

# **Evaluation in the Commission**

## **Reporting on Results**

Annual Evaluation Review 2005

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## EXECUTIVE SUMMARY

### *A high number of evaluations*

171 evaluation studies were completed in 2005. Of these, 81 were prospective in nature, almost all of which impact assessments and ex ante evaluations. 21 evaluations were mainly retrospective, whereas 69 have both a backward and forward-looking scope, with the objective to extract lessons from the past in order to take decisions for the future. Of the overall number of evaluations, about 45% dealt exclusively with expenditure programmes, roughly 35% with measures of a regulatory nature without any significant expenditure and about 5% with thematic issues.

### *covering a wide range of activities,*

Evaluations completed this year have covered, fully or partially, about 40% of the 174 ABB activities in the 2005 Commission's Budget. They cover virtually all types of Community interventions and policies (expenditure programmes, legislation and soft law, thematic aspects, provision of internal or external administrative and information services...) and are increasingly utility-focussed, management-oriented exercises.

### *providing overarching messages,*

The examination of the evaluation studies completed this year permits to identify a series of more or less horizontal messages, independently of the particular application of these messages to each intervention.

In the first place, most evaluations underline the **relevance and Community added value** of the interventions concerned. Relevance, i.e. the extent to which an intervention's objectives are pertinent to needs, problems and issues to be addressed, is in fact one of the least controversial issues when it comes to assessing the value of Community activities. None of the evaluation studies consulted puts into question the pertinence of Community intervention, even if the focus of this intervention could or should in some cases be improved, by reinforcing the **coherence** of the intervention logic.

Equally positive are most messages concerning the **effectiveness** of Community activities in achieving the objectives set. However, as can be expected, the level of effectiveness varies from one intervention to the other and even between the different components of an intervention.

Several factors should be taken into account here. In the first place, the overall objectives of some Community activities (e.g. legislation) are so far reaching that it would not be realistic to expect long lasting results too soon after implementation. Secondly, some evaluations are carried out relatively early in the lifespan of an intervention, which renders impossible to obtain information about impacts. Finally, it is still a matter for development, both for commissioners of evaluations and for the evaluators themselves, to go beyond the study of outputs and immediate effects when analysing effectiveness, in order to have a proper view of the performance of the intervention.

If the Commission wishes to achieve the established policy objectives at a reasonable cost, i.e. efficiently, sufficient resources (both financial and human) and adequate delivery mechanisms should be made available. And this is the main field where room for improvement appears in evaluations.

Quite often resources allocated are deemed insufficient to fulfil the objectives set; inadequate delivery mechanisms appear to hinder an easy, beneficiary-friendly implementation of the

interventions; or burdensome procedures detract from the effectiveness of the intervention for the sake of administrative security priorities. These issues are systematically treated in most evaluations, but obviously conclusions and recommendations in this sense differ from one case to the other<sup>1</sup>.

***and increasingly used in decision and policy-making.***

Evidence provided in this Review, as well as a study commissioned in 2005 by DG Budget<sup>2</sup>, indicate a positive trend in the use and perceived usefulness of evaluation in the Commission.

In 2005, evaluations have provided substantial input for **policy-making** both in formally established ways (notably, impact assessments, ex ante evaluation, legislative financial statements, activity statements for the budget procedure...), and through ad-hoc procedures designed to take advantage of conclusions and recommendations (workshops, action plans...).

Evaluation findings have played an even more important role as regards the **design of interventions**. This was especially significant in a year when the instruments for the new financial framework (2007-2013) have been developed. It was favoured by the existence of a wide amount of evaluation results coming from national or regional authorities, or from the Commission itself, prescribed in the legal base for the measure in question. In general terms, a comprehensive use of this material appears to have been made.

In the contributions for this review, there is evidence of the use of evaluation in the **allocation of resources**, both for new interventions or for deciding on the continuation of an existing funding. The examples provided might indicate a positive trend in this sense.

The use of evaluation in **improving the implementation** of activities is widely attested, either for the improvement of the management of existing programmes, or for revising and improving the internal organisation of the Commission services in charge of the evaluated interventions, in the case of share or decentralised management.

In the contributions to the review, **accountability and awareness-raising** have not been stressed often as a major use of evaluation, although these elements are implicit in the systematic communication of results to stakeholders, which takes place across all Commission services.

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<sup>1</sup> Some cross-cutting work has already been done concerning this issue (such as in the 2004 *Strategic Evaluation of the Management Methods of Programmes* – [http://europa.eu.int/comm/budget/evaluation/Key\\_documents/evalguide\\_study\\_en.htm](http://europa.eu.int/comm/budget/evaluation/Key_documents/evalguide_study_en.htm)) and also regarding the administrative burden of legislation in some fields (*Ex-post Evaluation of EC Legislation and Its Burden on Business*, cf. Annex II).

<sup>2</sup> [http://europa.eu.int/comm/budget/evaluation/studies/study\\_2005\\_en.htm](http://europa.eu.int/comm/budget/evaluation/studies/study_2005_en.htm)

## 1. INTRODUCTION

This Review aims at providing summary information to the budget and legislative authority, other stakeholders and the general public on the results, findings and recommendations from evaluations in the Commission.

Evaluation results have been comprehensively presented from different angles.

- A series of evaluation highlights have been identified in the form of results, lessons or conclusions that recur in evaluations throughout a heading or subheading of the New Financial Framework<sup>3</sup>.
- ANNEX I provides a statistical overview of the different types of evaluations completed in the Commission in 2005, as well as a list of all evaluations sorted by policy area.
- Annexes II and III provide summary information as to the individual results, conclusions and, when relevant, recommendations for each of the evaluations completed in 2005. ANNEX II presents fact sheets for all evaluations with a retrospective component (whether combined or not with prospective elements) while the fact sheets in ANNEX III refers exclusively to purely prospective evaluations.<sup>4</sup>
- Finally, ANNEX IV briefly present evaluation studies ongoing by December 2005, so that the reader may have a preview of upcoming evaluation-related information.

The information for this review has been provided by the Directorates General which were in charge of each evaluation.

The second part of the Annual Evaluation Review, to be published by the middle of 2006, will address evaluation capacity in the Commission, in terms of production of information, human and financial resources invested, as well as other evaluation-related activities carried out by the different evaluation functions in the Commission.

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<sup>3</sup> The headings in the Next Financial Framework are as follows:

- 1 – Sustainable growth
  - 1a Competitiveness for growth and employment
  - 1b Cohesion for growth and employment
- 2 – Preservation and management of natural resources
- 3 – Citizenship, freedom, security and justice
  - 3a Freedom, security and justice
  - 3b Citizenship
- 4 – The European Union as a global partner
- 5 – Administration
- 6 – Compensation

Further information about the Financial Framework 2007-2013 is available at

[http://europa.eu.int/comm/budget/prior\\_future/next\\_fin\\_framework\\_en.htm](http://europa.eu.int/comm/budget/prior_future/next_fin_framework_en.htm)

<sup>4</sup> This review uses the terms ‘prospective’ and ‘retrospective’ evaluations instead of the traditional ‘ex ante’, ‘interim’ and ‘ex post’, cf. explanation in Annex I.,

## 2. EVALUATION HIGHLIGHTS

The following evaluation highlights have the objective of furnishing institutions, stakeholders and the general public with relevant evaluation results, as delivered by independent external consultants during the year 2005. The results have been analysed in a cross-cutting manner for each of the relevant headings in the new Financial Framework (2007-2013), on the basis of criteria such as the *effectiveness*, *efficiency*, *relevance* or *Community added value* of the interventions. For each heading, cross-cutting findings, appearing in several of the evaluations completed this year, have been identified, which could be of interest for future decision-making on EU policies.

Of course, given the highly selective nature of the exercise, the highlights never reflect the full complexity of the information available in the evaluation reports. They only seek to illustrate some particular points of recurrent interest. Readers interested in having a more in-depth knowledge of the contents of the evaluations carried out are recommended to address themselves to the corresponding individual fact sheets in Annex II. They can also look up the individual reports, most of which are available to the public, in the way described at the end of each fact sheet.

The present highlights have only been based on evaluation results concerning the actual performance of Community activities vis-à-vis final beneficiaries or addressees. As a rule, without prejudice to their number and usefulness, evaluation reports on internal institutional or interinstitutional procedures and services, as well as information from prospective evaluations, have not been taken into account when drafting the present chapter.

### 2.1. Heading 1: Sustainable Growth

#### Sub-heading 1A: Competitiveness for growth and employment<sup>5</sup>

##### a) *Competitiveness and innovation in the single market*

This heading covers a wide array of policy areas and interventions<sup>6</sup>. It is noteworthy that most evaluations confirm the past and future **relevance** and **value added** of Commission activities in these domains.

