture 2000 framework programme. Moreover, it believes that Community support for cultural cooperation activities in Europe should be continued and that adequate resources should be made available for this purpose.

Main evaluation methods and data used

Desk research - Field studies with: Interviews, Surveys - Primary data from interviews, surveys, etc. - Secondary data from: Monitoring system

Action taken / follow-up planned

Actions will be taken according to DG EAC internal evaluation follow-up procedures. A "service document" will be drafted by the services responsible for the evaluation project. The "service document" will describe the action that will be taken in response to the evaluation recommendations and conclusions, as well as the follow-up planned. Progress made on the planned follow-up will be monitored. In addition, the evaluation results have been fed in the above mentioned report from the Commission (COM (2004) 33 final) and will support the Commission proposal for the post-2006 programme in the field of culture.

Availability of the report

Published at: http://europa.eu.int/comm/culture/eac/sources_info/evaluation/evaluation_en.html

Evaluation of the Intervention Logic for Grants to Study and Research Centres (budget line ex A-3022)

Name of the programme(s)/activity(ies) concerned: Support of activities and organisms active on European level in the field of education

Number of the ABB activity(ies) concerned: 15 02 01

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	05/2002 - 12/2003	P. Martinez Macias	External

Purpose of evaluation

Main purpose of the evaluation was to assess the visibility, effectiveness, activities and results of the subsidies granted to Study and Research Centres.

Summary of findings and recommendations

- Regarding the **justification of the 'intervention'**, the academic environments having taken part in the projects consider the financial support very important because the subjects of European integration remain still relatively little known in the academic world. The interventions financed from the budget line also contributed to inter-University cooperation and to the development of research projects on European integration. Most projects would have had problems to take place in the absence of Community support, or they would have been developed with a lower impact and quality. Beneficiaries pointed out that the projects submitted following call for proposals respond to existing needs and to previously identified ideas and for which universities need external financial resources. The analysis of projects and questionnaires that were sent to the beneficiaries showed the advantages and the added value of the financial support:
 - Encouragement of scientific participation to the debates on European integration;
 - Approach and supra-national perspectives for the issues treated by the projects;
 - Support of projects developed by networks;
 - Support for the participation of young researchers within the activities regarding European integration;
 - Dissemination of knowledge and increased sensitivity regarding the European Union outside of it;
 - Reinforced credibility of events and treatment of subjects related to the European integration thanks to the development of activities of higher quality with the participation of experts and professors of several universities.
- As **results and their sustainability**, from a geographical point of view, the Mediterranean countries (Italy and Spain) were the most active ones. Nevertheless, other EU countries (Germany, France and the United Kingdom) are represented as well. 825 universities were counted as participating in the selected projects over the period 1997-2001. The most important uptake took place in the academic world and, to a smaller extent, in the business sector but much less in other areas of the civil society. Three quarters of the selected projects were related to teaching. The average number of people reached by the projects is estimated at 175 (direct participants in the activities, beneficiaries of the publications or visitors of sites that were created during the project). English was the first language used in the projects, but it should be pointed out that languages of accession countries were also used. Despite the deadlines imposed on the projects for budgetary reasons (one year), a large number of network partners stated that they continued along with the activities after the period covered by the support.
- Regarding **effectiveness and efficiency**, it was mainly supported by academic structures already operating, familiar with networking, and that with a big capacity for calling participants within a short period. The administrative deadlines imposed by the financial year for the EU budget sometimes have a negative impact on the effectiveness of the projects. The relationship between beneficiaries and Commission departments is considered rather satisfactory but the people responsible for the projects supported perceived a lack of resources on behalf of the Commission. The administrative and financial rules are not regarded as being a source of difficulty impossible to overcome. During the period of evaluation, the budget line A-3022 supported projects accounting for an amount of approximately 5 million euros. The difference between the amount of the required subsidy and the amount of the support actually granted may raise some doubts regarding the sustainability of projects.
- The following **recommendations** are made in the evaluation:
 - As for the call for proposals: Increase the duration of validity for presenting proposals and respect of the deadlines for selection and approval of the projects.
 - Regarding the monitoring of the projects: A model for the final report and for the final financial accounting that are understandable for the beneficiaries. This would ease the relations with the Commission as well monitoring and evaluation.

- Regarding the visibility of the budget line: Creation of a data base with the summary of projects and even with certain products obtained as result of concrete projects.
- The dissemination of results of supported activities in the sphere of universities in other spheres of the civil society should be encouraged.
- The cooperation between the Community universities and universities of third countries, emerging already in the projects evaluated should be reinforced.

Main evaluation methods and data used

Desk research – Field studies with interviews, surveys – Primary data from interviews, surveys, etc.

Action taken / follow-up planned

Actions will be taken according to DG EAC internal evaluation follow-up procedures. A “service document” will be drafted by the service responsible for the evaluation project. The “service document” will contain information on possible actions to be taken on the basis of the evaluation recommendations and conclusions as well as the follow-up planned. Progress made on the planned follow-up will be monitored.

Availability of the report

Paper or electronic copy available on request from: P. Martinez Macias (DG EAC).

Ex post Evaluation of TEMPUS II bis and Mid-term Evaluation of TEMPUS III

Name of the programme(s)/activity(ies) concerned: General and higher education; Relations with Eastern Europe, Caucasus, and Central Asian Republics; Relations with Western Balkans; Relations with the Middle East and South Mediterranean; Pre-accession assistance instruments

Number of the ABB activity(ies) concerned: 15 02 02; 19 06; 19 07; 19 08; 22 02

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post/Intermediate	10/2002 - 12/2003	A. Gonzalez Hernandez	external

Purpose of evaluation

The ex post evaluation of TEMPUS II bis is focusing on the impact of the programme, while the mid-term evaluation of TEMPUS III programme with the view to generating improvements and recommendations for the future. The findings of both evaluations will feed in the interim report to be submitted by the Commission, by 30/04/2004 at latest, to the European Parliament and the Council according to Article 12 of Decision 1999/311/CE. Furthermore, the findings will be used to support a Commission proposal for the post-2006 cooperation programme with Third countries in the field of education.

Summary of findings and recommendations

The findings related to TEMPUS II bis are:

- **Contribution to legislation:** Basic legislative reforms affecting higher education were completed in most eligible countries before the start of Tempus II, and Tempus projects have in general not directly aimed for adaptation or creation of legislation. Nevertheless, a substantial part of the partners involved in Tempus and, even more so, the higher education authorities perceive clear cause-effect relations between Tempus and legislative changes related to, amongst other things: national, regional and international student mobility and new management and accreditation structures. The consensus found is that Tempus has had a major indirect impact, through awareness-raising and networking on the issues involved. Tempus has been important for sensitising policy makers and senior academics. This finding is valid for both the PHARE and TACIS experience in the second phase of the Tempus programme. In the CARDS countries, the consensus is that there has so far been virtually no influence beyond faculty level. This last can be explained by the large autonomy that faculties traditionally have in the CARDS area.
- **Curriculum development and overhaul in priority areas:** In *all* the eligible countries, the Tempus partnership model of universities co-operation has been successful in addressing the needs of higher education institutions for curriculum development and overhaul in priority areas. With respect to this specific objective of the programme, the second phase of Tempus has had a major direct impact on training people who will shape the higher education environment for decades to come, and on providing students with the skills and qualifications needed for employment purposes and career development.
- **Reform of higher education structures and institutions and their management:** In the candidate countries, the vast majority of higher education institutions have directly or indirectly been affected by the programme and an extensive network of contacts with EU institutions has been built up. Tempus has had a major direct impact on preparing the higher education institutions in the ten acceding countries and have paved the way for further university co-operation in the EU higher education programmes: Socrates and Leonardo. Tempus, furthermore, is perceived by the participants and by the competent higher education authorities to have had an important indirect impact on legislative reforms and building up organisational capacity for working within the new legislative frameworks.
- **Institution building and specific training and linkages with industry:** The development of skill-related training to address specific higher and advanced level skill shortages during economic reform, in particular through improved and extended links with industry is listed in the Council decisions as the third specific objective for the second phase of the Tempus programme.

The **findings related to TEMPUS III** are:

- **Programme relevance:** TEMPUS III is a relevant programme for the participating countries (including the EU itself). Tempus II has demonstrated its value in the past in the PHARE, TACIS and CARDS areas, and it can be expected to be equally relevant and successful in the MEDA countries.
- **The multilateral model and added-value:** The multilateral model of co-operation between higher education institutions in the EC and eligible countries works well. The calls for proposals generate sufficient proposals to select good quality projects. Tempus projects with a regional orientation are perceived in the field as an important opportunity for promoting cultural and social ties, and the application rounds of 2001 and 2002 demonstrate the keen interest for this in the CARDS and TACIS area (for the MEDA region, this information was not available at the time of writing).
- **National priorities and regional cooperation:** The national priorities provide a valid instrument to the higher education authorities and other participants which in principle can be used to ensure that the applicants and the selection process gets an orientation towards issues which have a strategic relevance beyond the level of the individual applicants. Tempus projects with a regional orientation are perceived in the field as an important opportunity for promoting cultural and social ties, and the application rounds of 2001 and 2002 demonstrate the keen interest for this in the CARDS and TACIS area (again, for the MEDA region, this information was not available at the time of writing).
- **Management approaches and instruments:** The current centralised set up of the selection process has worked satisfactory so far. The strong points of the Tempus selection process include the academic assessment, which provides a fair and transparent approach towards identifying the individual merits of projects and ranking them. A weak point of the process is that the assessors have little feedback from Tempus experience, thus the exercise remains rather academic. Another limitation is that the current process is not set up to compare the relative merits of one project versus another in the wider context of the higher education reform needs of the eligible countries and the same goes for the regional projects. This last point implies that the final selection may contain high quality projects, which nevertheless not all are perceived as the most relevant by the recognised the stakeholders in the eligible countries. This shortcoming, which emerged after the results of the last selection round became known (end of June 2003) could be rectified by strengthening the element of relevance assessment, based on strong on the ground insight into the local and regional higher education conditions.

The following **recommendations** are made:

- The value of the national priorities can be increased if the national education authorities adopt a transparent consultation process, in which the higher education institutions, employer organisations and the key ministries as well as education experts are asked to indicate how they see the national priorities for Tempus. The National Tempus Offices (NTO) could be given the task of supporting the Ministry of Education in the organisation of this process.
- The usefulness of the national priorities could be further increased by specifying the priorities as horizontal education issues, rather than as list of vertical academic specialization's (i.e. teacher training, two cycle degrees, ECTS, quality assurance systems, university-industry-civil society partnerships, lifelong learning).
- The management approaches for the application, financing and selection of regional projects can be improved to better match the demand for these projects and to increase the chance that high quality projects are indeed selected on merit. This requires more financial flexibility.
- The formulation process of regional priorities for higher education, endorsed by all education Ministers in the region would be a highly challenging one. The idea has considerable appeal for its potential policy relevance, at the same time it is difficult to see how such priorities could in real content go much beyond the level of common policy orientations, as already formulated in the Tempus III guides for applicants. Therefore the evaluation team recommends that the Commission further explores the merits of regional priorities in their contacts with the partner countries, with the NTOs and in the context of existing consultation processes.
- The renewal and reorientation of Tempus should not distract the programme from what its multilateral model of university co-operation does best: promoting mobility, exchanges and innovation of study programmes and curricula. The participants of the evaluation workshops all shared the view that the Curriculum development was the key priority in their countries. University management and Structural and comprehensive measures should be built into the project design rather than addressing them with separate projects.
- Consider providing more technical support for improving the average quality of the applications. Independent experts involved in the assessing the "academic merits" of the applications have commented on the scope for quality improvement especially by more attention for: (1) the change management process envisaged for embedding the envisaged JEP results in university structures; (b) the specification of the teacher and student training results; and (c) the dissemination plan, and (d) consultations with the HEA in the countries involved. During the Brussels workshop the NTOs expressed that they saw such support as a task for them.

Main evaluation methods and data used

Desk research - Field studies with: Surveys, Focus groups - Primary data from interviews, surveys, etc - Secondary data from: Monitoring system, Literature/experts - Expert panels

Action taken / follow-up planned

The findings of the evaluation projects will be taken into account for the preparation of the new cooperation programme with Third countries in the field of education (2007-2013). With respect to the current programme, actions will be taken according to DG EAC internal evaluation follow-up procedures. A "service document" will be drafted by the service responsible for the evaluation project. The "service document" will contain information on possible actions to be taken on the basis of the evaluation recommendations and conclusions as well as the follow-up planned. Progress made on the planned follow-up will be monitored.

Availability of the report

Published at: http://europa.eu.int/comm/education/programmes/evaluation/evaluation_en.html

(See also at: <http://www.eac.cec/evaluation/resultats/education.html#TEMPUS-II>

and <http://www.eac.cec/evaluation/resultats/education.html#TEMPUS-III>)

Evaluation of the Impact of School Partnerships (SOCRATES/COMENIUS I)

Name of the programme(s)/activity(ies) concerned: General and higher education

Number of the ABB activity(ies) concerned: 15 02 02

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	12/2002 - 12/2003	F. Perotto	External

Purpose of evaluation

The evaluation project has been launched pursuant Article 14 of Decision 253/2000/CE, establishing the second phase of the Socrates programme, whereby the Commission is required to regularly monitor and evaluate the programme in co-operation with Member States. The findings will feed into the interim evaluation report on the results achieved and on the programme implementation, which the Commission is expected to present early in 2004. Furthermore, it will support a Commission Communication on the continuation of the programme after 2006 and be used for the Commission's ex post evaluation report on the second phase of Socrates programme, due by 31/12/2007.

Summary of findings and recommendations

The main conclusions are:

- **Overview:** The programme is generally seen as being highly effective in producing positive learning outcomes for teachers and pupils and important in terms of helping to introduce methodological innovation in teaching and learning. The sub-action is also seen as critical in helping to reinforce the European dimension in education and stimulating increased use of information and communication technology as well as interest in and motivation to learn European languages.
- **Efficiency of Management:** There had been a tangible improvement in how COMENIUS 1 was administered at central level during the last two years. There were more now rapid response times to queries and greater efficiency in allocating funds to National Agencies, in order to ensure that approval of applications and contract signatures could be completed on time. There was a greater input into decisions made by the Commission, particularly those that affected the management and operation of COMENIUS 1. Problems remained in relation to funding inequalities between different project partners (and restrictions on the uses to which funding can be put), often different in the various partner countries. It seems likely that the benefits of COMENIUS 1 (many of them intangible and therefore difficult to quantify) were disproportionately high compared with financial inputs. In this regard, COMENIUS 1 has been highly cost-effective.
- **Effectiveness:** The picture was favourable, although there were difficulties in assessing project quality due to the lack of a more systematic approach to evaluation. Whilst it was relatively straightforward to assess the effectiveness of COMENIUS 1 from a quantitative viewpoint, it was much more difficult to assess effectiveness from a qualitative perspective. Amongst the main benefits cited by participants were the cross-fertilisation of ideas, the transfer of educational good practices and the adoption of innovative methodological approaches, the enhanced use of ICT and greatly increased motivation to learn foreign languages.
- **Relevance and Utility:** The types of activities and thematic priority areas supported under COMENIUS 1 were viewed as highly relevant by participant schools. COMENIUS 1 is generally perceived as relevant to the wider school curriculum, although the extent to which this was perceived to be true varied considerably between eligible countries. The thematic priority areas identified in Commission guidelines (e.g. ethnic minorities, disabilities, fostering methodological innovation etc.) were deemed 'extremely relevant' by schools. Whilst COMENIUS 1 objectives may have been relevant and many projects highly effective, better tools are needed for examining the effect on changing pupils' perceptions and making them genuinely open to other cultures.

The following recommendations are made:

- Regarding **efficiency:** It would seem essential that the Commission urgently review its practice in terms of the reporting function of National Agencies, which currently appears too onerous and time-consuming. The Commission should also increase the opportunities for National Agencies to work in co-operation and arrive at collective solutions to problems with the operation of the Sub-Action. Simplifying administrative procedures relating to project application is a matter of urgency.
- On **effectiveness:** National Agencies should agree on a joint definition of what constitutes good practice in projects so that, firstly, the appraisal and selection process can become more transparent and visibly fairer and that, secondly, projects can be evaluated on a consistent basis. Ideally, a common application form should be introduced for

partnerships and submitted to the National Agency of the co-ordinator school for acceptance or rejection of the project as a whole. In order to achieve high quality in projects and overcome the problem of the COMENIUS 'learning curve', it is vital to arrive at consistently effective methods of disseminating good practice, which exists in abundance.

- Regarding **relevance and utility**: COMENIUS 1 projects were judged as highly relevant to educational issues. However, it is vital to give schools access both to expertise available at a local or regional level and to sources of good practice.

Main evaluation methods and data used

Concept mapping - SWOT analysis - Desk research - Field studies with: Interviews, Surveys - Primary data from interviews, surveys, etc - Secondary data from: Monitoring system

Action taken / follow-up planned

The findings of the evaluation will be taken into account in the preparation of the new programme in the field of Life-long Learning (2007-2013). With respect to the current programme, actions will be taken according to DG EAC internal evaluation follow-up procedures. A "service document" will be drafted by the service responsible for the evaluation project. The "service document" will contain information on possible actions to taken on the basis of the evaluation recommendations and conclusions as well as the follow-up planned. Progress made on the planned follow-up will be monitored.

Availability of the report

Published at: <http://www.eac.cec/evaluation/resultats/i/education/2004/comenius1-interim-final.pdf> (A paper or electronic copy is available on request from: F. Perotto (DG EAC).)

Evaluation of Projects and Mobility actions (SOCRATES/COMENIUS 2)

Name of the programme(s)/activity(ies) concerned: General and higher education

Number of the ABB activity(ies) concerned: 15 02 02

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate/ex post	12/2002 - 12/2003	F. Perotto	External

Purpose of evaluation

The evaluation has been launched pursuant Article 14 of Decision 253/2000/CE, establishing the second phase of the Socrates programme, whereby the Commission is required to regularly monitor and evaluate the programme in co-operation with Member States. It will feed into the interim evaluation report on the results achieved and on the programme implementation, which the Commission is expected to present early in 2004. Furthermore, it will support a Commission Communication on the continuation of the programme after 2006 and be used for the Commission's ex post evaluation report on the second phase of Socrates programme, due by 31/12/2007.

Summary of findings and recommendations

- Globally, the effectiveness of the COMENIUS is rather good, although there are big discrepancies according to the different objectives set. The assessment of the action's effectiveness is made difficult by the lack of quantified objectives other than budgetary ones and the very globally objectives as mentioned in Decision 253/2000/CE establishing the SOCRATES programme. Nevertheless, previous analyses allowed a conclusion on the overall achievement of the different objectives.
- Structural improvements are necessary for the COMENIUS action. In particular, a more explicit and well formalised strategy should be defined. The links with other SOCRATES actions and, in particular, the LEONARDO DA VINCI programme should also be developed.
- The objectives of the action absolutely need to be clarified and quantified: Number of projects, number of beneficiaries, type of projects, characteristics of the beneficiaries targeted (x% of each type, etc.), areas of intervention (sectors and priority domains). By the way, the ambition of these objectives should be in proportion to the means allocated to it.
- The definition of the target population and the areas of intervention should be subject of serious reflections and global approaches especially to fix priorities: Target groups should be explicit. The definition of targets could be preceded by an action aimed at precisely making known the coordinators, partners and actual beneficiaries, their respective expectations and degree of satisfaction vis-à-vis of the activities and measures developed by the action.
- It is absolutely necessary to reinforce the intervention logic and to intensify the relations between COMENIUS 2 with other SOCRATES actions and, in particular, with the programme LEONARDO DA VINCI as far as vocational training is concerned.

Main evaluation methods and data used

Concept mapping - Desk research - Field studies with: Surveys - Primary data from interviews, surveys, etc. - Secondary data from: Monitoring system

Action taken / follow-up planned

The findings of the evaluation will be taken into account for the preparation of a new programme in the field of Life-long Learning (2007-2013). With respect to the current programme, actions will be taken according to DG EAC internal evaluation follow-up procedures. A "service document" will be drafted by the service responsible for the evaluation project. The "service document" will contain information on possible actions to be taken on the basis of the evaluation recommendations and conclusions as well as the follow-up planned. Progress made on the planned follow-up will be monitored.

Availability of the report

Published at: <http://www.eac.cec/evaluation/resultats/education.html#Comenius2> (A paper or electronic copy available on request from: F. Perotto (DG EAC).)

Intermediate Evaluation of the YOUTH Programme

Name of the programme(s)/activity(ies) concerned: Youth

Number of the ABB activity(ies) concerned: 15 07

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	01/2003 - 12/2003	V. Guerreiro	Internal

Purpose of evaluation

The evaluation has been carried out according to Article 13 of Decision 1031/2000/CE requiring monitoring and evaluation of the Youth programme. It has been anticipated by one year, in agreement with the Member States, so that the Commission is able to take into account findings and recommendations at the moment when it prepares the presentation of a proposal for a new legal base establishing the next generation of programmes in the field of Youth. The results will also be used for possible adjustments of the currently running Youth programme.

Summary of findings and recommendations

Findings

The evaluation of the YOUTH programme is generally positive. The programme's aims will in all probability be achieved if it continues on track.

Programme management: The main questions centre on improving the transparency and coherence of procedures, particularly for the selection of trans-national projects, the simplicity and flexibility of those procedures and the need to bring the programme closer to beneficiaries by supporting them in preparing their projects. Resolving these difficulties is of particular importance, as these questions are linked to access to the programme and are a potential source of frustration or incomprehension. The evaluation of projects, feedback of information to beneficiaries and the recognition that the EU can give to the activities carried out are also seen as positive elements for the programme.

Action 1: Programme objectives have been achieved and the action is operating satisfactorily. This action plays a particularly important role in the context of the programme as it is the one with the highest number of beneficiaries. It provides a significant European added value through its multilateral exchanges and its impact on young people with fewer opportunities and on small organisations. One of the main comments concerning the exchanges of young people is the need to continue to improve the quality of projects, particularly by having the National Agencies play a more important supporting role. Another important aspect identified is the desire on the part of the players concerned to be able to factor the preparatory phase into the length of the project, and to have a phase for taking stock of achievements.

Action 2 is also functioning satisfactorily. The main comments highlighted relate to the willingness to improve the quality of projects and procedures and to increase accessibility to the service for young volunteers. Questions linked to the recognition of experience acquired by young volunteers under the programme, or to the need to remove obstacles to mobility for volunteers, are of particular importance in developing the action. However, these two aspects are not directly linked to the implementation of the programme, but are determined by the context within which the action is implemented. These questions will only be resolved in part with assistance from other fields such as education and internal affairs.

Action 3 presents three distinct strands: group initiatives, networking projects and Future Capital. The first two measures are complementary, as the first enables young people to create their own projects and the second gives them a European dimension. These measures also complement the programme as a whole because they have shown their capacity for creating structures in the field to enable the development of non-formal education activities for young people, drawing particular inspiration from the priorities defined by the White Paper on Youth. From this point of view the action is sufficiently flexible to enable the implementation of projects in phase with the most recent developments in political cooperation. As far as Future Capital is concerned, the results are not as good. This measure, intended primarily to enable young people to implement projects following their participation in voluntary service, should probably be better integrated with the follow-up to EVS.

The evaluation of **Action 4** highlighted the difficulties arising from implementation. Without calling into question the merits of actions establishing bridges between the fields of education, training and youth, and although the reduced number of projects approved to date does not yet make it possible to validate this type of action, it turns out that action 4 suffers from tripartite management, which involves particularly complex procedures. The results of the evaluation should therefore lead us to an in-depth discussion of alternative methods of implementing multi-disciplinary measures.

Action 5 is intended to support the quality of youth organisations, in particular through training and networking measures, promote cooperation activities within the youth field and implement innovative pilot projects. The evaluation shows that the programme's objectives in this field have been achieved and that this action is relevant to the creation of a favourable environment for the development of youth activities in general and the programme in particular. Improvements to this action should in particular enable it to provide support for all the actions under the programme and to play a more important role in highlighting them through profile-raising measures and the dissemination of good practice.

The achievement of programme objectives with regard to **third countries** is confirmed by the evaluation. One of the main points to which attention is drawn relates to access for the programme to new geographical areas. This shows on the one hand that the action is operating satisfactorily, but also that there is a demand for strengthening it. This aspect is also highlighted by the willingness to raise the profile of these actions both within and outside the programme. One of the difficulties identified for the "third countries" action, and one which is similar to that facing action 2, relates to the obstacles to mobility for beneficiaries, particularly with regard to obtaining visas or residence permits.

Main cross-cutting recommendations

- The age limits for access to the programme should be adjusted up or down.
- Young people with fewer opportunities should be the programme's main target group, and it should be more closely adapted to their needs.
- Measures to assist in the preparation of projects should be strengthened.
- As obstacles to mobility hinder the implementation of the programme, appropriate remedial measures should be taken, especially in order to facilitate the obtaining of visas by beneficiaries of the programme.

Main evaluation methods and data used

Field studies with: Focus groups - Secondary data from: Monitoring system - Other: Reports submitted by Member States on the impact of actions 1, 2, 3, 5 of the YOUTH programme; external evaluation of the Third country co-operation (action 4)

Action taken / follow-up planned

The findings of the evaluation will be taken into account in the preparation of the new programme in the field of Youth. With respect to the current programme, action will be taken according to DG EAC internal evaluation follow-up procedures. A "service document" will be drafted by the services responsible for the evaluation project. The "service document" will describe the action that will be taken in response to the evaluation recommendations and conclusions, as well as the follow-up planned. Progress made on the planned follow-up will be monitored. In this respect, a working-group for the follow-up of the recommendations will be established in 2004.

Availability of the report

Published at: http://europa.eu.int/comm/youth/program/evaluation_en.html

Mid-term Evaluation of the SOCRATES II Programme (2000-2006)

Name of the programme(s)/activity(ies) concerned: General and higher education

Number of the ABB activity(ies) concerned: 15 02 02

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	01/2003 - 12/2003	M. Schuller	Internal

Purpose of evaluation

According to Article 14 of Decision No. 253/2000/CE, establishing the second phase of the SOCRATES programme, the Commission is required to regularly monitor and evaluate the program in co-operation with Member States. According to it, the Commission has to submit early in 2004 an interim evaluation report on the results achieved and on the programme implementation. Furthermore, the evaluation will support a Commission proposal for a programme after the year 2006 in the field of education. Furthermore the results of the evaluation will also be used for the Commission's ex post evaluation report on the second phase of SOCRATES programme, due by 31/12/2007. This internal evaluation is mainly a meta-evaluation using reports submitted by Member States and findings of external evaluations of SOCRATES programme actions.

Summary of findings and recommendations

- Concerning the **relevance** of the programme, the priorities and the political objectives defined at Community level are reflected in the objectives of the programme. They concern mainly the concepts connected with the principle of education and lifelong learning and the requirement for quality of the education systems in order to promote a knowledge-based European society that is world-wide competitive. The relatively flexible definition of the programme made it possible to incorporate subsequently several emerging priorities. The most concrete and practical needs are also taken into account in the programme, as follows: knowledge about other education systems, sharing of pedagogical experience, creation of appropriate tools to achieve the trans-national aims of education policy, support for national policies. These various needs justify the diversity of activities proposed by the programme. The limits of the evaluation are linked, on the one hand, to a lack of 'evaluability' of the programme due to an insufficient hierarchical construction of the objectives and of indicators attributed to them and, on the other hand, to the too tight character of the programme and its actions in relation to other programmes. The absence of a link between vocational training and education is often quoted as one of the major structural weaknesses of the two programmes concerned.

Proposal for the future programme: The incorporation of the broad Community political objectives concerning education and training should be reinforced. The flexibility, already appreciated within the framework of SOCRATES 2, should be even more strengthened in order to allow incorporating the developments that will necessarily intervene from now until the end of a new programme (most likely 20013). The architecture of the programme should be simple so that each actor within the area of education can easily and without ambiguity identify the action that responds to its needs.

- As for **efficiency**, i.e. the relationship between inputs (in particular financial resources) and achievements, the programme is judged as very good. A considerable number of activities of small or average dimension could be carried out. The wide diversity of achievements allows a broad coverage of the education area. Moreover, the distribution of beneficiaries across 30 participating countries is very satisfactory, ensuring a real European dimension. Regarding the management, it has to be noted that more rigorous procedures at all levels (individual projects, management structures in Member States and the Commission) are already applied, starting from more systematic information on the programme, more accurate selection of projects, improved administrative and financial management, and more systematic monitoring, audit and evaluation. The higher decentralisation of the management of certain actions was accompanied by closer field contacts and by a simplified procedure for users, as unanimously revealed by the national reports expressing a clear preference for this management method. However, the efficiency is clearly lower when the procedures are put into relation with the nature of the majority of activities: in this context, the term 'bureaucracy' is recurrent. The cost in terms of human resources for management and monitoring of the activities is very high, both at the level of projects and that programme management structures. Users consider the volume of information requested for introducing a proposal and for reporting as exaggerated; there is a risk of a split into a group of regular participants that are familiar with the procedures and those failing when presenting proposals, which would reduce in fact extending the programme and its impacts by preventing participation of newcomers. Tight deadlines, all the stages of the procedure, are also criticized, even if the situation has improved since the start of SOCRATES 2. By the way, the absence of a performing IT management tool is deplored, but the soon use of SYMMETRY should solve this problem.

Proposal for the future programme: The effort for lighter procedures should continue during the current programme and has to be fully integrated when preparing the next one. This means in particular a better consideration of the proportionality principle when applying the Financial Regulation.

- Regarding **effectiveness**, the programme, as a whole, achieved its general objectives within the limits of the means allocated. However, the effectiveness is different when looking at the different types of activities. For the mobility activities, effectiveness is very good. The results are very largely appreciated by the beneficiaries. The European added-value is strong, in terms of awareness about cultural diversity and a better understanding and tolerance of differences. Benefits in terms of better employment chances are likely and they are certain in terms of professional skills. The mobility of teachers or instructors, perceived as being very desirable for all categories of personnel, is however not as high as it could be. Obstacles are mainly outside the programme itself: they are linked to national structures or to the functioning of organizations and, to a lesser extent, to insufficient knowledge of languages. The effectiveness is also good for inter-institutional cooperative efforts. School partnerships and those of adult training bodies proved their value, as well as trans-national cooperation projects. Their quality has increased, partly in relationship with better information and improved selection procedures and monitoring of projects. Networks also found their place, some after a redefinition of their objectives and specific characteristics during the programme. They constitute a unique platform for exchange of experiences and analysis among a very large range of European institutions. On the other hand, the effectiveness of the programme lacks expectations when the visibility and the dissemination of results are examined. The initiatives taken in this regard cannot be considered as satisfactory when looking at the immediate effects and the long-term of the programme, even if they confirm the awareness of the Commission about these important aspects. Finally, even if it is not possible at this stage to measure the impact of the programme, several converging opinions express doubts about the capacity of a programme such as SOCRATES to influence, as it aimed, in a distinguished way the education systems. Not owing to the creation of the programme itself, but for questions of scale: its budget quantitatively limits its capacity to penetrate the European educational area. This major reason is combined with some minor, intrinsic reasons.

Proposal for the future programme: In order to contribute to better effectiveness of the programme, the Commission should propose to the actors a methodology and a basis for the dissemination of results. The participation of the national authorities will prove essential concerning results that directly linked to the broad objectives of the European Union for education and training, especially in the context of the open method of coordination. At the level of project design, wider participation of teachers inside each partner institution would guarantee a better settlement of the project in the normal activity of the organisations involved. In the same way, the extension of certain partnerships, for projects where the objectives have a potential impact on the systems, would strengthen impacts. In order to meet the expectation of the countries participating, a new programme should put a strong emphasis on activities with the aim supporting European political priorities.

Main evaluation methods and data used:

Meta-evaluation on the basis of reports submitted by Member States and using findings of external evaluations of SOCRATES programme actions

Action taken / follow-up planned

The findings of the evaluation will be taken into account for the preparation of a new programme in the field of Life-long Learning (2007-2013). With respect to the current programme, actions will be taken according to DG EAC internal evaluation follow-up procedures. A "service document" will be drafted by the service responsible for the evaluation project. The "service document" will contain information on possible actions to be taken on the basis of the evaluation recommendations and conclusions as well as the follow-up planned. Progress made on the planned follow-up will be monitored.

Availability of the report

Published at: http://europa.eu.int/comm/education/programmes/evaluation/evaluation_en.html

5. EMPLOYMENT AND SOCIAL AFFAIRS

Evaluation of Local Social Capital Pilot projects under Article 6 ESF

Name of the programme(s)/activity(ies) concerned: Employment and European Social Fund

Number of the ABB activity(ies) concerned: 04 02

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	01/2000 - 03/2003	A. Zoric	External

Purpose of evaluation

The purpose of the evaluation was to provide an external and independent judgement on the contribution of innovative actions financed in the field of Local Social Capital (LSC) under Article 6 of the ESF Regulation.

In 1998, the Commission launched a pilot action to help facilitate access to ESF support for people suffering social exclusion and for the groups that work for their social and professional inclusion. The pilot started in autumn 1999 and ended in 2002. The main feature of the pilot action was the experimentation with the use of NGO-led intermediary bodies entrusted with the management of a global grant. The Intermediary Bodies (IB) provided support to micro-projects (MPs) through a combination of (i) outreach, project development and operational support from the IB and (ii) a micro-grant of a maximum of € 10 000. Three types of micro-projects were supported: social inclusion (MP1), local networks (MP2) and micro enterprise start ups (MP3).

The pilot was the opportunity to test such a decentralised local approach and to explore the relevance of building Local Social Capital to employment and social cohesion interventions with a view to establish guidelines and best practices which will be useful to the Member States in the application of Article 4.2 of the ESF Regulation.

Summary of findings and recommendations

Though the pilot 30 Intermediary Bodies (IB) operated across the EU with ESF financing equal to € 25 million. 3350 micro-projects were supported. Each micro-project received € 8000 on average.

The LSC pilot has reached a wide range of excluded people that were unlikely to benefit from other types of support. The groups supported included immigrants, refugees, women, young people, the disabled and those with multiple disadvantages. Those that participated in micro-projects attained positive outcomes both in terms of social inclusion (personal and social development) and employment (labour market outcomes, sustainable businesses and resulting further job creation).

The positive results of LSC suggest that this may be a very effective approach to problems of employment and social inclusion. In the context of increasing decentralisation and empowerment of local and regional actors, the LSC model could be produce results based on autonomy within an overall framework.

According to the evaluation, the **key factors for the success of the LSC approach are:**

- The high degree of discretion of the IB, which allowed adaptability of its method of operation to local conditions, needs and characteristics of target groups and problems it aimed to address.
- The internal (cohesion and capacity of the partnership) and external (in particular its delivery strategy) characteristics of the partnership.
- The non-monetary aspect of support (support at the various stages), which was generally as important as the monetary aspect itself. Just providing small grants would not have worked. The provision of small amounts of funding and quick dispersal (and monthly payments) was a very good approach for starting initiatives with most disadvantaged groups.
- Combination of a substantial capacity (possibly through a strong lead-partner) with a highly participative approach ("interaction with the territory" and active local partners if the lead partner was based outside the project area). Traditional forms of publicity were not enough to reach disadvantaged people. Direct contact with target groups was a key factor for effective publicity and promotion.

The evaluators make a number of **recommendations** with a view to the application of the Article 4.2 of the ESF Regulation:

- Targeting well defined groups and intervening in small areas;
- The managerial and financial autonomy of the Intermediary Bodies is an important factor of success;

- Partnership they should aim to be participative, active, and learn from experience ;
- Traditional forms of publicity are not sufficient to reach disadvantaged people and need to be supplemented with direct contact with target groups;
- Intermediary Bodies need to operate a firewall approach shielding micro-projects and individual participants from the full financial management requirements;
- Micro-projects should be supported actively, but financing should remain limited and flexible in its scope. The non-monetary aspects of support are crucial.

Main evaluation methods and data used

Desk research - Field studies with: Surveys, Direct observation - Primary data from interviews, surveys, etc - Literature/experts – Other: Project self-evaluation

Action taken / follow-up planned

The conclusions have been presented and discussed in the ESF Committee. The report has been made available on the Web and a wide range of stakeholders has been notified of the publication of the report.

Availability of the report

Published at: http://europa.eu.int/comm/employment_social/evaluation/evaluation_news_en.htm

Evaluation of the Actions undertaken as preparation for Implementation of a Programme to combat discrimination

Name of the programme(s)/activity(ies) concerned: Promoting an inclusive society

Number of the ABB activity(ies) concerned: 04 04

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	11/2001 - 03/2003	S. Finné	External

Purpose of evaluation

The aim of the measures evaluated is to prepare the implementation of a Programme to combat discrimination in accordance with Article 13 of the Treaty. Two waves of preparatory actions have been financed. In 1999, 15 projects were financed for a budget of € 3 million. In 2000, 33 trans-national projects have been supported up to a maximum amount of € 7 million. The aim was to develop a knowledge-base concerning anti-discriminatory practices in general and combating multiple discrimination in particular. In 2000, each project was coordinated by a single responsible organisation and comprises partners from at least four Member States (local authorities, NGO's, research bodies, specialised agencies, etc). The partnerships were bound together by a trans-national protocol, implemented by a jointly adopted work programme, indicating the relevant priority areas and grounds for discrimination.

An evaluation of the first projects financed in 1999 was already completed in August 2001 (see page 80 of the Annual Evaluation Review 2001). The second evaluation concerns the projects financed in 2000 and aims to provide an external and independent judgement on the advisability and the feasibility of the approach chosen by the Commission for the programme supporting Article 13 of the Treaty. It evaluates the effectiveness of the horizontal approach, the mechanisms of implementation, the effectiveness of coordinated structures and of other administrative provisions. The evaluation has produced recommendations on these points for the Community action programme of fight against discrimination (2001-2006).

Summary of findings and recommendations

The most relevant **conclusions** from the evaluators are presented below:

- **Regarding the extent to what the selected projects do contribute to the promotion of *civil dialogue***
The civil dialogue did not shape the projects. Instead, different types of activities were afterwards reinterpreted as contributing to the civil dialogue. In spite of the fact that a fairly large number of key actors have been reached, the contribution is at best indirect and is limited. The experience with 'mini-civil dialogues' at local level does demonstrate a potential for developing relevant activities and can be used as relevant input for the Action Programme.
- **Regarding the *effectiveness of the horizontal approach in the field of anti-discrimination* and progress achieved in this field**
The introduction of the horizontal approach caused some lack of clarity among the different organisations working in the field of combating discrimination. After 2 years of experimentation, there is an increasing acceptance that the horizontal approach adds a perspective instead of replacing one. Organisations are now more willing and able to make a positive choice to use the horizontal approach as part of their overall strategy to combat discrimination. All stakeholders do agree that the horizontal approach is not a substitute for diversity-driven approaches. The horizontal approach can potentially contribute to the development of a knowledge-base on multiple discrimination. Actions explicitly targeted at the issue of multiple discrimination, however, were too limited in number and too short-lived for any significant contributions to be made.
- **Regarding the *relevance of the call for proposals* with respect to the further shaping of strand 2 of the Action Programme to Combat Discrimination and compared to the first round of projects**
The added value of the 2000 preparatory actions is mainly to be found in the learning that took place in relation to the conceptual framework. The learning concerning the conceptual framework is crucial to the further shaping of the Action Programme. It did not only serve the project partners in preparing themselves better for any involvement in the Action Programme, it also provided the Commission with relevant inputs concerning the need for a supportive framework accompanying the implementation of the Action Programme.

- Regarding the **question of how effective the delivery mechanisms set up by the Commission** (conditions and support created) **are with respect to the objective of the programme given the developments between the two years of preparatory measures and their subsequent changes**

The delivery mechanisms have evolved between the two calls for projects within the preparatory measures. In fact, some of the lessons learned from the 1999 projects have already been translated into the Action Programme itself. The effectiveness of the delivery mechanisms in general has increased.

Recommendations at programme level

- *Supporting capacity building through the development of a strategic framework:* The capacity building process currently takes place at the level of the individual project. In order to reach out to key actors not directly involved in one of the trans-national actions funded within the Action Programme, it is crucial that an additional strategy at programme level is set up.
- *Strengthening civil dialogue:* The process of civil dialogue formally takes place at European level. Within the trans-national projects so-called mini civil dialogues are being staged. Without extra support it is difficult to tap into the formal European level dialogue process. Moreover, the ability to attract relevant key actors and national, regional and local level would be greatly enhanced through 'European endorsement'. For this purpose a strategy needs to be developed at programme level.
- *Enhancing the trans-national learning process:* At the level of the individual project a trans-national learning process takes place. The scope of this learning could be widened and deepened considerably by linking the various projects on a thematic basis. For this purpose European level thematic working groups could be set up. They provide not only the necessary platform for a process of collaborate learning but could also help create joint models, tools and policy recommendations.