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<sup>5</sup> Indicative breakdown of expenditure for Sub-heading 1A:

- TEN (transport and energy)
- Marco Polo II
- Spatial infrastructure 'Galileo'
- Nuclear decommissioning
- Life Long Learning + Erasmus Mundus
- 7th Research framework programme
- Competitiveness and innovation
- Progress (social policy agenda)
- CUSTOMS 2012, FISCALIS & EMCS programmes
- Other (other actions in transport & energy safety, other social policy agenda, internal market, statistics, EIF capital increase, fight against fraud, traditional agencies & margin)

<sup>6</sup> This complexity makes particularly difficult to exact overall messages and conclusions.



"Generally, all evaluated activities are considered relevant. Respective stakeholders expressed support for the individual initiatives' objectives. However, certain initiatives could benefit from a greater focus on supporting SMEs, mainly in the commercialisation of research results."

*Ex-post Evaluation of DG Enterprise and Industry Activities in the Field of Innovation*

"The objective of the Programme is very relevant: Respondents confirmed the need for Market Surveillance improvements throughout Europe and for the involvement of the European Commission in order to coordinate these efforts. Overall, the action types also seem reasonable: databases create a common source of information, joint projects, by verifying compliance, promote the exchange of best practices, and conferences are an effective means for communicating to a broad audience and providing a forum through which Surveillance Authorities can network."

*Ex-post Evaluation of the Grant Programme: Cross-border European Market Surveillance Actions*

"Investor compensation schemes provide only one form of protection against the various risk exposures for retail investors. Other protection mechanisms are in place: these either are prescribed by regulation, or emerge from institutional arrangements. The better the protection provided by the alternative protection mechanisms, the less the need and resource requirements for the statutory investor compensation schemes. However, past case experience suggests that there have been instances where the alternative mechanisms have failed and investors would have incurred significant losses, had it not been for the existence of a statutory scheme. The national investor compensation schemes established in the EU therefore play an important complementary role in providing last-resort protection for retail investors."

*Evaluation of the Investment Compensation Schemes Directive 97/9/EC*

"Respondents confirmed the need for Market Surveillance improvements throughout Europe and for the involvement of the European Commission in order to coordinate these efforts."

*Ex-post Evaluation of the Grant Programme: Cross-border European Market Surveillance Actions*

All evaluations assessed the interventions as **effective** to a greater or lesser extent in fulfilling the objectives set and covering the needs of stakeholders and users.

"The evaluated activities have been effective, as their results have generally corresponded to the needs they were designed to address. This can be deduced from the fact that the initiatives have achieved many of their contractual objectives and targets."

*Ex-post Evaluation of DG Enterprise and Industry Activities in the Field of Innovation*

"Regarded as a whole, the Programme's impact is limited and mainly focused on the participating parties. It can be concluded that the Programme was successful to an extent in raising awareness about Market Surveillance. Concrete changes of behaviour were achieved in the case of the countries directly involved in the execution of some projects or using the databases. However, there have only been minor influences in the behaviour of indirect target groups up to now."

*Ex-post Evaluation of the Grant Programme: Cross-border European Market Surveillance Actions*

"The implementation of the Postal Directive by Member States and its application has had significant regulatory and market impacts. The legislation has been a major driver in improving quality of service and has reached its broad objective of securing universal service while gradually opening the market. By laying out the milestones towards the achievement of the Internal Market for postal services, the legislation has contributed to a dynamic reform process, greater efficiency and the development of the market in the interests of the customers. This in turn has led to the development of competition, which has generated further flexibility in the operations of universal service providers, increased their ability to meet customer needs and has thus had a positive effect on universal service."

*Evaluation of the Postal Services Directive 2002/39/EC*

"The surveys can be considered a highly effective instrument to monitor macroeconomic developments and the economic situation in the EU, the Euro Area and the Member States. This is particularly true for the EU and the Euro Area where statistical estimates of GDP are released with a certain delay and frequently subject to revisions. Effectiveness at the Member State level, while generally high, varies with the specific surveys and the availability of alternative timely sources of information."

*Evaluation of Business and Consumer Surveys*

As in other areas, **delivery mechanisms** and overall **efficiency** issues were identified as the weakest links in the implementation of the activities and legislation evaluated. However, the findings are mixed and far from being all negative.

"Efficiency differs depending on the character of the project. In the case of projects where the greatest impact is on the parties directly involved in its execution (like the joint French Italian Projects), then it is noticeable and significant: beneficiaries of the Programme have deadlines and specific requirements to fulfil and an incentive to do so (receive funding). In other cases, like the databases, the impact is really only achieved if the product produced is broadly accepted (network effects). To achieve this, either indirect target groups need to be involved in the execution phase or a lot of persuasion work/concrete incentives need to be in place."

*Ex-post Evaluation of the Grant Programme: Cross-border European Market Surveillance Actions*

"Although schemes aim to provide compensation as soon as possible, difficulties can lead to delays in the process. In specific cases, and for reasons beyond the control of the schemes, investors had to wait several years before they received compensation following a firm failure. The principal difficulties relate to:

- delays in the declaration of default of an investment firm by the competent authority or court;
- notifying investors that a compensation event has occurred;
- lack of information required to establish a claim and calculate compensation amounts;
- delays in the legal process, in particular, if claims processing depends on the outcome of the insolvency proceedings against the defaulted firm.

None of the compensation schemes in the EU 15 reported any funding shortfalls that resulted in compensation payments being delayed or not being made."

*Evaluation of the Investment Compensation Schemes Directive 97/9/EC*

"The budgets allocated to the two largest components of the work, namely the data collection and the analysis and reporting, represent good value for money in light of prevailing market rates and the quality of the outputs produced."

*Interim Evaluation of the Implementation of the e-Business W@tch*

*b) Strengthening research and technological development*

Within this area, evaluations stressed the overall **relevance** of the interventions, as well as their Community added value.

"Marie Curie Fellowships are one of the most important opportunities for European researchers who wish to spend some time in a European country different than their own to develop research skills."

*Evaluation of the Marie Curie Fellowships under 4th and 5th Framework Programmes of Research and Technological Development of the EU (1994-2002)*

"The role of the European Community, at the network level, appears to be providing an assimilation that is not otherwise operating at the corporate, academic, or national level or within other parts of the European Research Area innovation system. FP6 collaborations are more likely to involve European partners and less likely to involve non-European partners, providing opportunities to re-integrate into Europe knowledge that might otherwise have flowed to other regions of the world."

*Evaluation of Networks of Collaboration between Participants in IST Research and their Evolution to Collaborations in the European Research Area (ERA)*

It is concerning the **effectiveness** of the different interventions in fulfilling the needs of users and beneficiaries, as well as achieving their objectives, where the cross-cutting findings are especially positive.

"Information Society Research and Technological Development Programmes have a positive role in attracting key actors, in creating and increasing network connectivity, and in generating and diffusing new knowledge. Europe has achieved significant benefits from its sizeable investments in information society technologies."

*Evaluation of Progress towards a European Research Area for Information Society Technologies*

"The SASAP has had a direct 'booster' effect in consolidating and enhancing Science and Society initiatives and national strategy and policy. Indirect impacts are often generated from the presence of the SASAP in the background of national policy, these appear to be more frequent but less visible."

*Evaluation of the Science and Society Action Plan (SASAP)*

However, in some cases, the ability to achieve a more substantial impact seems to have been hindered by **efficiency**-related issues, linked mainly to an insufficient allocation of resources.

"The allocated funding to INCO was too small to satisfy its ambitions (which might have helped to make it more differentiated) and so insufficient account was taken in FP5 of either the needs or infrastructure required in developing countries."

*Evaluation of the Specific Programme International Science and Technology Cooperation (INCO) under the Fifth Framework Programme (1998-2002)*

"In a number of cases, the lack of resources available for deployment actions has been highlighted as a significant impediment to achieving stronger results."

*Evaluation of the Science and Society Action Plan (SASAP)*

c) *Promoting sustainable transport, energy and EU networks*

The evaluations completed in 2005 concluded that, in general terms, the projects and programmes managed in this area have been **relevant** to the policy goals and to the needs, problems and issues to be addressed;

"The SAFA programme is needed and useful. (...) The relevance of SAFA to the EU policy can be considered as Good, but vigilance is recommended concerning the participation of 16 non-EU ECAC member states.

The programme is fully accepted by the operators (airlines), who understand the purpose and recognise that such inspections are needed."

*Ex post and Mid-term Evaluation of the Safety Assessment of Foreign Aircraft Programme (SAFA)*

They have been **effective** in respect to the given objectives;

"The majority of the completed projects has achieved or is likely to achieve results in the main areas of action, supporting the specific objectives"

*Mid-term/Ex-post Evaluation of Road Safety Projects Financed during the Period 1999-2004*

and have provided **sustainable** effects.

"Although the assessment is very generic and the exact duration of each of the types of measures is uncertain, it shows that the road safety projects tend to deal with types of measures having long duration and a high degree of sustainability of impact."

*Mid-term/Ex-post Evaluation of Road Safety Projects Financed during the Period 1999-2004*

In some cases, areas for further improvement have been identified. From a strategic point of view, there should be a better **coherence** in the intervention logic, leading to a better programme and project definition with clear objectives, baselines and indicators in order to help monitoring.

"The vague definition of objectives, addressing the problems, needs and issues at stake, and the missing of a systematic and documented linkage between different levels of objectives, will cause low effectiveness of the projects in pursuing the global objective."

*Mid-term/Ex-post Evaluation of Road Safety Projects Financed during the Period 1999-2004*

Another potential field for improvement lies in the dissemination of results (representing the last stage in the cycle of a project) and need for awareness-raising measures.

"The greatest potential to improve and increase the SAVE Programme's influence must be sought at organisations that are not yet aware of the Programme."

*Evaluation of the SAVE Programme*

d) *Improving the quality of education and training*

As far as programme evaluations are concerned, it emerges that programme objectives (as stated in the legal basis) are considered to be *relevant* to the needs, problems and issues to be addressed and contribute a **Community added value** in the policy of education and training. The programmes are considered largely **complementary** with other public or private initiatives.

"The EYES and its goals matched the expectations of those involved in sport and education in the various participating countries."

*Evaluation of the European Year of Education through Sport (EYES)*

"The relatively small grants appear to have provided enough support to enable academics to undertake curriculum development transnationally. This would not have been possible otherwise."

*Ex Post evaluation of the curriculum development projects funded in the framework of Socrates 1997-2001*

A common trend identified over the last few years is the capability of DG EAC programmes to generate synergies and network capacity. From this point of view DG EAC programmes have been considered highly effective (compared to the costs of the interventions) for their capability to generate multiplier effects. However, a difficulty arises to carry out proper cost-effectiveness analysis capable to quantify cost-benefits over the outputs produced by DG EAC interventions. On one hand, this highlights once again the difficulty to evaluate programmes with over-general or vague objectives and weak indicators, but on the other hand this is linked to the "nature" of DG EAC interventions whose specific and general objectives are by definition less quantifiable than other EU actions.

"EYES contributed to greater recognition of the educational values of sport. However, other desired effects (promotion of sport as a vehicle for the social inclusion of disadvantaged groups, encouragement of a better balance between intellectual and physical activity during school life etc) has remained more limited."

*Evaluation of the European Year of Education through Sport (EYES)*

"As regards the outputs we conclude that the Cooperation Programme succeeds in establishing transatlantic partnerships in higher education according to the objectives stated. This means that in general the projects succeed in establishing student exchanges based on shared or mutually developed curricula. Furthermore, the evidence suggests that most projects succeed in organising the planned number of student exchanges, although frequently more time is needed than planned."

*Intermediate Evaluation of the Cooperation Programmes in Higher Education between the EU and Canada and between the EU and the USA*

In most cases, there is room for improvement as regards both **effectiveness** and **efficiency**.

"The budget allocated to the EYES could have been slightly higher, taking into account the number of participating countries and the costs involved in a communication campaign at European level.

The financial resources were in general terms rightly allocated between the different actions, even though a slightly different distribution, especially as regards communication, could have led to an increased effectiveness.

As a conclusion, the effects of EYES have been obtained at a reasonable cost, even though an earlier programming could have allowed for a higher leverage effect with the same cost. Moreover, a slightly higher allocation of resources should have resulted in a sensibly higher impact."

*Evaluation of the European Year of Education through Sport (EYES)*

e) *A social policy agenda to help European society to anticipate and manage change*

No evaluation, apart from impact assessments, has been completed this year within this chapter. However, preliminary findings can be drawn from evaluation activities currently on-going.

Work organisation and working conditions

Preliminary results of the *Evaluation of the Financial Instruments in Support of the European Social Dialogue* indicate that financial instruments have been *effective* in supporting the European social dialogue. There has been significant facilitation of the work of sectoral social dialogue committees and significant capacity building within cross-sectoral organisations to participate in European social dialogue. A noteworthy number of projects have also supported capacity building in new Member States prior to their accession. Contribution to the improvement of awareness and understanding of issues related to European Social Dialogue has also been important.

Promoting an inclusive society

According to the ongoing *Evaluation of the Open Method of Coordination (OMC) for Social Protection and Social Inclusion*, the OMC is considered particularly *effective* in terms of mobilisation of actors and increased co-ordination at both national and regional level. Impact tends to be stronger in countries with more weaknesses in terms of policy co-ordination on social inclusion, social protection and stakeholder activity (i.e. social partners and NGOs), mainly the New Member States.

The interim findings of the *Evaluation of the Social Exclusion Programme 2002-2006*, indicate strong contributions in terms of the improved understanding of social inclusion and poverty and, to a slightly lesser extent, the exchange and promotion of mutual learning about policies and practices. The Programme has been **effective** in financing and managing a broad set of Actions to meet its objectives.

*Community added value* in improving the understanding of social exclusion and poverty may be seen as an increase in trans-national learning and cooperation between the actors, mutual learning and cooperation at a national and sub-national level that would otherwise not have happened and which develops the capacity of actors to address social exclusion and poverty.

The *Evaluation of the Community Action Programme to Combat Discrimination (2001-2006)* has revealed an unquestionable **Community added value**. Significant progress has been made, notably in relation to improving the knowledge and raising the awareness of key players and the general public to discrimination phenomena, as well as improving capacity of main players. The

Action Programme has been supporting the transposition and application of directives, and improving execution of Community objectives. It has helped to identify and rectify deficiencies in the coverage of certain groups of discrimination in Member States and has furthered the uniform application of Community law, in this way fostering the gradual setup of a common legal framework.

#### Promotion of equal opportunities for women and men

The 2005 interim evaluation report has confirmed the **relevance** of the Community framework strategy on gender equality and its *Community added value* in terms of **effectiveness** in co-ordinating multi-level interventions and mainstreaming the principle of gender equality into all EU policy areas.

Community added value of the Action programme, which supports the implementation of this strategy, has been found in its transnationality, lessons and good practices derived from the projects financed. The programme has also been effective in mainstreaming the promotion of equal opportunities by mobilising the stakeholders and relevant actors.

### **Sub-heading 1B<sup>7</sup>: Cohesion for growth and employment<sup>8</sup>**

#### Regional policy

During 2005, lessons were derived from two major evaluations. One was a thematic evaluation of the structural funds contribution to the Lisbon strategy, while the other was an ex post evaluation of Cohesion Fund projects completed between 1993 and 2002.

Structural Funds contribute significantly to the Lisbon objectives, even if there has been, with the exception of the European Social Fund, little formal integration between the Lisbon Agenda and the Structural Funds. In many regions, more than two thirds of Structural Fund expenditure is currently allocated to activities that are directly **relevant** to the Lisbon Agenda objectives, and a number of impacts from this support on the achievement of the Lisbon Agenda's quantitative targets can be detected. In regions where a lower share of Structural Fund expenditure is directly relevant to the Lisbon Agenda, the main reason is the significance in Structural Fund support for basic physical infrastructure, reflecting particular investment needs of the least prosperous regions.

#### Employment and European Social Fund

In the field of Employment, past labour market reforms have strengthened the resilience of employment to the economic slowdown. Catching up factors have also played a role in raising labour productivity in some relatively poorer member States. Otherwise, the situation in relation to the three objectives of the EES (full employment; improving quality and productivity at work; strengthening social cohesion and inclusion) shows only limited progress. According to the *Joint Employment Report 2004/2005*, the ability of the EU to boost employment will rely on further structural reforms not just in the labour market but also in the services, product and financial markets. As regards the labour market, the report confirms the conclusions of the Employment Taskforce that action must focus on four priorities: increasing adaptability of workers and enterprises; attracting more people to enter and remain in the labour market; investing more and

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<sup>7</sup> Indicative breakdown of expenditure for Sub-heading 1B:

- Structural Funds.
- Cohesion Fund.

<sup>8</sup> Due to the circular nature of the programming cycle, evaluations within this sub-heading have not been numerous in 2005. Therefore, the amount of information available from completed evaluations is limited, whereas there is an important number of ongoing evaluations.

more effectively in human capital and lifelong learning; ensuring effective implementation of reforms through better governance. The need to bridge the gap between employment priorities at EU level and implementation in the Member States is once again highlighted. It is vital that governments share ownership of EU objectives. National Action Plans for employment must become an integral part of the decision-making process. Finally, transparency and visibility of NAPs need to be further enhanced to serve mutual learning, both within member states and across the EU.

According to the *first evaluation results on Community Incentive measures in the Field of Employment* (evaluation on-going), which finance the implementation of the Commission activities in this policy field, exchange of good practice is improving and gaining momentum. However, even in the case of the most successful initiatives, there are still some challenges with regard to effective programme implementation, monitoring, dissemination and follow-up. The involvement of many relevant stakeholders in programme activities is positive. However, their role in the programme planning could be improved. Many of the projects have contributed to the implementation of the instruments of the EES while many other on-going projects have a strong potential to do so.