Main evaluation methods and data used

Desk research - Field studies with: Interviews and project site visits, e-mail surveys - Comparison with previous projects

Action taken / follow-up planned

The recommendations made in the final evaluation report, as well as those in the report relating to the 1999 actions, have been duly taken into account by the Commission services in so far that an important part were linked to a lack of preparation of the organisations when submitting their work programme proposals, reinforced by the strict application of deadlines by the Commission within the context of the procedures related to call for proposals, and the necessity to work at European level.

The new approach for the 2001 proposals is mainly characterised by a distinction of different steps. The first, preparatory step, covering 6 months and entitling for a grant of € 50 000, aims offering the possibility to the organisations selected to carefully prepare their project in partnership with the envisaged organisation within the other Member States. In fact, these 6 months serve in principle to better precise the underlying problem, to identify in cooperation with the other partners the objectives to be attained and to select partners potentially contributing to the realisation of these objectives. After this preparatory period, the organisations submit their "real" proposal for a subvention and, if selected by the Commission, receive a more appropriate amount for implementing the work programme and budget commonly defined by all members of the trans-national partnership.

This mechanism has shown positive effects on the quality of the work carried out by the trans-national partnerships, except that it created frustration with organisation finally not selected for the second phase. In the future, therefore, the Commission services will keep the two-step approach, but take into account that the first selection is done in such a way that the projects qualify, except in extra-ordinary circumstances, automatically for the second phase. '

The evaluation is followed by a mid-term evaluation of the Community Action Programme to combat discrimination that started in 2003 and expected to be completed by the mid of 2006.

Availability of the report

Paper or electronic copy available on request from: DG EMPL-G5

Evaluation of the practical implementation of national legislation transposing Health and Safety Directives

Name of the programme(s)/activity(ies) concerned: Work organisations and working conditions

Number of the ABB activity(ies) concerned: 04 03

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	06/2000 - 03/2003	J.R. Biosca de Sagastuy	External

Purpose of evaluation

Main purpose of the evaluation was to establish a Commission Communication addressed to the other EU Institutions on the practical application of the national legislation transposing Directives 89/391, 89/654, 89/655, 89/656, 90/269 and 90/270 in undertakings and public-sector bodies of the Member States.

Summary of findings and recommendations

The external evaluation draws conclusions from the application – and in some domains rather the lack of proper application – for Europe's health and safety legislation and its impact on the economy and society. The EU legislation reportedly has had a positive influence on the national standards for occupational health and safety. At the same time, the health and safety measures at the workplace are reported to have widely contributed towards improved working conditions, boosting productivity, competitiveness and employment.

Main evaluation methods and data used

Field studies with: Interviews, Focus groups, Direct observation - Primary data from interviews, surveys, etc - Statistical agencies - Case studies - Statistical analysis

Action taken / follow-up planned

The external evaluation constitutes the background, together with the internal input of DG EMPL-D4, for the preparation of the Commission's Communication on the practical application of the Health and Safety Directives: "Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of Regions on the practical implementation of the provisions of the Health and Safety at Work Directives 89/391 (Framework), 89/654 (Workplaces), 89/655 (Work Equipment), 89/656 (Personal Protective Equipment), 90/269 (Manual Handling of Loads) and 90/270 (Display Screen Equipment)" adopted on 5 February 2004 (COM (2004) 62).

Availability of the report

The evaluation report is not published since it was carried out for Commission internal use only. However, the Commission Communication that is planned will present its main findings. As official Commission document, the Communication will be published in all linguistic versions and made available on the web site of DG EMPL.

Evaluation of the Community Initiative EQUAL (2000-2006)

Name of the programme(s)/activity(ies) concerned: Employment and European Social Fund

Number of the ABB activity(ies) concerned: 04 02

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	09/2002 - 12/2005	A. Zito	External

Purpose of evaluation

The EU-wide evaluation of the Community Initiative EQUAL is focused on the first call for proposals of the programme period 2000-2005 and has three main objectives:

- To assess the rationale, the potential and initial impact of EQUAL as a testing ground to develop, validate and disseminate new ways of delivering employment and social inclusion policies for those seeking access to the labour market, those already within it or at work, and taking into account the particular needs of asylum-seekers.
- To identify and assess the added value of EQUAL to existing labour market policies and practice at national and EU level.
- To identify good and innovative practice in delivering employment policy, developed and tested under EQUAL with the potential to be mainstreamed into ESF programmes and the European Employment Strategy and relevant parts of the Social Inclusion Process.

The overall aim of EQUAL is to promote new means of combating all forms of discrimination and inequalities in connection with the labour market, through trans-national co-operation. The programme is funded by the European Social Fund for € 2, 847 million (2000-2006) and develops about 1 400 projects selected through the 15 Member States on the base of a first call for proposals. The planned share of EQUAL within ESF funding differs, however, between Member States (from 2% to 14%) and tends to be relatively more important in countries with a low share of Objective 1 funding. EQUAL operates in nine thematic fields based on the four pillars of the European Employment Strategy (EES), adding another priority addressing the specific needs of asylum seekers.

Summary of findings and recommendations

The evaluation is still on-going and the final evaluation report will be available at the end of the year 2005 only. However, some preliminary conclusions of the first interim report, based on 9 national evaluation reports as well as desk research, can already be reported:

- There is a spread of the EQUAL funding across the four pillars of the European Employment Strategy that is more even than in the ESF, with the exception of the Equal Opportunities pillar which is more important in EQUAL.
- The CIP priorities are consistent with current orientations of employment and social inclusion policies. In turn, the objectives and priorities of the Development partnerships, with the exception of some gaps in the Entrepreneurship and Asylum seekers themes, are also consistent with CIP diagnosis.
- There is a great variety of organisations involved in EQUAL. The management and implementation system of EQUAL is highly influenced by the degree of decentralisation of Member States.
- There are contradictory findings concerning the length of Action 1, perceived as either too long or too short, although the relevance is not questioned.
- There is a lack of common understanding of the EQUAL principles. Differences in timing and process are having a negative impact on the trans-nationality principle.

Main evaluation methods and data used

Desk research - Field studies with: Interviews, Focus groups, Direct observation – Secondary data from: Monitoring system - Case studies

Action taken / follow-up planned

The EU-wide evaluation of the first call of EQUAL will be used in the following way:

The immediate use of the mid-term evaluation will be to inform the European Commission's guidance to Member States in preparation for the second call for EQUAL. The evaluation will also provide input for the review of the ESF programmes at the beginning of 2004. The evaluation of EQUAL should indicate to what extent the EQUAL Initiative has managed to link EQUAL with mainstream ESF programmes and the political objectives pursued in the framework of the European Employment Strategy and with the EU support actions under Articles 13 and 137 of the Treaty. Finally, the evaluation will provide information and experience which can contribute to the further development of the European Employment guidelines and the Social Inclusion Process.

Availability of the report

The final report is not yet available (estimated completion date of the evaluation is December 2005).

6. ENERGY AND TRANSPORT

Ex ante Evaluation on the Externalisation of the “Intelligent Energy for Europe” Programme

Name of the programme(s)/activity(ies) concerned: Conventional and renewable energies

Number of the ABB activity(ies) concerned: 06 04

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	08/2002 – 01/2003	M. Perez Latorre	External

Purpose of evaluation

The evaluation study aims at determining whether externalisation would be economically beneficial and would better contribute to attaining the objectives of the future EU programme of Community action in the field of energy. The study has to take into account the factors that might positively or negatively influence effectiveness when shifting from internal to external management. It addresses the following questions:

- What are the key activities of the future “Intelligent Energy for Europe” Programme which may be externalised, and to what extent?
- What would be the most efficient arrangements for managing the externalised activities and tasks?
- Is externalisation cost-effective?

The study is intended to substantiate the policy decision regarding externalisation or not. If externalisation is the preferred choice, then this study should also support the management decision relating to which activities will be externalised and in which proportion.

Summary of findings and recommendations

For the cost-effectiveness assessment, It has been assumed that two organisational options are open for the strengthened programme management:

- An **in-house scenario** assuming that all staff, current and newly recruited, will work in DG TREN.
- An **externalisation scenario** with the creation of an Executive Agency that would have a staff partly through a number of transfers from DG TREN to the agency and partly through staff newly recruited. The main externalisation options considered are: (i) network(s) of national agencies, (ii) administrative and technical assistance, (iii) Executive Agency. The study concludes that all things considered, the latter option is preferable. This option is supported by the new Financial Regulation.

The key figures of the study are the following:

- The overall staff involved in the management should be of 68 people (composed by A, B and C grades). If the option of externalisation is taken, 38 people will be appointed for the staff in the Executive Agency and 30 people will be working in the staff of DG TREN.
- The cost comparison is for the period 2003-2006 (present value): € 29.01 million for the in-house scenario and € 27.72 million for the externalisation scenario (creation of the Executive Agency), of which € 15.66 million represent the costs for DG TREN and € 12.06 million are the cost for the Executive Agency.

Finally, the externalisation scenario has been chosen for different reasons:

- The recommended solution is the less costly.
- The Executive Agency should ensure the recruitment of energy specialists with project managers and financial managers, and consequently it will represent a guarantee of higher level of performance in implementing the new “Intelligent Energy for Europe” Programme, with a better quality.
- The flexibility for human resources management should warranty a better adequacy between required skills and staff competencies.

Overall, the future Executive Agency should have a technical profile with an aim to tighten the connections between the “Intelligent Energy for Europe” Programme and the communities of energy experts in the Member States.

Main evaluation methods and data used

Concept mapping - SWOT analysis – Field studies with: Focus groups, Direct observation - Primary data from interviews, surveys, etc – Comparison/control groups – Cost-effectiveness analysis

Action taken / follow-up planned

The results have been used as annex to the draft of the Commission Decision regarding the implementation of the Agency.

Availability of the report

The report is not published since the evaluation was carried out for Commission internal use. (A paper or electronic copy is available on request from: F. Lomartire (DG TREN).)

Impact Assessment of the 4th RTD Framework Programme relating to Non-nuclear Energy (JOULE and THERMIE)

Name of the programme(s)/activity(ies) concerned: Research related to energy and transport

Number of the ABB activity(ies) concerned: 06 04

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	03/2001 - 02/2003	D. Schroecker	External

Purpose of evaluation

Main purpose of the evaluation was an ex post assessment of the overall and sector-specific scientific, technical and socio-economic outputs of the programme for policy-making (allowing the improvement of the current activities and the preparation of future initiatives), management (getting useful and reliable information on the projects impact) as well as for visibility and transparency reasons (internally and externally, through the diffusion of information regarding global results, success evidence, etc.). The impact assessment tried in particular to evaluate the degree of maturity of the research and demonstration projects at their completion in order to see how far research projects are from demonstration, to what extent research and especially demonstration projects are ready for market deployment, or when they will reach such maturity.

Summary of findings and recommendations

The major findings are:

- Almost half of the demonstration projects and one-third of research projects led to lower cost technologies compared to previous, similar applications.
- The programme resulted in a significant contribution to developing EU leadership.
- Positive return on investments was expected from the partners in half of the demonstration projects and one third of the research projects.
- The cooperation between industry and RTD was strengthened as a result of the programme in more than 60% of the projects; industry provided half of the cost of demonstration activities.

The strongest consistent message across the impact assessment is the absolute need to integrate technical research and demonstration activities with the political, social and economic structures of the EU and of Member States – both strategically in the planning of the programme and operationally in the undertaking of the projects. This has been specified in the following recommendations:

- The need to re-orient and re-engineer both projects and programme to actively participate in the social, economic, political, legislative, and especially commercial framework of Member States and of the EU. Energy research is a profoundly socio-economic activity.
- The need to build up programme coherence and identity; making the projects more than the sum of their parts.
- Putting in place, by programme management, a continuous improvement system which covers management processes from setting work programmes to undertaking impact analysis.
- Examine the feasibility of project structures grouping sets of “horizontally complementary” research needs.
- Ensure that all projects have a strong external dimension as well as explicit legal, tax, fiscal, commercial, publicity and political dimensions in both research and demonstration activities, as appropriate. The programme is to be published and the results disseminated.

Main evaluation methods and data used

SWOT analysis - Primary data from interviews, surveys, etc – Secondary data from: Monitoring system - Expert panels - Statistical analysis - Multi-criteria analysis

Action taken / follow-up planned

The results of the evaluation will be published and communicated to the stakeholders. They will also serve as input for future initiatives in the field of non-nuclear energy taking, in particular the recommendations made.

Availability of the report

The report will be published soon. A paper or electronic copy is available on request from: D. Schroecker (DG TREN).

Evaluation to support the Development of a Business Plan for GALILEO (GALILEO: Equity Plan Phase 2)

Name of the programme(s)/activity(ies) concerned: Trans-European Networks (TEN)

Number of the ABB activity(ies) concerned: 06 03

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	09/2002 – 12/2003	E. Kavvada	External

Purpose of evaluation

After Phase I, in which the Public Private Partnership (PPP) was recommended, the objectives of the evaluation of Phase 2 of GALILEO were to support the development of the Galileo Business Plan regarding the following topics:

- **Planning and implementing the Procurement Plan for Galileo Public Private Partnership** in the most optimal way: The principal objective of a Public Private Partnership is to achieve “value for money” for the public sector by transferring appropriate risk and responsibility to the private sector.
- **Possibility of generating revenues by Intellectual Property Rights:** The solution proposed in Phase I (for the Galileo signals to be encoded) is technically feasible. In addition to the encoding approach the Concessionaire could potentially generate license fees in connection with copyright in software and software relating to the signal waveform. The objective was the assessment of the implications of the output of other European Commission work on Intellectual Property Rights protection for the revenue generating potential of the GALILEO chipsets. It also considered other sources of additional revenue that may be open to the Concessionaire.
- **The optimal way to proceed with EGNOS (European Geo-stationary Navigation Overlay System) in relation to the GALILEO programme:** This work reflects the resolutions of European Council on GALILEO requiring an action plan to be presented for the optimal integration of EGNOS into the GALILEO programme (covering technical, operational, financial and institutional aspects) as soon as possible and not later than the end of 2003. The analysis focused on the EGNOS procurement programme, the implications for the Galileo business case and the benefits to both programmes of the preferred integration solution.

Summary of findings and recommendations

- **Regarding the planning and implementing the Procurement Plan for GALILEO Public Private Partnership (PPP) in the most optimal way:**
For a successful concession to be elaborated, the private sector must be able to influence and control the specification, design, procurement, financing, commercialisation and operation of the infrastructure. It is recommended that a “Public Sector Comparator” be drawn for GALILEO, to quantify the costs and revenue generating potential of undertaking the project under public sector control. It would provide a benchmark against which to measure the overall benefit of private sector bids for the PPP and consequently improve the public sector negotiating position. The Public Sector Comparator will create an additional incentive for bidders to offer competitive solutions to the PPP competition.
- **Regarding the possibility of generating revenues by Intellectual Property Rights(IPR):**
It is possible that the Concessionaire itself will not generate new IPRs. Arrangements that facilitate revenue generation for the Concessionaire will therefore need to be made by the GALILEO Joint Undertaking to ensure that the Concessionaire can access revenues, predominantly through contractual arrangements with third parties who generate relevant Intellectual Property Rights in the Development Phase. Given the clear ‘value-added’ in purchasing a GPS/GALILEO enabled receiver compared to a GPS-only receiver, and consequently significant demand for the product, it is believed that a royalty on Galileo chipsets may be acceptable provided that the level of royalty is not too high (end-product too costly in comparison to a GPS-only product) and that chipset manufacturers are charged the same ‘royalty’ fee (so as to keep competition between them even).
- **Regarding the optimal way to proceed with EGNOS (European Geo-stationary Navigation Overlay System) in relation to the GALILEO programme:**
The outcome of the evaluation study has already been used in a Communication from the Commission (COM (2003) 123 final), adopted on 19 March 2003 and endorsed by the Council on 5 June 2003. Therein it is proposed to conceive a dual structure, based on the one hand on the GPS system amplified by EGNOS and, on the other, the Galileo system. The two systems would be fully interoperable and supply complementary information. It would further improve the reliability of the services provided by satellite radio navigation. EGNOS should be used both

as a precursor to Galileo and as an instrument enabling Galileo to penetrate rapidly the market for the various satellite radio navigation services. To ensure that the services provided by EGNOS are fully co-ordinated with the future Galileo services, the best approach would be to place EGNOS under the control of the Galileo Joint Undertaking, created for duration of four years by Council Regulation (EC) No 876/2002 of 21 May 2002. The basic EGNOS system should receive public funding of € 33 million, from 2004 to 2008. The extension of EGNOS to other parts of the world should be promoted.

Main evaluation methods and data used

Concept mapping - SWOT analysis - Desk research - Field studies with: Direct observation - Statistical analysis - Cost-benefit analysis

Action taken / follow-up planned

The results of the evaluation study have been used for the a Commission Communication to the European Parliament and the Council on the integration of the EGNOS programme in the Galileo programme in which the following recommendation have been made:

- The EGNOS programme should be continued and EGNOS used both as a precursor to GALILEO and as an instrument enabling GALILEO to penetrate rapidly the market for the various satellite radio navigation services;
- The EGNOS programme should henceforth be placed under the control of the GALILEO Joint Undertaking and the Undertaking should be entrusted with:
 1. The task of supervising the operation of EGNOS after the Operational Readiness Review is completed in June 2004;
 2. The launch as soon as possible of a call for tenders in order to conclude a concession agreement with an economic operator charged with operating EGNOS from June 2004;
 3. The management of EGNOS should be an integral part of the future concession agreement for the management of GALILEO;
 4. The basic EGNOS system should receive public funding of € 33 million annually, from 2004 to 2008;
 5. The extension of EGNOS to other parts of the world should be promoted to share its operation with these regions.

The decision whether or not to continue with operation of EGNOS after Galileo is fully deployed should be taken by the Council, on a proposal from the Commission, in liaison with the service providers and the users once GALILEO becomes fully operational.

Availability of the report

The executive summary of the evaluation report is published on the web site:

http://europa.eu.int/comm/dgs/energy_transport/galileo/doc/gal_phase2_exec_summ.pdf

A paper or electronic copy of the report is available on request from: E. Kavvada (DG TREN).

7. ENLARGEMENT

Ex post Evaluation of PHARE National Programmes in Central and Eastern European Candidate Countries (1997/98)

Name of the programme(s)/activity(ies) concerned: Pre-accession assistance instruments

Number of the ABB activity(ies) concerned: 22 02

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	01/2002 - 03/2003	M. Apelblat	External

Purpose of evaluation

The objectives of the evaluation are to:

1. Support Candidate Country authorities in establishing a view on the impacts of the 1997/1998 PHARE Country programmes in each Candidate Country (CC) and develop local evaluation capacity through participation in the evaluation process.
2. Analyse and report on the relevance, effectiveness, efficiency and sustainability of selected 1997/1998 PHARE Country programmes in assisting the CC to implement the 'acquis communautaire' and accelerating the CC's accession to the EU.
3. Identify the lessons from the delivery of the 1997/1998 PHARE programme having relevance for the preparation, programming or implementation of future support programmes in CCs.
4. Improve external transparency and accountability concerning the use of PHARE funds in CCs in the Candidate Countries in the period under evaluation by communicating reports to the Community institutions, other decision-makers and the media.

Summary of findings and recommendations

- **Regarding the relevance and intervention logic:** The evaluation finds a very high relevance (94%) of PHARE where the reorientation towards an accession-driven process in 1998 had immediate results and that the programme addressed problems that "were critical obstacles on the path towards accession". Moreover, the report indicates that there was a clear rationale for the PHARE Institution Building interventions and their related investments. It is less positive about the rationale behind interventions in pilot schemes for regional, social and agricultural development and about the leverage effect of PHRE investments in large-scale infrastructure.
- **Regarding legislative/administrative and socio-economic impacts:** In approximation of legislation and adjustments in administration, the evaluation finds the highest impact scores in 'acquis'-oriented policy domains (third Copenhagen criteria), whereas impact scores are lower in the domains of political and economic criteria. It also notes that many Institution Building projects had wider positive side effects on horizontal/non-'acquis' public administration reform (such as improved public management methods, increased transparency and changed organisational culture in the targeted institutions). It indicates that impacts so far on the economy, society and the environment have been more marginal. However, more socio-economic impacts can be expected in the longer term from the effects of changed legislation and strengthened administration attributable to the PHARE actions.
- **Regarding the design and management of strategies/projects:** The evaluation indicates a strong Commission Services domination of the programming process that on one hand ensured project relevance but, on the other hand, did not create the fullest possible ownership/commitment to overall objectives. It further explains that the relatively weak role of the CCs was due to the substantial programming weaknesses of their National Programme for Adoption of the 'Acquis' (NPAA). As to the management of projects, many PHARE projects lacked clear objectives and clear commitment from the responsible institutions in the CCs that generated delays in the early stages of their implementation. The report notes further that the systematic monitoring and early impact evaluations enabled corrective actions of project implementation. Whilst the report recognises that the twinning instrument faced considerable start-up implementation difficulties, it concludes that twinning has been a relatively effective instrument especially in the 'acquis' areas that were highly EU-specific or technical.

Main evaluation methods and data used

Concept mapping - Desk research – Field studies with: Focus groups - Case studies

Action taken / follow-up planned

A set of dissemination seminars was organised for the stakeholders responsible for programme design and implementation. Furthermore, initial action was taken to develop counterpart capacity on ex post evaluation, and a reflection paper was completed on lessons learned from this ex post evaluation exercise. The lessons learned will be reflected in the new financial instrument of Transition Facility.

Availability of the report

Published at: http://europa.eu.int/comm/enlargement/phare_evaluation_ex_post_evaluation_97_98.htm

Ex Ante Evaluation of Programming Mechanisms for PHARE in 2004 and beyond

Name of the programme(s)/activity(ies) concerned: Pre-accession assistance instruments

Number of the ABB activity(ies) concerned: 22 02

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	10/2002 - 04/2003	M. Merker	Internal

Purpose of evaluation

Main purpose of this internal evaluation, supported by to external studies, was to provide useful information to decision-makers planning the implementation of the 2004 PHARE programming cycle, as well as for the new financial instrument of Transition Facility.

Summary of findings and recommendations

- Adopt a more strategic approach of multi-annual programming
- Increase the quality, quantity and accessibility of resources for project design
- Quality control: A more holistic and participatory approach is needed
- Logical frameworks: Well worth the effort, but need more support
- Embedding changes: Recommendations designed to explain to stakeholders any changes to the programming mechanisms for 2004 and signal a more participatory approach to the programming process.

Main evaluation methods and data used

Concept mapping - Other structuring tools: Mapping of work flows - Desk research - Field studies with: Interviews, Direct observation - Primary data from interviews, surveys, etc - Secondary data from: Monitoring system - Case studies - Benchmarking

Action taken / follow-up planned

The objective is to make concrete recommendations for improving the programming mechanism of PHARE. Actions taken so far are: Multi annual sector programming introduced for Romania; Programming Guide - Improvement of standard project fiche completed; Programming Guide – Improvement of application of Log-frames completed. An action plan has been prepared for follow-up of outstanding recommendations.

Availability of the report

The report is not published since the evaluation was carried out for Commission internal use.

Interim Evaluation of PHARE National Programmes and Multi-Beneficiary Programmes

Name of the programme(s)/activity(ies) concerned: Pre-accession assistance instruments

Number of the ABB activity(ies) concerned: 22 02

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	01/2003 - 12/2003	J.-M. Moreau	External

Purpose of evaluation

Main purpose of the evaluation was to provide stakeholders with assessments of the implementation of PHARE programmes and programme performance, efficiency and sustainability; to provide a basis for accountability in the use of pre-accession funds as well as to serve as a quality management tool and early-warning system. In 2003, the evaluation scheme generated some 123 individual country, sector and thematic reports (a few of which are yet to be completed). Thematic reports covered nuclear issues, civil society, public administration, justice and home affairs, national aid coordination, recommendations, twinning, SMEs and statistics. The main sectors covered are mentioned in the next section.

Summary of findings and recommendations

- PHARE programming, on the whole, generates projects whose priorities are in line with the specific needs of each Candidate Country in preparing for accession to the EU. Over three-quarters of the projects evaluated in 2003 were rated as at least satisfactory. However, several of them are poorly designed or prepared, with vague aims, imprecise indicators, poor take-up of lessons learnt, and no feasibility studies. While projects' administrative capacity has improved, financial and time management remain weak, and specialists are difficult to recruit and retain. Co-financing is a problem in some areas.
- Findings confirm that twinning (i.e. the secondment of EU experts to Candidate Countries to help them strengthen their administrative capacities) is an essential instrument of the accession process. Although the findings point to that the results of twinning have been mixed, the tendency is for increasingly satisfactory working of the instrument. Moreover, the findings also point to the risk that, unless accompanied by widespread reform in public administration, twinning can lead to the raising of elaborate structures on very shaky foundations.
- From a sector angle, there has been generally good progress made in meeting objectives in agriculture, cross border cooperation, environment, justice & home affairs, public administration/finance, transport and the social domain. Outcomes were more mixed in internal market, economic and social cohesion / regional policy. Results in the SME sector have been uneven but improving.
- Following through on evaluation findings and recommendations has a cascade of beneficial effects. These include institutional changes within implementing agencies, better coordination within and between ministries and donors, improvements in project design, re-allocation of resources, gaining of additional co-financing and more attention paid to sustaining the results of projects after completion. Following-up recommendations is also leading to the diffusion of an evaluation culture that promotes accountability and, in turn, sound financial management. Furthermore, it leads to improvements in monitoring and thus management capacity and the development of a real participatory approach to evaluation on the part of all stakeholders.

Main evaluation methods and data used

Logical Framework/Diagram - Desk research - Field studies with: Interviews, Direct observation - Primary data from interviews, surveys, etc. - Secondary data from: Monitoring system - Multi-criteria analysis

Action taken / follow-up planned

The feed-back of evaluation findings into the design of future projects needs to be improved. Steps have been taken to reinforce this linkage for the next (2004) programming cycle.

The absence of a formal quality support system and control mechanisms in Candidate Countries reduces the scope for the systematic uptake, during programming, of lessons learnt. The variable quality of monitoring reports (prepared by the

candidate countries) and variations in the effectiveness of the sector-based monitoring committees are other elements needing further attention.

The project design problems encountered lead to the conclusion that the interim evaluation scheme needs to be linked, in the longer term, to a quality assurance system embedded in the programming process as an integral part of sound financial management. A relevant proposal will be presented, in due course, as an outcome of the ex ante evaluation exercise on future programming mechanisms.

Availability of the report

The relevant reports are published on Internet sites available to main stakeholders. Thematic reports are available on EUROPA (http://europa.eu.int/comm/enlargement/phare_evaluation_reports_interim.htm) or can be requested from the evaluation unit of DG ELARG.

8. ENTREPRISE

Evaluation of CORDIS and printed Publications of the Innovation and SME Programmes

Name of the programme(s)/activity(ies) concerned: Research – Promoting innovation and change

Number of the ABB activity(ies) concerned: 02 03

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	12/2001 - 03/2003	K. Koenig/B. Niessen	External

Purpose of evaluation

Main purpose of the evaluation was to assess the performance and results against the core objectives in terms of quantitative and qualitative impacts. The Commission is striving to improve its information and communication operations about EU supported activities in the field of innovation. To this end an external evaluation was carried out to assess the impact and quality of information products (electronic and paper-based). The findings and suggestions will be considered for further development of the evaluated information services and products.

Summary of findings and recommendations

The main findings are:

- CORDIS is well accepted by users, and experts evaluate it to have quite a good quality.
- CORDIS should further improve its navigation and search facilities as these are critical points for users.
- Technical monitoring shows reliable availability and good response times for CORDIS servers.
- CORDIS contractor should improve documentation of the project.
- Print publications are well recognised, and wide usage of the corresponding online versions is made.

CORDIS is perceived as the main and most important RTD information service in Europe, as the right tool for the 'Europe of Innovation' and the only pan-European link between the actors of RTD community of special relevance for the industry. Information needs and user satisfaction level are high. Measures to support SMEs and help them gain access to research are of major relevance to CORDIS users. On-line survey tools proved to be a very effective way to stimulate continuous feedback from users. A main strength of CORDIS is the large amount of information it contains. However, this causes it to be highly complex. More personalised navigation tools, easier navigation and powerful tools for retrieving information are major demands of our community of researchers, entrepreneurs and administration officials.

A cost-benefit-analysis gives CORDIS a high mark for qualitative benefits and an optimum mark in reference to the quantitative benefits it produces. According to the evaluation report, the cost of CORDIS represents 0,26% of the benefits it brings to the research community, leaving a margin to improve CORDIS investment in future projects. Efforts should concentrate on increasing the value of CORDIS. As a high return investment for the 'Europe of Innovation' it should follow the increasing effort made to maintain its performance in the future. Content and navigation need improvement: better promotion, improving user interface and navigation tools, facilitate interaction, customisation, and information search.

The evaluation report recommends to facilitating the participation of SMEs in the Framework Programme by simplifying the complex structure, adapting it to their needs and introducing new services to foster debate. It also provides recommendations aimed at improving CORDIS management and provide better guarantee of quality service (documentation, configuration management, security procedures, internal communication channels, quality of the technical services in anticipating problems, better performance in meeting delays of the work plan, reporting to the EC, monitoring of the quality indicators, etc). It is also recommended to use the CORDIS Monitoring Website more intensively and provide more feedback to the contractor.

Regarding printed publications, recommendations are made to improve the quality, distribution and promotion of EUROABSTRACTS, CORDIS FOCUS and INNOVATION & TECHNOLOGY TRANSFER.

Main evaluation methods and data used

Desk research - Field studies with: Interviews – Surveys, Direct observation - Primary data from interviews, surveys, etc - Secondary data from: Monitoring system - Statistical analysis - Cost-benefit analysis

Action taken / follow-up planned

Findings and recommendations were used for the call for tender to renew the 4-year contracts with the following modifications: Direct usage of technical monitoring results leading to improvement actions of main CORDIS contractor; Proposals on navigation and searching leading to improvements in CORDIS (i.e. new Taxonomy Tool); More action to be following the final evaluation report; Experience lead to parallel external evaluation to play an even stronger role in the new contractual architecture of CORDIS.

Availability of the report

Published at: http://ftp.cordis.lu/pub/cordis/docs/temp/cft2002/CORDIS_Monitoring_Executive_Summary.zip

Annual Monitoring 2002 of the Specific Programme for Innovation and SMEs (4th, 5th and 6th RTD Framework Programmes)

Name of the programme(s)/activity(ies) concerned: Research – Promoting innovation and change

Number of the ABB activity(ies) concerned: 02 03

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	12/2002 - 04/2003	L. Briol	External

Purpose of evaluation

Annual monitoring and assessment of the Specific Programme for Research and Technological Development (RTD) in the field of Innovation and SMEs for the year 2002, as part of the external annual reports prepared for the EC and EURATOM RTD Framework Programmes (FP) and their constituent Specific Programmes.

Summary of findings and recommendations

The main route for SME participation will now be through networks of excellence, integrated projects and specific targeted research projects in the seven priority research areas. This is expected to raise the entry barrier for SME participation in EU research and to impact adversely on SMEs of limited research intensity. At the same time, the closer integration of innovation promotion with the research activity is in danger of reinforcing the perception that innovation is merely the successful application of research results. This could impair recent progress by this specific programme in putting the innovation process at the heart of enterprise and promoting policies that recognise the diversity of factors influencing innovation.

Under the circumstances affecting the work on the programme in 2002 (the most notable of which being the relocation to Brussels of the Innovation Directorate of DG Enterprise), the commitment and achievements of the programme during 2002 are commendable. Highlights were the work on a new Communication on European Innovation Policy and the increased activity of the IRC network in terms of trans-national agreements and the extension of its operations (2002-2004). The latter was prompted by the mid-term review of the network. CORDIS continued to improve its operations and to expand its interactive services. The findings of an external evaluation, however, portray it as an “extremely complex” service lacking in user-friendliness. With regard to promoting innovation, the report simply states that while “CORDIS is recognised as the web of the R&D programmes . . . users are not yet clearly identifying it as the web for innovation”.

The monitoring report 2002 reiterates a number of recommendations from 2001 that remain to be acted upon, mainly because the Programme was endeavouring to safeguard and strengthen the future of Innovation and SME activities under the 6th FP. The key recommendations from this particular monitoring exercise, however, relate to the transition from 5th FP to the new Framework Programme:

- The Panel recommends early publication of the promised comprehensive review of all aspects of SME participation in Framework programmes, with particular emphasis on the nature and quality of that participation.
- The Panel is concerned that the Innovation directorate is under-resourced to carry out its decisive mandate at a time when “progress towards an innovative European economy is proving tentative and fragile.”
- The Panel commends the progress that has been made in the past couple of years towards promoting open policy co-ordination through the medium of the 'Trendchart', including its Innovation Scoreboard. There are fears, however, that the credibility of the 'Trendchart' process may be undermined if action is not taken to remedy the limitations in its statistical base.
- The Panel wish to be re-assured that the innovation co-ordination activities, formerly entrusted to the co-ordinating group in the 5th FP, which the panel found adversely affected by competing priorities and a lack of resources, will be legislated for under the 6th FP.
- The Innovation Directorate has acquired very valuable experience through a number of imaginative actions, designed to promote an understanding of the non-technical aspects of the innovation process. The Panel recommends that specific measures be put in place to ensure that the economic, social and organisational dimensions of innovation are given emphasis in the new instruments of the 6th FP.
- There is a notable absence of indicators of performance and of innovation impact, relating to actions undertaken by Innovation and SMEs under the 5th FP. In the interest of the imminent Five Year Assessment, the Panel recommends that selected innovation impact studies should be carried out.

- The Panel notes the increased activity of the IRC Network and its extension to newly associated countries, but is concerned that the proportion of IRCs categorised as 'good' in the mid-term review, is only one in five. The Panel wishes to know if the Commission has an improvement target in mind and how it plans to achieve it.
- The Panel takes note of the results of the recent report by external experts on the performance of CORDIS, and in particular the finding that CORDIS is not deemed to be fulfilling its mandate to promote innovation. The Panel wishes to know what actions are proposed by the Commission to address this situation.

Main evaluation methods and data used

Panels of independent qualified experts: 10 Panels for the assessment in the RTD area of each Specific Programme, 1 global Panel for the overall assessment at the Framework Programme level and 1 Panel for the monitoring of ERA. The Panels make use of self-assessments provided by Commission services, interviews, support studies on results and impacts, analysis of indicators, analysis of basic documentation. There is a discussion and exchange of opinion among the Panel members and formulation of Panel's findings, opinion, conclusions and recommendations.

Action taken / follow-up planned

After consultation of the units concerned, a detailed action plan has been established dealing with all findings and recommendations of the report. The relevant findings and recommendations will be used for improvements in the management of the current RTD programmes and the preparation of the next one.

Availability of the report

The evaluation report is published at: http://www.cordis.lu/fp5/monitoring/rep_2002.htm. A paper or electronic copy is available on request from: L. Briol (DG ENTR).

Evaluation of the Action to promote the Development of Mutual Guarantee Schemes (MGS)

Name of the programme(s)/activity(ies) concerned: Encouraging entrepreneurship

Number of the ABB activity(ies) concerned: 02 02

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	12/2002 - 05/2003	J.-F. Aguinaga	External

Purpose of evaluation

The main objective of the evaluation was to evaluate to what extent the MGS pilot action supported the development of MGS in Europe. The evaluation topics addressed were the following:

- **Relevance/reach:** Does the MGS action respond (sufficiently) to existing needs? Are the right groups being targeted and/or reached?
- **Effectiveness:** Does the instrument reach its objectives?
- **Efficiency:** Are the results or outputs of the action in proportion to the allocated inputs?
- **Additionally:** Does the MGS action provide added value? Does it generate (other, better) results than would have been achieved without it?
- **Sustainability:** Will the results last when the players are no longer involved in the project?

Summary of findings and recommendations

▪ **Guarantee schemes (public, private and/or mixed) deserve further public support.**

Several developments in the European financial sector such as the forthcoming Basle II capital adequacy and bank rating Regulations, the consolidation and the formation of financial conglomerates, as well as the economic recession, may increase the difficulties for SMEs to obtain sufficient amounts of bank lending at reasonable interest rates when they lack sufficient collateral. Guarantee systems, public, private or mixed, are able to partly mitigate these problems and therefore deserve further public support from the most effective support level (which can be local, regional, national or European).

▪ **The Commission should (further) support the cross-border dissemination of good practices among Mutual Guarantee Schemes.**

The day-to-day management of MGS is very complex and the models used for risk assessment or the treatment of losses, for example, vary widely among the different countries in Europe. There is, therefore, a role to play for the Commission specifically to organise the cross-border dissemination of good practices among MGS, particularly towards young guarantee societies as well as Accession and Candidate Countries that have to adjust their systems to EU regulations. This support can be of a direct nature if the Commission sets up dissemination activities on its own activities, or indirectly if the Commission supports a network association to organise dissemination activities.

▪ **The Commission should explore the possibilities for extending the counter-guarantee facility.**

During the interviews for this evaluation study, positive comments were often received on the functioning of the SME Guarantee Facility managed by the European Investment Fund. The participants in the Vienna seminar organised by the European Association of Mutual Guarantee Societies (AECM) were also most in favour of counter-guarantees as a support measure to promote MGS, as the results of our small-scale survey indicated.

▪ **The Commission should give priority to its support for Mutual Guarantee Schemes in the Accession and Candidate Countries.**

In the Accession and Candidate Countries it is very difficult for the private sector to obtain loans, while equity financing is nearly non-existent. The setting up and further development of MGS could contribute to a solution to this important problem.

- **The Commission should give indirect support for the development of new Mutual Guarantee Schemes through regional intermediaries.**

Support measures for cross-border dissemination of good practices or extended counter-guarantee facilities will mainly benefit existing MGS schemes and will probably not result in the development of new MGS. In order to have an impact in this area, the Commission should give indirect support for the development of new MGS. Such indirect support would preferably occur through regional intermediaries, for instance, via the Structural Funds. The use of Structural Funds to support the development of MGS by subsidising feasibility studies, for example, has some advantages. It respects the bottom-up character of MGS initiatives, and Structural Funds focus on less developed regions where support from the regional authorities is less easily obtained and the management occurs at the regional level. However, since the regional authorities take care of the programming, the access-to-finance problem must be ranked high enough in their agendas and they must be aware of the MGS instrument.

- **The Commission should not give direct support at the micro level for mutual guarantee schemes.**

MGS are preferably regionally based initiatives with a bottom-up approach and the involvement of the local SME and banking sectors as well as public authorities. They are difficult to monitor and manage directly at a Commission level. In order to achieve an efficient management of projects at the micro level, an extended governance structure would be needed. But it is very doubtful whether this kind of elaborate structure would produce the desired outcome, given the intrinsically local nature of such projects.

Main evaluation methods and data used

Desk research - Field studies with: Interviews, Surveys, Direct observation - Primary data from interviews, surveys, etc – Secondary data from: Literature/experts

Action taken / follow-up planned

- In light of the recommendations of this evaluation, DG ENTR will not carry out any further pilot actions on MGS.
- As a follow-up to this evaluation a study on best practices on guarantees and MGS has been launched. The first meeting of the working group was organised on 24 Nov 2003. The final report will be available at the end of 2004.
- In order to further look at guarantees issues in adhesion/candidate countries study on guarantees in and training for managers of guarantee societies from these countries will be launched in 2004, after completing the relevant tender process.

Availability of the report

The report is not published since the evaluation was carried out for internal Commission use. (Paper or electronic copy available on request from: J.-F. Aguinaga (DG ENTR).)

Evaluation of the EU-Japan Centre for Industrial Co-operation

Name of the programme(s)/activity(ies) concerned: Competitiveness and sustainable development

Number of the ABB activity(ies) concerned: 02 05

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	12/2002 - 07/2003	Ph. Jean/J. M. Avezou/ D. Van Bockstal	External

Purpose of evaluation

Main purpose of the evaluation was to assess the effectiveness of the Centre and the relevance of its objectives for the European industry. The evaluation is also intended to serve as an element for deciding on the future role of the EU-Japan Centre, taking into account the current evolution of the EU/Japan business relations.

Summary of findings and recommendations

Relevance: The original factors that led to the Centre being set up have changed but the need for its type of activities remains valid despite the changed economic environment. Although the EU-Japan trade frictions are reduced in practice, the public sector's active role in support of the Centre is still necessary for 2 reasons: cultural peculiarity of Japan and insufficient active business links between Japan and the EU. The Commission should continue to support its activities, which would otherwise cease to exist (with most impact on smaller companies). Other trends highlighted by the evaluation are a growing importance of non-industrial activity, as well as a shift of policy 'paradigm' towards the European market in the Japanese Ministry of Economy, Trade and Industry (METI) (i.e. from 'foreign trade promotion', to soliciting foreign direct investment for Japan), bringing new opportunities for EU-Japan service providers.