The *evaluation of the EURES programme* (not yet finalised) has shown that EURES has improved the transparency and information exchange as well as the exchange of CVs and vacancies on the European labour market. The service delivery process of EURES is adequate but the functioning of the network is not yet optimal. Provisional policy recommendations include a more value-adding monitoring system to be used for decision-making. Recommendations also include increasing awareness within member countries, on the possibilities that EURES and international job mobility offer to solve labour market problems for specific sectors and regions. The impact and sustainability of the programme are highly dependent on the commitment of the actors at the country level for using labour mobility as a tool for the better functioning of labour markets. In order to ensure impact and sustainability, supplementing EURES objectives with more externally oriented objectives and targets is recommended.

*In the ESF area, important findings per policy field are currently being drawn from each ESF evaluation report (mid-term and final updates sent by Member States).* These findings are summarised and discussed in Thematic Syntheses prepared by the Evaluation Unit. The thematic synthesis on gender equality in ESF interventions is already available as a working document. Its main aim is to draw lessons for the next programming period from the implementation of the dual approach of gender mainstreaming and specific actions in promoting gender equality.

In terms of specific actions, the paper highlights that actions to improve women's representation at higher levels of hierarchy (vertical desegregation) have been limited. Five gender mainstreaming (measures to ensure that the gender perspective is taken into account throughout a policy process) approaches are identified: Collecting gender disaggregated data; taking into account projects' gender orientation during the selection process; programme management and steering promoting gender equality by setting targets and reacting to gender related monitoring information with corrective actions; ensuring a gender balanced monitoring committee and including gender experts; setting up sub-committees or units to offer methodological support on gender mainstreaming to programme actors.

The Thematic Synthesis concludes that as a result of Structural Funds regulation on gender equality, there has been an increased incidence of both specific actions and gender mainstreaming. However, a lot remains to be achieved as gender equality efforts seem to be made only when means are specifically allocated for this subject.

The evaluation of EQUAL Community Initiative (evaluation on-going) continues to show positive results in terms of better promoting equal opportunities for all. A key success factor are



the newly created sustainable networks created within this programme, directly linking the public sector, the private sector, social partners, NGOs and vulnerable groups. There is a need for more and better methodological guidance from management authorities, which seems to be directly linked with good results on innovation, promoting gender equality, validating good practice, mainstreaming (in particular vertical mainstreaming) and transnational cooperation.

## 2.2. Heading 2: Preservation and Management of Natural Resources<sup>9</sup>

### Agricultural policy

In general terms, market policies have been found to be **relevant** and in general **effective** as regards the stabilisation of income, mainly through direct payments (bananas, cereals, flax and hemp).

"Market support played an important role in ensuring fair and stable incomes when ,world prices were weak. In general the shares of incomes from cereal market sales declined, while the shares from direct payments increased for all types of holdings. The importance of set-aside payments fell slightly following the Agenda 2000 reform. Cereal producers' incomes were kept relatively stable by the measures."

*Evaluation of the Common Market Organisation for the Cereals Sector*

"Based on an analysis of the programmes carried out, it can be stated that, against the background of the contraction of the profit margins of holdings over the years, the programmes implemented under the cohesion policy (and in particular under the EAGGF Guidance Section) in the Community banana sector in the period 1993-2003 played a vital role."

*Evaluation of the Common Market Organization for Bananas*

The identified **effectiveness** in terms of trade varied substantially depending on the CMO.

"The analysis of the historical data suggests that the EU import policy has played an important role in sustaining Community preference. The results of the modelisation, on their side, show, as expected, that import protection seems to have resulted in a reduction in the volume of annual imports as compared to a no-policy situation. Without border protection, the EU would probably have gone from being a net exporter to being a net importer. However, it is obvious that third country imports have continued with full tariff rates, which indicates that the level of protection has gone down, as foreseen in the Uruguay Round Agreement. Due to this, amongst other reasons, the competitiveness of third-country production has increased."

*Evaluation of the Common Market Organisations for Pig Meat, Poultry Meat and Eggs*

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<sup>9</sup> Indicative breakdown of expenditure for Heading 2:

- Agriculture: direct aids & market support
- Rural development
- European fisheries fund
- Life+
- Other (traditional agencies & margin)
- Other fisheries programmes/actions

"The protection and support mechanisms granted by the COM to bananas from the traditional (and Community) ACP States have therefore slowed down, but have not reversed, the process of the relocation of the production of bananas for the EU market based on the competitive advantages of the countries concerned.

The CMO has had only a limited impact on the structure of the EU banana trade by country of provenance:."

*Evaluation of the Common Market Organization for Bananas*

While for bananas, the evaluation concluded that the introduction of the import arrangements would seem to have had a more significant impact on CIF prices in the Community market than on the volumes imported into the EU, import tariffs helped to maintain Community preference over the whole evaluation period in the sectors for pig meat, poultry meat, and eggs (*Evaluation of the Common Market Organisations for Pig Meat, Poultry Meat and Eggs*).

However, some **negative or unintended effects** have equally been identified in this field.

"The import arrangements and the system for granting licences have distorted competition, significantly modifying operators' behaviour and contributing to increasing prices on the EU market. The decision to distribute licences on a historical basis and, during certain periods, also among the various operator categories/functions, has led to a reduction in the number of licences going to less efficient operators in favour of the most efficient ones and contributed to consolidating the positional premiums of certain categories of operator. This distortion of competition has contributed to the rise in prices on the EU market and the clear difference between those prices and prices in the other importing countries: EU prices have increased not only by the amounts of the tariffs, but also by the significant cost of import licences."

*Evaluation of the Common Market Organization for Bananas*

Some of the measures evaluated appear as highly **efficient** in providing the objectives set.

"The most significant consequence of introducing the aid for fibre processing was the end of speculative production. As a result of this opportunistic behaviour coming to an end following the reform, around €23m were saved per year starting from 2001, in other words, nearly half the average yearly cost of maintaining CMO aids over the 2001-2002 period.

The reform has therefore been particularly effective in meeting the objective of cutting costs and thus resulted in increased efficiency for the CMO in that, concomitantly:

- The economically viable outlets of the flax and hemp sectors experienced growth.
- Producers' income were overall maintained, or in some cases (flax producers), went up over the same period."

*Evaluation of the Common Market Organization for Flax and Hemp*

At the same time, some problems with *efficiency* were also pointed out, as in the cereals sector

"Set-aside gave rise to several forms of policy inefficiency.

- One was the creation of deadweight when set-aside payments were made on land that would have been left fallow in the absence of set-aside.
- Another was where full set-aside payments were made on low productivity land.

- The Evaluation report on set-aside demonstrated that, in 1998/99 and 1999/2000, a higher budgetary cost for “non-production” than would have been the case if there had been no set-aside and consequent “over-production”. However, we cannot conclude whether there was, on average, policy inefficiency in this sense during the period under review.
- Welfare cost-benefit analysis revealed that set-aside imposed substantial policy inefficiency via the loss of producer surplus caused by supply control. Non-EU cereal producers (and, in particular, the US government) were the main beneficiaries from set-aside, which raised world market prices."

*Evaluation of the Common Market Organisation for the Cereals Sector*

In the field of rural development, a generally **effective** contribution of measures to achieving policy objectives was appreciated (improved competitiveness, environment, improvement of living conditions in rural areas). It is to be noticed, anyway, that the short time span covered by the evaluation does not allow for a definitive assessment of impacts regarding rural development programmes.

Indirectly, flax and hemp measures are found to contribute to preserving and maintaining jobs in rural areas. For most measures having an impact on rural development, evaluators saw a clear scope for better targeting.

Only minimally negative environmental effects of measures were said to result from measures applied to permanent crops; positive effects were attributed to eco-conditionality and incentive measures specifically targeted to the environment. Evaluators found a generally good effectiveness of agri-environment measures. However, scope exists for better targeting. Achieving visible effects requires a “critical mass” of measures.

In terms of **delivery mechanisms**, the evaluations identified improved transparency leading to reduced fraud risk (bananas) and better targeting of aid (flax and hemp). A flexible targeting to take into account site-specific circumstance is important for agri-environment measures.

## **Fisheries**

The evaluations in the field of Fisheries Partnership Agreements show in general that these Protocols are *relevant*, especially as regards access to fishing areas for Community fleets. In this regard, the **Community added value** is high.

"The agreement with Mauritania contributes to supporting more than 52% of the European remote fishing fleet. It contributes therefore to securing between 3,500 and 4,000 jobs in the Community."

*Ex post evaluation of the Fisheries Agreement with Mauritania and Ex-ante Evaluation and Impact Assessment of a New Protocol*

The **effectiveness** in maintaining and ensuring access to fishing waters is also high in general, although not equally so through all sectors.

"The 2001 2005 EU/Guinea Bissau FPA has been effective in providing fishing opportunities that permit the deployment of an annual average of 33 shrimp trawlers (on average 80% dependent on the agreement) and 9 cephalopod/fish trawlers (60% dependency)."

*Ex Post Evaluation of the Fisheries Agreement with Guinea Bissau and Analysis of the Impact of the Future Protocol on Sustainability, including an Ex-ante Evaluation*

Consequently, the agreements have also an important effect in terms of job creation and maintenance.

"The agreement with Senegal contributes to keep 220 Community nationals employed on board, and more than 450 jobs if those on shore are taken into account."

*Ex post Evaluation of the Fisheries Agreement with Senegal and Ex ante Evaluation and Impact Assessment of a New Protocol*

The **efficiency** in achieving these objectives is good in general terms, although in some cases, there is room for improvement.

"The Community net benefit as a result of the fisheries agreement is estimated at €29 m/year. In terms of the efficiency of the agreement, the net benefit accruing to the EC is that for every €1 spent €3.74 is generated to the EC economy.

The average annual cost to the Community over the course of the first four years of the 9th protocol is €10.7 million, of which €8.6 million is related to the financial contribution (compensation and support measures). In return the FA has generated an average annual Community value added (direct and indirect) of €39.7 million, and supplies of fish valued at €36.1 million to the EU market."

*Ex Post Evaluation of the Fisheries Agreement with Guinea Bissau and Analysis of the Impact of the Future Protocol on Sustainability, including an Ex-ante Evaluation*

As concerns the **sustainability** of the Community fishing effort thanks to the agreement, the protocols play a substantial role in the maintenance of the fishing industry in the EU.

"The FPA contributes towards the continued viability of the Spanish, Italian, French, Portuguese, and Greek distant water fishers in demersal trawl and tuna sectors. The loss of the Agreement would jeopardise the existence of significant elements of the demersal trawl fleets in Spain, Portugal and Italy, but other segments/nationalities would be unlikely to be severely affected."

*Ex Post Evaluation of the Fisheries Agreement with Guinea Bissau and Analysis of the Impact of the Future Protocol on Sustainability, including an Ex-ante Evaluation*

Regarding the protection of fishing stocks, in general the protocols do not seem to have a negative impact on their biological sustainability, and even a positive effect in some cases.

"There has been a remarkable indirect effect of the FPA on the development of stock preservation measures. The conditions negotiated in 2002 for the European fleet (biological rest, minimum mesh size) have been subsequently imposed by the Senegalese authorities to their own industrial fleet."

*Ex post Evaluation of the Fisheries Agreement with Senegal and Ex ante Evaluation and Impact Assessment of a New Protocol*

However, in one case these resources seem to be under strain.

"The diagnosis on the state of demersal resources in Mauritanian waters indicates an excess in fishing effort as regards octopus, as well as a reduction in the numbers of several species of demersal fish."

*Ex post evaluation of the Fisheries Agreement with Mauritania and Ex-ante Evaluation and Impact Assessment of a New Protocol*

## **Environmental policy**

The interventions evaluated in 2005 were seen as **relevant**, **useful** and generally **effective** in achieving their objectives.

"Funding for the environment has clear European value-added. Environment degradation and climate change combined with the increasing incidence of natural disasters of a trans-border nature (e.g. flooding, forest fires) demand a Europe wide and global approach and response. EU funding supports activities that by their trans-boundary nature would not be funded at national level. There are many examples of common public goods within the field of environment, benefiting all of Europe and hence justifying support at EU level. The commitment to environment protection in the Treaty and the need to oversee the implementation of the body of environment legislation which has been adopted over the past thirty years requires action and financial support at EU level."

*Evaluation of the Implementation of the Community Action Programme Promoting NGOs primarily Active in the Field of Environmental Protection*

"The Cooperation Framework has played a unique and useful role in bringing together, developing and disseminating knowledge in relation to Local Agenda 21 and urban sustainable development. It should be noted that money from this funding stream has contributed to raising awareness of urban issues and changed practice despite low levels of awareness within local authorities about the details of the Cooperation."

*Mid-Term Assessment of the Community Framework for Cooperation to Promote Sustainable Urban Development*

The general internal **coherence** of the instruments has been considered satisfactory, but risk of overlap exists in some fields.

"The three instruments are coherent and complementary within themselves and overlaps between them are minimised by DG ENV coordination. Complementarity with other relevant programmes is reasonable in the case of AP and MP, but less so with CM, which overlaps with the activities of NATO and UN-OCHA. There are several signed or planned agreements to ensure coordination within the overlapping instruments with UN (just recently exchange of letters), ECHO (since 2003) and EMSA (planned). These agreements should facilitate further collaboration, but need to be assessed for their effects on the implementation."

*Evaluation of the Community Action Programme in the Field of Civil protection, the Community Mechanism to Facilitate Reinforced Cooperation in Civil Protection Assistance Interventions and the Marine Pollution Cooperation Framework*

As regards **management methods**, four evaluations completed in 2005 concerned programmes entailing funding subject to call for proposals. One of the main lessons recurring across the evaluations is the need to provide very clear information on how to wade through the procedures linked to the Financial Regulation. Each of the programmes has taken account of this specific finding and has tried to simplify procedures within the restrictions imposed by the Financial Rules.

"The complex application process for LIFEIII – if it is to be replicated under LIFE+ – is likely to act as a major entry-level barrier for local authorities, especially those with no track record in developing such bids in the past. The process therefore, needs to be made simpler than is currently the case under LIFE.

There is also concern about the lack of transparency in selection procedures under LIFE and the relatively low – when compared to the Cooperation Framework – level of co-financing from the Commission."

*Mid-Term Assessment of the Co-operation Framework to promote Sustainable Urban Development (Decision 1411/2001/EC)*

A final, interesting finding from these evaluations was the lack of or weak performance indicators, making it difficult for the evaluators to assess the true impact of a project through comparative analysis and also the lack of other data to enable the carrying out of cost-effectiveness analyses.

## **2.3. Heading 3: Citizenship, Freedom, Security and Justice**

### **Sub-heading 3A: Freedom, Security and Justice<sup>10</sup>**

Evaluations in this area attest of a high level of **Community added value** and **relevance**.

"When looking at coverage in particular, the EMN is the only network which will cover the full EU25 territory and which will have national structures in each of its Member States.

This is particularly relevant for drawing comparisons between countries and for presenting credible EU overviews. The EMN will provide some unique features such as the rapid response service, trend analyses and the identification of information needs and gaps."

"The terms of reference, objectives and institutional arrangements developed for the EMN were relevant and suitable at the time of the network's setup. However, policy and other contextual developments, as well as the network's experiences so far, call for a renewed policy architecture and design."

*Evaluation of the Activities of the European Migration Network*

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<sup>10</sup> Indicative breakdown of expenditure for Sub-heading 3A:

- Solidarity and the management of migration flows
- Fundamental Rights and Justice
- Security and Safeguarding Liberties
- Other (SIS, VIS, Eurodac, European Migration Monitoring Observatory, traditional agencies & margin)

"The programmes permit the development of projects that would not take place without EU funding

The rationale and added value of the programmes have been identified well. The activities developed thanks to the AGIS or former Title VI programmes would not have taken place without EU funding. All the promoters and actors interviewed confirmed that there was no equivalent national funding, and that their projects would not have been possible without the funding from the EU. The few projects which it was reported during the country visits would have been financed in any case were ones being promoted at the initiative of EU presidencies."

*Ex Post Evaluation of Grotius II, Oisin II, Stop II, Falcone and Hippokrates Programmes and Interim Evaluation of the AGIS Programme*

The only concerns regarded **management and implementation issues**, e.g.

" The understaffing of the Commission cannot avoid being identified as a crucial factor that causes implementation problems through the resulting delays, the lengthy duration of the selection procedures, and the Commission personnel's lack of availability for responding to queries"

*Ex Post Evaluation of Grotius II, Oisin II, Stop II, Falcone and Hippokrates Programmes and Interim Evaluation of the AGIS Programme*

From a strategic point of view, an interesting lesson is that programmes should be more strongly geared towards the overall political objectives, and less influenced by supply-driven concerns. Therefore, a recommendation is to narrow the objectives and focus on more concrete outcomes, and a clear link to the overall political objectives.

Evaluation of legislation on the other hand is still an area in development. A lesson is that legislation requires time to be **effective** and the moment for evaluation of legislation is somehow different of the one for programmes. Further work will be done in this area in the coming year.

### **Sub-heading 3B: Citizenship<sup>11</sup>**

No retrospective evaluation was concluded within this sub-heading in 2005. Readers are invited to refer themselves to the ongoing exercises in this field, described in Annex IV.

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<sup>11</sup> Indicative breakdown of expenditure for Sub-heading 3B:

- Health and consumer protection
- European Culture and Citizenship (Culture, Youth, Citizens for Europe)
- Media
- Rapid response and prep. Instrument for major emergencies
- Institution building (Bulgaria and Romania)
- Other ('Prince' , Eur. Year intercultural dialogue, pilot projects citizenship, EU visitors, traditional agencies & margin)

## 2.4. Heading 4: The European Union as a Global Partner<sup>12</sup>

### Enlargement

The main messages derived from country summary evaluations of Bulgaria, Romania and Turkey are<sup>13</sup>:

- Objectives are too ambitious/vague/unclear, and require subsequent reformulation to become operational;
- Insufficient capacity for, and preparation of, multi-annual programming/project fiche design;
- **Effectiveness** of multi-annual programming is reduced as a result of cumulative implementation delays;
- **Sustainability** is at risk due to limited institutional absorption capacity as well as lack of progress with public administration reform;
- Phare has had limited **effect** to date in preparing beneficiaries to the Structural Funds;
- On the whole, **effectiveness** of Twinnings is satisfactory;
- Achievements in the sector of Justice and Home Affairs and Internal Market are satisfactory.