Effectiveness: Overall, there are no real areas of concern for the Centre that did not significantly fail to deliver in any area of high importance to its users. Across all variables, the Centre exceeded the users' expectations in most areas of importance to users. At a programme level, the Centre has managed to deliver impact in areas that coincide with the programme objectives. However, areas where users feel they receive low realisation for high expectations offer scope for improvement (e.g. improve direct access to Japanese market). The issue of increased participation in the Centre's activities from the Japan side remains important and is in line with the broader need to render the Centre a mutually beneficial joint venture.

Efficiency: The evaluation underlines potential improvements in the operational and management efficiency. Operational and logistical constraints of having two separate presences in Japan and the EU and a complex funding structure raise issues in programme co-ordination and communication. Other issues identified include data collection methods and dependence on people rather than processes.

Utility and sustainability: The Centre's activities have proven to be useful for both stakeholders and participants, and have been able so far to change as stakeholders needs evolve. However, a more proactive management structure would further improve this ability, by developing new services to meet the needs of both the stakeholders and the funding organisations. The results may be qualified as sustainable for participants (lasting benefits in their professional and personal life) and for companies (relatively little mobility of participants once they return from Japan).

Recommendations to the Commission:

- a) Continue to fund the Centre's activities while a need for its services remains.
- b) Investigate possibilities for synergy with other programmes aimed at Japan, both in terms of potential cost or management savings and also to provide more clarity for potential applicants. This should at a minimum involve extending joint marketing efforts but should look at more radical integration, such as the Centre providing services to all the programmes.

c) Review the legal form of the Centre in the light of its changing role and the opportunities arising from the availability of new legal forms.

d) Provide leadership to encourage integration of 2 offices.

Recommendations to the EU-Japan Centre:

a) Examine the possibilities for further synergies with other EU programmes, to the extent possible within the current legal framework.

b) Initiate a private sector oriented advisory body. The management should show a pro-active approach towards such an institution and make effective use of it.

c) The report provides specific recommendations in view of further improving some aspects of its operations, for example, regarding the integration of and communication between Tokyo and the EU Office, the staff management policy, data collection and marketing as well as the designing and targeting of some courses and programmes. It also addresses the issue of impact (and overhead) of the immense constraints imposed on the Centre as a result of the funding bodies working rules.

Main evaluation methods and data used

Desk research - Field studies with: Surveys - Primary data from interviews, surveys, etc - Statistical analysis

Action taken / follow-up planned

1. The European Office (EO) has taken a series of measures to improve efficiency:
 - The improvement of cost-effectiveness per beneficiary by increasing the number of Vulcanus (Training Programme for EU & Japanese students) participants while controlling overheads.
 - In order to become less dependent on people and more based on relevant processes, all procedures of the European Office have been reviewed and compiled in a vade-mecum to ensure continuity and easier knowledge transfer in case of personnel changes.
 - The Communication between the European and Tokyo offices has been re-structured and an evaluation of the new system will be made in 2004.
 - The EO has taken a series of measures to improve the programmes, e. g. use of the importance / realisation matrix to assess the relevance of new topical missions during their planning phase.
2. In order to re-balance the European and Japanese activities by increasing the number of Japan-side participation, new activities have been created targeting specifically Japanese participants: a "Study tour" in Europe, a new H RTP (Training course in Japan for EU industrial managers) course and an information service for the benefit of Japanese companies in the EU. The Tokyo Office is also launching new activities in Japan.
3. In order to make better use of the data collected relating to the impact of its activities the European Office has restructured data collection and is expecting it will result in a more efficient promotion. It will then work on the creation and maintenance of an efficient and friendly Alumni network and initiate a review of the evaluation and feedback procedures when the necessary resources will be made available. Regarding marketing, recommendations to make better use of the Alumni network has led to the publication of a "success story booklet".
4. Similarly, in order to make better use of the Management Committee as a source of information on the needs of the private sector and as a guideline for the Centre's activity, the METI and the Commission jointly proposed a series of measures to the Supervisory Board in 2003. A review of the Management Committee's role has been planned as a result. Its first input could concern the new activities around FDI.
5. A first step towards the simplification of the financial structure of the Centre had been taken with the "White-Izawa agreement" laying down a proposition for a new financing system. The need for simplification has been confirmed in the evaluation results. However, incompatibilities with the new financial regulation and the grant agreement for the Centre are currently preventing the simplification process to go forward.
6. The evaluation recommends higher integration of the Centre's activities by building on links with other EU programmes in Japan. The Centre has long been committed to pursuing opportunities for enhanced cooperation and synergy with other Community initiatives and with those taken in Member States. However, problems related to the legal status of the Centre, to the grant agreement or to the NFR are currently preventing some of them to go forward. The legal status of the Centre being under review for a while now, the evaluation results confirmed the need to modify it.

Availability of the report

The executive summary of the evaluation report is published at:

http://www.eujapan.com/europe/executivesummary_techopolis.pdf<http://www.eujapan.com>

Paper or electronic copy of the full report is available on request from: Ph. Jean/J.M. Avezou/ D. Van Bockstal (DG ENTR).

Evaluation of the System of European Technical Approvals (ETA)

Name of the programme(s)/activity(ies) concerned: Getting still more from the Internal Market

Number of the ABB activity(ies) concerned: 02 04

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	12/2002 - 07/2003	G. Katsarakis	Internal

Purpose of evaluation

The evaluation of the system of the “European Technical Approvals” (ETA) was performed due to the fact that developments in the area of European Technical Approvals since the creation of EOTA in 1991, and in the practices and policies of the European Commission, make it appropriate to examine the system of ETA in a view to determine whether they allow for the effective implementation of Community policy in the construction products sector.

Summary of findings and recommendations

- a) **The Commission, Member States, EOTA (European Organisation for Technical Approvals) and CEN (Comité Européen de Normalisation)** should use as much as possible written consultation procedures and their restricted access websites and e-mails in order to speed up the necessary consultations. **CEN** should shorten their consultation period and reply precisely on their capability to elaborate a harmonised European Standards within a certain timetable.
- b) The **Commission Services** should:
- Propose an amendment of the Directive 89/106/EEC in order to clarify the obligatory character of the CE marking, the status of the European Technical Approval (ETA) Guidelines and to impose the route to ETAs for products not covered by harmonised European Standards. The criteria for the designation of the European Organisation for Technical Approvals (EOTA) Approval Bodies should also be clarified.
 - Consult the Comité Européen de Normalisation (CEN) on new EOTA requests only where this is really necessary.
 - Examine the possibility to allow the issue of ETAs if no harmonised European Standards are envisaged within a reasonable time (e.g. earlier than 5 years).
 - Should consider allowing purely voluntary product performance aspects to be covered in a voluntary addendum to the ETAs and to request UEA (The European Union of Agreement) to refrain from approval activities in the regulated areas;
 - Provide EOTA with all necessary information concerning financing possibilities in the appropriate time in order to allow to EOTA to prepare the necessary financing requests.
- c) **EOTA / Approval Bodies** should:
- Simplify the European Technical Approval Guidelines (ETAG) and stress to manufacturers the possibility to use the agreed NPD (No Performance Determined) option.
 - Assure a harmonisation between the existing national regulatory requirements in the Common Understanding of Assessment Procedures.
 - Assure that the assessment testing foreseen in European Technical Approval Guidelines / Common Understanding of Assessment Procedures is defined taking into account the cost as a principal issue.
 - Shorten substantially the European Technical Approval Guidelines (ETAGs) and Common Understanding of Assessment Procedures (CUAPs) elaboration period as well as the time necessary to issue ETAs on the basis of the adopted ETAGs / CUAPs.
 - Organise the exchange of experience and know-how between the EOTA Approval Bodies in order to increase the number of Approval Bodies able to issue ETAs in certain areas.
 - Send the adopted finalised Common Understanding of Assessment Procedures (CUAPs) to the Commission for the information of the regulators and market surveillance authorities of the Member States.
 - Make efforts to assure a representative participation of the industry in the technical work and that the confidentiality of product technical details and the fairness of treatment of competing products will be respected.
 - Finance the expenses for the necessary increase of the personnel in the EOTA Secretariat by the fees and contributions of the EOTA Approval Bodies.

d) Member States authorities should:

- Co-operate fully with their EOTA Approval Bodies in order to assure constructive and not obstructive consultation (delays) in technical work.
- Disseminate information to construction products manufacturers and their associations on the obligations / possibilities offered by the ETA system.
- Translate the adopted European Technical Approval Guidelines (ETAGs) in their language(s), make them available to the interested parties and incorporate them in their regulatory system.
- Re-examine the compliance of their Approval Bodies with the criteria of the Directive for Construction Products (Directive 89/106/EEC) and clarify their competence concerning the various product families.
- Oblige Approval Bodies not to issue national approvals as soon as for those products ETAs are possible.
- Avoid that executives from EOTA Committees or EOTA Approval Bodies act as Head of Delegations in the Standing Committee on Construction or as members of the Preparatory Group (for EOTA related questions).

Main evaluation methods and data used

Desk research - Field studies with: Interviews, Surveys, Direct observation - Primary data from interviews, surveys, etc - Secondary data from: Literature/experts - Expert panels - Comparison/Control groups - Statistical analysis

Action taken / follow-up planned

The evaluation sums up a whole series of concerns related to the functioning of EOTA, some of which were already suspected. The real added-value of the evaluation is that all concerns are clearly summarised in a single document using survey data from beneficiaries and stakeholders. The fact that the evaluation clearly identifies who should take action to solve particular issues is also very useful.

The evaluation has been used as a basis for concrete actions to examine the EOTA procedures. A new ETA request procedure, that should drastically cut administration in EOTA, is already under test.

The report could, after further assessment by the competent unit of DG ENTR, be a useful basis to prepare another framework agreement with EOTA, to define new common procedural rules, even as input for the amendment of the Directive relating to Construction Products.

Availability of the report

The report is published at the CIRCA website to which the members of the Standing Committee for Construction have access. A wider publication is currently not foreseen. A paper or electronic copy of the report is available on request from: G. Katsarakis (DG ENTR).

Intermediate Evaluation of the Multi-annual Programme for Enterprise and Entrepreneurship 2001-2005 (in particular for Small and Medium-sized Enterprises)

Name of the programme(s)/activity(ies) concerned: Encouraging entrepreneurship

Number of the ABB activity(ies) concerned: 02 02

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
intermediate	12/2002-07/2003	D.Herbert, M.Nyman	internal

Purpose of evaluation

This intermediate evaluation assessed the first part of policy initiatives implemented under the Multi-annual Programme for Enterprise and Entrepreneurship, and in particular for Small and Medium-sized Enterprises 2001-2005 (MAP). The evaluation was performed internally by Directorate A of the Enterprise Directorate General. The results, conclusions and recommendations are intended to be taken into account with regard to any improvements in the implementation of the remainder of the programme and to the external evaluation of the programme that will be carried out in 2003 and 2004. They could also be used in the design of any successor programme.

The evaluation focused on the aspects of effectiveness and relevance, which mainly relates to the extent to which the project objectives have been achieved and to the relevance of the subject of the projects and the appropriateness of addressing the projects at European level. For this purpose data was obtained by gathering information directly from the relevant Commission services and by a survey addressed to the projects' main stakeholders. A qualitative analysis of the performance indicators in relation to the programme and project objectives was also carried out.

Summary of findings and recommendations

- The objectives and actions as set in Annex 1 of the MAP Council Decision should be reviewed and developed to ensure a better focus for the preparation of any new programme. One approach would be to ensure that the objectives and actions in Annex 1 be given a more operational focus. More specific objectives would be in line with the requirements of Article 27.3 of the new Financial Regulation.
- The annual work programmes should be better focused to ensure that clear priorities are formulated and that they have more clear links with the global objectives. They should furthermore be reflected in the project objectives, which should preferably be envisaged to lead to concrete outputs and results.
- It is recommended that future project fiches refine the objectives set for the projects. Particular attention should be paid to setting the objectives and indicators designed to gauge the effectiveness of the projects. In particular, it is recommended to set separate objectives and indicators on different levels: In order to create a model and a structure for MAP project objectives and indicators, to be used in project fiches for future work programmes, a short-term working group/task force could be set up.
- It seems important to further assess to what extent the projects meet the needs of the final beneficiaries. This will be undertaken within the scope of the final external evaluation of the MAP. It is suggested to consider whether the final beneficiaries should be more involved in the design of the projects.
- It is suggested to improve dissemination of project outputs/results. This may create the impetus needed to speed up the implementation of recommended changes in certain policy areas, at both national and European level. This should create a wider debate on the issues in question. One starting point would be to publish the annual work programmes of the MAP online, which would also contribute to increased transparency.

Main evaluation methods and data used

Desk research - Field studies with: Surveys - Statistical analysis - Multi-criteria analysis

Action taken / follow-up planned

- a) As recommended by the evaluation a small working group revised the parameters for the MAP project objectives and indicators which were re-formulated with the aim of improving those used in the MAP work programme for 2004.
- b) The recommendations regarding the MAP global objectives and the involvement of the beneficiaries are being examined in more detail in the final MAP evaluation starting autumn 2003.
- c) Efforts are being made to enhance the dissemination of MAP results.

Availability of the report

Published at:

http://europa.eu.int/comm/enterprise/enterprise_policy/mult_entr_programme/doc/intermediate_eval603.pdf

Evaluation of the TICQA (Testing, Inspection, Certification and Quality Assurance) Database on Conformity Assessment

Name of the programme(s)/activity(ies) concerned: Competitiveness and sustainable development

Number of the ABB activity(ies) concerned: 02 05

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	12/2002 - 10/2003	M. Stadler	External/Internal

Purpose of evaluation

This evaluation was launched with a view to assess both the effectiveness and relevance of the TICQA (Testing, Inspection, Calibration, Certification and Quality Assurance) database, which is managed by the EOTC (European Organisation for Conformity Assessment), in order to decide whether or not to continue funding it in its current form. There are two major reasons for this comprehensive evaluation:

- a) Since its inception in 1991, the TICQA project has received substantial public funding from the Commission and EFTA;
- b) No independent evaluation has been undertaken to date to examine the overall effectiveness and relevance of the TICQA database.

Summary of findings and recommendations

In a first phase, external consultancy was used to conduct a market survey in order to collect the necessary data for the purpose of the evaluation. In the second phase, on the basis of the results of this survey and also drawing on further information, the steering committee then analysed and evaluated the overall input and findings. As a result, the steering group produced a final report containing conclusions and recommendations on how to proceed further. Two main options are identified:

Option 1: Maintain and continue funding of TICQA

This option involves a re-launch of the database. If there were strong political considerations to keep such a database on European Conformity Assessment bodies alive, the system would need strategic rethinking, in close collaboration with Member States and their accreditation bodies, in order to avoid duplication of efforts and overlaps with already existing national and multi-lingual databases, and other interested parties. Maintaining TICQA in its current form will, however, continue to generate considerable costs without clear economic benefits for its intended main users. Implementation of the suggested measures for improving efficiency and relevance will entail the need for additional funds. This option will therefore involve the need to consider alternative ways of financing TICQA since a successful operation of the database should enable it to be self-financing.

Option 2: Cease public funding of the database

There is no obligation for the Commission to provide or finance such an information service and termination of funding might be decided at any time. There are two alternatives: The database could either be divested through call for tender or it could be transferred to, and integrated into, other Commission information systems in support of Internal Market related activities. Also, NANDO-IS (Commission online tool for the listing of notified bodies) could be a more focussed replacement for TICQA insofar as Conformity Assessment services in the harmonised sector are concerned.

Main evaluation methods and data used

Desk research - Field studies with: Interviews, Surveys - Primary data from interviews, surveys, etc - Factor analysis - Statistical analysis - Cost-effectiveness analysis

Action taken / follow-up planned

In order to complete the evaluation exercise, DG ENTR asked the Informatics Directorate of DG ADMIN to provide an estimate of the commercial value of TICQA from an informatics point of view.

The results of the completed evaluation were discussed with Member States and EFTA through their representatives within the Senior Officials' Group on Standardisation and Conformity Assessment (SOGS) in November 2003. Those SOGS members who expressed an opinion were in support of terminating the database. A final decision on the options available will be taken in the near future.

Availability of the report

The report is not published since the evaluation was carried out for Commission internal use. (A paper or electronic copy is available on request from: M. Stadler (DG ENTR).)

Evaluation of the Standardisation in support of the eEurope Action Plan

Name of the programme(s)/activity(ies) concerned: Getting still more from the Internal Market; eEurope

Number of the ABB activity(ies) concerned: 02 04; 09 03

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	01/2003 - 11/2003	A. Lehouck	External

Purpose of evaluation

Main purpose of the evaluation was to assess the results of the eEurope Standards Action Plan (eSAP) against its key policy objectives, to demonstrate whether the financial support to standardisation in this area can be considered as successful.

Summary of findings and recommendations

- a) **Conclusions from the analysis of stakeholder views:** Stakeholders give a positive assessment of eSAP's contribution; eSAP may be better on standardisation design than on implementation; eSAP sometimes sets unrealistic targets and then cannot keep to them; eSAP has participation deficits, particularly end users and consumers; eSAP needs greater visibility and a more proactive dissemination effort; Suitable indicators for eSAP monitoring have yet to be developed; Member States could help to strengthen eSAP involvement and impacts.
- b) **Conclusions relating to eSAP procedure:** eSAP logic and terminology could be clearer, especially for end users; ESO contracts could embody the eSAP strategic logic more robustly; eSAP programme & financial monitoring needs more customisation; eSAP administration needs to be integrated with related processes.
- c) **Conclusions from the analysis of case study results:** Relevant projects are undermined by low involvement and awareness; A more flexible and proactive approach could give better results; The representation of users and consumers needs to be strengthened.
- d) **Possible approaches to evaluating eSAP:** An eSAP strategy framework is needed to develop indicators; The supporting management process needs its own separate measures
- e) **Recommendations:**
 1. A **strategic framework** should be agreed for any successor programme that shows how policy intervention through stakeholder engagement lends itself to results dissemination and user application, bearing in mind the voluntary nature of standardisation.
 2. A set of clear, transparent and relevant **indicators and benchmarks** are developed with the objective of assessing the financial support given to the e-Europe Standards Action Plan in an objective manner.
 3. A set of **ex-ante and value for money indicators** should be developed.
 4. A **differentiated approach** is taken in the choice and negotiation of suitable ex-ante and value for money (VFM) indicators for the 3 European Standardisation Organisations (ESOs) and that these are embedded into any future eSAP contracts with the ESOs.
 5. A **methodology** is developed to measure stakeholder satisfaction about the responsiveness of the ICT standardisation process to their needs and requirements with a view to looking at the costs and benefits of developing this as a "soft" indicator.
 6. Management **performance indicators** are added to show the speed, contract quality and cost of delivery in achieving eSAP deliverables.
 7. Statistical and financial **monitoring systems** are more closely aligned so that indicators are built into contract monitoring and actual achievements can be compared with budgeted achievements.
 8. A **common terminology** is used on which to base action line descriptors that are grouped under understood domain themes, used for all stakeholders and are "user (and consumer) friendly".
 9. Scoreboard **nomenclature** aligns with, but is not different to, the e-Europe policy nomenclature to avoid another element of confusion.
 10. Member States are encouraged to take a more **proactive approach**.
 11. The www.e-europestandards.org website should be developed and promoted in a more proactive way by creating linkages to those web sites used more frequently by targeted end user and consumer groups and through using the right search engines.
 12. There is more **follow through on progress** within action lines by the Commission, especially in showing interest in the outcomes and helping to promote the benefits of these.

Main evaluation methods and data used

Field studies with: Surveys - Primary data from interviews, surveys, etc - Case studies

Action taken / follow-up planned

The Evaluation report will be analysed and presented to Member States for further discussion. First steps have been taken to implement the recommendations of the report. For the new eSAP contracts, clear ex-ante objectives have been defined that will facilitate the ex-post evaluation. In addition, more detailed performance indicators will be submitted as part of the roadmap, which is due two months after the signature of the contracts.

Following the recommendations of the report, a strategic framework will be set up for the preparation and implementation of future eSAP contracts. As a first step, a fiche for the submission of eSAP proposals will be defined by mid-December 2003, in order to prepare for a selection of future standardisation actions in support of eEurope. The European Standardisation Organisations will be invited, to clearly describe the tasks, objectives and deliverables of the proposed actions and to provide further information on their relevance for e-Europe as well as on the expected impact. On this base, the Commission services will evaluate the different proposals against pre-defined evaluation criteria, taking into account their relevance for eEurope and their expected impact. Member States will be invited to provide their opinion on the suggested proposals for funding. It is expected that this process will be completed after 4 months, allowing two further months for contract negotiations. The objective is to commit 50% of the available budget by September. In June, a second phase will be launched, with the objective to prepare for the contracts by December.

Discussions with the European Standardisation Organisations have started to prepare for the different steps and to agree on a common structure for performance indicators, against which the eSAP actions can be evaluated at a later stage. There is an emerging agreement, that such indicators should include four criteria: the timely delivery of the deliverables, the widest possible participation of relevant stakeholders in the standardisation process, effective dissemination activities and the best possible measurement of the impact. The European Standardisation Organisations have agreed, to apply this schema, on a voluntary base, already to the eSAP 2003 contracts. From 2004 onwards, the performance indicators will be integrated into the Technical Annex of the contract and are subject to agreement between the partners.

Availability of the report

Paper or electronic copy available on request from: A. Lehouck (DG ENTR).

9. ENVIRONMENT

Intermediate Evaluation on the Implementation of the Financial Instrument for the Environment (LIFE)

Name of the programme(s)/activity(ies) concerned: Environmental programs and projects; Global environmental affairs

Number of the ABB activity(ies) concerned: 07 03; 07 02

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	02/2002 - 07/2003	A. Salsi/G. Maiorca	External

Purpose of evaluation

The overall objective of the evaluation is to provide the Commission with a review and assessment of the strengths and weaknesses of the current programme including recommendations for further evolution and enhancement of LIFE. More specifically, the evaluation had to assess how efficiently have resources devoted to the Programme been converted into outputs or impacts, how the Programme is managed and how it has performed as well as to consider to what extent the impacts of the programme compare with stakeholder needs at the national and EU level.

Summary of findings and recommendations

General

There is abundant evidence that the programme contributes to the implementation of environmental policy. However it is less clear as to whether LIFE contributes to stimulating debate and developing policy or legislation. This is not surprising since the Programme is comprised of three very different thematic components, each with its own objectives. Of these components, only LIFE Environment has an objective to develop Community policy. The remaining two components, LIFE Nature and LIFE Third Countries are concerned with implementing current policies and developing capacity for their implementation. In general, dissemination of results should be improved for all the three components of the Programme.

Management

The LIFE programme is efficiently managed and controlled using systematic and rigorous procedures introduced by the unit managing the programme. However, the processes are bureaucratic and may be simplified as transparency in the project selection can be improved. ESAP and Butler databases should be considered as representing best practice and should be adopted or used as models for a future LIFE programme or for its successor. It is recommended that the LIFE reviews processes periodically in order to streamline them.

Life Nature

LIFE Nature has been a necessary and highly effective instrument for implementing the 'Birds and Habitats' directives but it should not be the sole instrument. LIFE Nature should continue to have a significant role in driving the implementation of 'NATURA 2000' or serve as a model for future instruments with an emphasis on building capacity for implementing 'NATURA 2000'. Consideration should be given to expanding the scope of LIFE Nature to include countries bordering the Black Sea. LIFE Projects should be systematically followed up several years after completion, to facilitate evaluation of sustainability or assess whether project replication was possible. A communication strategy should form a key part of any similar future programme.

LIFE Environment

There is only very limited evidence that LIFE Environment is supporting "preparatory actions" to assist the testing, update and development of either EU or Member State policy. However, there is good evidence that LIFE Environment has demonstrated and proven a variety of clean technologies the adoption of which will aid the implementation of EU environmental policy in key areas such as: improving water quality and recycling waste. It is felt that LIFE projects are most effective where the private and public sectors work together and where larger SME's are involved. Consideration should be given as to how greater impact can be achieved at the European level. One possible option is to focus LIFE Environment funding on larger multi-country projects with a pan-European dimension, leaving Member States to fund smaller projects under their own programmes. Another is to continue to support the type of project that is currently

funded, but to then set aside a budget for monitoring the technical success of the project and “marketing” the results of the project for replication across the Community.

Life Third Countries

LIFE Third Countries projects are contributing significantly to developing capacity in third countries, it fills an important niche in that it is able to respond relatively quickly and flexibly to the environmental need and priorities of third countries. The more developed Third Countries tend to be more successful in winning projects because they generally submit better quality proposals. The unit in charge of the management of LIFE should develop a list of priority countries for the proposal selection process or provide support to the neediest countries on proposal development. Consideration should be given to expanding LIFE Third Country coverage to include Serbia-Montenegro, Macedonia and the Western NIS countries that border the Black Sea.

Main evaluation methods and data used

Field studies with: Interviews - Primary data from interviews, surveys, etc - Literature/experts - Cost-effectiveness analysis - Cost-benefit analysis

Action taken / follow-up planned

Some of the recommendations from the external evaluation report have been included in a report for the Council and the Parliament and in the proposal for the extension of the LIFE programme. An action plan for the follow-up of the recommendations is being developed and should be finalised by the end of 2003.

Availability of the report

Will be published at: <http://europa.eu.int/comm/environment/life/news/index.htm>

(Paper or electronic copy available on request from: A. Salsi (DG ENV).)

Intermediate Evaluation on the progress of, and tasks undertaken by, the European Environment Agency in relation to the Community's overall policy on the environment

Name of the programme(s)/activity(ies) concerned: Implementation of environment policy

Number of the ABB activity(ies) concerned: 07 04

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	04/2003 - 08/2003	H. Stielstra/G. Maiorica	External

Purpose of evaluation

The aim of this evaluation, called for by Regulation 1933/1999 establishing the European Environment Agency (EEA), is to assess the contribution and the performance of the EEA to environmental policy-making in Europe and clarify an appropriate role that the agency can play in the future. The external evaluation study will be the key input for a Commission Report to the Council of Ministers at the end of 2003. On the basis of the Commission report, the Council shall review the progress of, and tasks undertaken by, the Agency in relation to the Community's overall policy on the environment.

Summary of findings and recommendations

Core Mission and Principal Clients

Given the divergent expectations and demands of its clients, the EEA shall clarify its mission and brand image. The Agency shall determine its own work programme and respond to the needs of different clients, supporting the work of EU institutions within the policy cycle. The absence of a system for the collection and analysis of reliable and comparable information on the state of action in the Member countries has restricted the EEA's potential contribution to the development of "sound and effective" environmental policies, and should be addressed as a priority.

Resources

The Agency's budget should be reviewed in the light of the new tasks required. The EEA should recruit significantly more staff qualified to undertake policy analysis work, reducing reliance on short-term national experts. A strategic perspective on the scale of resources needed by EEA in the medium term is necessary. The circumstances in which the EEA may legitimately request supplementary funding for particular tasks should be clarified.

Contribution to Policy Process and relationship with Parallel Organisations

The EEA has a legitimate role in supporting most stages in the policy cycle. However, it should continue to focus a substantial share of its activity on data gathering and state of the environment reporting, as these are core areas of its activities in which it adds value to the policy process. The EEA and DG Environment should both address the question of improving EEA's co-operation with EUROSTAT in a proactive way. Co-operation with other parallel organisations should also be strengthened. The EEA's autonomous status is important in reinforcing the credibility of its findings and outputs.

Effectiveness of EIONET

The EEA website should present a clear document explaining EIONET. The Management Board should undertake a comprehensive review of the structure, and some aspects of EIONET should be considered for reform.

Governance Structures

The Agency should review the size and structure of the Management Board and its procedures for preparing the work programme. The Commission should reinforce its contributions to the EEA planning cycle, and consider how this and its own planning cycle could be better co-ordinated. The role of the Scientific Committee should be reviewed with a view to enhancing its contribution to the Agency's outputs and activities.

Effectiveness of Outputs

The value and structure the EEA's high profile and costly reports should be reviewed to determine which aspect deliver benefits to which target audience. It is recommended that "Europe's Environment: The Fourth Assessment" should provide information in a radically different form to the 'Third Assessment', as should the next EU State of the Environment report (2005).

Future Challenges

To take account of future uncertainties as regards the policy priorities of the new Commission, and important structural changes which might result from the IGC, a mid-term review of the Multi-annual Work Programme should be undertaken in 2005.

Main evaluation methods and data used

Logical Framework/Diagram - Other structuring tools: EEA Activity Matrix- Field studies with: Interviews - Primary data from interviews, surveys - Ad hoc research - Case studies - Output analysis

Action taken / follow-up planned

Some of the recommendations have been considered in drafting a Commission report to the Council. A follow-up action plan is being drafted by DG ENV and will be available by the end of December 2003.

Availability of the report

Published at: <http://europa.eu.int/comm/environment/pubs/eea.htm>

10. EUROPE AID CO-OPERATION OFFICE

Evaluation of the Integration of Gender in EC Development Co-operation with Third Countries

Name of the programme(s)/activity(ies) concerned: Development co-operation policy and sectoral strategies

Number of the ABB activity(ies) concerned: 21 02

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	04/2002 - 03/2003	L. Charpentier	External

Purpose of evaluation

The evaluation addresses how gender is integrated within the policy framework; the institutional set-up, culture, capacity and resources; the procedures and instruments for managing development co-operation (country strategies, sector programmes and projects, budget lines); the Country Strategy Papers (CSP) and dialogue in partner country and the programmes and projects. Main purpose of the evaluation is to verify the logic and consistency of actions, as well as their expected impacts, with the stated objectives of: (i) integrating gender issues into EC's development co-operation; (ii) mainstreaming gender within projects, and programmes; (iii) strengthening the Commission's internal gender capacity.

Summary of findings and recommendations

The report shows that the endorsement of mainstreaming and adoption of a consistent gender equality regulatory framework by the EU does not yet translate into structural changes:

- The strong regulatory framework on gender equality is not yet easily understandable and accessible to staff and co-operation partners who, as a result, have a very low knowledge of the objectives and strategy of the EC and perceive gender as being very low on the list of EC priorities. This has been reinforced by the lack of clear motivational declarations or guidance from the highest political authorities on the importance of gender mainstreaming that would trickle-down through the hierarchy.
- Compared to budget allocations available to other horizontal issues, the financial resources specifically allocated to support the integration of gender in development co-operation are negligible. An insufficient level of staffing combined with a strong imbalance between the extraordinarily broad task of gender mainstreaming and the institutional capacity set aside for this task ("gender desks") has led to a non-operationalisation of policy commitments.
- In general, gender has been treated in a formalistic and limited way in CSPs as well as during the political dialogue prior to their formulation. Although standard references to 'gender as a cross-cutting issue' can be found in most CSPs, they are very rarely translated into any strategy. The EC's comparative advantage in the infrastructure, productive and economic sectors is not optimised since those remain largely 'gender blind'.
- The near total absence of information and disaggregated data, and no systematic monitoring or evaluation, makes it nearly impossible to identify any positive or negative impact of EC actions on women's and men's relative situation. This, in turn, places a severe constraint on informed policy-making and the formulation of appropriate strategies and interventions to reduce gender inequalities.

In order to achieve a sustained improvement in the integration of gender in EC development co-operation, the report recommends:

- A firmer "anchoring" of gender mainstreaming within the institution is a pre-condition for further progress. A coherent and clearly understandable statement on Community objectives concerning gender equality should be formulated by the EC highest political authorities and disseminated through the entire RELEX family.
- A strong, visible and adequately resourced structure for gender mainstreaming should be created and located in a stable and high-level position within the Commission services. Financial resources specifically allocated for gender mainstreaming should be increased and made available within all mainstream resources (training budgets, budget lines, regional programmes, country/sector support, etc.).
- Gender should be integrated into key management procedures and instruments at critical points in the cycle of strategies so as to prompt appropriate responses when assessments and decisions are being made. Gender should also be integrated into key indicators (systematic desegregation by sex) and in monitoring and reporting systems to ensure that gender equality is effectively taken into account and to enhance visibility of EC's efforts on gender mainstreaming.

- A central and visible source of “information and resources” (with reliable data, concrete examples of practice, etc.) should be created and be made easily accessible to development partners at country level and to those involved in managing programmes and projects.

Main evaluation methods and data used

Logical Framework/Diagram - Desk research - Field studies with: Interviews, Surveys, Focus groups - Primary data from interviews, surveys, etc - Secondary data from: Monitoring system, Literature/experts – Case studies - Multi-criteria analysis

Action taken / follow-up planned

The final report was transmitted to the members of the Board of EuropeAid Co-operation Office and distributed to the relevant services within the Commission. A 'fiche contradictoire' with main recommendations was circulated within the Commission in order to collect answers from the relevant services. The AIDCO evaluation unit organized a joint conference with SIDA to disseminate the results of this evaluation, together with the results from the evaluation of gender mainstreaming (2001), in Brussels on 27/28 November 2003.

Availability of the report

Published at: <http://europa.eu.int/comm/europeaid/evaluation/program/sectorrep.htm>

Evaluation of EC Country Strategy for Ukraine 1996-2003

Name of the programme(s)/activity(ies) concerned: Relations with Eastern Europe, Caucasus and Central Asian Republics

Number of the ABB activity(ies) concerned: 19 06

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post/Intermediate	05/2002 - 06/2003	S. Robbins	External

Purpose of evaluation

This evaluation focuses on the European Commission's development co-operation strategy for Ukraine, with a special focus on the impact (ex-post evaluation) of the 1996-1999 Indicative Programme (IP) and on the relevance of the current IP for 2000-2003. Financial commitments to Ukraine under the 1996-99 and 2000-03 IPs (Annual Action Programmes and Facilities) totalled approximately € 137 million and € 196 million respectively. The main purpose of the study was to draw out key conclusions and lessons from the programmes mentioned above, especially on their relevance, efficiency, effectiveness, impact and sustainability as applicable and, in the light of them, present recommendations for use in the Commission's future Country Strategy for Ukraine.

Summary of findings and recommendations

Key findings

- The Commission's overall ability to implement the Partnership and Co-operation Agreement (PCA) was impeded by changes in the local political climate during the period between design and signature, and since then by persistent Ukrainian doubts as to the PCA's appropriateness as a foundation for EU-Ukraine relations. Moreover, the apparent effectiveness of components of the PCA programme has been constrained by its orientation to project-driven rather than strategy-driven approaches, a further weakness being an absence of milestones or benchmarks against which to assess the overall sustainability and coherence of its outcomes.
- Against a background of an overall clear deterioration in governance during the period under review, the influence of TACIS in encouraging sounder and more transparent attitudes by civil servants has proved difficult to assess. But, on the positive side, the TACIS programme has provided, through its NGO programme, very strong support for the emergence of civil society, the usual watchdog for governance. Moreover, there appear to be significant opportunities for TACIS support for the decentralisation policies which are now showing clear signs of being realised, with regional authorities and associations benefiting from increased power and revenues.
- TACIS attempts to promote a favourable business environment have had mixed impact, adverse factors including frequently low involvement of final beneficiaries in small and medium enterprise (SME) support, coupled with limited demand for SME business support service consultancies and inadequate dissemination of the results of the privatisation process. But, on the positive side, TACIS has played a positive role in overcoming serious local constraints in availability of credit for SMEs. Moreover, the direct impact of the Fuel Gap project was considerable.
- TACIS interventions have succeeded in enhancing Ukraine's capacity for defining and sharing strategies, especially in training. But further progress is still needed in such areas as monitoring and, in particular, in co-operation on approximation and harmonisation of standards, which is the core activity of the Ukraine European Policy and Legal Advice Centre (UEPLAC - the main implementation project for the PCA).
- There is evidence of positive policy impact in Justice and Home Affairs (JHA) programmes and in Cross-Border Co-operation (CBC) on Ukraine's EU borders from 2004 (with Poland, Hungary and Slovakia). Appropriate infrastructure and trained customs authorities in Ukraine will facilitate better border management and the facilitation of legitimate trade flows with the enlarged EU.

Main recommendations

In the light of these conclusions the Commission should give priority to:

- Developing PCA benchmarks and roadmaps for discussion at a workshop at which high-level Ukrainian decision-makers would be present, so as to facilitate better mutual understanding of each other's positions;
- Supporting the setting-up of a comprehensive support structure for NGOs and other key non-state actors, encouraging increased transparency at all levels to create an overall framework conducive to good governance and effective decentralised partnerships between NGOs and local authorities; and also taking full advantage of current opportunities provided by the decentralisation process as a key element in helping to bring about impact at municipal/local levels;

- Creation of a favourable environment for business and investment in co-ordination with other donors, encouragement of measures to open the economy and further stimulate entrepreneurship, and devising of measures to stimulate demand for business support services;
- Focusing on operational matters which directly help advance the approximation and harmonisation of standards;
- CBC and JHA programmes should be expanded to Ukraine's other vulnerable borders, increasingly seen as the front line against trafficking.

Main evaluation methods and data used

Logical Framework/Diagram - Desk research - Field studies with interviews - Primary data from interviews, surveys, etc. - Secondary data from: Monitoring system - Case studies,

Action taken / follow-up planned

The draft final report has been extensively discussed with the major stakeholders during a seminar in Ukraine. The final report was distributed within the Commission services (DG DEV and AIDCO) and to the Delegation, both in hard copy and via the Internet. Internal meetings took place in order to prepare a 'fiche contradictoire' and to discuss the implementation of recommendations.

Availability of the report

Published at: <http://europa.eu.int/comm/europeaid/evaluation/program/tacisrep.htm>

Evaluation of the EC Country Strategy for Morocco

Name of the programme(s)/activity(ies) concerned: Relations with the Middle East and South Mediterranean

Number of the ABB activity(ies) concerned: 19 08

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	03/2002 - 07/2003	N. Delcroix	External

Purpose of evaluation

Purpose of the evaluation was to provide the Commission with key findings and lessons of experience from the Commission's past and current assistance to Morocco. Taking account of Morocco's political, economic, social and environmental framework, it will present those findings and lessons, along with a set of detailed recommendations, in a report designed primarily to provide the Commission's policy-makers and managers with a valuable aid to the implementation of the current Country Strategy

Summary of findings and recommendations

Key findings

- The relevance of the present EC Country Strategy (2002/2006) and of the related co-operation initiatives is high both in respect of the Moroccan priorities and of the Commission objectives.
- Constant improvements have been made to the strategy after the programme 1996/99, which was based on the protocols period, and which contained programmes without all the coherence required. The strategies defined since 2000 introduce the basis for an accrued relevance and consistency. The ratification of the Association Agreement calls for a better prioritisation of the strategic objectives.
- The strategy for Morocco is well translated into programmes and projects consistent with the strategy.
- Evidence of positive (more expected than achieved) impact has emerged, and the Commission's role in donor co-ordination has been positive.
- There is a margin for improving synergies between programmes and in the area of complementarities and co-ordination with other donors, and there is an important margin for improving efficiency of Technical Assistance. Moreover Commission procedures do not favour a speedy implementation of our co-operation.

Main recommendations

- In line with the importance attached to the Association Agreement and the establishment of a free trade area between Morocco and the EU by the year 2012, the present objectives of the strategy should be better prioritised. The objective of "contributing to the preparation of the economy and the society for the establishment of the free trade area" should be the overall objective of the EC strategy. The other objectives and interventions of the Commission should then be grouped around specific objectives which should all contribute to the overall one. These are: (a) continue the support to public sector reform and economic reforms; (b) support the diversification and modernisation of the economy, on the basis of the reforms; (c) take into consideration the groups of the population, which could be affected by the implementation of the economic reforms and industrial modernisation; (d) support good governance, human rights and environment in the framework of the reform programmes. The project and programmes foreseen for the period 2002/2006 should be linked to these objectives and should be designed considering their contribution to the overall objective.
- Strengthen the complementarities between structural adjustment programmes and projects, and improve co-ordination between the various Commission instruments (MEDA, other budget lines, regional and horizontal programmes).
- Continue seeking the complementarities and co-ordination with Member States and other donors.
- Better inform the Moroccan public and private stakeholders on the strategic objectives of the EC co-operation.
- Review the role of long-term technical assistance related to projects and improve the effectiveness of EC co-operation by continuing the de-concentration process and simplifying procedures.

Main evaluation methods and data used

Logical Framework/Diagram - Desk research - Field studies with: Surveys, Direct observation - Primary data from interviews, surveys, etc. - Secondary data from: Monitoring system, Statistical agencies, Literature/experts

Action taken / follow-up planned

Recommendations and related responses of the services were established in a published 'fiche contradictoire'. Action on recommendations will be followed-up after 12 months.

Availability of the report

Published at: <http://europa.eu.int/comm/europeaid/evaluation/program/medrep.htm>

Evaluation of the EC Country Strategy for Malawi

Name of the programme(s)/activity(ies) concerned: Relations with Sub-Saharan Africa, the Caribbean, Pacific and Indian Ocean and Overseas Countries and Territories

Number of the ABB activity(ies) concerned: 21 03

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	11/2002 - 09/2003	P. van Steekelenburg	External

Purpose of evaluation

The objective of the evaluation is to provide the Commission with key findings and lessons from the Commission's past (1995 - 2002) and current (2003 - 2007) co-operation with Malawi. Taking account of the country's political, economic, social and environmental framework, those findings and lessons, along with a set of detailed and operational recommendations, will be presented in a report designed to provide the Commission's policy-makers and managers with a valuable aid to implement the past and current strategies.

Summary of findings and recommendations

Key findings

- (1) **Governance:** Many interventions, while effective in delivering the planned results, failed to deliver the expected impact as the Government's stated policies and commitments were frequently unimplemented or ignored. This has been a particular concern since 1999.
- (2) **Health:** interventions failed to achieve the desired impact. Access to services improved only when external funding was present, and even then suffered where there was heavy dependence on government inputs. Staffing, communications and drug supply deficiencies reduced effectiveness, and decentralisation will heavily test improved planning ability. The decision to drop the sector as a focus in the current CSP appears manageable without creating a gap in overall donor support
- (3) **Food security** slightly improved at household level, but not in a sustainable way and mainly due to donor grants. At national level, it remains volatile due to mismanagement of strategic reserves and major crisis-driven state interventions, which hinder private sector capacity development. Progress was made in natural resource management in target areas, but wider dissemination of successes has not occurred. Sustainability will require capacity building at central, local and institutional levels.
- (4) **Transport sector:** Commission interventions (i) significantly enhanced physical access and reduction of transport costs on the main network, but sustainability is doubtful because of the government's unwillingness to meet network maintenance costs, (ii) improved road links to international borders, but related interventions in neighbouring countries have had a greater impact on costs. Support to Malawi's international transport corridors still lacks an overall approach.
- (5) **Means.** Government policy improvements are often un-enforced and un-implemented. Local ownership, improved mainly through Commission interventions, is at risk due to human resource constraints in public institutions. Instruments and modalities were generally appropriate with some major exceptions (inadequate financial instruments for the transport corridor, too many different objectives of Structural Adjustment Facilities, and unclear management in food security causing inefficient implementation and "short-termism").

Key Main recommendations

These conclusions led the evaluators to recommend that the Commission should do the following:

- (1) **Governance:** Engage the Government in comprehensive dialogue on this crucial issue, identifying jointly for key problems realistic achievable solutions promising good impact, nationally and locally, and aiming at eventual application of a sector-wide approach to the Rule of Law Programme. This will require overarching CSP themes of good governance and accountability.
- (2) **Health sector:** Develop an effective exit strategy to ensure effective completion of the programme, sustainability of results and integration of follow-up in a multi-donor sector wide approach.

- (3) **Food security/natural resources:** Aim at fewer, better-defined results, supporting key reforms while linking financial support to progress on governance; promote coherence in agricultural productivity; support capacity building at all levels; promote synergies between interventions; and promote wider dissemination of successful technologies and management systems.
- (4) **Transport:** Work with Government and other stakeholders to (i) ensure adequate sustainable road maintenance funding, with further investments linked to implementation of commitments, (ii) prioritise the maintainable and affordable road network including rural access, (iii) clarify with the respective governments the priority given to transport corridor development through Mozambique, and (iv) integrate gender, HIV/AIDS and environment into the sector strategy.
- (5) **Means:** Promote focus of the macro-economic instrument on improved fiscal and public finance as a main instrument for rewarding improved financial governance in line with the Malawi Poverty Reduction Strategy Paper; develop a strategy for addressing the institutional development and human resources problem across the programmes; and enhance the Delegation's and the National Authorising Officer's capacities to manage the Programme adequately at its current scale with the new governance focus.

Main evaluation methods and data used

Logical Framework/Diagram - Desk research - Field studies with: Interviews, Direct observation – Primary data from interviews, surveys, etc. - Secondary data from: Monitoring system, Literature/experts

Action taken / follow-up planned

- Feedback seminar in the country with national authorities, other main stakeholders, other donors
- Publication of the report on the website of the AIDCO evaluation unit
- Publication of a 'fiche contradictoire' alongside the report
- Transmission of the report to the Management Board AIDCO and DG DEV

Availability of the report

Published at: <http://europa.eu.int/comm/europeaid/evaluation/program/acprep.htm>

Evaluation of the EC Country Strategy for Bangladesh

Name of the programme(s)/activity(ies) concerned: Relations with Asia

Number of the ABB activity(ies) concerned: 19 10

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post/Intermediate	09/2002 - 12/2003	L. Charpentier	External

Purpose of evaluation

The primary objective of this evaluation is to provide the Commission with key findings and lessons of experience from the Commission's past (1993-1998) and current (1999-2001) co-operation with Bangladesh. Furthermore, it is also intended that this exercise will contribute to the setting up of a methodology and framework for future final and ex post evaluations (as well as monitoring) of the Country Strategies and programming for Bangladesh. This evaluation should also provide the Commission with a framework for the final and ex post evaluations of the Country Strategy 2002 - 2006. Therefore, the main coverage of this evaluation was threefold: (1) an **ex-post evaluation** of the impact of EC co-operation strategy with Bangladesh over the periods 1993-1998 and 1999-2001; (2) an **assessment** of the relevance, logic and coherence, as well as the intended impacts of the EC country strategy for Bangladesh for 2002-2006 and NIP 2003-2005; (3) a contribution to the structuring of a methodological framework for the final and ex-post evaluations of the country strategy 2002 - 2006.

Summary of findings and recommendations

Key findings

- **The Commission has worked hard, along with others, to facilitate 'ownership' by the Government of Bangladesh (GoB) of Commission-supported interventions, but prospects for impact and sustainability are uncertain.** Each of the EC's three strategies has been aligned with GoB objectives. The main weakness has been the failure to address, both in specific interventions and horizontally, EC strategic bilateral objectives of governance, democracy and human rights crucial to the effective implementation of the EC/EU – Bangladesh partnership.
- **The EC has had very little impact on trade co-operation or economic development,** although trade flows are more important to Bangladesh than aid flows.
- **Although vocational training, formal employment and non-farm self-employment** were priority components in all three Strategies, and despite the explicit link between education and poverty alleviation through employment, synergy has not been developed between education and employment interventions.
- **The EC's Health and Non-Formal Primary Education interventions were generally aligned with GoB objectives** and contributed to improved access to health and reproductive services, especially for women in rural areas. However the EC's strategic approach was initially too 'supply' driven, and the benefits did not adequately reach the poorest.
- **A considerable contribution has been made to sustainable rural development and food security.**

Main recommendations

- Current high level pressure from the Commission on GoB to improve performance on human rights, democracy and the politicisation of donor funded interventions should be maintained in liaison with other stakeholders.
- Reformulate the EC's objectives under the third strategy in terms of wider EC strategic objectives relevant to Bangladesh, rather than, as at present, in terms of sectors.
- Develop a strategy for trade, and particularly, for mitigating the adverse effects of the ending of the Multi-Fibre Agreement (MFA).
- Strengthen support to employment and vocational training. The level of support for employment/ vocational training, which is a long-standing strategic objective, should be increased.

Main evaluation methods and data used

Logical Framework/Diagram - Desk research - Field studies with: Interviews, Surveys, Direct observation - Primary data from interviews, surveys, etc - Secondary data from: Monitoring system, Literature/experts - Case studies

Action taken / follow-up planned

The evaluation results will be taken into account in the mid-term review and formulation of the successor to the current CSP. A seminar of diffusion of preliminary findings and recommendations took place in the EC Delegation in Dhaka. The Commission services will draft a published response to the principal conclusions and recommendation.

Availability of the report

The report is not yet published. A paper or electronic copy is available on request from: L. Charpentier (AIDCO).

Evaluation of the EC Economic Co-operation with MED Countries

Name of the programme(s)/activity(ies) concerned: Relations with the Middle East and South Mediterranean

Number of the ABB activity(ies) concerned: 19 08

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	09/2001 - 12/2003	N. Delcroix	External

Purpose of evaluation

Main purpose of the evaluation is to assess and make recommendations on how economic cooperation has contributed, and might be contribute better, to the objectives set out in the MEDA programme. It should also produce guidelines on elements to take into account when designing economic cooperation initiatives in the framework of country and regional programmes.

Summary of findings and recommendations

Key findings

- Economic cooperation of the EC with MED countries during the 1995-2001 period was highly relevant. However the lack of an explicit strategy at the country level during that period does not allow concluding that in each single country MEDA economic cooperation targeted the most acute constraints.
- Overall effectiveness of the EC economic cooperation with MED partner countries was reasonably good but did not achieve all its potential. Synergies in this area between technical assistance projects and structural adjustment initiatives and/or EIB loans were mobilised to a limited extent. Development of the private sector was effectively supported by number of interventions, but suffered from the lack of national policies addressing the main weaknesses of the economies. Access to external financing sources by SMEs was addressed from one country to another through a variety of interventions (technical assistance, credit guarantee lines, risk capital) without a comprehensive approach, and it did not deliver fully satisfactory results. Trade facilitation was mainly addressed by regional projects. While these ones were quite effective, they remained disconnected from bilateral activities.
- Management of the EC economic cooperation programmes revealed serious inefficiencies, which resulted in implementation delays and interruptions. To solve these problems, a de-concentration process has taken place from January 2002 onwards.
- The outcome of the EC economic cooperation with MED countries is likely to be durable. However sustainability would have been better secured if more had been done to develop local capacity to supply consultancy services.

Main recommendations

- At strategic level: Continue and improve the practice of designing (and regularly update) an explicit strategy at country level; Assist partner countries in identifying their strengths and weaknesses with respect to social and economic development, and in designing their own strategies and programmes to prepare the establishment of the Euro-Mediterranean Free-Trade-Area.
- At programming level: Link structural adjustment facilities and technical assistance projects; Develop complementarities with regional programmes and with EIB lending activities; Adopt a comprehensive approach to the financing of SMEs: The newly created Facility for Euro-Mediterranean Investment and Partnership (FEMIP) is a very important step in this direction; Devote more attention to the enhancement of trade and external economic relations.
- At implementation level: In general, the process of “de-concentration” should favour more efficient management of the projects. Project preparation (assumptions and risks should be investigated in depth and lessons learnt from previous projects should be better considered) should be strengthened and close follow-up of the projects ensured. Prompt intervention is necessary when a project is facing problems. Where conditions are met, full responsibility should be given to local authorities on the management of the projects. The development of local consultancy capacities should be supported.

Main evaluation methods and data used

Logical Framework/Diagram - SWOT analysis - Desk research - Field studies with: Surveys - Primary data from interviews, surveys, etc. - Secondary data from: Monitoring system, Statistical agencies, Literature/ experts

Action taken / follow-up planned

Recommendations and related responses of the services were established in a published 'fiche contradictoire'. Action on recommendations will be followed up after 12 months.

Availability of the report

The report is not yet published. A paper or electronic copy is available on request from: N. Delcroix (AIDCO).

Evaluation of the Rehabilitation and Reconstruction Actions financed by the EU in ACP, ALA, MED and TACIS Countries

Name of the programme(s)/activity(ies) concerned: Relations with Eastern Europe, Caucasus and Central Asian Republics; Relations with the Middle East and South Mediterranean; Relations with Latin America; Relations with Asia; Relations with Sub-Saharan Africa, the Caribbean, Pacific and Indian Ocean and Overseas Countries and Territories; Development co-operation and sectoral strategies

Number of the ABB activity(ies) concerned: 19 06; 19 08; 19 09; 19 10; 21 03; 21 02

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post/Intermediate	09/2002 - 12/2003	O. Henao-Triana	External

Purpose of evaluation

The object of the evaluation is to provide for the Commission a full and structured assessment of the results of the rehabilitation and reconstruction actions financed by the EC in the ACP, ALA, MED and TACIS countries and to allow drawing lessons from the passed and the current experience in the field.

Summary of findings and recommendations

Key findings

- The relevance of the actions is high and corresponds to the actual needs of the population. It is strong at local level but less at national level regarding the satisfaction of needs in capacity reinforcement. This relevance is decreasing if the need for rapid response or the strategic concept of disaster prevention and reducing political risks is taken into account.
- The overall impact is weak regarding the specificities of rehabilitation (crisis approach) due to the lack of determination in the strategic approach vis-à-vis local actors and crisis problems, the important delays in launching of the programmes as well as the weak attention that is given to capacity reinforcement.

Main recommendations

- Put together the instruments of crisis management around a specialised management unit
- Strengthen a management culture 'by objectives' more in line with the Financial Regulation
- Define a Community policy for the management of the natural and political risks.

Main evaluation methods and data used

Logical Framework/Diagram - Desk research - Field studies with: Interviews, Surveys - Primary data from interviews, surveys, etc. - Secondary data from: Monitoring system, Literature/experts - Case studies

Action taken / follow-up planned

Recommendations and related responses of the services will be established in the form of a 'fiche contradictoire' in January 2004 and sent to the Management Board of AIDCO and DG DEV. Action on recommendations will be followed up after 12 months.

Availability of the report

The report is not yet published. A paper or electronic copy is available on request from: O. Heano-Triana (AIDCO).

Evaluation of Population and Development oriented Programmes in EC External Co-operation

Name of the programme(s)/activity(ies) concerned: Relations with Eastern Europe, Caucasus and Central Asian Republics; Relations with Western Balkans; Relations with the Middle East and South Mediterranean; Relations with Latin America; Relations with Asia; Relations with Sub-Saharan Africa, the Caribbean, Pacific and Indian Ocean and Overseas Countries and Territories; Development co-operation and sectoral strategies

Number of the ABB activity(ies) concerned: 19 06; 19 07; 19 08; 19 09; 19 10; 21 03; 21 02

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post/ Intermediate	06/2002 - 12/2003	P. van Steekelenburg	External

Purpose of evaluation

The objective of this evaluation is to provide the Commission with an independent expertise to assess the nature and evolution of its objectives and policies on the issue of population (including settlement and migration) in external co-operation programmes as well as the evolution and volume of programmes concerned. The evaluation should also assess the relevance, effectiveness, efficiency, sustainability and impact, and internal/external coherence of EU interventions in that field. The primary purpose of the evaluation is to achieve improved coherence and application of the Commission's approach to 'Population and Development' in partner countries.

Summary of findings and recommendations

Key findings (provisionally on the basis of the draft final report)

- EC supported interventions were relevant to the needs of beneficiaries and targeting was generally good.
- EC actions in this area, taken as a whole, have been effective, while the implementation picture is mixed.
- Population-related interventions are a very efficient way of addressing poverty and inequity: The link between population policy and poverty reduction should be strengthened.
- While at a general level the outlook for sustainability of population and development interventions is good, for individual interventions (including actions executed by NGO) continuity prospects are modest. More attention should be paid to self-financed health care and to possible NGO and private sector roles.
- Strategic linkages and synergies between population and development actions and other policies/programmes of assistance like education, environment, gender, regional and urban development should be strengthened.
- The implications of internal and international migration on population concerns should be incorporated into EC Country Assistance Strategies and programme design, in view of greater internal coherence.
- Strengthening of national capacity to enhance viability of reproductive and sexual health programmes is recommended, as well as more emphasis on coordination with Member States and local stakeholders.

Main evaluation methods and data used

Logical Framework/Diagram - Desk research - Field studies with: Interviews, Surveys - Primary data from interviews, surveys, etc. - Secondary data from: Monitoring system, Literature/experts - Case studies

Action taken / follow-up planned

Recommendations and related responses of the services will be established in the form of a 'fiche contradictoire' as soon as possible after approval of the final report and sent to the Management Board of AIDCO and DG DEV. A Feedback Seminar will be organised early 2004. In general, action on recommendations will be followed up after 12 months.

Availability of the report

The final report is not yet approved and published. A paper or electronic copy will be available on request after approval from: P. van Steekelenburg (AIDCO).

Evaluation of the EC Country Strategy for Egypt

Name of the programme(s)/activity(ies) concerned: Relations with Middle East and South Mediterranean

Number of the ABB activity(ies) concerned: 19 08

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	03/2003 - 12/2003	N. Delcroix	External

Purpose of evaluation

Main purpose of the evaluation is to provide the Commission with key findings and lessons of experience from the Commission's past and current assistance to Egypt. Taking account of Egypt's political, economic, social and environmental framework, it will present those findings and lessons, along with a set of detailed recommendations, in a report designed primarily to provide the Commission's policy-makers and managers with a valuable aid to the implementation of the current Country Strategy.

Summary of findings and recommendations

Key findings (provisionally on the basis of the draft final report)

The results of the evaluation indicate that the strategy has been in line with Government of Egypt's objective of economic social and political stability. It also indicates that the EC should now consider being a more pro-active agent of change in economic, social and political reforms. Achievement of objectives has been mixed and hampered by the slow progress of economic reforms. The predominance of large technical assistance-based projects has led to problems of ownership and low disbursement.

Main recommendations (provisionally on the basis of the draft final report)

The EC should support the implementation of the Association Agreement with Egypt in all its dimensions: political, economic and cultural. The EC should define clear objectives for the promotion of balanced social development and social protection, and address the strategic goals of democracy and human rights. Consultation with local stakeholders should be improved. The EC should explore the possibility of moving away from large technical assistance programmes towards budget support.

Main evaluation methods and data used

Logical Framework/Diagram - Desk research - Field studies with: Surveys, Focus groups, Direct observation - Primary data from interviews, surveys, etc - Secondary data from: Monitoring system, Statistical agencies, Literature/experts

Action taken / follow-up planned

Recommendations and related responses of the services will be established in the form of a 'fiche contradictoire' as soon as possible after approval of the final report and sent to the Management Board of AIDCO and DG DEV. Action on recommendations will be followed up after 12 months.

Availability of the report

The final report is not yet approved and published. A paper or electronic copy will be available on request after approval from: N. Delcroix (AIDCO).

11. EUROSTAT

Authoritative Review of Agricultural Statistics

Name of the programme(s)/activity(ies) concerned: Production of statistical information; Policy strategy and coordination of Policy area Agricultural and Rural Development

Number of the ABB activity(ies) concerned: 29 02; 05 08

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	06/2002 - 12/2002	D. Peare	External

Purpose of evaluation

Regarding agricultural statistics, the main purpose of the evaluation was to:

- Assess the ability of the current EUROSTAT work programme and working methods to satisfy users;
- Assess to what extent constraints and limited resources of EUROSTAT's partners within the European Statistical System (ESS) enable them to assure their role as data suppliers;
- Assess to what extent the directives of the "5-year plan" are followed correctly in the area of agricultural statistics.

Summary of findings and recommendations

The *findings* include:

- 1) There is no real strategy deployment down to statistical operations.
- 2) The system works thanks to high skills but is not optimised.
- 3) There is a gap between EUROSTAT's and Member States' needs.
- 4) The data collection is too expensive for the Member States.
- 5) Access to EUROSTAT data not is easy enough.
- 6) The procedures are too long; inter-sector coordination should be improved.
- 7) Working parties constitute an opportunity to share information.
- 8) EUROSTAT output is not timely enough to meet users' and Member States' needs.
- 9) Data and meta-data should be improved.
- 10) While the technical assistance provided generally is good, there is no formal client relationship policy.
- 11) Users are not sufficiently informed on production cost and dissemination policies.

The following *recommendations* were made:

- 1) Define a real strategy for agricultural statistics and implement it through existing management tools and practices (DG AGRI/EUROSTAT)
- 2) Improve relationship between EUROSTAT and DG Agriculture (DG AGRI/EUROSTAT)
- 3) Improve communication and cooperation between EUROSTAT and Member States (Member States/ EUROSTAT)
- 4) Reduce the turnover time of the statistical process (Member States/EUROSTAT)
- 5) Find the appropriate method to work with 25 members (Member States/EUROSTAT)

- 6) Improve and broaden access to data (EUROSTAT)
- 7) Better disseminate the information on EUROSTAT services (EUROSTAT)
- 8) Publish EUROSTAT's performance (EUROSTAT)
- 9) Rationalise dissemination and price policies (EUROSTAT)

Main evaluation methods and data used

Desk research - Field studies with: Interviews - Secondary data from: Literature/experts

Action taken / follow-up planned

The evaluation findings have been discussed with DG Agriculture and presented to the Statistical Programme Committee (SPC). Follow-up is largely integrated with the work of the Task Force on the future of agricultural statistics (created by the SPC) and the expected outcome of the seminar on European Agricultural Statistics (in September 2004) organised by CEIES (European Advisory Committee on Statistical Information in the Economic and Social Spheres).

Availability of the report

The evaluation report is not published since the study was carried out for Commission internal use. A paper or electronic copy is available on request from: D. Peare (EUROSTAT).

Evaluation of the Co-operation with AFRISTAT

Name of the programme(s)/activity(ies) concerned: Production of statistical information

Number of the ABB activity(ies) concerned: 29 02

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	06/2002 - 12/2002	J. Heimann	External

Purpose of evaluation

The main purpose of the evaluation was to assess the effectiveness of the institutional, technical and financial management of AFRISTAT. AFRISTAT, located in Bamako (Mali), is an international organisation created by a Treaty signed in Abidjan on 21 September 1993 by the 14 African members of the Franc zone. Today, AFRISTAT comprises 18 member states. Any sub-Saharan country and any Indian Ocean country can apply to join AFRISTAT. AFRISTAT's objective is to reinforce development of economic, social and environmental statistics in its member states and to improve their competence in these areas. AFRISTAT is providing support for the activities of National Statistics Offices (NSO) in member states. It has statutory power in the area of harmonisation of concepts, international standards and statistical methods.

Summary of findings and recommendations

The *findings* include:

- 1) Mission and work plan have to be defined on creation of AFRISTAT to meet the needs of beneficiary countries.
- 2) There is a strong demand for extending the scope of intervention of AFRISTAT.
- 3) Since its creation, AFRISTAT has welcomed 4 new countries, and new countries have applied for accession
- 4) Impact of the work achieved by AFRISTAT is only visible to a certain extent after 5 years.
- 5) There was a development of regional statistical co-ordination, but lack of mobilisation of beneficiary countries.
- 6) After a good start-up, the work of the different bodies governing AFRISTAT may cause some issues.
- 7) The sustainability of the results achieved by AFRISTAT and member states is still fragile.

The following *recommendations* were made:

- 1) Definition of a mid-term multi-annual work plan adopted by the Council.
- 2) In the mid-term programme, areas of intervention are to be defined.
- 3) Define a strategy for the mid-term accession of new countries.
- 4) Assess harmonised methodologies and propose adaptations.
- 5) The mid-term work programme reinforces the statistical capabilities of the National Statistical Institutes, and AFRISTAT reinforces its technical expertise.
- 6) AFRISTAT governance should be improved through a clarification of the roles of the different bodies, better coordination between annual and mid-term work plans and better follow-up of the implementation of the work plan.
- 7) The work plan defines the allocation of resources spent by AFRISTAT and Member States in order to improve the sustainability of the projects.

Main evaluation methods and data used

Desk research - Field studies with: Interviews - Secondary data from: Literature/experts

Action taken / follow-up planned

The evaluation was part of a larger exercise on the future of AFRISTAT after 2005. The results of this work, including those of the evaluation study, have been examined by the Director General of the National Statistical Offices (NSO) of the AFRISTAT countries and were the basis of a series of proposals which led to the decision of the Council of ministers to continue AFRISTAT's operation for further 10 years.

Availability of the report

The AFRISTAT evaluation document has been distributed to all AFRISTAT member states and organisations participating in the Director's Committee meeting. A paper or electronic copy is available on request from: J. Heimann (EUROSTAT).

Rolling Reviews: Internal Evaluation of EUROSTAT's Data-producing Services

Name of the programme(s)/activity(ies) concerned: Production of statistical information

Number of the ABB activity(ies) concerned: 29 02

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	09/2000 - 04/2003	M. Karlberg	Internal

Purpose of evaluation

EUROSTAT is running a programme of internal evaluations of all its data-producing activities based on so-called 'Rolling Reviews'. This is a continuous process, having been started in 2000, that in due time should cover every data producing area. After the reviews of the European Statistical System, Research and Development and Innovation Statistics, EU Household Panel and Statistics on Income and Living Conditions and National Accounts carried out in 2002, the Labour Force Survey and Trading of Goods were under examination during 2003.

Summary of findings and recommendations

Evaluation findings differ for the different statistical areas examined. However, the evaluation reports have nevertheless a minor number of common points:

- A general problem is the large number of working groups, task forces and other committees through which the co-operation among EUROSTAT and the National Institutes of Statistics is organized. A number of recommendations are aimed at rendering more effective the decision making during the meetings of these working groups.
- All the evaluation reports find that there is a large scope for a broader contribution of national statistical institutes to the development of the European Statistical System.

Specifically related to the Labour Force Survey and the statistics on Trading of Goods, a set of recommendations have been made that deal mainly with improvement of various aspects of coordination (between EUROSTAT, Member States, other Commission services and international organisations); data transmission to EUROSTAT; various aspects of quality (accuracy, clarity, timeliness, comparability, completeness); the level of technical competence and professionalism of EUROSTAT staff; EUROSTAT's pro-activity towards policy-makers as well as with data protection and confidentiality.

Main evaluation methods and data used

Field studies with: Interviews - Secondary data from: Literature/experts

Action taken / follow-up planned

The implementation of concrete follow-up measures is done through specific actions plans. Furthermore, the outcomes of the Rolling Review exercise have been used as an input for the ex post evaluation of the Community Statistical Programme 1998-2002.

Availability of the report

A paper or electronic copy is available on request from: M. Karlberg (EUROSTAT).

Ex post Evaluation of the Statistical Programme 1998-2002

Name of the programme(s)/activity(ies) concerned: Production of statistical information

Number of the ABB activity(ies) concerned: 29 02

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	07/2003 - 10/2003	M. Karlberg	Internal

Purpose of evaluation

The evaluation of the Community Statistical Programme (CSP) 1998-2002 is mandatory according to Article 4 of the Council Decision 1999/126/EC of 22 December 1998: "At the end of the period covered by the Programme the Commission, after consulting the Statistical Programme Council, shall present an appropriate evaluation report on the implementation of the Programme, taking into account the views of independent experts. That report is to be completed by the end of 2003 and subsequently submitted to the European Parliament and the Council"

Summary of findings and recommendations

The *main findings* are:

- **Fulfilment:** The implementation of the 1998-2002 CSP has to a large extent been achieved for all priority and current EU policies.
- **User satisfaction:** Users are on the whole satisfied with EUROSTAT and its services.
- **Co-ordination and work planning:** The planning and co-ordinations structures in the Community Statistical System (CSS) are considered adequate.
- **Quality:** Assessment and monitoring of quality has improved.
- **Effectiveness and efficiency:** The CSP is considered as effective since it produces the required results. Its efficiency can not be assessed with the evaluation tools currently in place.
- **Implementation of standards:** Regarding the implementation of standards, European statistics have become more comparable with those of other areas of the world.
- **Response burden:** It can not be ruled out that the total response burden has increased over the period due to new statistical requirements.
- **Subsidiarity:** The principle of subsidiarity has been respected by the 1998-2002 CSP.
- **Balance of needs and resources:** Regarding the balance of needs and resources, there were no sufficient additional resources allocated to the new priorities defined, and no statistical activities were given up.
- **Evaluation and monitoring:** Evaluation and monitoring of progress have been substantially developed since 2000. Several external and internal evaluations led to recommendations, and according to the follow-up of improvement actions in April 2003, 70% of identified recommendations were implemented or in progress at this date.

The following **recommendations** are made in the evaluation report:

- Improve priority settings in the CSP;
- Reduce the time cycle of statistical processes;
- Rationalise statistical production;
- Find the appropriate method to work with 25 countries in accordance with the objectives of each domain;
- Identify and manage skills and knowledge at CSS level for the implementation of the CSP;
- Identify centres of excellence in the CSS in order to outsource statistical works;
- Revise the dissemination policy;
- Improve measurement of EUROSTAT's performance;
- Define a EUROSTAT Quality Assurance Plan.

Main evaluation methods and data used

Desk research - Field studies with: Interviews, Surveys - Secondary data from: Monitoring system, Literature/experts

Action taken / follow-up planned

Not yet decided since the evaluation report is not yet fully approved. Once the report has been adopted and submitted to the EP and the Council, a follow-up plan will be prepared and managed by the evaluation function.

Availability of the report

The final report will be published soon after approval. A paper or electronic copy is available on request from: M. Karlberg (EUROSTAT).

Mid-term Evaluation of the implementation of EDICOM II programme

Name of the programme(s)/activity(ies) concerned: Production of statistical information

Number of the ABB activity(ies) concerned: 29 02

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim	06/2003 - 12/2003	J. Lanneluc	Internal

Purpose of evaluation

The evaluation was carried out in accordance to Article 5 (2) of the EDICOM Decision (Decision 507/2001/EC of 12 March 2001) stipulating that the Commission should "submit to the European Parliament and the Council a mid-term report of activities financed under the new programme so as to enable, if appropriate, a review of the actions implemented under (the) decision to be carried out".

Summary of findings and recommendations

The *main findings* of the evaluation are:

- i. The objectives of the 2001, 2002 and 2003 work programmes were coherent with those of the overall programme. The design of the programmes made it possible to share the activities efficiently between Member States and EUROSTAT. The expected results were clearly defined in most of the projects, facilitating their attainment and monitoring.
- ii. The implementation of the work programme has been particularly efficient, mainly thanks to the assistance of specific Working Groups. Progress has been achieved across a wide range of fields, from data collection to dissemination. Most of the projects managed to achieve significant results and many applications have been developed.

The following *general guidelines and recommendations* for the 2004-2005 programmes are made:

- Actions should be taken in order to ensure that the new Financial Regulation is strictly applied. Appropriate recommendations to the Member States should be provided by the Commission.
- Methods and tools developed should be made available to all the Member States and evaluated through appropriate means like seminars, workshops or guidelines in order to identify and promote best practices.
- The co-ordination of the different actions and their monitoring should be reinforced. The partnership with the Member States through "working groups" should be adapted accordingly.
- The consequences of the enlargement should be taken into account in both centralised and decentralised actions. A specific work plan for new Member States has to be prepared and the necessary resources should be available for its implementation.
- The priorities for the decentralised actions to be carried out by Member States, should be the implementation of the new INTRASTAT Quality requirements (coverage, timeliness, confidentiality, reporting) and the introduction of the new common methods and tools which have been developed as part of the programme.
- The reflection whether to continue the EDICOM programme should start. A preliminary proposal by the Commission should be examined by the INTRASTAT/EXTRASTAT Committee before the end of 2004.

Main evaluation methods and data used

Desk research – Other: Assessment against performance indicators as specified in the ex ante evaluation

Action taken / follow-up planned

Guidelines and recommendations will be taken into account in the framework of the preparation of the 2004 and 2005 work programme.

Availability of the report

The final report will be published soon after approval. A paper or electronic copy is available on request from: J. Lanneluc (EUROSTAT).

Mid-term Evaluation of the EU Pre-Accession Instrument PHARE in relation to Statistics

Name of the programme(s)/activity(ies) concerned: Pre-Accession assistance instruments; Production of statistical information

Number of the ABB activity(ies) concerned: 22 02; 29 02

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim	05/2003 - 12/2003	N. Wurm	External

Purpose of evaluation

The monitoring and interim evaluation is primarily intended to provide management information for the benefit of interested parties and to make recommendations of both management and design in nature. The report describes the progress of the PHARE Multi-Beneficiary Statistical Co-operation Programme towards the objectives stated in the Financing Memorandum.

Summary of findings and recommendations

The programme has achieved its general immediate objectives of strengthening the institutions to provide appropriate statistics in general and in the pre-accession context in particular. Furthermore, the programme keeps alive a network of professionals in the statistics, at individual and at institutional levels essential for the production of comparable statistics. The Compliance Database (CDB) and the Data Availability Survey (DAS) are the tools developed for exhaustive identification of the gaps, at legal and implementation levels. They identify gaps in a number of areas but they do not give an aggregate view on all of them.

A total of 17 recommendations are given for the improvement of programming, monitoring and reporting as well as programme implementation for statistical co-operation programmes. For each recommendation, anticipated outputs, evaluation criteria, the addressee (EUROSTAT, Commission Services, National Statistical Organisations) and the deadline are specified.

Main evaluation methods and data used

Logical framework/diagram - Desk research - Field studies with interviews – Secondary data from: Monitoring system, Literature/experts

Action taken / follow-up planned

For each recommendation, anticipated outputs, evaluation criteria, the addressee (EUROSTAT, Commission Services, National Statistical Offices) and the deadline are specified. Follow-up will thus be straightforward. Actions have already been taken to implement some of the recommendations.

Availability of the report

The final report will be published soon. A paper or electronic copy is available on request from: N. Wurm (EUROSTAT).

12. EXTERNAL RELATIONS

ACADIA Evaluation

Name of the programme(s)/activity(ies) concerned: Relations with Non-EU OECD countries

Number of the ABB activity(ies) concerned: 19 05

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	11/2002 - 03/2003	Ch. Hughes	External

Purpose of evaluation

Main purpose of the evaluation was to investigate whether the programme has reached its aims. This includes an analysis of project implementation and management structures. Furthermore, the evaluation results should help in deciding on a possible extension of ACADIA.

Summary of findings and recommendations

The ACADIA programme has been well received on the European and on the Canadian side and has contributed effectively to the programme's objective of fostering people to people links between the EU and Canada, and raising awareness about the EU in Canada. Reciprocity of the programme from the Canadian side would enhance effectiveness of the operation.

Main evaluation methods and data used

Desk research - Field studies with: Surveys - Primary data from interviews, surveys, etc - Secondary data from: Monitoring system

Action taken / follow-up planned

The ACADIA programme will not be continued but the findings of the evaluation will be taken into account in reviewing the EU-Canada 'Higher Education and Training Co-operation Agreement', which must be renewed by 2005, including exploring options for including a "work experience" component involving language training and/or internships, as well as in on-going discussions on broadening the scope of Canadian and EU exchange programmes for young people.

Availability of the report

A paper or electronic copy is available on request from: Ch. Hughes (DG RELEX).

Evaluation of the Devolution Process

Name of the programme(s)/activity(ies) concerned: Policy strategy and co-ordination for Policy Area External Relations

Number of the ABB activity(ies) concerned: 19 11

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	07/2003 - 12/2003	V. Esposito	Internal

Purpose of evaluation

In its "Synthesis of the Annual Activity Reports and declarations of the Directors-General and Heads of Service" communicated to the Council and the European Parliament on 23 July 2002 (COM (2002) 426) the Commission states that under Action 2 of its Action Plan « [The Commission] will also carry out an evaluation of the operation of the devolution exercise next year, in order to draw lessons on the effectiveness and efficiency of the introduction of changes after implementation of the external aid reform. »

In its "Synthesis of the Annual Activity Reports 2002 of DGs and services" (COM (2003) 391), the Commission asked that the scope of this action, for which DG RELEX was put into charge, should be extended to focus in particular on the following questions:

- The question of matching human resources to increased responsibilities in de-concentrated delegations;
- The issues of appropriate deployment of staff members in headquarters and in delegations to manage external aid properly;
- The question of the administrative expenditure which is currently executed centrally but could be de-concentrated to delegations.

Summary of findings and recommendations

This internal evaluation confirms that the devolution process has been well managed so far and that, although the process is still young and will need time to stabilise, there are already promising indications that devolution brings concrete improvements in terms of quality and delivery speed of our external assistance programmes. Based on the analysis of strengths and weaknesses of the devolution process, 11 follow-up actions are identified in order to increase the contribution of devolution to the attainment of the objectives of the reform in the field of External Relations.

Main evaluation methods and data used

Desk research - Field studies with: Interviews, Surveys, Focus groups - Primary data from interviews, surveys, etc - Secondary data from: Monitoring system - Benchmarking

Action taken / follow-up planned

The report being still in draft format, the follow-up actions that are proposed have not yet been officially agreed or included in an implementation plan.

Availability of the report

The report is not published since the evaluation was carried out for Commission internal use. However, it will be made available to the European Parliament and the Council in the form of a 'Working Document of the Commission Services'. (A paper or electronic copy is available on request from: V. Esposito (DG RELEX).)

13. FISHERIES

Evaluation of the Northwest Atlantic Fisheries Organisation (NAFO) Observer Scheme

Name of the programme(s)/activity(ies) concerned: Fisheries conservation, control and enforcement

Number of the ABB activity(ies) concerned: 11 07

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	10/2002 - 04/2003	Martin Newman	External

Purpose of evaluation

Main purpose of this evaluation study was to examine the utility and cost/benefits of the NAFO Observer Scheme.

Summary of findings and recommendations

The report concludes that the Observer Scheme makes a positive contribution to compliance, but its operation in the Community is in need of considerable improvement. Such improvements would imply a far-reaching review of the way in which the Observer Programme is managed and, as a consequence, result in increased costs, not only in terms of the contract with the observer company but also due to a greater administrative involvement for the Commission and Member States.

Main evaluation methods and data used

Field studies with: Interviews, Surveys – Secondary data from: Literature/experts – Comparison/Control groups - Cost-effectiveness analysis - Cost-benefit analysis

Action taken / follow-up planned

The follow-up of observer reports has been improved in the unit of DG FISH in charge with the management of the scheme through the assignment of additional resources. The findings have contributed to the overall evaluation of the Observer scheme at the NAFO level as well as assisting decision-making with regard to drawing up the legal provisions to amend the Observer scheme (Modification of Regulation n° 3069/95).

Availability of the report

The evaluation report is not published since the study was carried out for Commission internal use. (A paper or electronic copy is available on request from: M. NEWMAN (DG FISH).)

Evaluation of the Protocol 2000-2002 to the Fisheries Agreement between the EC and the Republic of Guinea, including an ex ante evaluation an impact assessment of a new Protocol for the period 2004-2007

Name of the programme(s)/activity(ies) concerned: International fisheries

Number of the ABB activity(ies) concerned: 11 03

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post/Ex ante	04/2003 - 06/2003	A. Fernandez-Aguirre	External

Purpose of evaluation

Purpose of the evaluation study was to assess the expiring Protocol 2000-2002 to the Fisheries Agreement between the EC and the Republic of Guinea (Guinea Conakry) and to carry out an ex ante evaluation and impact assessment of a new Protocol covering the period 2004-2007.

Summary of findings and recommendations

Within the context of the expiring Protocol 2000-2002, the evaluation study examined the level of catches by the Community fleet, made an assessment of the resources and rationality behind the delivering of fishing licences, analysed the situation of stocks and the situation of the industrial fleet in Guinea and attempted to make a cost-benefit analysis of the Protocol. According to the ex post evaluation of the Protocol 2000-2002, the following lessons can be drawn in a view of the conclusion of a new Protocol:

- The protection and control measures for fisheries in Guinea are ineffective and the previous Protocols were not able to reduce illegal fishing activities.
- The previous Protocols have not very much contributed to increase the added-value of local production.
- The involvement of the indigenous population into fisheries is largely limited to artisan fisheries.
- The regional co-operation with other West-African countries was limited.
- The lack of data on fisheries in Guinea makes difficult to assess in an accurate way the activities and results of the fisheries sector.

For the proposal of a new Protocol covering the period 2004-2008, the following elements are included:

- The Republic of Guinea has committed itself to incorporate into its fisheries plan for 2004 and the following years, a clause aiming to reserve to the artisan fleet the fishing zone between the coast and the 20m-isobath and, if the 20m-isobath goes beyond the 12-miles coastline, the zone between the coast and the 12-miles coastline.
- In a view to minimise by-catches of the Community fleet, a collection system of surplus catches is introduced. Catches collected in that way on water or after landing will be freely distributed in order to contribute to the provisioning of the local population.
- Two payments of € 500 000 and € 300 000, to be made within the first two years of the validity of the Protocol, are foreseen for acquiring at least two surveillance ships. By the way, at least € 400 000 per year are earmarked for improving surveillance of fishing activities and for the management of fishing efforts.
- At least € 175 000 per year are foreseen for framing artisan fishing and at least € 150 000 per year to promote formation in the diverse scientific, technical and economic disciplines related to fisheries.
- Both partners took the commitment to promote the constitution of temporary associations between Community operators and operators from Guinea in the view of a common exploitation of fisheries resources in the exclusive economic zone of the Republic of Guinea.
- At least € 175 000 per year are foreseen for the contribution and participation of Guinea at international fisheries organisations.
- A more strict management system for fishing licenses has been introduced.

Main evaluation methods and data used

Impact matrix - Concept mapping - Logical Framework/Diagram - SWOT analysis - Desk research - Field studies with: Surveys, Direct observation - Primary data from interviews, surveys, etc – Secondary data from: Literature/experts - Statistical analysis - Benchmarking - Cost-effectiveness analysis - Cost-benefit analysis - Multi-criteria analysis

Action taken / follow-up planned

The ex post evaluation has been used for the negotiation of the new Protocol as well as, together with the ex ante evaluation, as supporting material for the Commission proposal to conclude a new Protocol for the period 2004-2007.