The main messages of the thematic evaluation on Phare assistance to Roma minorities include that, overall, Phare has been able to successfully exploit opportunities for promoting integrationist projects for the Roma, which have contributed significantly to opening up a civil dialogue; and which have achieved some initial results and set an agenda for the future which, less than ten years ago, would not have been conceivable. The opportunities offered to Member States by the Structural Funds, and the powerful pressures for reform inherent in the anti-discrimination directives, have both begun to be recognised and to exert further incentive to address Roma affairs.

The ex post evaluation of the Business Support Multi-Beneficiary Programmes (BSP) concluded that, overall, the Phare assistance has been amply justified. The BSP programmes provided a kick-start for the European integration of business federations from the Candidate Countries (CC). Over a period of five years, the participating federations received considerable Phare input in terms of know-how and experience. However, most CC federations have some way to go before they achieve the same level of competence as their EU-15 colleagues.

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<sup>12</sup> Indicative breakdown of expenditure for Heading 4:

- Instrument for Pre-Accession (IPA)
- Eur. neighborhood & Partnership Instr. (ENPI)
- Development Coop & Ec. Coop Instr. (DCEC)
- Instrument for Stability
- Common foreign and security policy
- Provisioning of Loan Guarantee Fund
- Emergency aid reserve
- Other (humanitarian aid, macro-financial assistance, ad-hoc envelopes, traditional agencies & margin)

<sup>13</sup> Only one evaluation has been completed in 2005 within this heading. Data in the following chapter are extracted from formal underlying/background reports (about 30 in 2005), produced in the framework of ongoing evaluations.



## **Economic cooperation and development cooperation**

The evaluations carried out in this area in 2005 stress both the **effectiveness** and the **relevance** of the actions evaluated.

"The Commission's interventions in the area of macroeconomic support and public finance management are relevant to address the needs and constraints of the Ghanaian economy."

*Evaluation of the European Commission's Strategy for Ghana*

"The EC activities have contributed to reinforce the links between the two regions. In this regard, the impact has been significant, even if insufficient. Trade flows and political contacts have increased. The institutional relationship has allowed for substantial advances in integration, especially at a sub-regional level. "

*Evaluation of the EC Regional Strategy in Latin America*

Conclusions are more ambivalent, however, concerning the **coherence** of the strategy,

"The Commission's support has been coherent in its pursuit of the objective of constructing and strengthening a regional integrated space. However, the selection of interventions is insufficiently based on systematic review of the progress of regional integration. It is difficult to demonstrate that the selected activities correspond to the real priorities."

*Evaluation of the Commission's regional strategy for the Caribbean*

as well as the **efficiency** of the delivery mechanisms.

"Two key factors inhibiting the efficiency of many EC programmes are the complexity of EC procedures and the delays incurred at different stages of the programme cycle. On the other hand deconcentration seems to have enhanced the efficiency of EC operations (quicker decision-making, better identification of needs and possible lower cost), but has also brought with it some concerns: (i) strategic aspects are not yet sufficiently taken into account because Delegation staff are overloaded with operational tasks or are not sufficiently prepared for these new responsibilities and (ii) sharing of experience may become even more difficult than in the past."

*Evaluation of the EC Support to Private Sector Development in Third Countries*

As regards the **sustainability** of the financed measures, the report of the *Evaluation of the EC Support to Private Sector Development in Third Countries* underlines several factors that have to be taken into account in order to assess this dimension in foreign interventions:

"First, an environment conducive to PSD is a basic condition for the sustainability of all PSD interventions. Second, sustainability seems more likely when PSD interventions are linked to institutional development or when they contribute to improving private sector practices or competences. Third, sustainability of interventions in the business environment, as well as of interventions providing direct support for companies, depends on government's ownership, particularly its capacity to own a process at the end of an intervention. Finally, interventions are less likely to be sustainable when they offer direct support to private sector operations without generating a substantial change in behaviour, practice or knowledge."

## Humanitarian aid

In 2005, and in previous years, there is a series of recurrent finding among the evaluations of operations: they are **relevant**,

"At present, Haiti needs most development projects, however well-targeted emergency projects may quickly alleviate the most urgent needs of the local population.

The health interventions might continue, as interruption of these projects might affect the most vulnerable population. The relevance of both health and food security is unclear as there are no reliable data available" (ES).

In general, projects were appropriate to the situation."

*Evaluation of DG ECHO Financed Actions in Haiti*

and overall no material criticisms as to **efficiency** issues, lack of **effectiveness** or lack of impact can be made, only that they remain hard to measure.

"Generally most projects achieved the intended, although all projects needed a time extension of some months. Appropriateness of response seems to be one of the greatest achievements."

*Evaluation of DIPECHO Action Plans in the Caribbean*

"ECHO funded interventions have improved the access to and quality of health services for IDPs and host communities in northern Uganda. In addition the training received by NGO and MoH medical staff has been an important benefit. Given the nature of the crisis however, there is room for further improvement."

*Evaluation of DG ECHO Financed Actions in Northern Uganda*

"In general health and nutrition projects were assessed as highly efficient and effective, both in terms of the inputs used and in overall implementation. A significant contributory factor to this has been the selection and performance of partners who are highly specialised and experienced in the health and nutrition field.

*Evaluation of DG ECHO Financed Actions in Northern Uganda*

"The efficiency of the ECHO projects was reasonable, as the input of staff (extensive expatriates) was modest and the methods used appropriate"

*Evaluation of DG ECHO Financed Actions in Haiti*

With regard to **sustainability**, the shortcomings concern the challenge of linking relief, rehabilitation and development. In this regard, some of the problems are inherent to the specific context in which relief operations take place.

"Although community based groups developed strongly in the time of implementation of the project it might be questionable whether they are sustainable if national institutions and municipalities do not pursue a process of consolidation and extension to other communities. At this stage, developments depend totally on the initiative of community members and of local organizations like the Civil Defence and the local civil society."

*Evaluation of DIPECHO Action Plans in the Caribbean*

An aspect showing room for improvement in several interventions regards the strategic **coherence** of the actions undertaken.

"An overall strategic framework seems to be missing. Such a framework would orient ECHO-funded programmes to provision of 'quick impact' within the context of re-establishing community self-reliance and reconciliation in the medium term"

*Evaluation of DG ECHO Financed Actions in Burundi*

### 3. THE USE OF EVALUATION RESULTS IN THE COMMISSION DURING 2005

The use of evaluation during 2005 has been analysed in order to assess to what extent had the Commission's evaluation activities actually contributed to six basic objectives:

- Providing input for setting political priorities and choosing between different policy options
- Supporting the design of interventions
- Assisting in an efficient allocation of resources
- Improving the implementation of activities
- Increasing accountability on achievements
- Increasing awareness on achievements

The analysis was carried out on the basis of the contributions made by the different Commission services to this Annual Evaluation Review. .

In 2005, evaluations have provided substantial input for **policy-making**. This may have happened through the formal ways of Impact Assessment, a type of prospective evaluation exercise which is on the rise, due to its increasingly compulsory character. A potentially more significant use, insofar as it implies a clear utility perceived by policy-makers, lies in the use of evaluation results in the framework of discussions within and without the Commission for the definition of policy options and priorities. This use is often articulated via the formal channels in the legislative (financial statements accompanying legislative proposals), budgetary (activity statements for the Draft Budget) and strategic and programming cycles of the Commission, but equally through less formal, operational ways, such as working groups, follow-up plans, workshops or brainstorming sessions.

In the area of Research, there is strong evidence of the increasing use of evaluation results in decision-making for Community research, both at operational levels and most notably at the strategic level. Increasing numbers of evaluations are being routinely planned and implemented as part of the policy process. These aspects together with the growing scale of evaluation activity overall show that Community research evaluation is reaching a level of maturity.

A particular case in this regard concerns the use of evaluation conclusions as a basis for the definition of **international negotiation** mandates. This has been the case of evaluations in policy areas such as Fisheries, Trade, and even Education and Culture.

In the field of International Fisheries Agreements, the results of the evaluations allow the Commission to establish the basis of the Community position in view of the forthcoming negotiations on a Fisheries Partnership Agreement. This position is therefore based on some of the scenarios included in the evaluation, each of them presenting different possible outcome of the negotiations. The scenarios are assessed according to the expected costs and benefits, employment, and fisheries and environmental impacts. They are also discussed in the context of the impact on sustainable livelihoods and development.

Evaluation findings have played an even more important role as regards the **design of interventions**. This was especially significant in a year when the instruments for the new financial framework (2007-2013) have been developed. Throughout the Commission, evaluation results have been taken into account in the definition of both spending programmes and legislative interventions. In the case of Structural Fund interventions, Rural Development and other policy areas linked to the previous programming period (2000-2006), this has been favoured by the existence of a wide array of evaluation results, coming from national or regional authorities, or from the Commission itself, deriving from regulatory evaluations. In general terms, a comprehensive use of this material appears to have been made.