Availability of the report

The evaluation report is not published since the study was carried out for Commission internal use. (A paper or electronic copy is available on request from: A. FERNANDEZ AGUIRRE (DG FISH).)

Ex ante Evaluation on the Proposal for amending Regulation (EC) 1543/2000 – Determination of environmental variables of interest for the Common Fisheries Policy capable of regular monitoring

Name of the programme(s)/activity(ies) concerned: Fisheries conservation, control and enforcement

Number of the ABB activity(ies) concerned: 11 07

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	12/2002 - 08/2003	M. J. Fidalgo	External

Purpose of evaluation

Main purpose of the evaluation was to give an insight on the appropriateness, feasibility and associated costs of extending the obligations of Regulation 1543/2000 (on data collection) in a view to include the collection of environmental data.

Summary of findings and recommendations

The evaluation study compiles the kind of data that would be convenient to collect, their purposes and the associated costs, making special emphasis on data that would support the incoming system of indicators of environmental integration.

The study starts by a compilation of existing structures of data collection and analysis, both in terms of institutions and research programmes and projects. Further on, an in-depth analysis is done of the interactions fisheries/environment, describing their relative importance, the assessment methods for these interactions and the main variables that are to be taken into account. An in-depth analysis of the list of variables and their prioritisation was initiated in the course of a seminar held at Edinburgh in April 2003 and completed afterwards.

Later on, the study gives a hint on the operational requirements (procedures, standardisation and costs) to integrate the collection of environmental data into the system established by Regulation (EC) No 1543/2000.

The study gives both a detailed and a synthetic basis to formulate proposals to consider the extension of the obligations of Regulation (EC) 1543/2000 to the field of environment data.

Main evaluation methods and data used

Desk research – Secondary data from: Statistical agencies, Literature/experts - Expert panels

Action taken / follow-up planned

Following the evaluation report, a meeting will be organised in 2004 to consult stakeholders on the need to amend Regulation 1543/2000.

Availability of the report

The evaluation report is not published since the study was carried out for Commission internal use. (A paper or electronic copy is available on request from: Maria Jesus FIDALGO (DG FISH).)

Ex post Evaluation on Decision 2001/431/CE (Financial contribution to the Member States for expenditure in the field of control) and its extension

Name of the programme(s)/activity(ies) concerned: Fisheries conservation, control and enforcement

Number of the ABB activity(ies) concerned: 11 07

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	01/2003 - 11/2003	G. Gallizioli	External

Purpose of evaluation

The purpose of the evaluation was an ex post assessment of the implementation of Council Decision 2001/431, relating to a financial contribution by the Community to certain expenditure incurred by the Member States in implementing the control, inspection and surveillance systems applicable to the Common Fisheries Policy, with a view to prepare a report to the Council and the European Parliament in 2003. The findings of this evaluation have also been used for an ex ante assessment as preparation of a decision on whether the scheme established by this Decision should be extended.

Summary of findings and recommendations

- Funding had been directed in such a way as to address the most deficient means for each Member State.
- The imbalance in Member States capacity for fisheries control purposes has not been completely solved and there is a certain scope for additional expenditure.

Selected specific issues from the report are:

1. Objectives: The basic task of the study was a factual analysis of the main categories of capital expenditure (including the development of the inventory of means), the indicators of activity and their evolution in the period covered by the scheme, and the relation between the expenditure, increases in means and the activity.

2. Sources of information: The study finds that the intermediate reports presented by Member States are of variable quality, in the sense that Member States have followed the instructions set by Decision 2001/431/EC irregularly. DG FISH endeavours to correct such imbalances in the future.

3. Effectiveness of monitoring: Monitoring by Member States of the effectiveness of their programmes should also be improved. The contractor states that indicators of activity can be improved, but having said this, recognises that the programme review took place at a moment when only reports from the first year (out of a programme of three years) were available. The contractor therefore recognises that its conclusions were limited by the availability of information. The contractor recommends the Commission to develop its work on objectives and indicators in any future programme.

4. Relevance of expenditure: there has been a tendency by all Member States to focus expenditure on those areas on which they were lagging in relation to an EU-average, in line with the general objective of equalising the capacity of Member States to undertake control and surveillance tasks.

5. VMS (Vessel Monitoring System): investment has been correctly done in the targeted fleet segments. In what the under-10m fleet is concerned (not yet covered by obligation to be equipped with VMS), the contractor points out that certain Member States (F, PT, GR) will have more than 50% of their fleet not subject to VMS obligations until this segment is covered by EU regulations on VMS.

6. Inspector capacity: considerable investment has taken place in this area and most imbalances will be over by the end of 2003 (though Spain and Greece still have under-average capacity in this regard).

7. Vehicles and equipment: Increase in means at the end of 2003 will vary from "high" (DK, GR, ES) to "considerable" (D, IT, PT and UK). However, certain Member States (i.e. ES and the UK) are still not on an equal footing to other Member States in this area. It must be underlined that the contractor states that conclusions for this sector cannot be considered definitive, since variations may be due depending on the type of indicators used.

8. Infringements: the contractor acknowledges they were unable to relate investment in control means – infringements. However, certain trends can be found: overall, the increase in financing control means has led to improvements in the

number of infringements detected (IT & ES being the best examples). Other Member States (GR, PT, NL, SW and UK) failed to increase the number of infringements detected.

9. Enlargement: In regard to the new Member States, the contractor considers that they have improved, overall, their monitoring and control capacity before their acceding date. The information obtained from CY, EST, LT, LI, and PL has been reasonable.

10. Administrative costs: The contractor concludes that the 2-3 person team working in this area is not excessive – especially in consideration of the total value of the programme (+/- 100 M€).

GENERAL CONCLUSION: Following the contractor's study, it can be concluded that the 2001-2003 has been successful, with varying degree of effectiveness depending on the Member State under consideration. However, this conclusion has to be taken with care since the evaluation project has taken place at an early stage in the implementation of the multi-annual programme; only an evaluation taking place two years after 2003 could give an exact picture of the implementation of the programme (Council Decision 2001/431, article 15).

Main evaluation methods and data used

Desk research

Action taken / follow-up planned

A report to the Council and the Parliament will be drafted taking into account the conclusions of the final report on the ex post evaluation. The findings of this evaluation (taking into account interim reports) have been already used for an ex ante assessment for a Commission proposal (COM/2003/706) final relating to the extension of the scheme for a further two years (until 31.12.2005).

In the future, Member States shall transmit each year an intermediate report which will enable the Commission to evaluate the implementation of the control programmes and intervene in order to redirect investments planned. A final report has to be drawn up by the Member States before the end of 2006. These reports will allow a thorough ex post evaluation of the scheme which will be presented the following year by the Commission to the European Parliament and the Council.

Availability of the report

The report on the ex post evaluation is not published since it was carried out for Commission internal use. (Paper or electronic copy available on request from: G. Gallizioli (DG FISH).)

14. HEALTH AND CONSUMER PROTECTION

Evaluation of the Labelling of Foodstuffs

Name of the programme(s)/activity(ies) concerned: Food safety, animal health, animal welfare and plant health

Number of the ABB activity(ies) concerned: 17 04

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	12/2002 - 10/2003	J. Humières	External

Purpose of evaluation

Main purpose of the evaluation was to assess the functioning of the current food labelling legislation and propose, if appropriate, new directions for modernisation, simplification and alternatives to the package-labelling of foodstuffs.

Summary of findings and recommendations

- Policy needs are not fully met by the current legislation.
- The complexity of legislation and national differences causes costs and difficulties, especially for SMEs.
- It needs to be further considered whether mandatory origin labelling should be extended to more primary products.
- For consumers, it is the origin of production or preparation that is important.
- Current legislation on the name of food products is satisfactory.
- Consumer understanding of the indication of durability may not be clear.
- More information about how to treat a food product is desirable.
- Standard EU codes would assist the visibility and legibility of information.
- There is a high consumer interest in nutritional labelling.

Main evaluation methods and data used

Desk research - Field studies with: Interviews, Focus groups - Primary data from interviews, surveys, etc.

Action taken / follow-up planned

The results of the food labelling evaluation enables DG SANCO to identify certain points in the food labelling legislation that need to be reviewed and reinforced. A group of experts is being established to examine the (~30) detailed recommendations given in the final report and define the legislative measures need to address them. A discussion paper will be drafted and a stakeholder consultation launched in late 2004 or early 2005.

Availability of the report

Paper or electronic copy available on request from: J. Humières (DG DSANCO)

Evaluation of the Commission's Tobacco Prevention Media Campaign

Name of the programme(s)/activity(ies) concerned: Public health; Tobacco

Number of the ABB activity(ies) concerned: 17 03; 05 02 09

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	12/2002 - 11/2003	J.-L. Noël	External

Purpose of evaluation

The evaluation should assess the first year of the Commission's anti-tobacco campaign which involves the development of performance indicators, assessment of achievement of objectives and assessment of the role of contributors.

Summary of findings and recommendations

Recommendations are proposed for the next year of the media campaign, including:

- More language and national adaptation, which necessitates intensive pre-testing, involving the Panel of Experts as well as the targeted public;
- More extensive use of existing knowledge and handbooks, including Canadian and American ones;
- Dealing with the "freedom" theme in more depth, in connection with the risk of becoming addicted;
- Showing real life situations and practical ways to avoid smoking or becoming addicted.

Main evaluation methods and data used

Logical Framework/Diagram - Desk research – Field studies with: Focus groups - Secondary data from: Monitoring system, Literature/experts - Expert panels

Action taken / follow-up planned

The results from the evaluation will be taken into account for the design of the 2004 campaign.

Availability of the report

Paper or electronic copy available on request from: Jean-Luc Noël (DG SANCO).

Evaluation of the Regulation No. 258/97 concerning Novel Foods and Novel Food Ingredients

Name of the programme(s)/activity(ies) concerned: Food safety, animal health, animal welfare and plant health

Number of the ABB activity(ies) concerned: 17 04

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	05/2002 - 12/2003	A. Klepsch	Internal (with some external assistance)

Purpose of evaluation

Main objective of the evaluation was to evaluate the implementation of Regulation N° 258/97 on Novel Food with a view to informing the decision-making process in this area.

Summary of findings and recommendations

There is a need to add to the categories of foods covered by the Novel Food Regulation the category of whole animals. There is also some support for the addition of cloned animals. The proposal to include the naturally produced progeny of organisms produced by mutagenic treatment would require further consideration. Other proposed additions to the legislation such as food supplements, additives and flavourings would require further examination. The removal of GMO novel foods from the Novel Food Regulation is appropriate.

The process of approval of novel food under the Regulation is considered by all parties to be too long, although the need to carryout the assessment in the interest of public health is not questioned. One concern is that smaller manufacturers or importers may be disinclined to submit to the process because of the potential cost in terms of finance and time. These costs cannot be quantified at the start of the process because it is not clear what evidence the Regulation requires to be submitted and how long the deliberations will take. For a small to medium-size enterprise (SME) the costs of bringing a product to market is essential in their planning. The consultation exercise (as included in the evaluation) has produced a number of practical suggestions to improve this situation.

Main evaluation methods and data used

Desk research - Other: Discussion paper published on the internet with comments requested from interested parties. The comments were analysed by an external consultant. - Other judging tools: Stakeholder meeting (covering points raised in the Internet discussion forum) observed and noted by an external consultant

Action taken / follow-up planned

The result of the evaluation of the Novel Food Regulation 258/97 provided useful input to work underway in DG SANCO on producing a proposal for a revised Regulation. This legislative proposal is due to be finalised towards the middle of 2004, and the 15 recommendations listed in the report and will be taken into account. The recommendations concern foodstuffs to be covered by the Regulation and the procedures followed under the Regulation.

Availability of the report

Paper or electronic copy available on request from: Andreas Klepsch (DG SANCO).

15. HUMANITARIAN AID OFFICE (ECHO)

Evaluation of ECHO's Reaction to Serious Drought Situations (Kenya, Ethiopia, Afghanistan & Central America)

Name of the programme(s)/activity(ies) concerned: Humanitarian aid

Number of the ABB activity(ies) concerned: 23 02

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	08/2002 - 02/2003	P. Cavendish	External

Purpose of evaluation

Purpose of the evaluation is:

- To assess ECHO's contribution as response to a variety of needs in the Horn of Africa region, in particular Kenya and Ethiopia, in Central America (Guatemala, Honduras and Nicaragua) and in Afghanistan;
- To analyse the planning and implementation of ECHO's intervention and to analyse how they were integrated into local conditions and customs;
- To analyse the degree to which objectives were met;
- To assess the effectiveness of the means employed;
- To quantify the relevance and impact of ECHO's actions;
- To analyse the links between Emergency, Relief, Rehabilitation and Development in terms of sustainability;
- To examine the participation of the beneficiary population;
- To verify the visibility of ECHO.

Summary of findings and recommendations

- Objectives and targeting were highly relevant to the design of ECHO's action. The overall strategy was appropriate for the drought response, but the methodology used not always coherent enough for the 3 regions. In the light of post-9/11 events in Afghanistan, additional emergency strategy to the drought situation has to be considered.
- Food aid has been crucial for survival of targeted beneficiaries and the intended effect has been achieved. Nutritional programmes have been effective in terms of coverage of beneficiaries and areas, the more considering national and regional nutritional protocols have been, or are in the process of being designed and elaborated in Central America and Africa. In the latter case, however, there is a need to better integrate health and water with nutritional programmes.
- Improvement of food security in households, through implementation of agricultural and livestock coping mechanisms and creative approaches adopted for additional income generation, allowed the communities to be better prepared for next drought crises. This contributed to reducing rural exodus in remote and isolated communities.
- Main recommendations are to strengthen health services and water components within drought strategies; to increase the collaboration between the departments and instruments of the European Commission, such as the Food Security Unit (AIDCO) and ECHO and to favour regional and multi-sector approaches as response to drought, especially in the Sub-African region (Kenya, Ethiopia, Somalia and Sudan).

Main evaluation methods and data used

Other structuring tools: Standard OECD-DAC questions - Desk research - Field studies with: Interviews, Direct observation - Primary data from interviews, surveys, etc -

Action taken / follow-up planned

In Ethiopia, ECHO's on-going response to the new and severe drought is a "multi-sector approach", where possible through integrating multi-sector small-scale projects in on-going longer-term programmes and structures run by ECHO partners and local NGOs".

The Commission's response to the new drought in Ethiopia is subject to a special LRRD (Link Relief, Rehabilitation and Development) process, in which ECHO is playing a key role to increase the collaboration between the departments and instruments of the EC.

Availability of the report

Published at: http://www.europa.eu.int/comm/echo/evaluation/reports_2002_en.htm

Evaluation of the First DIPECHO Action Plan for South Asia 2002

Name of the programme(s)/activity(ies) concerned: Humanitarian aid

Number of the ABB activity(ies) concerned: 23 02

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	12/2002 - 02/2003	P. Cavendish	External

Purpose of evaluation

The overall aim of the evaluation is to assess the design and impact of the Action Plan. This includes making individual assessments of the eight projects financed as well as an evaluation of the overall DIPECHO regional strategy itself. In addition, the evaluation team was tasked with assessing the need for continued support to Disaster Preparedness in the region and, if appropriate, to recommend an intervention strategy based on the lessons learned from the evaluation of the first Action Plan.

Summary of findings and recommendations

Action at regional level seems problematic due to the size and civil society structures of the region. DIPECHO program needs to better monitor (from ECHO point of view) and co-ordination at all levels (authorities, UN's and Communities) need to be assured. All projects had a big impact on local communities but there was a lot of reduplication due to lack of information/co-ordination.

Main evaluation methods and data used

Other structuring tools: Standard OECD-DAC questions - Desk research - Field studies with: Interviews, Direct observation - Primary data from interviews, surveys, etc.

Action taken / follow-up planned

The results of this evaluation were taken into account when planning the Second DIPECHO Action Plan for South Asia. All proposals have as a specific objective/mandate (controlled) to insure a direct impact at Community level by working directly with local actors and committees, and only one of the 11 selected proposals will have a regional dimension. In addition, with greater knowledge of the region, having identified the specific needs and the different hazards, it has been decided to prioritise a multi-hazard approach. More attention will be given to the existing coping mechanisms, the human resources and the materials available at field level. Coordination and information will be ensured by bi-annual DIPECHO regional meetings with key actors and national authorities for exchange of good practices, bad experience and tools developed.

Availability of the report

Published at: http://www.europa.eu.int/comm/echo/evaluation/reports_2002_en.htm

Evaluation of ECHO-funded WFP Programmes in Afghanistan, Eritrea, Tanzania and Serbia

Name of the programme(s)/activity(ies) concerned: Humanitarian aid

Number of the ABB activity(ies) concerned: 23 02

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	08/2002 - 05/2003	P. Cavendish	External

Purpose of evaluation

Main purpose of the evaluation was to assess how ECHO/WFP cooperation had worked and how to adapt it for the future.

Summary of findings and recommendations

- The evaluation confirmed that, while WFP was generally very good at its core mandate task of delivering large quantities of food to needy countries, it was not good at estimating costs, particularly for transport, which had led to inflated budgets and under-spending with consequent loss of funds allocated to humanitarian and development aid (only 83% of funds granted by ECHO to WFP actually disbursed).
- WFP in the field often did not make full use of local knowledge/experience of donors, implementing partners and beneficiaries.
- Reporting was generally poor.

Main evaluation methods and data used

Structuring tools: Standard OECD-DAC questions - Desk research - Field studies with: Interviews, Direct observation - Primary data from interviews, surveys, etc.

Action taken / follow-up planned

ECHO's Director led an ECHO mission to Rome in March 2003 and, given the large measure of agreement, a WFP delegation led by Mr J-J Graisse, Deputy Executive Director, made a joint presentation of the evaluation to the HAC in April. Mr Graisse stressed that evaluation had highlighted deficiencies of which WFP was already aware and that efforts were already underway to remedy faults. He agreed that ongoing contacts both between HQ and field should be enough to ensure the required improvements, which would also take place within the context of the EC-UN framework agreement.

Availability of the report

Published at: http://www.europa.eu.int/comm/echo/evaluation/reports_2002_en.htm

Evaluation of ECHO's interventions in the Federal Republic of Yugoslavia (Serbia)

Name of the programme(s)/activity(ies) concerned: Humanitarian aid

Number of the ABB activity(ies) concerned: 23 02

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	04/2003 - 07/2003	P. Cavendish	External

Purpose of evaluation

The overall objective of the evaluation was to assess the appropriateness of ECHO intervention in Serbia, and to what extent its goals had been achieved on the eve of its final disengagement from that country. To that effect, the global plans of the last three years (i.e. as from 2000) had to be reviewed. The evaluation had also to analyse a number of current issues: phasing out strategy of ECHO, sustainability of interventions, and decision to fund a few selected last actions in 2003. In that framework, the evaluation had to focus on two sectors, highly relevant to co-ordination/LRRD: (1) Health, in which ECHO had invested up to € 30 million since 1999 to improve access to Primary Health Care (PHC) by upgrading equipment and structures country wide; and (2) Durable Solutions where significant needs in shelter and repatriation/return were still outlined by humanitarian actors. The evaluation was instructed by ECHO to focus on refugees from Bosnia and Herzegovina and Croatia. Kosovo IDP's, whose fate still depends from protracted political discussions, could not be considered in the same immediate perspective.

Summary of findings and recommendations

The main recommendations of the evaluation study are:

- To promote a more conducive institutional environment for LRRD in the Commission: clear institutional set up and relations between instruments present in the country, designated focal points, internal communication lines, identification of potential constraints;
- At the beginning of an intervention, to increase quality of initial needs assessments, gathering more complete baseline data and linking them to clear intervention criteria;
- To organise a joint evaluation (with AIDCO) on the subject of LRRD, to analyse selected case studies and to propose institutional mechanisms and tools. This evaluation should be based on the 2001 LRRD Communication;
- At EU level, the introduction of an enlarged "uprooted people" budget line that could continue providing assistance for refugees and IDPs on durable solutions should be considered;
- To allow, in a context of post-conflict rehabilitation not only longer project cycle times (one year), but to expand the time horizon in general and to allow for multi-year strategic planning;
- To increase accountability downwards by consulting the affected population as primary stakeholders.

Main evaluation methods and data used

Other structuring tools: Standard OECD-DAC questions - Desk research - Field studies with: Interviews, Direct observation - Primary data from interviews, surveys, etc.

Action taken / follow-up planned

The evaluation indicated that the cut down from € 36.9 million in 2002 down to 6.6 million in 2003 was too harsh. As a result and in view of the foreseen needs in collective centres for winter 2003-2004, additional funding is envisaged.

Availability of the report

Published at: http://www.europa.eu.int/comm/echo/evaluation/reports_2003_en.htm

Evaluation of ECHO-funded Actions 1999 to 2002 in Sudan

Name of the programme(s)/activity(ies) concerned: Humanitarian aid

Number of the ABB activity(ies) concerned: 23 02

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	04/2003 - 07/2003	P. Cavendish	External

Purpose of evaluation

Main purpose of the evaluation was to obtain the information needed to improve future ECHO actions in Sudan and to offer an independent opinion of the achievement of expected results as well as of the relevance, efficiency, effectiveness, impact and sustainability on the basis of a sample of 25 projects (plus six support and special mandate projects) financed by ECHO. Most of them were financed in 2002. The evaluation should also assess the overall adequacy and performance of four Global Plans (GP) from 1999 to 2002.

Summary of findings and recommendations

The main recommendations of the evaluation study are:

- Balance the advantages and disadvantages of providing more and qualitatively better services in fewer focus sites against the provision of health and other services of relatively lower quality in more locations;
- Concentrate water projects in fewer regions selected following strict water needs criteria. First consider the rehabilitation of existing systems and only then drill new boreholes;
- Re-emphasise the priority for comprehensive primary health care (PHC) programmes and make sure reproductive health, HIV/AIDS and sexually transmitted diseases components are always included;
- Partners to base their respective needs assessment on actual recent data collection and not on estimates;
- Partners to improve monitoring and self-evaluation activities so as to adjust programmes in a timely manner if targets are not being met.

Main evaluation methods and data used

Other structuring tools: Standard OECD-DAC questions - Desk research - Field studies with: Interviews, Direct observation - Primary data from interviews, surveys, etc.

Action taken / follow-up planned

ECHO will remain as flexible as possible and recipients will continue to be selected based on humanitarian needs and not pre-conceived categories. ECHO will try to focus on its core mandate and gradually phase-out from secure geographical areas and/or intervention sectors that may be better covered by long-term interventions through recovery/development funds. Humanitarian assistance has for many years become the only mechanism of service delivery and has therefore been implementing longer-term strategies to become more consistent and effective, instead of and/or as a precursor to development when peace and more stability come. ECHO has been using this rationale in part in its funding activities. With the prospective of long-term financial sources becoming available in the post-conflict situation, ECHO may be able to focus on pure emergency assistance (i.e. life-saving) and phase-out from sectors and operations that are in the grey area between relief and rehabilitation/development (e.g. capacity building components, support to animal health services, support to secondary health facilities, etc.).

Availability of the report

Published at: http://www.europa.eu.int/comm/echo/evaluation/reports_2003_en.htm

Evaluation of ECHO's Strategic Orientation to Disaster Reduction and ECHO's Disaster Preparedness, Prevention and Mitigation Actions

Name of the programme(s)/activity(ies) concerned: Humanitarian aid

Number of the ABB activity(ies) concerned: 23 02

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	05/2003 - 12/2003	P. Cavendish	External

Purpose of evaluation

Main purpose of the evaluation was:

- To assess the appropriateness of ECHO's strategic orientation to Disaster Reduction and the actions it has managed in relation to it ;
- To produce management tools that would allow a better decision-making process to take place. This includes an analysis of the definitions utilised in Disaster Reduction interventions and the production of indicators, criteria and benchmarks to be utilised;
- To propose practical and applicable recommendations that would enhance the effectiveness and impact of ECHO in the field of Disaster Reduction.

Summary of findings and recommendations

The main recommendations of the evaluation study are:

- A Disaster Reduction Sector, under the responsibility of a Disaster Reduction Officer within ECHO's Policy Unit should be given the responsibility of designing, programming and co-ordinating ECHO's Disaster Reduction strategy, focusing primarily on Disaster Preparedness.
- A substantial budget increase (+ 100%) over the next two years has to be seriously considered to give DIPECHO a weight of its own (corresponding European Parliament recommendations in the Carlotti report).
- DIPECHO is implemented by several individual Action Plans. In the opinion of the consulting team this calls for rationalisation and streamlining into one Global Action Plan.
- Thematic need assessments missions should take place twice a year in two different Regions with the participation of the proposed Disaster Reduction Sector officer, ECHO task manager, field experts, Partners and National Disaster Management Organisations. Other EC services concerned should be invited to participate.

Main evaluation methods and data used

Impact matrix - Other structuring tools: Standard OECD-DAC questions - Desk research - Field studies with: Interviews, Direct observation - Primary data from interviews, surveys, etc. - Secondary data from: Monitoring system - Comparison/Control groups - Statistical analysis - Benchmarking - Multi-criteria analysis

Action taken / follow-up planned

The ECHO strategy 2004 will take up specific recommendations of the DIPECHO evaluation, namely an increase in the budget, a better geographical and sector targeting, streamlining decision-making procedures as well as giving ECHO's participation international risk reduction more weight. Another area where the evaluation has had a major input is the ECHO decision handbook, which has been completed by drafting an additional chapter on DIPECHO. This chapter refers explicitly to the DIPECHO evaluation and takes its results into consideration. For example, the manual specifies that DIPECHO operations focus on the areas of very high and high risk areas identified, as well as on the type of activities recommended in the evaluation.

Availability of the report

Published at: http://www.europa.eu.int/comm/echo/evaluation/reports_2003_en.htm

Evaluation of ECHO's Global Humanitarian Plans in Angola, particularly with regard to treatment of IDPs, and Assessment of ECHO's future strategy in Angola

Name of the programme(s)/activity(ies) concerned: Humanitarian aid

Number of the ABB activity(ies) concerned: 23 02

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	05/2003 - 12/2003	P. Cavendish	External

Purpose of evaluation

Main purpose of the evaluation was:

- To evaluate the relevance, impact, effectiveness, efficiency and sustainability of ECHO's actions in Angola;
- To assess ECHO's future strategy;
- To review ECHO's policy of providing universal assistance to affected populations irrespective of preconceived categories. Regarding sectors of intervention, special attention to be given to the needs of children and the needs of other vulnerable groups, HIV/AIDS, protection, and psychosocial support;
- To assist ECHO in defining its progressive and partial phasing-out of operations in Angola.

Summary of findings and recommendations

The main recommendations of the evaluation study are:

- HIV/AIDS activities should be mainstreamed in all health projects, and specific HIV prevention projects should also be considered.
- In order to guarantee the protection of human rights, ECHO should continue to fund protection activities such as those of the ICRC. Support for the establishment of local protection committees, including traditional authorities and churches, could help to decentralise responsibilities but falls within the area of development funding. Additionally with regard to sector-wide child issues, ECHO could fund child advocacy campaigns.

Main evaluation methods and data used

Other structuring tools: Standard OECD-DAC questions - Desk research - Field studies with: Interviews, Direct observation - Primary data from interviews, surveys, etc.

Action taken / follow-up planned

Since the evaluation has just been finished, concrete follow-up measures are not yet decided.

Availability of the report

Published at: http://www.europa.eu.int/comm/echo/evaluation/reports_2003_en.htm

16. INFORMATION SOCIETY

External Monitoring and Assessment of the Specific Programme for Information Society Technologies (IST) 2002

Name of the programme(s)/activity(ies) concerned: Research and Technological Development on Information Society Policy

Number of the ABB activity(ies) concerned: 09 04

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	10/2002 - 04/2003	C. Paleologos	External

Purpose of evaluation

The overall objective was to perform a systematic analysis of the resources, outputs and results of the IST Programme actions; to form a well-founded judgement to the achievement of the operational objectives; and to provide the IST Programme Management with feedback and recommendations to facilitate timely adjustments to programme management and implementation.

Summary of findings and recommendations

The 2002 monitoring exercise covered the final year of the implementation of the IST Programme. It has focused on: follow-up to the 2001 monitoring recommendations; the achievement of objectives as set out in the 2002 work programme; specific themes linked to the phase of project closure including arrangements for ensuring impact assessment and the exploitation of results; preparations for and transition to the Sixth Framework Programme (including legacy issues); and recommendations for the future.

The four main groups of recommendations in the 2002 Monitoring Panel report were focused on a major effort to build an IST European Research Area across the EU, in line with the Lisbon and Barcelona declarations; moving towards much more strongly integrated management procedures within the programme, which is termed as "end to end" process management; a greater emphasis on human resource management, especially a move to develop a common management culture across units and directorates as well as a move towards what is called a "sustained management consultancy" model for the external monitoring function for IST during the 6th Framework Programme.

Main evaluation methods and data used

Desk research - Field studies with: Interviews, Focus groups

Action taken / follow-up planned

The Monitoring Panel has produced an analytical report on the results of their examination, which also included a set of practical recommendations to facilitate the continuous improvement of IST implementation and catalyse the necessary adjustments to the management of operations. The report was formally submitted at the end of April, it was largely distributed to all IST stakeholders and it was made publicly available on the web. DG INFSO presented its response on 25 July 2003 and two additional follow-up exercises were performed in November 2003 and April 2004 to ensure that the recommendations are considered and implemented.

Availability of the report

Published at: http://europa.eu.int/information_society/programmes/evaluation/studies2003/index_en.htm

The report is also published in paper form: 2002 External Monitoring report on the Specific Programme for Research and Technological Development in the field of Information Society Technologies, May 2003 (Paper or electronic copy available on request from: Beatrice Masoliver (DG INFSO).)

Evaluation of the Annual IST Events

Name of the programme(s)/activity(ies) concerned: Research and Technological Development on Information Society Policy

Number of the ABB activity(ies) concerned: 09 04

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	01/2003 - 05/2003	F. Cunningham	External

Purpose of evaluation

The main two aims of the evaluation were to evaluate the effectiveness of previous IST Events and to make recommendations for future IST Events, based on the evolving policy context. The evaluation involved consultation with Event stakeholders including IST Committee Members and Commission staff.

Summary of findings and recommendations

The evaluation highlighted the diversity of objectives and messages of the Event. The final detailed report includes recommendations for future events, a full account of the independent evaluation's objectives and its activities. Among the recommendations made for future events were: a stronger emphasis of the Lisbon Strategy and a people-centred Information Society, as well as a move to a largely self-financing basis over a number of years.

Main evaluation methods and data used

Concept mapping - Desk research - Field studies with: Interviews, Surveys, Focus groups - Expert panels - Comparison/Control groups - Cost-effectiveness analysis

Action taken / follow-up planned

Due to the timing of the evaluations it was recognised that these recommendations are relevant to subsequent IST Events from 2004 onwards. However, the cost of the event in 2003 was reduced by about one million Euros, with no loss of value to the programme. Further cost-savings and a better event design will be realised in 2004-06.

Availability of the report

Published at: http://europa.eu.int/information_society/programmes/evaluation/studies2003/index_en.htm

The report is also published in paper form: Evaluation of the IST Event, Final report, May 2003. (Paper or electronic copy available on request from: Beatrice Masoliver (DG INFSO).)

Intermediate evaluation of the eContent programme

Name of the programme(s)/activity(ies) concerned: eEurope

Number of the ABB activity(ies) concerned: 09 03

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	12/2002 - 06/2003	J. Hernandez-Ros	External

Purpose of evaluation

This evaluation meets the legal requirement for an interim evaluation of the eContent programme after 2 years of implementation. Its purpose was to assess the effectiveness and efficiency of the programme in encouraging the growth and development of the digital content industry in Europe.

Summary of findings and recommendations

The evaluation confirms that the eContent remains relevant to a large number of players in the content industry, and it has shown that the programme has been managed efficiently, both on a “day-to-day” basis and in relation to its broader objective. Some goals have already been achieved: the “formation of strategic alliances” and “access to complementary expertise”. The programme has been successful in increasing the availability of digital content in Europe, and in targeting SMEs. Access to public sector information has been improved. A number of recommendations are made, including that there will be a need for a follow-on programme, but that it should be more focused in terms of participants and themes. These recommendations are being followed-up by DG INFSO services.

Main evaluation methods and data used

Logical Framework/Diagram - Desk research - Field studies with: Surveys - Primary data from interviews, surveys, etc - Expert panels - Case studies - Cost-effectiveness analysis

Action taken / follow-up planned

Proposal for a follow-up Programme, called eContent Plus, is presently going through the decision process. The Programme definition has been informed by the evaluation directly and also through the accompanying ex-ante evaluation.

Availability of the report

Will be published at: http://europa.eu.int/information_society/programmes/evaluation/studies2003/index_en.htm

The report is also available paper form: Mid-term Evaluation of the eContent Programme, Final report, May 2003. (Paper or electronic copy available on request from: Beatrice Masoliver (DG INFSO).)

Final evaluation of the Safer Internet Action Plan 1999-2002

Name of the programme(s)/activity(ies) concerned: eEurope

Number of the ABB activity(ies) concerned: 09 03

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	12/2002 - 06/2003	P. Johnston	External

Purpose of evaluation

The aim of the Safer Internet Action Plan was to ensure the implementation of various European Union initiatives dealing with illicit or inappropriate content on the Internet. To this end, the Action was designed to support non-regulatory initiatives for promoting safer use of the Internet.

The main goal of the evaluation was to assess the effectiveness and impact of the Action Plan, with a focus on the achievement of objectives as set out in the decision and in the 1999-2002 work programme. The evaluation addressed the relevance, effectiveness and efficiency of the actions, as well as the "intervention logic", and drew lessons for future actions in this area.

Summary of findings and recommendations

The evaluation concluded that the objectives, priorities and implementation method is still relevant, and recommends that actions are extended to new and emerging systems, such as multi-media phones (3G). It concludes that the actions have been effective in raising awareness, but recommends a tighter focus where impact can be highest – at the European and international level through networking and multipliers. It concludes that the funding model for some actions is not appropriate and recommends that the Commission reviews administrative procedures. It concludes that the rationale for EU Action is still valid: There is not a sufficiently consistent approach by Member States, but that the Commission should review the implementation and support mechanisms, and notably should address the sustainability of the hotlines and their funding in the light of enlargement.

Main evaluation methods and data used

Logical Framework/Diagram - Desk research - Field studies with: Interviews, Surveys - Primary data from interviews, surveys, etc - Expert panels - Case studies - Cost-effectiveness analysis

Action taken / follow-up planned

During the course of this evaluation, the extension to the Safer Internet Action Plan was accepted by the European Parliament and the Council. This extension to the Safer Internet Action Plan already takes into account many of the conclusions which arose from the evaluation.

Availability of the report

Will be published at: http://europa.eu.int/information_society/programmes/evaluation/studies2003/index_en.htm

The report is also available in paper form: Evaluation of the Safer Internet Action Plan 1999-2002, Final Report, July 2003. (Paper or electronic copy available on request from: Beatrice Masoliver (DG INFSO).)

Final evaluation of the multi-annual Community Programme to Stimulate the Establishment of the Information Society in Europe (PROMISE Programme 1998-2002)

Name of the programme(s)/activity(ies) concerned: eEurope

Number of the ABB activity(ies) concerned: 09 03

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	09/2003 - 12/2003	M. Pettigrew	External

Purpose of evaluation

This evaluation fulfils the legal requirement for a final evaluation at the end of the 5-year implementation of the PROMISE programme, which has supported the development of the Information Society in Europe, including monitoring of the eEurope 2002 Action Plan. The evaluation has addressed the effectiveness, efficiency and impact of the PROMISE programme. Its findings, together with the Commission's comments, will be largely used to provide ex post information, to stakeholders on the performance and value of the programme. However, they may also inform aspects of the operational development of the MODINIS programme that will succeed PROMISE.

Summary of findings and recommendations

The benchmark exercise was said to have established real value for eEurope. The exercise produced a set of indicators that did not exist before. It also produced a number of spin-off activities in the area of statistics on and benchmarking of the Information Society.

PROMISE contributed to the financing of the eGovernment 2001 and 2003 and the eHealth 2003 Conferences. The conferences were very successful events with considerable impact in terms of follow-up actions by national policy-makers and industry and they also triggered follow-up actions by the Commission.

However, more could have been done to disseminate best practices. They received less emphasis in PROMISE than they deserved. In the MODINIS work programmes the balance should be shifted towards dissemination and exchange of best practices. Greater efforts should be made to support exchange of best practices at the regional level. In order to support the exchange of best practice at the regional level, co-ordination and co-operation with DG-REGIO should be improved.

Main evaluation methods and data used

Logical Framework/Diagram - Desk research - Field studies with: Interviews - Primary data from interviews, surveys, etc - Literature/experts - Expert panels

Action taken / follow-up planned

The evaluation findings, together with the Commission's comments, will largely be used to provide ex post information to stakeholders on the performance and value of the programme. However, they also inform on aspects of the operational development of the MODINIS programme, which will succeed PROMISE.

Availability of the report

Will be published at: http://europa.eu.int/information_society/programmes/evaluation/non_rtd/promise/index_en.htm

The report will also be available in paper form after approval by the competent services from DG INFSO. (Paper or electronic copy available on request from: Beatrice Masoliver (DG INFSO).)

17. INTERNAL MARKET

Evaluation of DG MARKT's Study Programme

Name of the programme(s)/activity(ies) concerned: Policy strategy and coordination for DG Internal Market

Number of the ABB activity(ies) concerned: 12 02

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	11/2002 - 04/2003	U. Eiteljoerge	External

Purpose of evaluation

The purpose of this evaluation was to provide recommendations for improving the planning and implementation of studies in DG MARKT as well as enhancing exploitation of results. In particular, studies were evaluated with a special view to their relevance for policy purposes, intrinsic quality and internal and external consistency.

Summary of findings and recommendations

The **definition of DG MARKT's study programme** is largely a bottom-up process, driven and managed at unit level and this has worked well for operationally oriented studies. It is recommended that a **study board** be considered to examine the scope of studies and see if these can be oriented to more ambitious goals. Two trends can be seen in the **methodological approach** to studies: the increasing use of field evidence and more use of qualitative information from case studies and interviews. Moving to **sophisticated and Delphi-like approaches** is appropriate to address the challenges of current policymaking

Main evaluation methods and data used

Desk research - Field studies with: Interviews

Action taken / follow-up planned

Some of the recommendations of this evaluation have been turned into official DG MARKT practice, for example, the creation of a study board to improve the quality of studies contracted out by DG MARKT.

Availability of the report

The report is not published since the evaluation was carried out for Commission internal use. (Paper or electronic copy available on request from: U. Eiteljoerge (DG MARKT).)

Intermediate Evaluation of Directive 98/71 ("Design Directive")

Name of the programme(s)/activity(ies) concerned: Internal market for goods and services

Number of the ABB activity(ies) concerned: 12 03

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	11/2002 - 08/2003	M. Olivan Aviles	Internal

Purpose of evaluation

Main purpose of the evaluation was to establish a baseline for the future ex-post evaluation and consider other possible courses of action in this policy area.

Summary of findings and recommendations

The aim of the Directive and the Directive itself are considered as still relevant. The likely impact of the Directive is the effective harmonisation of design law within the EU. The measure should, by far, solve the differences in the legal protection of designs offered by the legislation of the Member States which directly affect the establishment and functioning of the internal market in goods embodying designs and distort competition within the internal market. However, the transposition record of this directive is unsatisfactory. Many reasons why this is the case are identified.

Main evaluation methods and data used

Focus groups - Expert panels - Benchmarking

Action taken / follow-up planned

The Commission has undertaken to launch a consultation exercise concerning component parts of complex products with the parties most concerned. Its aim is to reach a voluntary agreement among these parties on the free use of spare parts for repair purposes. The consultation exercise has been initiated and a study evaluating the impacts of measures regulating the market for spare parts shall be launched.

Availability of the report

The report is not published since the evaluation was carried out for Commission internal use. (Paper or electronic copy available on request from: F. Caballero Sanz (DG MARKT).)

Ex ante impact assessment of a possible Horizontal Directive for the Internal Market in Services

Name of the programme(s)/activity(ies) concerned: Internal market for goods and services

Number of the ABB activity(ies) concerned: 12 03

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	12/2002 - 12/2003	J. Bergevin	Internal

Purpose of evaluation

The impact assessment analyses the options for addressing legal barriers affecting the Internal Market in services. It emphasises that, as services are everywhere in the modern economy, Internal Market barriers to services have a significant adverse effect on economic growth and competitiveness in the EU.

Summary of findings and recommendations

Analysis of the adverse effects of the current state of fragmentation of the Internal Market for services on economic growth, innovation, job creation and the competitiveness of the European economy shows that no policy change is an inappropriate option. The available policy options have been carefully considered and the conclusion reached that legislative action is required. Amongst the available legislative instruments, horizontal measures would be more efficient and effective than sector-specific measures.

Main evaluation methods and data used

Impact matrix – Field studies with: Interviews, Surveys - Primary data from interviews, surveys, etc. – Secondary data from: Statistical agencies, Literature/experts

Action taken / follow-up planned

The Commission will present early in 2004 a proposal for a Directive to create a real Internal Market for services. On the basis of the findings of the impact assessment, the Directive would establish a general legal framework to benefit all services provided to consumers and business (except services provided directly by public authorities for no remuneration or services already covered by specific EU law (such as financial services, telecommunications and transport).

Availability of the report

The Impact Assessment is published as Commission Staff Working Paper (SEC (2004) 21 and COM (2004) 2 final) and available at: http://europa.eu.int/comm/internal_market/en/services/services/docs/2004-impact-assessment_en.pdf.

Ex ante impact assessment of a possible Directive on Reinsurance ("Reinsurance Directive")

Name of the programme(s)/activity(ies) concerned: Internal market for goods and services

Number of the ABB activity(ies) concerned: 12 03

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	04/2003 - 12/2003	F. Caballero Sanz	Internal

Purpose of evaluation

There are currently no harmonised reinsurance supervision rules in the EU. The lack of an EU regulatory framework for reinsurance has resulted in significant differences in the level of supervision of reinsurance undertakings in the EU. The different national rules have created uncertainty for direct insurance companies (and their policyholders), barriers to trade within the internal market, administrative burden and costs as well as weakening the EU position in international trade negotiations. Based on a study carried out in 2002 by an external consultant, the ex ante impact assessment aimed to examine the most efficient and economic way to achieve harmonised rules in this sector.

Summary of findings and recommendations

Of the alternatives, status quo, supervision or market measures, the most positive economic impacts come from supervision (although there will be certain compliance costs). Social impacts, i.e. primarily the interests of the policyholders, would be best served by a supervisory alternative. A reinsurance supervision system is unlikely to have any impact neither on the employment in the sector nor on premiums for policyholders.

Main evaluation methods and data used

Impact matrix - Desk research - Field studies with: Interviews - Primary data from interviews - Literature/experts – Expert panels – Other: Simulations

Action taken / follow-up planned

Based on this evaluation, the Commission will propose a directive based on harmonisation and mutual recognition with a mandatory licensing system, no collateralisation requirements in the EU, and solvency requirements in line with those of direct insurance.

Availability of the report

The report is not published since the evaluation was carried out for Commission internal use. (Paper or electronic copy available on request from: F. Caballero Sanz (DG MARKT).)

18. JOINT RESEARCH CENTER

Annual Monitoring 2002 of the Implementation of the Specific Programmes for Research and Technological Development and for Research and Training (direct actions) carried out by the Joint Research Centre (JRC)

Name of the programme(s)/activity(ies) concerned: Administrative expenditure of Policy Area Direct Research; Completion of previous Framework Programmes and other activities

Number of the ABB activity(ies) concerned: 10 01; 10 04

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	09/2002 - 04/2003	V. Calenbuhr	External

Purpose of evaluation

Main objective of the exercise was the assessment of the implementation of the JRC Annual Work Programme 2002. The evaluation is also carried out in compliance with Article 5 of the EP and Council Decision for the 5th Framework Programme and Article 4 of Council Decisions for Specific Programmes. It should contribute to the consolidation of the new mission of the JRC to provide customer driven, scientific and technical support to the conception, development, implementation and monitoring of EU policies.

Summary of findings and recommendations

During 2002, the JRC focused on the preparation of its multi-annual work programme for 2003 to 2006 and defining its role in the European Research Area (ERA) and its contribution to enlargement. The increased interaction with and consultation of both the High Level Group of User DGs and the JRC's Board of Governors contributed significantly to the overall content of the work programme.

The quest to improve efficiency of services was also continued through development of a time accounting and project management system. The Board of Governors appreciates the JRC management's efforts to rationalise the administrative tasks and reduce costs and to make best use of its human and financial resources. In this context, the Board makes the following observations for the year 2002:

- The provision of sound scientific and technical support to EU policies continued in line with JRC's mission with particular examples shown in this report. Increased user-orientation was evident in the preparation of the JRC's multi-annual work programme and the Board of Governors acknowledges that the JRC has taken into consideration the recommendations of the Board and its Working Groups and that the new work programme will be effective in serving EU policies and ensuring necessary scientific excellence. It is believed that the new structure of Integrated Scientific Areas (ISAs) will make better use of JRC multi-disciplinary competencies and enhance the cohesion and focus of the JRC activities.
- The Board also acknowledges the JRC's potential to contribute strongly to the aims of the European Research Area (ERA) in strengthening the EU's position in international research. The JRC ERA Action Plan, **jointly developed between the Board and the JRC management staff**, lays out ambitious targets focusing on the JRC's ability to contribute via Common Scientific Reference Systems, increased networking, targeted multidisciplinary training and mobility, and broadening access and use of JRC's specialised facilities. A further aim of the ERA is meeting the challenge of an enlarged Europe. The Board recognises the results of the JRC programme on 'Collaboration and advanced training' in 2002 which through a series of dedicated workshops and training sessions involved more than 1000 scientists from Candidate Countries.
- The JRC's main asset is its highly qualified staff and the Board applauds the initiative taken in 2002 to recognise scientific excellence through young scientist and best publication awards. The Board's own discussions during the year benefited considerably from direct interaction with staff representatives as a part of our meetings.
- The Board welcomed and endorsed the move to give JRC responsibility for the management of the Communities' intellectual property. The JRC will undertake actions to protect and transfer its own results to the market and to develop its networks throughout Europe to foster best practice on innovation and technology transfer.
- The Board of Governors notes that the JRC's role in nuclear related activities presents various challenges, notably **the nuclear waste management** and the decommissioning of some of the JRC's own nuclear sites. The Board of Governors encourages the JRC to continue using its know-how and competency in this field to accomplish its mission and looks forward to the **future** development of the High Flux Reactor operation.

Main evaluation methods and data used

Expert panels - Other: The yearly monitoring of the JRC is performed by the Board of Governors in connection with the Annual Report of the JRC. The Annual Monitoring exercise of the JRC is presented to the 5th FP Monitoring Panel by a member of the JRC Board of Governors.

Action taken / follow-up planned

- Launch of ERA Action Plan
- Activities in relation to managing intellectual property rights were strengthened with the publication of new posts
- Rescheduling of the D&WM programme; preparation of a new Commission Communication to the Council and the European Parliament
- New supplementary programmes (2004-2006) adopted by the Commission; Request for licence submitted to NL authorities

Availability of the report

Published as part of the JRC 2002 Annual Report that is available under the heading "Publications" on the following website: http://www.jrc.cec.eu.int/default.asp@sidsz=more_information.htm

Evaluation of the Decommissioning and Waste Management Programme

Name of the programme(s)/activity(ies) concerned: Administrative expenditure of policy area Direct Research; Historical liabilities resulting from nuclear activities carried out by the Joint Research Centre under the EURATOM Treaty

Number of the ABB activity(ies) concerned: 10 01; 10 05

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	09/2002 - 06/2003	P. Frigola	External

Purpose of evaluation

Main purpose of the evaluation is the assessment of the validity of the existing D&WM Programme including provision of recommendations and the development of a strategy for decommissioning and waste management.

Summary of findings and recommendations

The main findings are: Overall budget cost amounts to € 1,069 million instead of € 941 million, of which additional cost for "green field" option amounts to € 76 million; General strategy to implement the Decommissioning and Waste Management programme is approved; JRC should keep control of the programme as "awarding authority"; Externalise works on-site to experimented companies; Mitigate risks by means of permanent relationship with stakeholders: local and national authorities, public.

In general, the evaluation consortium approves the strategy developed by the JRC to reach Stage 3 of decommissioning which authorises re-use without restrictions of sites for any non-nuclear activity. The Consortium also pointed out that the pursuit of this strategy would allow reaching the "green field" stage which includes total demolition of the buildings at a relatively modest additional cost (+7%). Nevertheless, the Consortium believes that this strategy should be explained through a "decommissioning plan" for each site. Today, the Geel centre has such a plan, in accordance with Belgian legislation. The Ispra site has implemented a similar plan as part of the scheduling of its works. The Consortium formulates other recommendations, which have already been, for the most part, adopted or implemented by the JRC. It is worthwhile mentioning in particular, excluding the specific technical recommendations at each site:

- Concerning the **organisation**, an adaptation of the organisation, the retention of skills, training of staff in the field of decommissioning, introduction of performance indicators such as reduction of radiation doses received and minimisation of secondary waste (produced by processes used to dismantle installations and which are therefore added to the existing waste) produced, systematic recourse to specialised companies for equipment engineering and works on site;
- **Control of external relations**: close contact with the Italian authorities, relations established with the competent authorities in order to obtain quickly acceptance criteria for waste packaging, if they do not exist, and/or the opening of the appropriate outlets, including those for high-activity waste, reinforcement of staff dedicated to relations with authorities, implementation of a communication programme intended for the public, clarification of the conditions for returning the site to its owner according to the agreements in force in the host countries;
- **Technical**: preparation of the radiological inventory of the installations, including the taking of samples, reinforcement of decontamination of waste to minimise its final volume, approaching entities in Member States, which have dealt with equivalent installations, recourse to best available techniques to obtain an exchange of expertise for the benefit of Member States and Accession Countries. Finally, the Consortium recommends the periodical updating of the JRC's decommissioning programme.

Main evaluation methods and data used:

Desk research - Field studies with: Interviews, Direct observation - Primary data from interviews, surveys, etc - Expert panels - Benchmarking - Cost-effectiveness analysis

Action taken / follow-up planned

Presentation to the Expert Group; Presentation of the Review Report to the Board of Governors; New Communication to the European Parliament and to the Council on Decommissioning and Waste Management Programme; Modification of organisation and staff profiles; Setting up of new projects management method; Setting up of a Steering Committee

Availability of the report

The report is not published since the evaluation was carried out for Commission internal use. (Paper copies available at request from G. Mahaud (DG JRC).)

Evaluation of the User Satisfaction (Surveys on Commission and External Users)

Name of the programme(s)/activity(ies) concerned: Administrative expenditure of policy area Direct Research; Directly financed research operational appropriations – 6th Framework Programme (2002 to 2006) - EC; Directly financed research operational appropriations – 6th Framework Programme (2002 to 2006) - EURATOM; Completion of previous Framework Programmes and other activities

Number of the ABB activity(ies) concerned: 10 01; 10 02; 10 03; 10 04

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	03/2003 - 10/2003	V. Calenbuhr	External/Internal

Purpose of evaluation

In 2003, the JRC implemented its first ever corporate User Satisfaction Survey. This exercise draw upon the experiences of various institute-based user surveys of the past. The study was implemented as a two-tier process, i.e. one survey addressing Commission users and one survey (based on an almost identical questionnaire) addressing users external to the Commission. To interrogate clients, a internet-based questionnaire was used. In addition, phone interviews were conducted by external contractor EOS Gallup.

The purpose of the user survey was to better appreciate (internal and external) users' needs, to identify clues to improve communication with users, and to improve on project management.

In particular, information on the following issues was sought: Satisfaction with regard to various JRC products/services and project management; Reasons why users chose the JRC; Quality and relevance of products/services; Project management related issues; Whether users would recommend the JRC to other users; Differences between external vs. internal users.

While the analysis of the results focused mainly on JRC corporate level, the JRC also was interested in mapping results onto institute level. In addition, the survey was used as supporting evidence into the Five Year Assessment, an evaluation that according to 6th RTD Framework Programme has to be carried out before the introduction of the proposals for the next Framework Programme.

Summary of findings and recommendations

- **General satisfaction:** Various indexes of adherence were calculated at both internal and external levels. They highlight a generally high level of satisfaction. They sometimes vary considerably depending on the subjects under review. Whereas scientific and technical competence related subjects rank very high, users seem to be less satisfied with project management related issues such as keeping deadlines. In general, the JRC obtains a broad appreciation for the projects and services provided to users: more than 95% of JRC users consider its contribution to have been essential or useful for their work. There was the same general comment when asking respondents whether they would use the services of the JRC again. The level of satisfaction is high for both types of users, i.e. external and internal, with the former scoring higher than the latter.
- **Reasons to choose the JRC:** The competence of the JRC is by far the most important reason that leads users to work with it. According to external users, the JRC's facilities, reputation and independence in relation to commercial interests also constitute decisive elements.
- **Quality and relevance of products/services:** The level of satisfaction in relation to the products and services provided by the JRC was found to be, in general, very high. The quality and the scientific interest of the products or services, as well as the relevance of the products and services offered to users of the JRC, were clearly underlined throughout the survey. Independence from national interests seems also to be an asset.
- **Project management:** The overall quality of the project management is appreciated, but this seems less evident when discussing project timing, administrative and financial management, and the provision of adequate human resources. The aspect affecting human resources also seems to constitute one of the main expectations of the JRC's external users, who emphasized the importance of the turnover of personnel and the loss of knowledge or know-how

that this could generate. Some people have also insisted on the need to stabilize the personnel and the organization chart.

- **Recommendation of the JRC to other users:** The recommendation of the JRC as the supplier of scientific and technical services is an important indicator of the level of satisfaction. A very clear majority of users was very positive about this issue.
- **External versus internal users:** Comments made by some respondents in the quantitative survey and the qualitative survey highlight expectations that are sometimes different between the internal users and the external users. Several internal users thus expressed their wish to see the JRC respond more to their needs and to the priorities of the DGs, and behave more like a service provider. The external users expressed their expectations with regard to a greater openness on the part of the JRC towards the outside, notably by a wider communication of the results of the research carried out in the different institutes.
- **User understanding of the structure of the JRC:** The JRC is often associated by the respondent with the Institute with which he/she is collaborating. The overall structure of the JRC is often not clearly understood: it is known that several institutes exist but it is not always known how many, where they are located, etc. However, this lack of knowledge concerning the very structure of the JRC does not harm the relationships that users have with the Institutes.

Main evaluation methods and data used

Field studies with: Interviews, Surveys – Statistical analysis

Action taken / follow-up planned

It is planned to address project management related issues via the various JRC Total Quality Management initiatives. The survey also has revealed areas of concern with respect to user data base management, and this issue will be integrated into the JRC overall data management strategy. Finally, the present survey was anonymous and did not relate to specific projects. The latter aspect proved to be unsatisfactory and it is planned to implement the next survey in a way that allows to pool responses with respect to specific outputs. In that way, the next survey will be used to measure impact of projects directly. An action plan was elaborated and is presently pending approval.

Availability of the report

Published at: http://www.jrc.cec.eu.int/download/JRC_RAP_final_USS.pdf

Paper or electronic copy available on request from: V. Calenbuhr (DG JRC-B5).

Internal Evaluation of the Performance of JRC (Benchmarking exercise carried out by the JRC Benchmarking Network)

Name of the programme(s)/activity(ies) concerned: Administrative expenditure of policy area Direct Research; Directly financed research operational appropriations – 6th Framework Programme (2002 to 2006) - EC; Directly financed research operational appropriations – 6th Framework Programme (2002 to 2006) - EURATOM; Completion of previous Framework Programmes and other activities

Number of the ABB activity(ies) concerned: 10 01; 10 02; 10 03; 10 04

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	09/2002 - 01/2003	V. Calenbuhr	Internal

Purpose of evaluation

The purpose of the benchmarking exercise is to compare JRC's performance with respect to other public and private research organisations in Europe on a number of key performance indicators and to provide quantitative performance information to the management in an Activity-based perspective.

Summary of findings and recommendations

The first benchmarking exercise confirmed the JRC's position with other public and private research organisations in a rather positive light e.g. with respect to various indicators e.g. scientific output, budget and gender balance. However, the main thrust of conclusions is related to methodological aspects of conducting such an exercise. The difficulties linked to comparing organisations with very different mandates and activity portfolios are a major obstacle. Most of the follow-up work will therefore be devoted to further developing the methodology and to devise an improved set of shared indicators.

Main evaluation methods and data used

Desk research - Field studies with: Interviews, Surveys – Statistical analysis - Benchmarking

Action taken / follow-up planned

The results of the exercise will be used for the definition of improved set of shared indicators/definitions and for the preparation and implementation of a new performance benchmarking exercise in 2003/4.

Availability of the report

The report is not published since the evaluation was carried out for Commission internal use. (Paper copies available at request from V. Calenbuhr (DG JRC).)

19. JUSTICE AND HOME AFFAIRS

Evaluation of the Role of Security, Transparency and Legality and Social Development

Name of the programme(s)/activity(ies) concerned: Law enforcement cooperation and prevention of and fight against general and organised crime

Number of the ABB activity(ies) concerned: 18 05

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	12/2002 - 06/2003	M. Laperrousaz	External

Purpose of evaluation

Main purpose of the evaluation was to assess the scope for introduction of crime prevention intervention in the Community programmes supporting the development of the Accession and Candidate Countries. The study considered the rationale behind interventions in the field of security, legality and transparency, the relative conditions in the Acceding Countries, as well as the experience of the relevant PHARE programmes and the Structural Funds.

Summary of findings and recommendations

The study concluded that there is a very strong case for improving the conditions of security, legality and transparency in the Accession Countries and for the potential of Community intervention to contribute to this. The main findings were as follows:

- There is a strong link between security, legality and transparency and socio economic development. Without improvements in the former the development of some or all of the Accession Countries will be held back.
- Available data indicate significantly worse conditions with respect to security and legality in the Accession Countries compared to the EU.
- There have been positive benefits from the interventions under PHARE and the major Structural Fund programmes in Italy that were focused on security and legality. These include an improved effectiveness in the fight against crime, corruption and organised crime as a result of support for institution building, design and development of the strategies to fight crime and the training of law enforcement agencies personnel.
- There is a danger that much of the substantial increase in public sector investment due to the EU intervention in the new Member states could be 'lost' without the elimination of public sector corruption, through a failure to create the conditions where enterprises can operate confident that laws exist and are enforced and unless social capital is strengthened.

Main evaluation methods and data used

Field studies with: Interviews - Primary data from interviews, surveys, etc – Secondary data from: Literature/experts - Statistical analysis - Benchmarking

Action taken / follow-up planned

The conclusions of the study have been fed into on-going discussions with interested Directorates General and Acceding Countries regarding use of Structural Funds 2004-2006. The study is also being used in the context of preparations for specific programmes in the area of Justice and Home Affairs to address a broad range of crime prevention measures, in particular in the Accession states and Candidate Countries, for the post-2006.

Availability of the report

Will be published at:

http://europa.eu.int/comm/dgs/justice_home/coordination/evaluation/dg_coordination_evaluation_annexe_en.htm

Paper or electronic copy available on request from: M. Laperrousaz (DG JAI).

Mid-Term Evaluation of the European Refugee Fund (ERF)

Name of the programme(s)/activity(ies) concerned: Common immigration and asylum policies

Number of the ABB activity(ies) concerned: 18 03

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	01/2003 - 12/2003	A. Boillot	External

Purpose of evaluation

The specific purpose of the evaluation was to draw lessons for the preparation of the proposal for the second phase of the financial instrument by addressing the following elements:

- Assessment of the relevance of the objectives, measures, activities and target groups of the ERF;
- Assessment of effectiveness and efficiency of project activities and management procedures at Member State and Community level;
- Assessment of impact at Member State and Community level;
- Assessment of added-value at Member State and Community level;
- Lessons for the remaining current implementation period and future programming.

Summary of findings and recommendations

Main Findings:

- The distribution of funding between Member States is relevant to the overall ERF objective of promoting a balance in the efforts of the Member States in bearing the consequences of receiving refugees and displaced persons.
- The measures on reception, integration and voluntary repatriation currently are and will continue to be relevant in light of the evolving needs in the Member States and in the European Union
- The evaluation found that the level of goal attainment was high. More than 90% of the projects considered that their objectives and planned results had been achieved. However, the complex management rules and very small amount of funds available implied that the general level of impact on the national policies in the areas of reception, integration and voluntary repatriation, as well as on harmonisation and burden sharing among the Member States, remained too limited to demonstrate substantial added-value at EU level.
- Four main problems regarding the efficiency and effectiveness of management procedures were identified: (1) The one-year project duration, which requires excessive resources to be devoted setting up project organisations and hiring staff and evaluation procedures, and thus limiting project sustainability; (2) Funding delays, which create great liquidity problems, particularly among the smaller organisations; (3) Excessive administration and bureaucracy; and (4) Inefficient management implementation in some Member States.

Main recommendations:

- The role of the Commission in the development of national strategies should be strengthened, in particular to establish a more relevant balance between support for immediate national priorities and support for activities likely to contribute to helping Member States to gradually meet their future obligations regarding harmonised legislation, policies and procedures in the field of asylum.
- The allocation of funds should continue to be the prerogative of the Member States.
- Increased streamlining of activities should be carried out.
- The administrative, payment and accounting procedures should be revised, templates should be developed.
- The project cycle should include the possibility for extensions to two to three years.
- The Commission should provide increased support to the implementation of the decentralised procedures.
- Support and procedures for exchange of information should be developed, both at national and EU-level.

Main evaluation methods and data used

Desk research - Field studies with: Interviews, Surveys - Primary data from interviews, surveys, etc - Secondary data from: Literature/experts - Case studies - Statistical analysis - Cost-effectiveness analysis

Action taken / follow-up planned

The findings and recommendation of the mid-term evaluation were presented at the Conference organised by the European Commission on 30-31 October 2003 on the future of the ERF. It formed one the main elements for the Extended Impact Assessment and elaboration of the draft proposal for the second phase of the European Refugee Fund, which should be adopted by the Commission in January 2004.

Availability of the report

Will be published at: http://europa.eu.int/comm/justice_home/funding/refugee/funding_refugee_en.htm

Paper or electronic copy available on request from: A. Boillot (DG JAI).

Final Evaluation of the DAPHNE Programme

Name of the programme(s)/activity(ies) concerned: Citizenship and fundamental rights

Number of the ABB activity(ies) concerned: 18 04

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post (final)	05/2003 - 12/2003	P. Trousson	External

Purpose of evaluation

The overall objective of this exercise is to evaluate the added-value of the DAPHNE programme as a policy instrument. The specific objectives of this final evaluation are as follows:

- To assess the effectiveness and efficiency of the DAPHNE programme with reference to the objectives set out in Council Decision 2000/293/EC.
- To identify the impacts of the programme at EU and national level in terms of policy influence and draw lessons for the future.
- To assess the implementation and the delivery mechanisms of the DAPHNE programme, including the strengths and weaknesses of its implementation (years 2000 to 2002 and, insofar as possible, 2003) and propose recommendations for the future.

Summary of findings and recommendations

- Regarding **effectiveness**, the evaluation concludes unambiguously to the contribution of the outputs and impacts to achieving the Programme's objectives.
- Regarding **efficiency**, the outputs and impacts are impressive with regard to the resources allocated. This is however partly due to insufficiently accounted and paid efforts proper to the voluntary sector.
- On **relevance**, the programme is appropriate because it addresses the diversity of needs as regards violence against children, young people and women.
- Concerning **sustainability**, the results are rather weak mainly because of insufficiently planned and targeted dissemination as well as difficulties in obtaining post projects funding.
- On **implementation and management**. The clarity of the DAPHNE documents and the quality of the support from DAPHNE satisfy a large majority of project co-ordinators. Nevertheless, at selection stage and during the project, smaller NGO's suffer from administrative and financial procedures perceived as hard for them

The main recommendations formulated are:

- To safeguard the role of NGO's as project coordinators and to support the participation of smaller NGO's through e.g. additional advice services supplied by an helpdesk, specific training, information days and/or early guidance;
- To further plan, intensify and target dissemination through the training of partners on dissemination best practices, the definition of specific budget for dissemination purposes and additional dissemination through the press;
- To increase the sustainability of the DAPHNE outputs and impacts through: enabling partners (smaller NGO's in particular) to raise funds; further dialoguing with Member States to more closely network DAPHNE projects and national/regional/local initiatives; encouraging the realisation of outputs such as videos or specific training modules able to more directly impact target groups and end beneficiaries.

Main evaluation methods and data used

SWOT analysis - Field studies with: Interviews, Surveys - Primary data from interviews, surveys, etc - Secondary data from: Monitoring system - Expert panels - Statistical analysis - Cost-effectiveness analysis

Action taken / follow-up planned

The findings of this evaluation will be an input to the final report on the DAPHNE programme that the Commission should submit to the Parliament and to the Council at the beginning of 2004. Most of the recommendations made in the report are acceptable and have already been incorporated in the design of the DAPHNE II programme. For example, a helpdesk to assist NGOs (especially from the new Member States) is planned to be set up. The dissemination of the results will be reinforced by a redesign of the DAPHNE website and by actions carried out directly with the organisations

owner of the results, such as secondment of personnel in order to transfer these results, or the publication of CD-ROM, video or brochures.

Availability of the report

The final report will be published as soon as approved. A paper or electronic copy available on request from: P. Trousson (DG JAI).

20. PERSONNEL AND ADMINISTRATION

Evaluation of the Management of absence at work, vacation and leave for Commission staff (Measure 11 of MAP 2000)

Name of the programme(s)/activity(ies) concerned: Policy strategy and coordination for DG Personnel and Administration; Personnel policy and management

Number of the ABB activity(ies) concerned: NN (Activity without budget line); 26 01 50

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	10/2002 - 07/2003	E. Weizenbach	External

Purpose of evaluation

The evaluation focused on the management of leave, vacation and absence at work in the Commission after having been progressively decentralised during 1998 and 1999 to the level of the individual human resource units of the DGs as foreseen by measure 11 of the MAP 2000 programme.

It had to assess the effectiveness and efficiency of this operation. It also had to examine if the current decentralised management system secures equal treatment for all Commission officials (Article 1a of the Staff Regulations) in terms of a coherent and uniform adherence or application across the Commission. In addition, it needed to propose a solid monitoring system in terms of methods, indicators and organisation within DG ADMIN. The project was based on the evaluation criteria of utility, coherence, sustainability, effectiveness, and efficiency. Purpose was also to supply recommendations on the improvement of the management system on leave and absence in the Commission and on the future role of DG ADMIN; as well as for effective monitoring (including performance indicators, working methods and organisation).

Summary of findings and recommendations

The **key findings and conclusions** are:

- The relevance of the principle of decentralisation of leave and absence was confirmed ex-post by significant majorities of positive opinions in the surveys carried out by the evaluation. Whereas initial relevance was high, effectiveness and impact have however so far been curtailed by shortcomings in the efficiency of management tools and co-ordination.
- A vast majority of staff, the GeCo's (Gestionnaires Congés) and the AIPN's are dissatisfied with the two co-existing management tools for rules and procedures. The Vade-mecum and the Manual seem to have been hurriedly compiled in 1999 to accompany decentralisation, and have not been officially updated since.
- Most DGs expressed their satisfaction with the IT tool 'SIC Congé', though some shortcomings were pointed out. Furthermore, the lack of training/refresher courses after decentralisation has been deplored by all GeCo's.
- The decentralised management by the Heads of Human Resource units (in their role of AIPN's) has not completely filled the gap left by the phasing out of the central support by DG ADMIN, as intended. Heads of these units do not consider matters of absence and leave as a priority among their various tasks.
- Overall monitoring, co-ordination or a centralised control/supervision system of the decentralised management of absence and leave has not been implemented by DG ADMIN.
- Based on a relatively stable number of total Commission staff, the number of staff dealing with leave and absence after the MAP2000 decentralisation was nearly multiplied by two. This may have for a large extent been compensated by efficiency gains due to increased levels of staff presence due to the closer control and monitoring of leave and absence by the services themselves.
- Effectiveness gains relate to reduced handling time for standard leave applications, closer surveillance, decision-making closer to the people it affects, increased accountability by the decentralised services, and increased social "understanding" in cases of special leave requests.

The evaluation team has identified clear areas of improvement in the Commission's system of leave and absence management. In their report they made the following **recommendations**:

- Urgent upgrading of rules and procedures (Vade-mecum and Manual) and its compilation into a single coherent set of guidelines, which should be made available to all Commission staff.

- DG ADMIN should become the central policy-maker and co-ordinator for leave and absence management in co-ordination. It should also monitor the performance of the Commission's management of leave and absence.
- Within this context, DG ADMIN should re-establish a central support function for advice to the GeCo's, by mentoring the network of GeCo's, and by facilitating contact with DG ADMIN and the Medical service. Training should again become available for new GeCo's and for more experienced ones. DG ADMIN should only supply central advice on application and interpretation, without interfering in decision-making of the AIPN's in the DGs. The AIPN network should be used by DG ADMIN to discuss at time intervals key matters of absence and leave.
- The IT tool 'SIC-Congé' should be upgraded, harmonised across the Commission service, and it should be linked or integrated with the currently separate system of the Medical Service.
- Presence should be monitored via standardised methods and be linked/integrated with SIC via a system of presence by electronic cards, or a simple PC application or Commission badges.
- The Commission's medical services should resolve their different approaches related to medical certificates for serious illness of parents or children. They should also establish clear guidance as regards AIPN requests for medical controls and a procedure to deal with sick leave or illnesses of Detached National Experts as well as set clear rules for controls concerning the 'Article 60' situations.

Main evaluation methods and data used

Logical Framework/Diagram - Desk research - Field studies with: Interviews, Surveys - Primary data from interviews, surveys, etc - Secondary data from: Monitoring system

Action taken / follow-up planned

The steering group agreed to all above-mentioned recommendations. It was judged that the first three recommendations needed to be given the highest priority. All concerned Directors and involved services were requested to give their feedback to the proposed follow-up plan that was drawn up by the steering group. All involved services from DG ADMIN expressed their approval to the action plan and their comments were integrated in an updated version. The services also indicated the link to the report on managing invalidity in the Commission, which were subject of a meeting in order to discuss in detail all follow-up measures and to co-ordinate those with the proposals in the interim report on invalidity. As a result a follow-up table with tasks to implement the recommendations was adopted by note of the Director General of DG ADMIN on 14 November 2003. It is proposed to put the adoption of a Commission Communication on leave and absence on the Commission agenda in April 2004.

Availability of the report

The report is only published on the Intranet (http://www.admin.cec.eu.int/abm/evaluation_2002.htm) since the evaluation was carried out for Commission internal use only. (A paper or electronic copy available on request from: E. Weizenbach (DG ADMIN).)

Evaluation of the Third Action Programme on Equal Opportunities and future Gender Equality Actions

Name of the programme(s)/activity(ies) concerned: Policy strategy and coordination for DG Personnel and Administration; Personnel policy and management

Number of the ABB activity(ies) concerned: NN (Activity without budget line); 26 01 50

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	10/2002 - 10/2003	E. Weizenbach	External

Purpose of evaluation

The evaluation project consisted of a general evaluation of the Third Action Programme for Equal Opportunities for women and men for the period 1997 – 2000, which was extended up to the end of 2001. It did not only look at past performance, but also led to practical recommendations on career policy on gender equality and in regard to the tools available to achieve targets set. The evaluation results had to be used to steer the implementation of the Fourth Action Programme. The objectives of this evaluation were:

- To evaluate ex-post the effectiveness, efficiency, utility and sustainability of the Third Action Programme for Equal Opportunities for women and men for the period 1997– 2001;
- To provide recommendations for the implementation of the 4th action programme with an emphasis on career policy in regard to gender equality;
- To carry out a problem analysis and needs assessment of the equal opportunities in the career policy of the Commission.

Summary of findings and recommendations

The **key findings and conclusions** are:

- Some 60% of officials believe that the position of women has improved in the Commission as a result of the 3rd Action Programme and other measures aimed at promoting equal opportunities. There is some variation in this view with more men (69%) perceiving improvements than women (56%), and fewer officials in C-grades perceive this to be the case (56%) than A and B-grade officials (61%).
- The overall perception amongst Commission officials is that few equal opportunities measures have been implemented within the DGs themselves as a result of the 3rd Action Programme. Over 80% of the officials responding to the survey are not aware of any actions being taken within their DG in response to the 3rd Action Programme. Overall, there was also a poor level of awareness of the 3rd Action Programme amongst Commission officials.
- Many officials would like to see equal opportunities being given a higher priority in the Commission, and this is particularly the view amongst female staff rather than male personnel.
- The 3rd Action Programme was the main internal initiative related to equal opportunities. However, the Reform of Staff Policy has a key influence since it deals with major issues of equal opportunities and creating a more flexible working environment. It had therefore a great impact upon the programme and the visibility of equal opportunities. The Reform is improving the mainstreaming of equal opportunities amongst human resource policy areas within the Commission.
- Feedback from the research suggests that while the Reform offers considerable potential for improving working conditions of Commission officials, there is some scepticism about the extent to which resource issues will be tackled and whether ultimately there will be progress.
- There is little consistency in the approach amongst DGs towards provide adequate cover for maternity leave within DGs, and where this is provided it tends to be focussed on C-grade staff that are easier to replace temporarily.
- There are four issues which more than 50% of all respondents consider to be very important: the regularisation of working hours topping the list (58.6%), followed by the replacement of staff on part time or maternity leave (57.4%), flexible working arrangements (56.2%) and child care offered by the Commission (51.1%). These are therefore issues which need to be addressed in any future action plan for equal opportunities, and in the case of flexible working arrangements, this highlights the importance of the Reform which addresses this issue.
- Generally, both women and men attach equal importance to policies for reconciling private and professional life. However, almost 73% of officials in the survey believe that there have been no positive changes to working practices in their DG, which have reduced conflict between work and family commitments, even though the majority are not aware of any barriers that might have stopped this from happening.

- Some DGs have made active attempts over the last few years to improve their gender balance, and where this has occurred there has been a strong political commitment on the part of senior management to proactively increase the representation of women in A-grades. There are a number of reasons why increasing the representation of women has been slow, but the most significant of these is the workload pressure on senior staff and the culture of long working hours which discourages women with family commitments from seeking promotion.
- The representation of women in managerial posts (A-grades) in the Commission is low, and although there have been slight improvements over recent years there is still considerable scope for improvement. In May 2003 women account for 23% for A-grade managerial posts, and as seniority increases, women account for a decreasing percentage of staff, with only 14% of those at the most senior levels (A1 and A2) being women. Overall, women account for 46% of all staff in the Commission, but the vast majority of women are employed in C-grades, where women account for 79% of the posts. While the Commission's gender equality targets appear to be less ambitious than in Sweden, they are more challenging than those elsewhere. Representation of women in the Commission is similar to that in international organisations, but the proportion at management levels is relatively low.
- The level of resource put into implementing of the 3rd Action Programme does not appear to have been high. The unit in charge of 'Equal Opportunities and Non-discrimination' within DG Admin has taken the lead in this programme, but had limited resources (with one Head of Unit, a detached national expert and two B-grades, plus secretarial support). The individual DGs were responsible for implementing the 3rd Action Programme. However due to competing pressures on personnel, this has not had high priority in many DGs. Feedback from the research suggests that DG ADMIN has been effective in its role of co-ordinating the programme, but did not have the responsibility nor the resources to enforce gender equality policies. The overall view is that DG ADMIN has however been effective at influencing selection and recruitment policies and active in monitoring targets and organising awareness initiatives.
- At present there is considerable variation in the extent to which equal opportunities action plans have been established in DGs and there has been little co-ordination of activity. This may have resulted in the unequal treatment of staff across the Commission.
- The need for better and more comprehensive monitoring data on gender equality indicators in national administrations seems to be universally accepted and target setting generally appears to be regarded as helpful. An example of good practice is Ireland where data is available on many different facets of gender equality, including the number of women and men taking up flexible/family-friendly working practices such as part-time and term-time working. This type of monitoring would appear to go beyond the approach currently adopted in the Commission. There is anecdotal evidence that DGs with a good equal opportunities record are successful in attracting high quality staff.

The evaluation has identified a series of policy implications and **recommendations**, which could be used in drawing up the next Action Programme. The most important ones are:

- To improve the gender balance within the staff by: widening the annual targets to include career planning, including the promotion, training and retention of female officials, in addition to those for the recruitment and appointment of women at senior levels; ensuring balanced representation and introducing a "gender equality scorecard" across Commission services and more comprehensive monitoring of achievements of DGs and services.
- To promote mentoring and professional training to advance career development of women;
- To address barriers to career development of women;
- To place more emphasis on securing the support of senior Commission officials for the promotion of gender equality;
- To promote flexible working arrangements in the Commission with the aim of improving the reconciliation of private and professional life of staff;
- To raise the visibility of a 4th Action Programme and to ensure consistency in the approach adopted across the different DGs of the Commission.

A series of practical implications are deduced from the evaluation report based on the above-mentioned main recommendations.

Main evaluation methods and data used

Logical Framework/Diagram - Desk research - Field studies with: Interviews, Surveys, Focus groups - Primary data from interviews, surveys, etc - Secondary data from: Monitoring system - Experts -Benchmarking

Action taken / follow-up planned

The steering group agreed to all recommendations made in the report. The main follow-up to be provided to this evaluation is the drafting and adoption of a 4th Action Programme on Equal Opportunities for Men and Women. This new programme falls under the responsibility of unit DG ADMIN-B4 and should provide the practical follow-up to the recommendations and findings of the evaluation. The Evaluation Function has provided a first draft preliminary proposal. Unit DG ADMIN-B4 will prepare and submit the final proposal for the 4th Action Programme and, after inter-service consultation, the proposal is scheduled to be adopted on the Commission's agenda of 20 April 2004.

Availability of the report

The report is only published on the Intranet (http://www.admin.cec.eu.int/abm/evaluation_2002.htm) since the evaluation was carried out for Commission internal use only. (A paper or electronic copy available on request from: E. Weizenbach (DG ADMIN).)

Evaluation of the Language Training Programme organised by DG Admin for the Commission and other EU Institutions

Name of the programme(s)/activity(ies) concerned: Personnel policy and management

Number of the ABB activity(ies) concerned: 26 01 50

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	07/2002 - 11/2003	E. Weizenbach	External

Purpose of evaluation

This general evaluation of the language training programme, organised by the Commission's central training units (DG Admin-A3 and DG ADMIN-C2) had the following objectives:

- To carry out a needs & problem assessment of the language training in the Commission as a necessary part of assessing the relevance of the intervention;
- To identify alternative delivery mechanisms or further options for synergy with other organisations;
- To assess the results & impacts of the language training programme since 1999;
- To evaluate the effectiveness and efficiency of the training programme to date and propose improvements.

Summary of findings and recommendations

The *main findings* of the evaluation are:

- Language training is highly appreciated by both managers and staff in the EU institutions. Managers see efficiency gains in daily work due to the training, and there is a high interest in language training.
- There is a high level of motivation to achieve a return in a language learning investment. Managers' views of participant motivation are similar to that of participants. The main motivations of participants are centred on work and future career interests. Participants see language training as a good investment of time, particularly more recently.
- The statistics relating to language training offered during the 1999 to 2002 period show increased satisfaction from participants, with the twice-weekly courses proving to be the most popular.
- Staff that did not participate during the last three years in central Commission language training think language training is essential, but that mainly time pressures got in the way.
- Language training has improved over the past 3 years. Training needs have been increasingly met and participants are satisfied with the teaching approaches.
- Staff awareness about language training is sufficient and the course variety is adequate.
- The Heads of Unit view French and English mastery as essential and see efficiency and development returns on the investment made in language training.
- Satisfaction ratings for Luxembourg courses are only slightly higher than those for Brussels, but motivations are less work-oriented and overall appreciation is lower regarding the design and organisation of language training offerings.
- The translation DG (DGT) would benefit from shorter more frequent courses and specific professional offerings, although there would be extra costs.
- There is in general a pressure for change through a desire for a more customised and targeted approach to language training. However, addressing this need and pressure would lead to more courses and a higher cost both in budget and human resources.
- Some options could be considered to enhance the decision-making processes that affect design and delivery of language training.

The *main conclusions* of the evaluation are:

- The most important conclusion, based on the findings, is that language training organised by DG ADMIN is highly relevant, effective and efficient. Staff satisfaction and motivation levels are high, course variety and the organisation is adequate and basically nobody disputes the fact that central language training is essential. This conclusion does not call for any major overhaul or revision of current practice since the findings show that central language training approach is successful.
- The additional workload facing DG ADMIN in the future is one that implies more of the same kind of language training, particularly French, and this does not directly need fundamental changes in organisation and management. The greater volume of language training, particularly French, and the need to provide survival courses in the new enlargement languages and standard courses for spouses of our future colleagues will however require additional

resources. Measures already undertaken by DG ADMIN, to anticipate the additional workload which enlargement will bring, are sufficient, even though some specific situations may need to be addressed (e.g. newcomer profiles and special departmental needs) and the adequacy of the budget needs to be revisited.

- Further improvements to language training can be made but often have cost implications. In addition, in deciding how to react to the findings and conclusions, it must be noted that members of staff have little or no additional time to give to language training. Also, complementary self-learning tools are not popular and sometimes not cost effective.