Evaluation findings emerging from the block of mid-term evaluations carried out in 2003 and 2004 have been used for the design of the new Education and Culture programmes post 2006, in particular concerning objectives, indicators and monitoring systems. In the area of Agriculture, evaluation results and recommendations have fed the reform of the Common Market Organisations for Bananas and Wine.

In the contributions for this Annual Evaluation Review, there is evidence of the use of evaluation in the **allocation of resources**, both for new interventions or for deciding on the continuation of

DG Market has continued using evaluation as an effective tool to take decisions on the allocation of resources. In 2005, the evaluation of the Interactive Policy Mechanism was concluded and recommendations from this evaluation have been helpful to restructure the distribution of resources and redress the Interactive Policy Mechanism project in the most suitable direction for the main objectives and priorities of the DG.

an existing funding. In some cases, like for the IMPEL Network of DG Environment, decision on the continuation of funding has awaited the results of an ongoing evaluation. This contrasts with the conclusions of the *Study of Evaluation Results in the Commission* (cf. table below), according to which "overall, it has been difficult to find evidence for the use of evaluation for more efficient allocation of resources." The examples provided for the Annual Evaluation Review might indicate a positive shift of trend in this sense.

The use of evaluation in **improving the implementation** of activities is widely attested. This utilisation concerns, on the one hand, the improvement of the management of existing programmes, by applying the conclusions and recommendations of the evaluations to the remaining period. Evaluation results have been also used to revise and improve the internal organisation of the Commission services in charge of the evaluated interventions. This information is in line with the conclusions of the above mentioned study as to the fact that "the main actual contribution of evaluation lies in the improvement of the implementation of activities," especially, albeit not exclusively, in the case of interim evaluations of expenditure programmes.

In the area of Health and Consumer Protection, the use of evaluation results at action/programme level is high at the operational level. The recommendations are taken into account and those that are relevant are implemented as soon as it is possible in the running of the actions or programmes. The conclusions of the study on Anti-Cartel Regimes ICN, as regards effective institutions, have had an influence in the decision to create a dedicated Cartels Directorate in DG Competition.

In the area of Freedom, Security and Justice, evaluation played a great role in providing information to the European institutions and citizens on its policies. Evaluation reports have been sent to the other institutions to support discussions on the current management and the future of the programmes. Moreover, executive summaries of the evaluation studies are disseminated through DG Freedom, Security and Justice website, accompanied by the relevant quality assessment.

**Accountability** has not been stressed often as a major use of evaluation in the contributions to the Annual Evaluation Review, although communication of results is present in all cases. Therefore, it may be argued that services take for granted the accountability component of every evaluation, as a way of communicating results both to stakeholders and to the outside world. In this regard, these public information activities can also be seen in the light of the objective of **raising awareness** of Community interventions. This is corroborated by the systematic publication of evaluation results on the websites of the different services.

The results above concerns exclusively evaluations completed in 2005. These results can be put in perspective together the results of an external evaluation of commissioned DG Budget which was completed in 2005: ‘*Study on the Use of Evaluation Results in the Commission*<sup>14</sup> (see table below), which analysed evaluations carried out between 2002 and 2004, Against this background there seems to exist an overall increase in both the use made of evaluation, and in the perception of the utility of evaluation by decision-makers.

Key findings of the *Study on the Use of Evaluation Results in the Commission*<sup>15</sup>,

According to the study, evaluation is highly influential in the design and implementation of interventions. It also contributes greatly to raising awareness on interventions as well as to accountability.

The most common contribution of evaluation work lies in the improvement of implementation of interventions. However, there are policy instruments of the Commission where evaluation is not yet so common and the influence is also less evident, especially in the area of legislation.

Even though evaluations figure in proposals to Commission and Parliament, they are less influential in the setting of political priorities or choosing between different options per se. However, there are examples such as ex ante evaluation of Structural Fund programmes where political priorities have been influenced by evaluation at both the national and Commission level (Cohesion policy).

Finally, evidence shows that overall allocation of EU resources is not determined on efficiency grounds, but much more by political decision-making. The study shows especially that such decisions are generally very little informed by evaluation. Evaluation has however led to changes in resource allocation within interventions (especially expenditure programmes), in changes in eligibility criteria and incremental improvements in operational efficiency – the latter clearly resulting from evaluations exposing inefficiencies.

<sup>14</sup> [http://europa.eu.int/comm/budget/evaluation/studies/study\\_2005\\_en.htm](http://europa.eu.int/comm/budget/evaluation/studies/study_2005_en.htm)

<sup>15</sup> [http://europa.eu.int/comm/budget/evaluation/studies/study\\_2005\\_en.htm](http://europa.eu.int/comm/budget/evaluation/studies/study_2005_en.htm)

## ANNEX I – OVERVIEW OF THE EVALUATIONS COMPLETED IN 2005

Of the 171 evaluations completed in 2005, about 45% dealt exclusively with expenditure programmes, roughly 35% with measures of a regulatory nature without any significant expenditure, and about 5% with thematic issues. The shares vary according to the prospective or retrospective (or both) scope of the evaluation exercises.

Legislation, soft law and coordination activities dominate heavily the prospective evaluations, with slightly less than 70% of the total share. Expenditure programmes, on their side, amount to more than 20% of prospective evaluations.

When looking at the retrospective evaluations, the share of the evaluations of expenditure programmes becomes dominant (almost 50%), as could be expected. However, the share of the legislation, soft law and coordination activities, as well as evaluations of provision of services and intrainstitutional activities, are also significant with about 20% each of the evaluations with this scope.

The remainder of this annex presents the full list of evaluations finished in the Commission during 2005, organised by policy area and activity numbers in the budget. Activity headings with no budget line attached are also included.

Prospective evaluation studies appear in *italics*, all other types of evaluations are underlined, corresponding to hyperlinks to Annex II in the electronic version of this document.

<b>Economic and financial affairs</b>		
ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
01 02	Economic and monetary Union	<ul style="list-style-type: none"> <li>• <a href="#">Evaluation of Business and Consumer Surveys</a></li> <li>• <i>Impact Assessment: Proposals for Amending the Council Regulations 1466/97 and 1467/97 Related to the Stability and Growth Pact</i></li> </ul>
01 03	International economic and financial affairs	<ul style="list-style-type: none"> <li>• <i>Impact Assessment: Proposal for a Council Decision Providing Macro-financial Assistance to Georgia – Ex-ante Evaluation Statement (SEC(2005)1449)</i></li> </ul>
01 04	Financial operations and instruments	

<b>Enterprise</b>		
ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
02 02	Encouraging entrepreneurship	<ul style="list-style-type: none"> <li>• <a href="#">Ex-post Evaluation of EC Legislation and Its Burden on Business</a></li> <li>• <a href="#">Interim Evaluation of the Implementation of the e-Business W@tch</a></li> </ul>

02 03	Research - Promoting innovation and change	<ul style="list-style-type: none"> <li>• <a href="#">Ex-post Evaluation of DG Enterprise and Industry Activities in the Field of Innovation</a></li> <li>• <i>Impact Assessment: Action Plan/Follow-up of the Innovation Policy Communication</i></li> </ul>
02 04	Getting still more from the internal market	<ul style="list-style-type: none"> <li>• <a href="#">Ex-post Evaluation of the Grant Programme: Cross-border European Market Surveillance Actions</a></li> <li>• <i>Impact Assessment: Proposal for a Regulation on Advanced Therapy Medicinal Products</i></li> </ul>
02 05	Competitiveness and sustainable development	<ul style="list-style-type: none"> <li>• <i>Impact Assessment: Proposal for On Board Diagnostic Systems (OBD) for Passenger Cars</i></li> <li>• <a href="#">Interim Evaluation of the G10 Medicines Initiative</a></li> </ul>
Cross-cutting for all activities of policy area 'Enterprise'		<ul style="list-style-type: none"> <li>• <i>Impact Assessment and Ex-Ante Evaluation: Proposal for a Framework Programme for Competitiveness and Innovation</i></li> </ul>

## Competition

ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
03 02	International Cooperation	
03 03	Mergers, antitrust and market liberalisation and cartels	<ul style="list-style-type: none"> <li>• <a href="#">Building Blocks for Effective Anti-cartel Regimes</a></li> <li>• <a href="#">Evaluation of the Guidelines on Fines</a></li> <li>• <a href="#">Ex-Post Evaluation of Council Reg. 4056/86 Applying Competition Rules to Maritime Transport (Liner Conference Block Exemption)</a></li> <li>• <a href="#">OECD Peer Review of the Competition Law and Policy in the European Community</a></li> <li>• <a href="#">Study on Merger Remedies</a></li> </ul>