The following **key recommendations** are made out of a selection of possible options:

- It is suggested that DG ADMIN considers the adoption of "the European 'standards' for language training" established via the Council of Europe (Common European Framework of reference - CEF). The Framework provides a basis for the mutual recognition of language qualifications. It is increasingly used in the reform of national curricula and by international consortia for the comparison of language certificates. A European Union Council Resolution (November 2001) recommended the use of this Council of Europe instrument in setting up systems of validation of language competences.
- DG ADMIN should examine the possibility of decentralisation by delegating the responsibility and budget for specific types of language training to specific services in the Commission.
- Study the feasibility of using the European Administrative School (EAS) option for language training for staff of all the EU Institutions and whether or not the EAS could and should take on the full range of work of the existing language training sections in the Training Unit(s) of DG ADMIN. This should be done after 3 years of operation of the EAS.
- Explore, within 2 years, the possibilities of offering more flexible language training due to the Commission's new and future flexi-time and distance working arrangements.
- Explore the possibility of offering language training services to staff, in specific cases, at the premises of external language schools (or access to on-line language learning), via "training vouchers". This could be done via framework-contracts and could possibly be supported by electronic registration of the approval, training targets and individual training hours.

Main evaluation methods and data used

Logical Framework/Diagram - SWOT analysis - Desk research - Field studies with: Interviews, Surveys, Focus groups - Primary data from interviews, surveys, etc - Secondary data from: Monitoring system, Experts – Statistical analysis - Benchmarking - Cost-benefit analysis

Action taken / follow-up planned

In general, the findings and recommendations of the evaluation will be used as a steer to the organisation and delivery of language training. Detailed follow-up actions will be defined after the full completion of the evaluation project in January 2004.

Availability of the report

The report is only published on the Intranet (http://www.admin.cec.eu.int/abm/evaluation_2002.htm) since the evaluation was carried out for Commission internal use only. (A paper or electronic copy available on request from: E. Weizenbach (DG ADMIN).)

Evaluation of Middle and Senior Management Training and Development in the Commission organised by DG ADMIN

Name of the programme(s)/activity(ies) concerned: Policy strategy and coordination for DG Personnel and Administration; Personnel policy and management

Number of the ABB activity(ies) concerned: NN (Activity without budget line); 26 01 50

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	12/2002 - 12/2003	E. Weizenbach	External

Purpose of evaluation

The evaluation of middle and senior management training & development should specifically look at the needs within the Commission and how these are addressed in the objectives of current management training. The needs assessment should also lead to recommendations in regard to future senior management training and the course 'Threshold to Management'. The evaluation should, where possible, provide recommendations for improvements to currently available courses. Logically, the results and impacts of the management training courses since the year 2000 need to be evaluated. The objectives of this evaluation are therefore the following:

- To carry out, in close liaison with Training Unit staff and the Steering Group, a problem and needs assessment of management training at middle- and senior management level;
- To supply specific and realistic recommendations for the improvement of management training and in particular in regard to the future senior management and the "Threshold to Management" training;
- To evaluate the effectiveness, sustainability and efficiency of the management training courses organised and provided since the year 2000 by DG ADMIN;
- To provide recommendations for further improving the monitoring of management training.

Summary of findings and recommendations

• Problem and needs assessment (objective 1)

There are two competency frameworks to be considered; the first, for middle managers and the second for senior managers. There is a good fit between the current offer of management training for middle managers, most particularly the MTP, and their competency profile. There are no areas of competency for middle managers that are not reflected to some degree in the MTP. The position for senior managers is less clear as there is no senior management training programme as such, although they are utilising the External Management Development Programme and coaching to address their personal development needs. Some senior managers have participated in the MTP and have found it helpful. As from 1st January 2004 completion of the MTP will be obligatory for appointment as Director. However, the MTP is not designed to address the competency profile of senior managers and there are distinct differences between the competency profile for middle and senior managers. There is therefore a need for the offer to senior managers to be more closely linked to the senior manager competency profile.

The MTP represents a good and valued foundation for middle management training. The key need for middle management training is for progression from MTP and there are at this time indications of the areas that middle managers would like to see developed. There are a number of specific areas that middle managers have identified that they would like to see additional management training as a means of building on the foundations provided by the MTP.

• Evaluation of effectiveness, sustainability and efficiency (objective 3)

Regarding the results and impacts of management training since the year 2000, there is little evidence on this issue to date. More insight is hoped for after completion of the on-line survey of managers. Certainly, managers view the MTP and other training opportunities as relevant to their work. However, it is evident from benchmarking and other consultations undertaken to date that devising practical methods of assessing what is termed level 3 impacts using the Kirkpatrick model (transfer or transposition of behaviour) is the most common means of assessing impacts, but is difficult to do in practice. The benchmarking with similar organisations (such as management training in the administrations of the Member States, World Bank, UN, OECD) completed to date shows that there are many organisations in the public sector that are examining the role of leadership in improving the delivery of policy objectives. To date the evidence suggests that other administrations utilise management training to reinforce reform and at senior level, to influence behaviour. Senior management training is normally provided in some form of block

option and is characterised by flexibility. Senior level training is focussed on leadership skills and has common elements of visioning, challenging ways of thinking, and motivation. These are the key characteristics that also emerge from studies of top performing management teams in both the public and private sectors.

- **Recommendations for improving management training and monitoring (objectives 2 & 4)**

In order to differentiate a senior training programme from management training per se and to reflect its particular nature, a programme for senior managers might be termed a Leadership Development Programme. Such a programme would represent the discretionary component of senior management training, which is a necessary condition of leadership development. Leadership programmes delivered in block sessions are not cheap. Information on costs is not easily come by and some institutions may not know (in the sense that full cost recovery is not used) or be willing to reveal it. On the basis of the UN and UK case studies a full cost recovery for a four week block Leadership programme is around €15,000-€18,000 per participant. On the basis that there are around 300 senior managers within the Commission, the gross cost of such a programme would be €4.5 - €5.5 million. Concerning potential middle managers, one idea that has been considered by DG ADMIN is the introduction of a Threshold to Management Course as a means of preparing for the MTP, but possibly to the extent that there is no significant difference between the two groups, the MTP could also serve as a means of training potential middle managers.

The MTP is highly regarded by those that have attended it and is seen as being effective, relevant and well organised. However, the MTP will need to evolve. Most of the existing cohort of managers has been through it. Once the new cohort of managers from the acceding countries has completed the MTP, its role will continue for newly promoted or potential Head of units. The MTP provides a very effective foundation in management training. Sustaining middle management training is therefore about ensuring continuity and progression and creating a road map for management training post-MTP. It is recommended that DG ADMIN facilitate the reunion of the MTP cohorts, for one day, six months after the completion of the MTP and annually thereafter.

For different reasons, there seems little need for incentives for middle managers to participate. Indeed, it is clear from the discussions to date that there is latent demand within the middle manager cohort for further progression in relation to middle management training.

The data that is currently collected from the participants of the MTP is useful in monitoring the overall efficacy of training delivery. However, at present there is no systematic means of monitoring and assessing the impacts of training in terms of the benefits to the Commission of management training. The principal means of achieving this would be assessment pre-training followed up post training. This would necessitate bringing participants back together which would, in any case have a number of additional benefits. The structure of such an assessment should be based on the key expected outcomes from management training which is to better equip managers to effectively manage (to be competent in the areas that have been defined) and also to bring about the organisational changes in culture embodied in the Reform.

Main evaluation methods and data used

Logical Framework/Diagram - Desk research - Field studies with: Interviews, Surveys, Focus groups - Primary data from interviews, surveys, etc. - Secondary data from: Monitoring system, Experts - Expert panels - Benchmarking - Cost-benefit analysis

Action taken / follow-up planned

The findings and recommendations of the evaluation will be used for the establishment of a Leadership Development Programme and for Action Learning Networks providing a follow-up to the successful Middle Management Training Programme (MTP). A detailed follow-up plan will be defined upon full completion of the project (January / February 2004).

Availability of the report

The interim report is published on the Intranet (http://www.admin.cec.eu.int/abm/evaluation_2002.htm). A paper or electronic copy of the final report is available on request from: E. Weizenbach (DG ADMIN).

Evaluation of the Support to the e-Commission Initiative and of the ICT Quality Policy of the Informatics Directorate

Name of the programme(s)/activity(ies) concerned: Information technology management and coordination

Number of the ABB activity(ies) concerned: 26 01 52

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	12/2002 - 12/2003	E. Weizenbach	External

Purpose of evaluation

This evaluation aims at evaluating the quality policy of Directorate of Informatics (DI) and the central ICT support and monitoring for the e-Commission's policy. The evaluation consists of two lots. The objectives of this evaluation are the following:

Lot 1: To provide recommendations for an effective monitoring system by the e-Commission project office; To provide recommendations to clarify, and improve, the e-Commission programme logic, strategic planning and the management of the relevant administrative systems; To provide recommendations for the improvement of the central ICT support for the e-Commission.

Lot 2: To evaluate the quality policy and quality mechanisms, such as internal Quality Management Committee, Service Level Agreements (SLAs) and quality plans, put in place by the DI on the basis of relevance, effectiveness and efficiency.

Summary of findings and recommendations

The key findings, conclusions and recommendations of **Lot 1 (e-Commission support)** are presented below.

Key findings

- In terms of the **strategic logic** of the e-Commission programme, the e-Commission seems to need a higher profile and could be more strategically positioned within the SPP cycle. The e-Commission is not seen to be over ambitious, but some key business issues (definition, ownership, degree of centralisation, profile, orientation and communications) still need to be addressed. It needs to be more client driven, allowing flexibility at DG level but maintaining common approaches based on good practice, such as SYSPER. Joined-up e-administration remains a challenge for corporate applications and needs a global strategy, backed by an adequate budget, ownership at senior level and some external assistance. To improve corporate processes, a more structured, user-oriented interface is needed to correct the technical orientation of the e-Commission and its supporting committee infrastructure, in particular the Committee of IRM's.
- Regarding **infrastructure and services** support, implementation of the e-Commission initiative requires interoperability of corporate systems with standard data elements, avoiding a monolithic approach. The DI has an important role in application design and development and is keeping in touch with good practice. The DI does a good technical job and provides good technical support when it is responsible. This capacity clearly extends to e-Commission support needs. The challenge is to find the new business analysis capacity to make the additional connections to deliver e-Commission applications. The work of the DI is appreciated by DGs. Heads of Unit of the DI understand where the priorities lie within the e-Commission initiative.
- Finally, with regard to **monitoring** the e-Commission programme, the e-Commission Project Office has already made progress on the definition of quantitative progress indicators (e.g. processes on-line, access to information, independence of location) and qualitative progress indicators (e.g. the appropriateness of information and infrastructure). Performance measures used for monitoring and management reporting need to include user and customer satisfaction, but also ensure that a future system harnesses relevant management indicators already in place (e.g. the MIRELLA tool, and those included in the Annual Management Plan – AMP – and DI work plans).

Main conclusions and recommendations

- The current e-Commission initiative lacks an appropriate and updated consensus of the direction where it is intended to progress. The Commission should focus on achieving an agreement on a clear vision, mission and strategic objectives. This requires involving all Commission departments and stakeholders. An updated or new strategy should be communicated widely and take away the idea that the e-Commission label has only served to authenticate initiatives were already in place beforehand. DG ADMIN and the DI should address this issue by inviting all relevant Commission services to think about a revision of the current strategy.
- Even though there is an e-Commission road map, it is seen to have been produced on a provisional basis and it does not define what the e-Commission is about.
- The e-Commission initiative lack visible leadership by senior management in the Commission and by the College, that displays the vision and commitment required for its success. The initiative lost its global momentum and its top positioning in the Commission's agenda, eroding an initially high profiled project. Unrealistic ever-growing expectations for achieving better and more cost-effective services have contributed to this process. The increasingly "back office" orientation prevented senior managers from appreciating the beneficial effects of the initiative. The e-Commission programme needs a high level of ownership of the ICT strategy. The DI plays a key role in helping the Commission achieve its objectives but ICT is and should be seen as a vital strategic enabler rather than giving the DI the role as a service provider.
- Within the e-Commission initiative, the governance arrangements need to be strengthened so that there is Commission-wide agreement on what should be corporate for ICT and where necessary flexibility should be built in, but only where it is demonstrated that there is a good business reason(s) for departing from a corporate approach. This recommendation confirms a recent ICT governance audit in the Commission.
- The on-going establishment of an effective monitoring system for the e-Commission is an ambitious initiative, but clearly needed. With regard to monitoring the e-Commission initiative the efforts should focus, in addition to the progress indicators that have already been defined, on issues such as best practice examples emerging within the Commission, visibility of e-Commission actions in Annual Management Plans of DGs and satisfaction of user DGs regarding service levels of central ICT infrastructure and support. It is recommended to integrate future performance standards and indicators for the e-Commission with existing management tools within DI. The indicators should focus on transaction measurements, capturing changes in data volumes for instance, satisfaction surveys of stakeholders, and progress reporting towards milestones based on set objectives. Balanced scorecards could integrate these in addition to data on financial, project and operational performance.
- The Commission's accountability for the e-Commission initiative needs to be strengthened. In addition to monitoring scheme, it should also cover ex-post assessments taking the form of programme evaluations. It should also cover Commission wide progress reporting and be included in the annual Commission synthesis of the activity reports. The Annual Activity Reports and their synthesis to lead to a specific annual discussion on the e-Commission's work in broad terms. The monitoring arrangements will exert influence on the behaviour of DGs, when they are required to include specific e-Commission performance indicators in their Annual management Plans that could be used by the central monitoring scheme, managed within DI.

The key findings, conclusions and recommendations of **Lot 2 (ICT Quality)** are as follows:

Key findings

- The EFQM team impression is that DI's quality policy is **relevant** to the overall aims of the DI and the Commission.
- The DI has progressed beyond the CAF (the Common Assessment Framework, which is based on the EFQM Excellence Model), which was designed to introduce public sector organisations to the process of self assessment. The DI Quality Policy is positioned to be effective. However, the DI is still in the early stage of the systematic approach to general quality management. Its position as an ICT service provider is situated in a complex organisational structure with a largely autonomous customer profile. The customers of the DI also have different management approaches, some with Service Level Agreements (SLA) working well and others who have still to establish more formal business relationships with the DI.
- The representation of ICT as a strategic partner at DG level does not appear to be fully recognised. This is surprising given the Commissions recognition of the strategic importance of ICT in achieving modernisation and reform.
- There evidence that the culture of the DI is moving from a position of a technically driven service to one which is business driven and customer focused. This has increased the credibility of DI and there is acknowledgement of this change by some of those interviewed within the Commission.
- Quality policy and strategy approaches have been developed within DI, and this is evidenced in policy documents. However, there is no systematic review process being deployed nor is it updated on a regular basis.
- The Commission needs to collect more data before efficiency can be measured. Observations of current working methods indicate that some efficiency savings could be made.
- External Service Level Agreements (SLA) tend to be more effective than internal SLAs and contain targets and standards seemingly not acceptable or enforceable in internal SLAs. The concept of internal standards for performance is more difficult to establish with provider/customer relationships being based mainly on goodwill. There is however an opportunity to widen the use of internal SLAs.
- Products and Data Services currently provided by DI are produced, delivered and serviced to a high standard.

Key conclusions and recommendations

- The DI has identified some sound approaches for improving IT governance but is currently working on the preparation of the implementation in the Commission.
- The commitments for ICT actions included in the Annual Management Plan of DG ADMIN have been agreed upon, and are supported by some stakeholders but the effort on performance indicators need to be extended. This is needed to support a continuous improvement programme of the DI since at the moment there is some lack of information on the results of central ICT actions and the overall performance of DI.
- There is awareness within the management of DI of the need for quality standards to apply to both projects and IT processes. The establishment of quality assurance criteria however is stronger in projects but less evident in DI's processes.
- The DI has progressed beyond the CAF but does not apply the EFQM principles. Despite this fact, the consultants have tried to measure the general quality approach via the EFQM's RADAR (Results, Approach, Deployment, Assessment and Review) methodology. When applying the RADAR scoring matrix to enablers i.e. leadership, policy and strategy, people, partnership and resources and processes, the DI would be scoring around the lower quartile. Organisations that score around the mean, are "Recognised for Excellence" by the EFQM, while European Quality Prize award winners would score in the upper quartile range. The DI would score higher in the people and leadership areas, mainly because there is stronger evidence of deployment than in other areas. The main reason for lower scores is that assessment and review, which should contribute to improvement, could be further improved.
- The DI's quality policy is appropriate to the work of the EC and it is also positioned to be effective. However, further work is necessary to establish a quality culture within DI. The DI has to position itself as a 'strategic partner' in addition to its role of 'internal supplier'.
- The DI should build on their success and be clear on what being a Service Organisation means. For example – a service organisation is focussed on delivering results and everyone understanding why and when the results need to be delivered. It recommended to continue the current work on ICT governance in the Commission, further improve early involvement of customers in identifying their specific needs, and the DI (and thus the future DG ICT) needs to be involved at the strategic level (within the SPP planning cycle) to have an input on the impact that DI may have on the delivery of strategic objectives of DGs and services.
- The DI has already defined its vision and mission, especially how this links with the e-Commission initiative, following the White Paper on Commission Reform. The DI management should now take responsibility for ensuring all staff understand and work towards fulfilling the mission of the DI. This effort should also include the values have been defined as part of the e-Commission initiative: improve internal administration, provide better public service to citizen and business, better communication with internal and external partners and institutions. The DI should consider how the performance of individuals and teams support these values, via appraisals or staff surveys.
- The DI should also further improve its communication on strategic ICT objectives and focus on the desired outcomes. It should involve all DI units and teams in the related annual planning timetable. The internal planning exercise should ensure that DG management own the established objectives and risks. The accountability to achieve the targets, should be build in to the unit work plans and personal objectives in the CDR.
- It is recommended to further improve ICT quality policy by using the COBIT (Control Objectives for Information and related Technology) framework to assess ICT quality. The wider quality approach will require further attention in the process of a more systematic approach to quality assurance. To strengthen DI's review process and monitoring system for continuous improvement, the DI should critically re-examine its key processes, with each process owner being responsible for assessment and review of process.
- It is recommended that the DI regularly reviews its own strategy deployment and performance. In this regard, there is a need for DI to reinforce the process driven organisation in addition to the project orientation. Further reflection is needed to define in more detail Performance Indicators and Critical Success factors for key processes in order to achieve an improved consistency and transparency within the overall management plan. The DI should even further improve the work on indicators and success factor by providing a general overview and monitoring of those already detailed in the Annual Management Plan, the Process Improvement Methodology (with the tool ARIS), Service Level Agreements (with the MIRELLA database tool), scoreboards and output indicators in the business plans. It is recommended to extend the use of post ICT project evaluation and of staff or customer surveys.

Main evaluation methods and data used

Logical Framework/Diagram - SWOT analysis - Desk research - Field studies with: Interviews, Surveys - Primary data from interviews, surveys, etc. - Secondary data from: Monitoring system, Experts -Benchmarking

Action taken / follow-up planned

The results and recommendations of the evaluation will be used for improvement of e-Commission score-board and monitoring system run by the e-Commission project office in DI as well as for Improvement of ITC quality policy in the DI and the Commission.

Availability of the report

The report is only published on the Intranet (http://www.admin.cec.eu.int/abm/evaluation_2002.htm) since the evaluation was carried out for Commission internal use only. (A paper or electronic copy available on request from: E. Weizenbach (DG ADMIN).)

Internal Evaluation of the first Exercise of the new Appraisal System (Career Development Review) for Commission staff

Name of the programme(s)/activity(ies) concerned: Policy strategy and coordination for DG Personnel and Administration; Personnel policy and management

Number of the ABB activity(ies) concerned: NN (Activity without budget line); 26 01 50

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	07/2003 - 12/2003	A. Fracchia-Fernandez/ E. Weizenbach	Internal

Purpose of evaluation

Purpose was to carry out a first review of the implementation of the new 'Staff Appraisal System' (CDR) and promotion system that were introduced as part of the Commission's reform of its human resources policies and entered into force by January 2003 with the aim of verifying if and where immediate corrective action is needed for the next exercise. Staff appraisal is based on the achievement on pre-defined objectives and the demonstration of specific competencies and elements of conduct. Based on a wider performance management approach, it replaces the former system of staff reports, which was a bi-annual exercise, carried out as a retrospective assessment of past results and competencies. Linked to the appraisal system is the new promotion system. The inter-relation between the two lies in fact that promotion is based on merit and that the primary tool for measuring merit is the CDR. Merit, in turn, is quantified through a system of points.

Summary of findings and recommendations

Overall, the problems raised as well the positive aspects underlined by the 24 DGs/ services converge to a great extent. Five services (ECHO, REGIO, SG, INCO and TRADE) carried out a survey with their personnel.

The functioning of the Joint Evaluation Committees (JEC)

The majority of the JEC underlined that they were able to work satisfactorily in a cooperative environment, and that the submitted appeals were studied in depth. The JEC seem to have adopted different approaches related to the possibility of auditioning persons concerned with an appeal. The majority did not hold hearings. Some turned to a hearing when the elements provided by the appeal seemed insufficient to deliver an opinion, while others opted for a hearing following an explicit request on the part of the jobholder or when the report made appraisals into the categories "weak" or "insufficient".

- **Appeals treated, JEC opinions and follow up**

The JEC treated an extremely variable number of appeals according to the size of DGs. In percentage terms, the number of appeals treated in relationship with the population being under appraisal ranges from 2 to 14 %. The total number of appeals for all the JEC is 1034, representing 5.4% of the CDR's established. The reasons that were put forward when making an appeal are: dissatisfaction with the overall assessment or with certain headings of the CDR; lack of consistency between the comments and the attributed points; situation of persons having taken leave for personal reasons (CCP) or having changed a category during the reference period; insufficient respect of the evaluation procedure. Between 50% and 60% of the appeals were considered to be unjustified, with up to 80% for certain JEC. The opinions expressed by the JEC are quite variable, with some proposing relatively important changes of the report. Almost 15% of the opinions proposed to revise the attributed points. More than 85% of the opinions were expressed by consensus from all Committee members. For several JEC, all opinions were unanimously. Therefore, the use of vote was very limited. The appeal assessors followed the opinions of the JEC for approximately 80% of the cases, but that varies strongly between JEC's. Some have always followed the JEC opinion while others diverged from it in about one third of the cases.

- **Meetings concerning the attribution or priority points**

The JEC attached the minutes of these meetings, of which only one was disputed. Overall, the JEC have expressed favourable opinions regarding the proposals of the DGs. However, several JEC proposed changes that were taken into account, as far as possible, by the DGs. Some JEC had difficulties to take position regarding the allocation of priority points either due to a lack of information, or because the Committee does not really grasp the importance of its

contribution to the allocation of priority points, since this belongs to the promotion and no longer to the staff appraisal exercise.

- **Difficulties experienced**

The information available to JEC members was not always sufficient to treat the appeals. Several JEC require for their members increased access to the reports. Almost all JEC consider difficult to respect the deadline for the treatment of the files and as almost impossible to hold the deadline granted to the appeal assessor. A third of the JEC have difficulties to reach the quorum for the meetings.

The exercise CDR (2001-2002) - Implementation

- Three **difficulties** have been identified by a large majority of JEC's:

The first difficulty is the heaviness of the exercise, especially regarding the time necessary to carry out the exercise over a relatively short period. This overall assessment seems to arise from several considerations: time investment required at the level of management; the constraint of deadlines and the difficulty of understanding the various elements of the appraisal system relying on concepts that are new for many (self-assessment, elaborated and harmonized standards, confirmed importance of the dialogue, objectives, evaluation of the potential, etc). Secondly, the existence of an average target is also mentioned as a source of difficulties by 80% of the JEC reports. In this respect, the JEC's stress the difficulty to explain to the staff that an assessment at "the average" corresponds to a good performance level. The results of surveys carried out by 4 services show that the existence of an average target is perceived as an obstacle to carry out an assessment that is objective and of good quality. Thirdly, the provisions on the grant of priority points are considered, by approximately half of the JEC, as representing a too rigid framework that does not always allow optimizing the possibilities of promotion for each DG/service. Other difficulties raised are the procedure for detached officials and for officials on leave for personal reasons ('CCP') or absent for illness as well as the need to anticipate intermediate reports in the case of mobility.

- The **positive elements** identified are the following:

Almost all reports emphasize the contribution of the CDR exercise in terms of quantitative and often qualitative improvement of the information available and of the communication with the staff. The dialogue is particularly appreciated. The self-assessment is also perceived in a positive way, although some stress that it was not always easy to manage. The results of the surveys with the staff personnel mentioned above as well as with certain staff representatives reveal doubts on real consideration of the self-assessment by the hierarchy, at the time of when the CDR is established. Three quarters of the JEC recommend making efforts regarding the standards for drafting, which were not always respected in the majority of the cases that were submitted to them. In this context, they recommend a training of the reporting officers. About half of the reports mention the performance standards as a positive element to be developed further. A third of the JEC recommend a harmonized development at Commission level. The creation of JEC in each DG is also considered to be positive in 60% of the received reports.

- Concerning the **IT tool SYSPER 2**, a large majority of JEC's consider that it improved during the exercise. However, it remains still too rigid, particularly owing to the fact that it does not allow the correction of the introduced and validated texts. All reports received reports suggest the development of an automatic warning function for the actors concerned when passing through the various stages of the procedure.

General reflections on the staff appraisal system and the allocation of priority points

- **Sustainability of the system:** The investment necessary to carry out the CDR exercises on an annual basis seems too heavy. The JEC question the ability of the services to support such efforts permanently. The rising pressure regarding the average seems unavoidable for nearly half of the JEC, which is likely to create important tensions for the coming CDR exercises.
- **Objectives of the system:** 8 reports out of 34, which is about a quarter of the received reports, express fears on a possible negative impact on the motivation of the personnel appraised below or just at the average target, especially in view of the evolution of the promotion thresholds. These reports also raise the question of possible increased competition between colleagues, which can be harmful for the teamwork.

Recommendations

The individual reports contain many recommendations. They relate primarily to three fields. Concerning the IT tool SYSPER2, it is recommended to develop an automatic notification function at each stage of the CDR; to make possible the correction of validated texts and to incorporate data concerning age and seniority of the staff member. For the implementation methods, 8 DGs recommend the use of ½ points in order to be able to better differentiate the appraisals, while remaining within the indicated brackets. Almost half of the reports state the need to improve the training of the management and, sometimes, the staff regarding the system. In particular, this training should cover a better understanding of the basic concepts, of the drafting and performance standards and the link between evaluation and promotion. Two thirds of the reports consider that the tasks in the interest of the institution should be better defined and codified.

Main evaluation methods and data used

SWOT analysis - Desk research - Field studies with: Interviews, Surveys, Focus groups - Primary data from interviews, surveys, etc. - Secondary data from: Monitoring system, Experts - Benchmarking

Action taken / follow-up planned

The following actions are envisaged as follow-up of the evaluation: Change to general implementation rules article 43 (such as JEC reports); Some changes to CDR 2004 implementation and technicalities; Real carry-over possibility; Support for CDR 2004 exercise; Input to the in-depth external evaluation of the Commission's staff appraisal and promotion policy to be started in 2004 and to be completed in 2005.

Availability of the report

The report is only published on the Intranet (http://www.admin.cec.eu.int/abm/evaluation_2003.htm and "CDR" site http://www.cc.cec/home/admref/cdr/documentation_fr.html#6) since the evaluation was carried out for Commission internal use only. (A paper or electronic copy available on request from: E. Weizenbach (DG ADMIN).)

21. PRESS AND COMMUNICATION

Evaluation of the Information Relays and Networks

Name of the programme(s)/activity(ies) concerned: Coordination of information relays and networks in the European Union

Number of the ABB activity(ies) concerned: 1605

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	03/2003 - 12/2003	S. Koppelberg	External

Purpose of evaluation

The Commission Communication COM (2002) 350 on an information and communication strategy for the European Union advocates a new framework for the information relays and networks based on the following four principles: A more homogenous and coherent structure (in terms of image, name, etc.); greater decentralization of management; a closer partnership with the Member States; the development of inter-institutional cooperation.

The purpose of the stocktaking evaluation launched in March 2003 was therefore to gauge the current situation (against these principles) and provide pointers for developing the new framework called for. More specifically, it set out to provide a detailed review and analysis of the relays' and networks' current operations in order to create a "snapshot" of the way they stand now; to evaluate their past experiences and analyse their present effectiveness and to identify potential areas for improvement on the basis of feedback from the relays and networks themselves (self-reporting) and independently from the Commission Representations.

The findings from the evaluation will serve as direct input into discussions on proposals (to be adopted very likely by January 2004) for rolling out a more streamlined and decentralised set of 'second generation' relays from 2005.

Summary of findings and recommendations

The *key findings and conclusions* are:

- The Representations already apply a decentralised approach to their dealings with the information outlets.
- The relays generally have strong domestic political and financial backing.
- There is still no common framework of objectives and working practices across the Relays and Networks; no commonly applicable monitoring procedures and no effective support structure for cross-border co-operation.
- The analysis did not provide any credible evidence to support the notion of effective inter-institutional cooperation at the level of the EU institutions.
- Geographical coverage is erratic across the Union.

In summary, the following *recommendations* are made:

- Adopt an agreed series of common central objectives across the networks supplemented by local objectives;
- Overhaul monitoring procedures across the networks in order to define a common methodology;
- Encourage the Representations to be more active in providing the relays and networks with support and back-up;
- Critically assess the current status and operations of 'Carrefours' and IPEs to determine whether there is sufficient justification and differentiation between them to continue operating as separate entities; enhance awareness of these information outlets throughout the existing and future Member States.

Main evaluation methods and data used

Field studies with: Surveys – Primary data from interviews, surveys, etc. - Secondary data from: Audiometric agencies - Statistical analysis - Benchmarking - Cost-benefit analysis - Multi-criteria analysis

Action taken / follow-up planned

The findings from the evaluation have served as input to a forth-coming memorandum from DG PRESS which includes a roadmap for the "second generation" of outlets from 2005. The memorandum, provisionally entitled "Le développement

de la stratégie d'information et de communication de l'Union européenne" should be adopted early in 2004. Furthermore, concrete feedback will be given to all respondents: the relays, networks, their host structures and the Commission's Representations.

Availability of the report

Paper or electronic copy available on request from: S. Koppelberg (DG PRESS).

22. RESEARCH

Annual Monitoring 2002 of the Implementation of the 4th, 5th and 6th EC and EURATOM Framework Programmes

Name of the programme(s)/activity(ies) concerned: Genomic and biotechnology for health; Nanotechnologies, intelligent materials, new production processes; Aeronautics and space; Food quality and safety; Sustainable development, global change and ecosystems; Citizens and governance in a knowledge-based society; Specific measures covering a wider field of research; Strengthening the foundations of the European Research Area; Structuring the European Research Area; Research and Training actions under the EURATOM Treaty; Completion of previous Framework Programmes and other activities

Number of the ABB activity(ies) concerned: 08 02; 08 03; 08 04; 08 05; 08 06; 08 07; 08 08; 08 09; 08 10; 08 11; 08 12

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	11/2002 - 05/2003	C.H. Metzger	External

Purpose of evaluation

As requested in the different Decisions on the Framework Programmes, this exercise assesses, for activities conducted in 2002, the implementation of European Research Area (ERA), the 6th Framework Programme, the 5th Framework Programme and the follow-up of on-going activities initiated under the 4th Framework Programme. It proposes recommendations for management practices and other strategic considerations, while providing a basis for the Five-year Assessment as regards efficiency, lessons learned and achievements.

Summary of findings and recommendations

According to the Framework Programme (FP) Panel of experts, 2002 has been an exceptionally busy year with together the last calls of the 5th FP and the launch of the 6th FP in November and of its first calls for proposals in December.

Overall Framework Programme/ERA recommendations:

- Disseminate coherent information on the New Instruments of the 6th FP
- Better define the role of advisory groups especially regarding strategic planning and implementation
- Promote a better coordination concerning co-financing of large infrastructures facilities
- Link more closely the human resources management and the Activity Based Management Process
- Address urgently the crucial problem of dissemination of the research results
- Adopt a systematic approach to improve the impact assessment
- Continue the implementation of the Action Plan for supporting CCs (targeted actions; information)
- Rethink the approach concerning participation of SMEs
- Replace the four year period of framework programmes by a seven year length
- Reconfigure the monitoring system

Recommendations specific to ERA

- Develop a higher profile for the benchmarking activities
- CREST to play a stronger role in the opening of national research programmes
- Promote more effectively the ERA-NET scheme
- Replace mapping of excellence by mapping of activities
- Develop guidelines on industry-public research organisation collaborations
- Commission and Member States to continue efforts towards introduction of a Community Patent
- Develop a proposal to ensure infrastructure is considered in a strategic and integrated manner
- Promote the opportunities available to researchers through pan-European electronic research networks
- Take every opportunity to involve regions in the 6th FP
- Monitor SME involvement in the 6th FP and adjust policy if the 15% target is not met; publicise to participants of the 6th FP the EIB/EIS loan opportunities; collect examples of good practice in the field of fiscal incentives with recommendations to Member States
- Encourage tools for enhancing research mobility
- Remove doubts on Commission's intentions concerning international cooperation
- Secure cultural change in thematic Directorates towards meeting the challenges over third countries' participation in the 6th FP
- Undertake a detailed assessment of the Science and Society sector

Main evaluation methods and data used

Panels of independent qualified experts: 10 Panels for the assessment in the RTD area of each Specific Programme, 1 global Panel for the overall assessment at the Framework Programme level and 1 Panel for the monitoring of ERA. The Panels make use of self-assessments provided by Commission services, interviews, support studies on results and impacts, analysis of indicators, analysis of basic documentation. There is a discussion and exchange of opinion among the Panel members and formulation of Panel's findings, opinion, conclusions and recommendations.

Action taken / follow-up planned

Follow-up planned: Introduction of best management practices in line with the reform of the Commission (particularly as concerns Impact Assessment and monitoring); Input to further implementation of the 6th Framework Programme (2002-2006); Input to planning activities (work programmes); Input to the Five -year Assessment and to the Annual Activity Report on EC RTD activities.

Availability of the report

Published at: http://www.cordis.lu/fp5/monitoring/rep_2002.htm

Paper or electronic copy available on request from: C.H. Metzger (DG RTD).

Methodological assessment of TIP (Technological Implementation Plan) as a tool for Impact Assessment and Evaluation

Name of the programme(s)/activity(ies) concerned: Completion of previous Framework Programmes and other activities

Number of the ABB activity(ies) concerned: 08 12

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	12/2002 - 06/2003	A. Silvani	External

Purpose of evaluation

The aim of the evaluation study was to assess if the TIP is a relevant tool for providing general and structured information for impact assessment, monitoring and evaluation. This includes suggesting further ways in which the information contained within TIPs can be used, especially in the light of the new policy challenges introduced by the European Research Area (ERA) and the 6th Framework Programme. It was mainly a methodological evaluation of the completed TIPs that have been given final approval by POs as well as an analysis of a certain number of uncompleted TIPs, for a better understanding of the procedure and of the process. Attention focused mainly on impact assessment, as considered in the various parts of the TIP questionnaire, including socio-economic, scientific and technological aspects.

The objective was to provide information to help Commission services, the external experts involved in the Five-year Assessment and, more widely, policy makers, to answer the major question: *How could the TIP be best exploited as an operational tool for providing useful information for impact assessment, monitoring and evaluation?* In this respect, two specific areas have been investigated: the TIP as an actual source of information for measuring the impact of results and the integration of TIPs as one of a number of sources of available information. The study includes a comment on the structure of the TIP questionnaire, suggesting ways in which it might be better exploited as a monitoring and evaluation instrument.

Summary of findings and recommendations

The main conclusion of this study is that, in its current form, the TIP is not well suited for systematic impact assessment and evaluation purposes at programme level. Nevertheless, information provided by TIPs could be very useful for many other tasks, beyond the main role of promoting results and supporting/identifying partners in their exploitation efforts (i.e. educational/training tool for partners and POs, ex-post project evaluation, accountability and transparency, etc.).

The report made the following recommendations:

- Increasing standardisation by decreasing the subjectivity and hence questions in the questionnaires,
- Involving POs more effectively in the approval procedure, suggesting some reference standards as practical guidelines
- Updating available information, in particular taking into account the implementation of the TIP content at the end of the project life cycle
- Managing quantitative information, possibly in a cumulative way

Main evaluation methods and data used

SWOT analysis - Field studies with: Surveys - Primary data from interviews, surveys, etc - Secondary data from: Monitoring system (partially from CORDIS database) - Case studies

Action taken / follow-up planned

The results of this pilot study are a contribution to improving the exploitation of TIPs and providing input to the Five-year Assessment (1999-2003). Furthermore, the implementation of suggestions and recommendations could offer inputs for improving the quality and the harmonisation of the incoming new 5th FP but also through supporting the diffusion and exploitation process with the 6th FP. The results of the study have been circulated within the Commission and to policy-makers, both to provide information on the impact of research projects and programmes and to promote a better exploitation of the TIP tool.

Availability of the report

The evaluation report is not published since the study was carried out for Commission internal use. (A paper or electronic copy is available on justified request from unit (DG RTD).)

Evaluation of the Effects of the Euro-Atlantic Co-operation Agreement (Impact Assessment of the EU-US S&T Agreement)

Name of the programme(s)/activity(ies) concerned: Specific Measures covering a wider field of research

Number of the ABB activity(ies) concerned: 08 08

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	11/2002 - 06/2003	I. Brach	External

Purpose of evaluation

The text of the current S&T (Science and Technological Cooperation) Agreement requires an ex post evaluation as a pre-requisite for the renewal of the EU-US Agreement. The main purpose of the evaluation was to assess what the EU-USA agreement (and the implementing arrangements) was adding to science and technology cooperation between the EU and the USA in relation to what was intended and whether the Commission obtained what it intended when the agreement was negotiated; in particular regarding the question if has there been an increase in cooperation with the country involved or has there been no change?

Summary of findings and recommendations

- There was a generally disappointing level of awareness of the Agreement in Europe; at departmental and agency level in the USA (particularly when implementing arrangements had been put in place) the awareness was higher.
- Awareness of the Agreement would be increased if its attractiveness to the scientific community could be enhanced and seen as more tangible.
- Differentiation between the Agreement and other analogous agreements with individual Member States needs to be clarified; Member States need to be better briefed to 'buy in' to the existence of the Agreement.
- Positive benefits from the Agreement are identified although it would have desirable if these were more directly linked to its existence; benefits were mainly science led in nature.
- The most easily recognisable impacts were the benefits accruing at science level as a result of involvement in projects; impacts on industrial research were more problematical and direct awareness of the Agreement seemed somewhat mixed.
- Reciprocity of the respective involvements does not seem to be a significant issue although there are some ambiguities that would benefit from clarification.
- In the first five years under review the potential impact of the Agreement has not been fully exploited.
- The Agreements should be renewed but with a strategy to build in the foundations laid in the first five years.
- The goals of the Agreement should be made more overt from a management standpoint. Target areas for communication should be identified in relevant sectors and initiatives put in place.
- The Commission should ensure it has the appropriate level of direct communication with key USA government departments.

Main evaluation methods and data used

Impact matrix - Field studies with: Interviews, Direct observation - Primary data from interviews, surveys, etc - Secondary data from: Statistical agencies - Expert panels - Case studies - Statistical analysis - Multi-criteria analysis

Action taken / follow-up planned

Based on the results of the evaluation/impact assessment, the Commission made a request made to the Council for the renewal of the agreement.

Availability of the report

Published in paper form under the title "Impact Assessment of the S&T Agreement concluded between the European Community and the United States" (EUR 20872).

Paper or electronic copy available on request from: I. Brach (DG RTD).

Assessment of the Commercial Success of the AIR Programme (1990-96) in the Area of Biomaterials & Green Chemicals (non-food)

Name of the programme(s)/activity(ies) concerned: Completion of previous Framework Programmes and other activities

Number of the ABB activity(ies) concerned: 08 12

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	07/2001 - 06/2003	C. Mangan	External

Purpose of evaluation

This was a Life Sciences accompanying measure funded under the 5th RTD Framework Programme (FP). The evaluation study investigated the impact of 40 non-food research projects in the areas of Green Chemicals and Renewable Biomaterials supported under the Agro-Industrial RTD activities (AIR) of the 3rd Framework Programme (1991-95) six years after funding. It was specifically focussed upon product or process commercialisation as this was felt to be a useful impact marker with respect to gauging growth within the large European agro-industrial economic sector. The projects were selected from the total of around 130 non-food activities, that extended to other aspects of non-food, which lay outside the scope of the study (i.e. crop production, biomass energy, forestry and wood products).

Summary of findings and recommendations

Within the 40 projects, individuals, particularly from industrial participants and other organisations identified as contributing to exploitation of results, were interviewed. The results are summarised and presented on hard copy and on the BIOMAT website (<http://www.nf-2000.org/publications/q30141full.pdf>).

Non-Food projects only represented about 15% of the research carried out under AIR. Interestingly many of the results found could easily be extrapolated across the other sectors of the programme. The results of the study showed that the programme resulted in no significant market increase in the industrial use of biological raw materials. In part this discrepancy can be linked to the way research was organised, priorities set and projects chosen in the early 1990s. There was a tendency to continue research lines and continue funding of groups involved in previous programmes, without necessarily identifying potential benefits. There was also a tendency to over-estimate the willingness of industry to implement change in terms of raw materials used (where price and availability was the over-riding consideration), to over-rely on 'potential EU legislation' to change market conditions to favour these products and under-estimate the speed at which industry could in fact bring such products onto the market. While many of the AIR projects had industrial partners, their interest and participation was variable, reflecting changes in company structure or ownership as well as changes in the market place - not least of which was the impact of mounting opposition to Genetic Modification. The need to protect intellectual property is a key to the commercial exploitation of research results. This can sometimes lead to the underlying disparity between the academic view 'publish or perish' and the commercial 'patent and profit'. Within the non-food AIR projects the level of patenting is relatively low. In part this reflects the high level of academic participation for which patenting was not a priority, in part it reflects costs and in part it reflects the time frame required to prepare, submit and obtain a patent (which can be lost once a project 'breaks up' at the end of the grant period). The idea that EU supported research is pre-competitive also leads to problems in results reaching the market place in some cases, again hindered by the break up of the groups involved. Attempts were made to overcome this by funding subsequent 'demonstration' projects through the 4th Framework Programme (FAIR) programme. However, this still requires further public effort and funding to bring products to the market place.

This study also contains a very useful historical analysis of the GMO debate as it took place within the EU in the early to mid-nineties. It shows that the GMO research funded under the AIR programme was never really exploited within the EU market due to the regulatory environment and that ultimately a lot of the technology developed was transferred to non-EU laboratories.

Main evaluation methods and data used

Desk research – Field studies with: Direct observation - Primary data from interviews, surveys, etc.

Action taken / follow-up planned

A similar study will eventually be launched for the non-food research funded under the 4th FP.

Availability of the report

Published at: <http://www.nf-2000.org/publications/q30141full.pdf> (full report) and <http://www.nf-2000.org/secure/FP5/F1247.htm> (summary).

The report is also published in paper form: CPL Press, Newbury, UK (www.cplpress.com).

Mid-term Assessment of the Sub-Action 'Support for the Development of Science and Technology Policies in Europe' (comprising the STRATA and CBSTII activities)

Name of the programme(s)/activity(ies) concerned: Completion of previous Framework Programmes and other activities

Number of the ABB activity(ies) concerned: 08 12

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	05/2003 - 10/2003	B. Martins	External

Purpose of evaluation

Main purpose of the evaluation was to assess if the sub-action *Support for the Development of Science and Technology Policies in Europe* is meeting its objectives, by analysing initial results and the potential for impacts. This sub action consists of two activities STRATA - Strategic Analysis of Specific Political Issues, and CBSTII - Common Basis of Science, Technology and Innovation Indicators.

Summary of findings and recommendations

- Both activities had constituted project portfolios of relevance, quality and significant potential impact.
- New and useful indicators had been developed; syntheses of existing knowledge had been successfully completed and encouraging interchanges between the policy research and policymaking communities had been stimulated.
- There was no doubt, therefore, that both activities had made solid progress towards their respective goals.
- It was difficult at first to attract relevant members of the research, statistical and policy making communities, partly stemming from the novelty of these communities participating in EU rather than a purely national orientation - Member States must make efforts at the highest levels to remove obstacles and encourage the participation of policy makers and representatives of government bodies in the activities.
- The instruments available in the 5th RTD Framework Programme (FP) to both activities had their limitations and these are unlikely to be resolved by the addition of the new instruments in the 6th FP. Thought needs to be given to the construction of new instruments that allow relatively small-scale policy support projects to be negotiated between all interested parties.

Main evaluation methods and data used

Desk research – Field studies with: Interviews, Direct observation – Primary data from interviews, surveys, etc. - Expert panels - Case studies

Action taken / follow-up planned

Success of the exercise has led to plans to launch follow-up mid-term assessment in the area of Foresight.

Availability of the report

The evaluation report is not published since the study was carried out for Commission internal use. (A paper or electronic copy is available on request from: B. Martins (DG RTD).)

Evaluation and Impact Assessment of finished projects of the Industrial and Material Technologies (IMT) programme, the Standards, Measurement and Testing (SMT) programme and the Transport programme

Name of the programme(s)/activity(ies) concerned: Completion of previous Framework Programmes and other activities

Number of the ABB activity(ies) concerned: 08 12

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	12/2000 - 12/2003	S. Vandendriessche	External

Purpose of evaluation

Main objective of the study was to collect detailed information on the background, performance, achievements and impacts of 2000 RTD, network and CRAFT projects completed in the period 1996-2001 of the Brite-Euram, IMT, SMT and Transport programmes and to identify the reasons for success or failure and possible support measures. Other objectives are: Produce publishable stories where of interest; Perform an advanced data analysis to identify project and participant typologies and success and failure factors; Describe the overall achievements of the programme and produce information documents to support programme evaluation e.g. by the *Five-year Assessment* panel and for the Programme Committee and the general public.

Summary of findings and recommendations

Preliminary findings were already reported in the Annual Evaluation Review 2002 (page 184).

- Findings on how to improve success:
 - Top success is mainly associated with high ambition, high risk (technically and commercially), high strategic importance for the partners, high budget, involvement of large companies, longer term than average;
 - CRAFT projects have about the same probability to create employment, additional turnover, additional market share as other RTD projects (no CRAFT projects are present in the top success group because the CRAFT eligibility rules excluded projects with this profile);
 - Project management capability and commitment of the partners have to be the best, particularly if there are large numbers of partners or the project involves significant technical complexity;
 - It is better to select projects with clear RTD orientation. When a project is clearly applied or fundamental in nature it has a significantly higher chance of success compared with those attempting both fundamental research and near market development or with those that do not exhibit either characteristic very strongly.
- Findings on how to avoid failure:
 - Large partnerships with predominantly smaller sized industrial companies are more likely to be a failure than smaller partnerships of this type without support measures;
 - Projects affected by restructuring or by strategic shifts of project partners are significantly more likely to fail;
 - Technical risk is not itself a predictor of failure, and should not be avoided in project selection. Many successful projects have overcome technical risks. On the other hand failure to manage technical risks becomes a major contributor to overall failure where other factors such as weak management or unclear objectives are present;
 - Failure to reach technical and socio-economic objectives is mainly associated with low exploitation potential and low commitment of the partners, poor management, and low budget.
- Identification of project typologies which allow the orientation of detailed assistance and follow-up with the types of projects which will benefit most.

Main evaluation methods and data used

Desk research - Field studies with: Interviews, Direct observation - Primary data from interviews, surveys, etc - Secondary data from: Monitoring system, Literature/experts, Other: Internet, Stakeholders, Project evaluations and assessments - Case studies - Factor analysis - Statistical analysis

Action taken / follow-up planned

This long-term assessment exercise has had substantial impact on the orientation of the programmes in terms of areas covered, instruments used, project selection criteria applied, targeting of the use of human resources (e.g. PTA), and management methods and has led to the implementation of various support mechanisms.

Availability of the report

Individual project evaluations: These reports are available in PDF format on a shared drive accessible to the directorates involved (RTD-G, RTD-H, individuals in DG TREN). Their publication can not be considered because many of the interviewed companies feel quite strongly about the confidentiality of their exploitation plans.

Programme level analysis: These reports will be published on EUROPA early in 2004.

Monitoring and Assessment of SME RTD projects

Name of the programme(s)/activity(ies) concerned: Completion of previous Framework Programmes and other activities

Number of the ABB activity(ies) concerned: 08 12

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
intermediate	12/2002 - 12/2003	G. Valcárcel-Resalt	External

Purpose of evaluation

The monitoring and assessment exercise had the following objectives: (i) Statistics Development & Analysis (ii) Project Impact Assessment – Short Annual Questionnaire Surveys and (iii) Completion Monitoring of Exploratory Awards.

Summary of findings and recommendations

- The ETI scheme fulfilled its aim of raising awareness of EU research programmes amongst SMEs and enhanced participation levels. It also produced positive impacts in terms of the networking of intermediary organisations and SMEs.
- To achieve the aims of the Integrated Projects, additional efforts to encourage and facilitate the participation of SMEs may be needed.
- Participation in the Framework Programmes enhances basic competences that, in turn, enhance the chances of success in future participations. The chances of success can also be improved via efforts to simplify procedures and speed selection procedures and to increase competence and interest levels within the Commission itself.
- Measures are needed within the Associated and Candidate countries to improve the competence and variety of intermediary organisations providing information and assistance to SMEs participating in EU research programmes.
- Assistance and support is needed to increase the ratio of successful applications from firms and organisations in low-tech sectors, from micro and small size firms, and from applicants from the Associated and Candidate countries. Building-up the European knowledge economy implies broadening the reach of RTD&I policies to include support for many of the 'low-tech' SMEs previously untouched by these support measures.

Main evaluation methods and data used

Desk research - Field studies with: Surveys - Primary data from interviews, surveys, etc - Case studies - Statistical analysis

Action taken / follow-up planned

The results will be used to draft future updates of SME & ETI work programmes and to support the SME Task Force on ways to achieve the 15% of the PTA budget allocated to SMEs. Internal and external dissemination is planned both for scientific and the general public. The study will itself be used to provide input to other exercises such as the Self-Assessment on the Research & Innovation configuration of Specific Programme 2 under the 6th RTD Framework Programme.

Availability of the report

Paper or electronic copy is available on request from: G. Valcárcel-Resalt (DG RTD).

Impact Assessment of the Non-nuclear Energy Programme (4th RTD Framework Programme)

Name of the programme(s)/activity(ies) concerned: Completion of previous Framework Programmes and other activities

Number of the ABB activity(ies) concerned: 08 12

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	02/2002 - 12/2003	J. Poussielgue	External

Purpose of evaluation

Internal purposes of the evaluation study were to assess the achievements in the sectors covered by the programme and thereby to help in its orientation as well as to assess the efficiency of programme management and propose improvements. External purposes were to provide information on 4th RTD Framework Programme achievements in the non-nuclear energy field to decision-makers and the general public and to promote the research activities and the results produced.

Summary of findings and recommendations

The four *most important findings* are:

- One third of the projects reported a “highly positive” impact on the technological bases of the energy industry.
- A quarter of the projects reported a “highly positive” impact on environmental protection.
- EC leverage financial effect: the average budget was multiplied by 2.2.
- 94% of the projects had an impact on improving scientific and technical quality.

Three *key conclusions* are highlighted:

- Absolute need to reorient and reengineer both projects and programmes to actively participate in the social, economic, political, legislative, and especially commercial framework of Member States and of the EU;
- Need to build programme coherence and identity; making the programme more than the sum of their parts. Equally, this coherence and identity applies to the other non-technological programmes, such as SAVE, ALTENER and their successors;
- Putting in place, by programme management, a continuous improvement system which covers management processes from setting work programmes to undertaking impact analysis.

Main evaluation methods and data used

Impact matrix - Desk research - Field studies with: Interviews – Primary data from interviews, surveys, etc. - Secondary data from: Literature/Experts - Expert panels

Action taken / follow-up planned

The results of the evaluation were disseminated to both internal and external EU level decision makers and published on the CORDIS web site. The results have been used to help decision-makers in the definition and reorientation of policy and sector priorities in the non-nuclear energy field and to support improvements to project management. Specific information sessions will be organised to ensure that results are properly used at Commission services level; an action plan is still to be defined.

Availability of the report

Will be published at: http://europa.eu.int/comm/research/energy/index_en.html

The evaluation report is also published in paper form (Document EUR 20786/1). Paper or electronic copy available on request from: J. Poussielgue (DG RTD).

23. REGIONAL POLICY

Ex post Evaluation of Objective 1 Interventions 1994 - 1999

Name of the programme(s)/activity(ies) concerned: ERDF and Other Regional Interventions

Number of the ABB activity(ies) concerned: 13 03

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	11/2001 - 04/2003	V. Gaffey	External

Purpose of evaluation

- To establish the impact of the Structural Funds in Objective 1 regions on economic and social cohesion;
- To assess the effectiveness and efficiency of the Structural Funds in Objective 1 regions;
- To identify the Community added-value obtained at EU level as a result of Structural Fund investment;
- To identify the lessons of the evaluation related to the 1994-1999 period that have relevance both for the 2000-2006 programming period and for planning for the Structural Funds after 2006 in the context of enlargement.

Summary of findings and recommendations

The Structural Funds have had a positive impact on the GDP of the Objective 1 regions, and their overall performance relative to the EU as a whole has improved. The impact can be quantified in the modelling undertaken as part of the evaluation for the Cohesion countries, Eastern Germany and Northern Ireland, where the strongest impacts were found in Eastern Germany and Portugal, with less evident impacts in Spain and Greece.

The Structural Funds "method" formed an important element of its added-value, particularly the programming and partnership approach as well as monitoring and evaluation arrangements.

Recommendations were made for both the current (2000-2006) programming period and the next (after 2007):

- For the current period, there should be a greater emphasis on spatial differences in programmes, and Research and Development activities should receive a greater focus. A programme management culture which is more supportive of innovation and risk-taking also needs to be encouraged. For large projects a major effort is required to improve project planning and management to ensure projects are completed on time and within budget. Indicators and targets should be realistic and used, with improved monitoring against targets. As regards the Monitoring Committees, their role should become more one of providing strategic direction rather than focusing only on financial management.
- For the future Structural Funds after 2006, the evaluation recommended that a significant effort should be made in developing the institutional capacity in the new Member States. More use should be made of independent on-going evaluations. For smaller regions, a less "heavy" administrative system should be adopted. In addition, attention needs to be given to the "exit strategy" for those regions which will no longer qualify for Objective 1 in the enlarged EU.

Main evaluation methods and data used

Desk research - Field studies with: Interviews - Primary data from interviews, surveys, etc - Secondary data from: Monitoring system, Statistical agencies, Literature/experts - Expert panels - Case studies – Econometric models

Action taken / follow-up planned

The report, which has been published and is available on the DG REGIO website, served mainly an accountability purpose for the expenditure of €210 billion in Structural and Cohesion Funds in Objective 1 regions between 1994 and 1999. The findings of the evaluation have been discussed within the DG and have been presented to the Member States through DG REGIO's Technical Group on Evaluation. The learning from the evaluation has fed into the preparation of the 3rd Cohesion Report and into proposals that are currently under consideration for the future of the Structural Funds (programming period after 2006). The results and lessons have also been used in negotiations with the future Member States on the shape of their programmes to run for the short 2004-2006 programming period.

Availability of the report

Published at: http://europa.eu.int/comm/regional_policy/sources/docgener/evaluation/rado_en.htm

Ex post Evaluation of Objective 2 Interventions 1994-1999

Name of the programme(s)/activity(ies) concerned: ERDF and Other Regional Interventions

Number of the ABB activity(ies) concerned: 13 03

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	12/2001 - 06/2003	P. Ungar	External

Purpose of evaluation

- To establish the impact of the Structural Fund interventions in Objective 2 regions on economic and social cohesion;
- To assess the effectiveness (progress and achievements compared with initial objectives) and efficiency (cost at which the objectives were reached) of the interventions at a regional, national and European level as well as within key priorities;
- To identify the Community added-value obtained at an EU level as a result of the Structural Fund interventions;
- To analyse the findings of the evaluation regarding the programming period 1994-1999 in a view of identifying relevant elements and implications for the planning of the Structural Funds for the period after 2006 in the context of enlargement.

Summary of findings and recommendations

The evaluation study draws a series of policy implications and recommendations. The most important are:

- At Community level: While the strategies adopted and implemented were broadly appropriate and display continued relevance frequently, research suggests a need for greater flexibility in implementation methods. Notably giving regional authorities a wider and more flexible range of options with regards to priorities and procedures is recommended. A greater flexibility in defining eligible geographic areas is needed in order to comply with the spatial complexity of knowledge-based economies and societies, taking better account of the network component. There should be a renewed emphasis on simplifying Objective 2 management procedures.
- At Community/Member state level: There should be further emphasis on promoting elements contributing to the knowledge economy and society. Relevant lessons from the past should therefore be even more integrated into current programmes. As the study reveals that those regions with significant priorities for research, development, innovation and technology transfer, and also business support measures, performed particularly well in job creation, a further strengthened focus on knowledge society relevant priorities and measures is needed. Adding most value possible to national schemes, notably entrepreneurship, SMEs and upgrading of workforce skills, promoting more synergies between the ERDF and the ESF, should be envisaged too. Additional methods for identifying and sharing good practise in the use of Objective 2 aid should be developed.
- For the Accession countries: Although most regions in the acceding countries will have Objective 1 status the experiences gained by the current Objective 2 evaluation could serve to a large extent, as many regions have a strong industrial tradition and face similar problems regarding restructuring 'old' large-scale industrial undertakings and creating jobs in growth sectors and firms. The lessons learned from Objective 2 programmes in the three Member states that joined the EU in 1995 are particularly relevant due to proximity in time and institutional capacity building. For each of the regions in the Accession countries a pool of experiences and typical policy-mixes from past programmes is available, and proven methods of good management and delivery systems could be obtained. A more strategic and holistic approach to development, multi-annual planning, stimulating partnership and other elements typical for Structural Funds programmes are likely to be especially valuable in regions of the Accession countries.

Main evaluation methods and data used

Desk research - Field studies with: Interviews, Surveys, Direct observation - Primary data from interviews, surveys, etc - Secondary data from: Monitoring system, Statistical agencies, Literature/experts - Case studies - Statistical analysis - Cost-effectiveness analysis

Action taken / follow-up planned

The report, which has been published and is available on the DG REGIO website, served mainly an accountability objective for the expenditure of Structural Funds in Objective 2 regions between 1994 and 1999. The findings of the evaluation have been discussed within the DG and have been presented to the Member States through DG REGIO's

Technical Group on Evaluation. The results and lessons from the evaluation have fed into the preparation of the 3rd Cohesion Report and into proposals that are currently under consideration for the future of the Structural Funds (programming period after 2006).

Availability of the report

Published at: http://europa.eu.int/comm/regional_policy/sources/docgener/evaluation/rado_en.htm

Ex post Evaluation of the Community Initiative URBAN 1994-1999

Name of the programme(s)/activity(ies) concerned: ERDF and Other Regional Interventions

Number of the ABB activity(ies) concerned: 13 03

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	12/2002 - 09/2003	K. Stryczynski	External

Purpose of evaluation

- To establish the impact of the Community Initiative as a catalyst for lasting improvements in socio-economic conditions for inhabitants in the programme areas;
- To identify the Community added-value obtained as a result of Structural Fund investment;
- To identify the lessons of the evaluation related to the 1994-1999 period that have relevance both for the 2000-2006 programming period and for planning for the Structural Funds post 2006 in the context of enlargement.

Summary of findings and recommendations

- The URBAN programme was a success in a number of respects. The programme contributed to improving the quality of life in the target areas and beyond, and built capacity both at the level of the municipality and within the local communities.
- One of the most sustainable impacts from URBAN was the lasting change in the approach to urban regeneration. URBAN encouraged a move away from the usual practice of single sector working, to the integration of various stakeholders across different departments, including the Community.
- In 11 member states, URBAN I was original and influential, introducing an integrated approach to urban renewal, new policy instruments, and stimulating discussion on how to address disparities within urban areas.
- Trans-national networking should be promoted, as well as national networking activities between URBAN cities.
- Effective monitoring and evaluation systems should be put in place.

Main evaluation methods and data used

Desk research - Primary data from interviews, surveys, etc - Secondary data from: Monitoring system, Literature/experts
- Expert panels - Case studies.

Action taken / follow-up planned

The report, which has been published and will be made available on the DG REGIO website, served mainly an accountability objective for the expenditure of Structural Funds under the URBAN Initiative. The findings of the evaluation have been discussed within the DG and have been presented to the Member States through DG REGIO's Technical Group on Evaluation and the Committee on the Development and Conversion of the Regions. The results and lessons from the evaluation has fed into the preparation of the 3rd Cohesion Report and into proposals that are currently under consideration for the future of the Structural Funds (programming period after 2006).

Availability of the report

Will be published at: http://europa.eu.int/comm/regional_policy/sources/docgener/evaluation/rado_en.htm

24. SECRETARIAT GENERAL

Strategic Evaluation on the Open Method of Co-ordination

Name of the programme(s)/activity(ies) concerned: NN (cross-cutting)

Number of the ABB activity(ies) concerned: NN (cross-cutting)

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	06/2002 - 03/2003	C. Leman	Internal

Purpose of evaluation

The strategic evaluation, decided within the context of the "Annual Policy Strategy" (APS) of the Commission, was intended to assess the potentials and the limits of the open method of co-ordination as an instrument (cf. context, scope, constituent elements, actors, responsibilities and procedures). The research was mainly based on an internal consultation within the Commission and has led to a stock-taking report.

Summary of findings and recommendations

The report noted that the open method of co-ordination had been established in nine areas: e-Europe, benchmarking national research and development policies, innovation, enterprise, the European Charter for Small Enterprises, social inclusion, pensions, future education objectives and vocational training. The report identified three broad types of open method of co-ordination:

- Report against Objectives (social inclusion, pensions, European Charter for Small Enterprise): high-level objectives are set for each sector, and a reporting timetable is agreed. The Commission produces a synthesis report. In the cases of social inclusion and pensions, these reports are subsequently jointly agreed with the Council.
- Scoreboard Approach (enterprise policy, innovation, research, e-Europe, future concrete education objectives, vocational training): This approach focuses on 'scoreboard' indicators, which are drawn up against high-level objectives. For the most part, the Commission monitors the indicators, collects the data and produces a report.
- 'Best Practice' only (best procedure projects, youth): Topics are identified for projects, funded by the Commission, to identify good practice.

The following *common themes* were identified:

- 1) Stakeholder involvement: The process of the open method of co-ordination is, at present, essentially focused on the policies of Member State's administrations and not on the actions of other bodies or stakeholders. At present, involvement of stakeholders is mainly organised at a European level at the Commission's instigation. In social inclusion, the Commission asks Member States to indicate in their action plans the role of local administrations, NGOs and other bodies.
- 2) Member State commitment: In sector applications of the open method of co-ordination, Member States have generally not made commitments to targets or actions. However, concrete EU targets have been set at the European level. In some sectors, Member States have set voluntary national targets.
- 3) "Coordination" versus monitoring, reporting and information exchange: Where targets are developed, they are developed in a national context. There is not necessarily a direct link between these targets and "guidelines for the Union" and the Member State's contribution to the achievement of the Lisbon strategic objectives. Objectives identified in the open method of co-ordination are at a high-level and do not constrain Member State's action. Without a direct link between guidelines and action, it could be argued that the sectoral open methods of co-ordination are tools for monitoring, reporting and information exchange.
- 4) The 'Spring European Council': Progress is fed into the Commission's annual report to the 'Spring European Council'. The annual report draws on the set of 43 structural indicators agreed between the Commission and Council to benchmark overall progress towards the Lisbon goals. Some, but not all of these structural indicators, are also indicated in the sectoral applications of the open method of co-ordination. This annual report provides an overview of progress made towards the Lisbon Strategy goals ("Spring Report"). The "Spring Report" directs the Employment Guidelines and Broad Economic Policy Guidelines. Information from the sectoral applications of the open method has also fed into those instruments.

Main evaluation methods and data used

Desk research - Field studies with: Interviews – Primary data from interviews, surveys, etc.

Action taken / follow-up planned

It was decided not to proceed at this stage with an in-depth assessment of the results obtained and impacts achieved of the open method of co-ordination as in most sectors, this co-ordination method has not yet been applied for a sufficient length of time.

Availability of the report

Paper or electronic copy available on request from: Ch. Leman (SG).

Evaluation of Grants to Organisations advancing the Idea of Europe (budget line ex A-3021)

Name of the programme(s)/activity(ies) concerned: Relations with civil society, Openness and Information; Dialogue with the citizens

Number of the ABB activity(ies) concerned: 25 02; 15 06

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	07/2002 - 07/2003	A. Pooley	External

Purpose of evaluation

The study is part of the regular evaluation of Commission activities and spending programmes. The evaluation responds in addition to a request from the budgetary authority (remarks in 2001 budget concerning budget line A-3021): "The Commission will establish and evaluate what has been achieved by expenditure under this item".

Summary of findings and recommendations

- The Council, Commission and the European Parliament should work together to find a common set of objectives and criteria for this funded activity, in order to guarantee its coherence.
- The activities funded under budget lines A-3020, A-3021, A-3022, A-3024, A-3025, A-3026, A-3027, A-3029, A-3036 and A-3042 could be accommodated under a new broad budget line regarding "communicating Europe" or "actively working for European integration".
- The Commission should explore multi-annual funding, something which is of more importance for those beneficiaries for whom the grant is a major element in their budget. The Commission should monitor carefully the extent to which beneficiaries are dependent on the grant.
- The Commission and beneficiary should agree a more specific contractual commitment to cover the objectives, actions, target audiences and key measures in beneficiary's work programme.
- The Commission should require the beneficiary to support the Commission's agenda to a certain agreed extent, rather than merely use the funds to press an inevitably partisan case.

Main evaluation methods and data used

Desk research - Field studies with: Interviews, Surveys, Direct observation - Primary data from interviews, surveys, etc. - Case studies - Statistical analysis - Cost-effectiveness analysis - Cost-benefit analysis - Multi-criteria analysis

Action taken / follow-up planned

A written report will be prepared following examination of the possible implementation of the recommendations contained in the report. DG Education and Culture, which is in charge of the management of this budget line as from 2004 on, will ensure appropriate follow-up measures.

Availability of the report

Published at: http://europa.eu.int/comm/secretariat_general/subvention/index_en.htm

Evaluation of the Cost/Benefits of Projects financed by IDA (Networks for the Interchange of Data between Administrations) within the area "Communication and management of official documents" managed by the Secretariat General

Name of the programme(s)/activity(ies) concerned: Coordination within the Commission; Encouraging entrepreneurship

Number of the ABB activity(ies) concerned: NN (Activity without budget line within Policy Area 25: Commission's Policy Area and Legal Advice); 02 02

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	01/2003 - 12/2003	F. Kodeck	External

Purpose of evaluation

Main purpose of the evaluation study was to review and analyse the costs, benefits and success factors of past projects undertaken and (partially or fully) funded under the IDA II programme. By doing so, the IT service of the Secretariat General (SG) aims to estimate the Return on Investment (ROI) of the IDA II-funded projects. The results of the cost/benefit assessment, together with recommendations formulated in the course of the project, will be provided to IDA programme administrators in order to demonstrate the relevance and usefulness of the projects that they have supported.

Summary of findings and recommendations

Based on the draft final report, the following findings and recommendations can already be highlighted:

- **Costs benefits:** Estimated tangible benefits for all completed projects (5 379 KEUR) far exceed IDA funding for these projects (4 667 KEUR) and is about 68 % of total cost (7 832 KEUR). Additional recurrent benefits will lead to a positive ROI within around a couple of years. As far as the three major projects are concerned, they represent together 78% of IDA funding and 99% of tangible benefits.
- **Other benefits:** The study establishes an *overall return indicator* to take into consideration all categories of benefits, not only tangible financial benefits but also intangible benefits. Indeed, the focus should not exclusively be on ROI, which shows only the financial return of the projects. During the interviews performed among the institutions and other Community bodies, a series of intangible benefits have been reported: reduction of transmission times, easier management of documents, easier access to information, improved quality and structure of the documents, etc. Although, by definition, it is difficult if not impossible to estimate their actual value, especially in financial terms, intangible benefits can make a critical contribution to the success of an organisation.
- **Major projects:** "Grefte 2000" is the only project with already a positive ROI. This project is also considered to have highest overall return indicator, because of its positive financial return and of high intangible benefits for several institutions and Community bodies. Unlike "Grefte 2000", "LegisWrite" has a negative ROI. Issues related to a less-than-optimal use of the system during the period 1999-2002 prevented some benefits from materialising (savings in the production of documents). However, the overall return of "LegisWrite" is high because of high intangible benefits for the Commission as for other institutions. It is also possible that new benefits appear in the future as end users gain experience in the use of "LegisWrite". "Parliamentary Questions" is characterised by tangible benefits that are low compared to its costs and by intangible benefits that only concern the Commission. It is however worth recalling that benefits had already been achieved before 1999 and have therefore not been taken into account in the present evaluation.
- **Other projects:** The study concluded that, for the other projects funded, there were mainly intangible benefits or benefits that are expected in the long-run and that depend on the effective use of standards still to be defined.
- **Recommendations:** The study identifies success and risk factors if similar projects are launched in the future and make some recommendations to this effect.

Main evaluation methods and data used

Impact matrix - Desk research - Field studies with: Interviews, Direct observation - Primary data from interviews, surveys, etc. - Case studies - Cost-benefit analysis

Action taken / follow-up planned

Concrete follow-up measures are not yet decided, but will be identified as soon as the final version of the report is available.

Availability of the report

Paper or electronic copy available on request, as soon as the final report is approved, from: F. Kodeck (SG).

25. TAXATION AND CUSTOMS UNION

Final Evaluation of the FISCALIS programme

Name of the programme(s)/activity(ies) concerned: Taxation policy

Number of the ABB activity(ies) concerned: 14 05

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	09/2001 - 11/2003	Montserrat Alvarino	Internal

Purpose of evaluation

Article 12 (3b) of Decision n°888/98 foresees that the Commission has to present to the European Parliament and the Council on 30 June 2003 at the latest a report on the final evaluation of the results and impacts of the FISCALIS programme. (The final evaluation had no influence on the decision to launch the programme FISCALIS 2007 because it has been carried out after approval of the Decision n°2235/2002 of 3/12/2002 establishing the FISCALIS 2007 programme.)

Summary of findings and recommendations

The common actions and informatics applications of the FISCALIS programme have contributed to a better functioning of the taxation systems in the Internal Market. The evaluation report shows that each action has served to improve the knowledge and the comprehension of participants regarding specific issues of indirect taxation, to diffuse "good practices" (in particular concerning risk analysis and fraud prevention procedures). It allowed simplifying the administrative procedures, the adoption of new working methods, the exchange of information and the improvement of administrative co-operation. However, in order to increase their impacts, the evaluation report recommends increasing the complementarities of the programme actions.

Main evaluation methods and data used:

Logical Framework/Diagram - Desk research - Field studies with: Interviews, Surveys - Primary data from interviews, surveys, etc - Secondary data from: Monitoring system - Statistical analysis

Action taken / follow-up planned

The final evaluation constitutes, for the Commission services in charge of the management of the programme, a base for reflections regarding improvements of the management. The evaluation cycle (preparation of the intermediate evaluation, mid-term evaluation, final evaluation) of succeeding programmes (FISCALIS, FISCALIS 2007) guarantees that comments and recommendations of the final evaluation are taken into account for the next programme.

Availability of the report

The evaluation report is published as official Commission document COM (2003) 678 final available at:

http://europa.eu.int/servlet/portail/RenderServlet?search=DocNumber&lg=fr&nb_docs=10&domain=Preparatory&in_force=NO&type_doc=COMfinal&an_doc=2003&nu_doc=678

Final Evaluation of the CUSTOMS 2002 programme

Name of the programme(s)/activity(ies) concerned: Customs policy

Number of the ABB activity(ies) concerned: 14 04

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	08/2001 - 11/2003	B. Wets/D. Birkenmaier	Internal

Purpose of evaluation

Article 17 of Decision 105/200/CEE foresees that the Commission has to present to the European Parliament and the Council a report on the final evaluation of the implementation of the CUSTOMS 2002 programme. (The final evaluation had no influence on the decision to launch the programme CUSTOMS 2007 because it has been carried out after approval of the Decision n° 253/2003 of 11/02/2003 establishing the CUSTOMS 2007 programme.)

Summary of findings and recommendations

The programme CUSTOMS 2002 has contributed to reinforced co-operation, not only between Member States but also between Member States and the European Commission. In addition, it has prepared the integration of administrations of future Member States into the management of Community customs. Member States think that the informatics' systems regarding the exchange of information (between Member States and with the Commission) supported by the programme (80% of the budget) efficiently achieved the objectives that were set for it.

The positive effects of the programme can not hide the importance of objectives and the variety of national cultures and situations as far as customs are concerned. The objective to guarantee "that Member States' customs work as they would form a unique one" justifies reinforcing the efforts already made. This is still more necessary after the accession of new Member States and the modifications following from it for the external borders of the EU.

Main evaluation methods and data used

Logical Framework/Diagram - Desk research - Field studies with: Interviews, Surveys - Primary data from interviews, surveys, etc - Secondary data from: Monitoring system - Statistical analysis

Action taken / follow-up planned

The final evaluation constitutes, for the Commission services in charge of the management of the programme, a base for reflections regarding improvements of the management. The evaluation cycle (preparation of the intermediate evaluation, mid-term evaluation, final evaluation) of succeeding programmes (CUSTOMS 2002, CUSTOMS 2007) guarantees that comments and recommendations of the final evaluation are taken into account for the next programme.

Availability of the report

The evaluation report is published as official Commission document COM (2003) 672 final available at:

http://europa.eu.int/servlet/portail/RenderServlet?search=DocNumber&lg=fr&nb_docs=25&domain=Preparatory&in_force=NO&type_doc=COMfinal&an_doc=2003&nu_doc=672

26. TRADE

Evaluation of the Economic Impact of Mutual Recognition Agreements (MRAs) on Conformity Assessment

Name of the programme(s)/activity(ies) concerned: Trade Policy

Number of the ABB activity(ies) concerned: 20 02

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Intermediate	11/2001 - 05/2003	P. De Lusignan	External

Purpose of evaluation

The main objectives of the evaluation were:

- The development of a method, including an econometric model, capable of determining the economic impact of MRAs on trade in the sectors that they cover; and
- A quantitative examination of the economic impact of the only two MRAs regarded as being in full operation, i.e. those between the EU and Australia and between the EU and New Zealand.

The study was undertaken with a view to influencing future Community decisions about whether new MRAs should be concluded, and if so, what type of MRA should be negotiated and with which countries. The study should also answer to the question what effort should be expended in amending or extending existing MRAs.

Summary of findings and recommendations

- The very specific data required for measuring companies' costs and benefits resulting from MRAs is not available in such quality and quantity as would permit a reliable measure of net benefits.
- In circumstances where a pre-existing regime (outside of government regulation) has provided for mutual recognition of standards, MRAs have little effect because they supplement a process that is already in place.
- MRAs are also of little benefit in those sectors in which self-certification is the predominant mode of operation.
- Producers welcome the idea of having a single Conformity Assessment body through which they can export to the most lucrative markets in the world when the factors mentioned above are taken into account. MRAs governing markets where the size of bilateral trade flows is already substantial could have a greater impact than that found with respect to the specific MRAs included in the study, i.e. EU-Australia and EU-New Zealand.

Main evaluation methods and data used

Desk research - Field studies with: Interviews, Surveys - Primary data from interviews, surveys, etc. - Statistical agencies
– Secondary data from: Statistical agencies, Literature/experts - Case studies - Statistical analysis - Cost-benefit analysis

Action taken / follow-up planned

The results have been passed to the Member States through the '133 Technical Group on MRAs' of the Council. A Working Document of the Commission Services "Determining priorities for bilateral/regional trade related activities in the field of technical regulations, standards, and conformity assessment" is currently in inter-service consultation within the Commission. This document draws on the findings of the present evaluation in making its conclusions and recommendations.

Availability of the report

Published under the title "Review of MRAs with Australia and New Zealand" at:

<http://trade-info.cec.eu.int/tbt/documents.cfm?action=list>

Sustainability Impact Assessment (SIA) of proposed WTO negotiations

Name of the programme(s)/activity(ies) concerned: Trade Policy

Number of the ABB activity(ies) concerned: 20 02

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	01/2002 - 06/2003	E.Peters	External

Purpose of evaluation

Main purpose of the SIA was to establish a detailed assessment and findings regarding the potential impacts on sustainable development of the proposed Doha Agenda policy measures and of any cumulative impacts that are likely to result from the implementation of the Agenda as a whole. Each measure is discussed under three headings: Negotiations issues and scenarios; likely sustainability impacts and mitigation and enhancement measures.

The study should also provide a detailed analysis of the impacts of agreed policy options or scenarios on several sectors (market access regarding pharmaceuticals, non-ferrous materials as well as textiles and clothing; environmental services in the form of water and waste management; competition). The analysis should be presented so as to give concrete input for negotiators in their search for a balanced set of policies, including any necessary flanking measures.

Summary of findings and recommendations

The SIA identifies separately the main sustainability impacts, for developed and developing countries, with respect to several measures as well as cumulative and or cross-cutting impacts likely to result from implementation of the Doha Agenda as a whole. It also proposes main flanking measures to mitigate negative impacts and enhance positive impacts on sustainable development. Further detailed SIAs are recommended for the following areas: agriculture; automobiles, automotive products and other transport equipment; leather goods and footwear; energy services; financial services; distribution services; tourism and travel services; trade and investment; trade and environment; TRIPs and public health. Moreover, the study makes recommendations for additional methodological refinements in undertaking the further detailed studies proposed, extending the consultation process and conducting the final global overview SIA of the Doha-Agenda as a whole.

A preliminary overview of potential impacts of the Doha-Agenda and assessment of individual trade measures shows the following results:

- 1) Agriculture: Greater welfare gains are predicted for EU and other developed countries due to increased economic efficiency resulting from further liberalisation; many developing countries also stand to benefit.
- 2) Market access for non-agricultural products: Greater positive impacts are predicted for developed countries, and also for more industrialised developing countries (e.g., Asia), as a result of greater efficiency resulting from further liberalisation.
- 3) Services: Welfare gains are predicted for developed countries and newly industrialising countries (NICs) as a result of improved market access relating in the communications sector. Higher growth in this sector may also significantly enhance the capacity of developing countries' institutions to implement sustainable development strategies. Welfare gains are predicted for developed countries and NICs as a result of improved market access relating to the financial services sector.
- 4) Trade and Environment: All countries are expected to see a significant improvement in the consistency of their trade measures with the principles of sustainable development, due to the greater enforceability of Multi-lateral Environmental Agreements (MEAs).
- 5) TRIPs: Further liberalisation offering greater protection for intellectual property will yield significant welfare gains for producers of protected products in any country. Manufacturers of generic drugs should see significant income gains as a result of increased production. Conversely, patent holders should expect significant falls in income. The lower overall cost of drugs should lead to significant health benefits in less and least developed countries.
- 6) Trade and Investment: Developed countries, which host the majority of trans-national corporations (TNCs), and some developing countries notably in Asia, are expected to benefit from an increase in global welfare resulting from an improved investment regime that strengthens the rights of investors.

Regarding the sector studies for market access (pharmaceuticals, non-ferrous materials as well as textiles and clothing), environmental services (water and waste management) and competition, the following main cross-cutting findings are highlighted:

- 1) Each of the three proposed sector agreements is expected to have significant social and/or environmental impacts in addition to their economic effects. Negotiators and policymakers need to take this wider range of possible consequences into account.
- 2) Each of the agreements is predicted to have negative as well as positive impacts. Improvements to market access will bring negative social impacts as domestic economies adjust to increased imports. Liberalised environmental services may have adverse consequences, e.g. for access to and affordability of water by the poor. A multilateral framework for competition law will impose potentially significant opportunity costs on low-income countries.
- 3) Positive and negative impacts are expected to be unequally distributed both between countries and within countries.
- 4) Impacts of individual sector agreements cannot be assessed in isolation, as there are potentially significant inter-sector linkages. The potential impact of trade negotiations on sustainable development depends on the combined effects of the set of agreed measures in the Doha agenda as a whole.
- 5) Where a country's economic development level, social support system and environmental protection practices are at, or near to, minimum stress threshold levels, the significance of positive or negative impacts will be increased. Likewise, a country's institutional and broader governance capacity will affect the significance of potential sustainability impacts.
- 6) The adoption and effective implementation of flanking measures can have a major influence on the final impact of a particular sector agreement on sustainable development.

More detailed and specific findings are presented in separate reports for each of the three sectors.

Main evaluation methods and data used

Other structuring tools: SIA method originally devised for SIA programme by IDPM - Desk research - Field studies with: Interviews, surveys - Primary data from interviews, surveys, etc. - Secondary data from: Statistical agencies, Literature/experts - Expert panels - Case studies - Statistical analysis - Econometric models

Action taken / follow-up planned

After an inter-service consultation within the Commission launched in August 2003, DG TRADE has prepared position papers with respect to the SIA sector studies on market access, environmental services and competition. The position papers are intended to provide a basis for discussions with the Council, with the European Parliament as well as with all interested parties in civil society. Further position papers will be produced as further SIA results emerge.

Availability of the report

All reports are published at the following web site: <http://idpm.man.ac.uk/sia-trade>