## Employment and Social Affairs

ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
04 02	Employment and European Social Fund	
04 03	Work organisations and working conditions	<ul style="list-style-type: none"> <li>• <i>Impact Assessment: Communication of the Social Agenda (SEC 2005)177</i></li> </ul>
04 04	Promoting an inclusive society	
04 05	Equal opportunities for women and men	
04 03	Work organisations and working conditions	<ul style="list-style-type: none"> <li>• <i>Ex-ante Evaluation and Impact Assessment: European Year of Workers' Mobility 2006</i></li> </ul>



04 04	Promoting an inclusive society	<ul style="list-style-type: none"> <li>• <i>Ex-ante Evaluation and Impact Assessment: European Year of Equal Opportunities for All (2007)</i></li> <li>• <i>Impact Assessment: Framework Strategy "Non-discrimination and equal opportunities for all"</i></li> </ul>
04 05	Equal opportunities for women and men	

## Agriculture and Rural Development

ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
05 02	Plant products	<ul style="list-style-type: none"> <li>• <a href="#">Evaluation of the CMO for Bananas</a></li> <li>• <a href="#">Evaluation of the Common Market Organisation for the Cereals Sector</a></li> <li>• <a href="#">Evaluation of the Common Market Organisation for the Flax and Hemp Sector</a></li> <li>• <a href="#">Evaluation of the Environmental Impacts of the CMOs Relating to Permanent Crops</a></li> </ul>
05 03	Animal products	<ul style="list-style-type: none"> <li>• <a href="#">Evaluation of the Common Market Organisations for Pig Meat, Poultry Meat and Eggs</a></li> </ul>
05 04	Rural development	<ul style="list-style-type: none"> <li>• <a href="#">Evaluation of the Agri-Environment Measures</a></li> <li>• <a href="#">Synthesis of Rural Development Mid-term Evaluations</a></li> </ul>
05 05	Special Accession Programme for Agriculture and Rural Development	<ul style="list-style-type: none"> <li>• <a href="#">Synthesis of Sapard Mid-term Evaluations</a></li> </ul>
05 06	External Relations	
05 07	Audit of Agricultural expenditure	
05 08	Policy strategy and coordination of policy area 'Agriculture'	<ul style="list-style-type: none"> <li>• <a href="#">Study to Assess Communication, Information and Promotion Programmes Concerning Beef and Veal within the European Union</a></li> </ul>

## Energy and Transport

ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
06 02	Inland, air and maritime transport	<ul style="list-style-type: none"> <li>• <i>Assessment of options, benefits and associated costs of the SESAR Programme for the definition of the future air traffic management system</i></li> <li>• <a href="#">Ex post and Mid-term Evaluation of the Safety Assessment of Foreign Aircraft Programme (SAFA)</a></li> <li>• <i>Impact Assessment: Market Failures and Level Playing Field in Road Haulage Markets - Review of the Options including an Amendment of Council Regulation (EEC) No 4058/89</i></li> </ul>

		<ul style="list-style-type: none"> <li>• <i>Impact Assessment: Commission's Proposal for a Directive on Civil Liability and Financial Securities of Ship-owners - 3rd Maritime Safety Package</i></li> <li>• <i>Impact Assessment: Commission's Proposal for a Directive on Flag States Responsibilities (3rd Maritime Safety Package)</i></li> <li>• <i>Impact Assessment: Commission's Proposal for a Directive on Marine Casualty Investigations</i></li> <li>• <i>Impact Assessment: Commission's Proposal for a Regulation on the Liability of Carriers of Passengers in the Maritime Transport Sector - 3rd Maritime Safety Package</i></li> <li>• <i>Impact assessment: Commission's Proposal for a Revision of Directive 2002/59/EC (Vessel Traffic Monitoring) - 3rd Maritime Safety Package</i></li> <li>• <i>Impact Assessment: Commission's Proposal for a Revision of Directive 94/57/EC (Classification Societies) - 3rd Maritime Safety Package</i></li> <li>• <i>Impact Assessment: Commission's Proposal for a Revision of Directive 95/21/EC (Port State Control) - 3rd Maritime Safety Package</i></li> <li>• <i>Impact Assessment: Extension of EASA Competences to ANS, ATM and Airports</i></li> <li>• <i>Impact Assessment: Harmonization of Rules Applicable to Air Operations, Flight Crew Licensing and Safety of Third Country Aircraft</i></li> <li>• <i>Impact Assessment: Road Safety Action Programme</i></li> <li>• <a href="#">Mid-term/Ex-post Evaluation of Road Safety Projects Financed during the Period 1999-2004</a></li> </ul>
06 03	Trans-European networks	
06 04	Conventional and renewable energies	<ul style="list-style-type: none"> <li>• <i>Impact Assessment and Ex-Ante Evaluation: Proposal for a Framework Programme for Competitiveness and Innovation</i></li> <li>• <i>Contribution Study to the Impact Assessment on Social and Economic Aspects of RES-E for the Future</i></li> <li>• <a href="#">Evaluation of the Information and Communication (I&amp;C) Activities of DG TREN - ManagEnergy</a></li> <li>• <a href="#">Evaluation of the SAVE Programme</a></li> <li>• <i>Impact Assessment: Initiative on the Promotion of Energy Efficient and Low Emission Road Transport</i></li> <li>• <i>Impact Assessment: Proposal for a Directive of the European Parliament and the Council on the Promotion of Clean and Energy Efficient Road Transport Vehicles</i></li> <li>• <i>Impact Assessment: Biomass Action Plan</i></li> </ul>
06 05	Nuclear energy	<ul style="list-style-type: none"> <li>• <i>Ex-ante Evaluation: Proposal for a Council Decision on the Creation of a Joint Undertaking under the Euratom Treaty to Organise Research on Nuclear Waste</i></li> </ul>

06 06	Research related to energy and transport	<ul style="list-style-type: none"> <li>• <a href="#">Final/Ex post Evaluation of the Organisation for Promotion of Energy Technologies (OPET Network) 1999 – 2005</a></li> </ul>
06 07	Safety and protection of energy and transport users	<ul style="list-style-type: none"> <li>• <i>Impact Assessment: Commission's Proposal for a Directive on Civil Liability and Financial Securities of Ship-owners - 3rd Maritime Safety Package</i></li> <li>• <i>Impact Assessment: Commission's Proposal for a Directive on Flag States Responsibilities (3rd Maritime Safety Package)</i></li> <li>• <i>Impact Assessment: Commission's Proposal for a Directive on Marine Casualty Investigations</i></li> <li>• <i>Impact Assessment: Commission's Proposal for a Regulation on the Liability of Carriers of Passengers in the Maritime Transport Sector - 3rd Maritime Safety Package</i></li> <li>• <i>Impact assessment: Commission's Proposal for a Revision of Directive 2002/59/EC (Vessel Traffic Monitoring) - 3rd Maritime Safety Package</i></li> <li>• <i>Impact Assessment: Commission's Proposal for a Revision of Directive 94/57/EC (Classification Societies) - 3rd Maritime Safety Package</i></li> <li>• <i>Impact Assessment: Commission's Proposal for a Revision of Directive 95/21/EC (Port State Control) - 3rd Maritime Safety Package</i></li> <li>• <a href="#">Transport of Dangerous Goods: Evaluation of the Community Policy in the Domain since 1994</a></li> </ul>

## Environment

ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
07 02	Global environmental affairs	<ul style="list-style-type: none"> <li>• <i>Impact Assessment: Communication on Winning the Battle against Global Climate Change</i></li> </ul>
07 03	Environmental programmes and projects	<ul style="list-style-type: none"> <li>• <a href="#">Evaluation of the Community Action Programme in the Field of Civil Protection, the Community Mechanism to Facilitate Reinforced Cooperation in Civil Protection Assistance Interventions and the Marine Pollution Cooperation Framework</a></li> <li>• <a href="#">Evaluation of the Implementation of the Community Action Programme Promoting NGOs Primarily Active in the Field of Environmental Protection</a></li> <li>• <i>Impact Assessment and Ex-Ante Evaluation: Proposal for a Framework Programme for Competitiveness and Innovation</i></li> <li>• <a href="#">Mid-Term Assessment of the Co-operation Framework to promote Sustainable Urban Development (Decision 1411/2001/EC)</a></li> </ul>

07 04	Implementation of environment policy	<ul style="list-style-type: none"> <li>• <a href="#">Evaluation of the IMPEL Network</a></li> </ul>
07 05	Development of new policy initiatives	<ul style="list-style-type: none"> <li>• <i>Impact Assessment: Council Regulation establishing a Rapid Response and Preparedness Instrument for Major Emergencies</i></li> <li>• <i>Impact Assessment: Thematic Strategy on Air Pollution</i></li> <li>• <i>Impact Assessment: Thematic Strategy on the Prevention and Recycling of Waste</i></li> <li>• <i>Impact Assessment: Thematic Strategy on the Sustainable Use of Natural Resources</i></li> <li>• <i>Impact Assessment: Thematic Strategy on the Urban Environment</i></li> <li>• <i>Impact Assessment: Thematic Strategy on Protection and Conservation of the Marine Environment</i></li> </ul>

## Research

ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
08 02	Genomics and biotechnology for health	
08 03	Nanotechnologies, intelligent materials, new production processes and devices	
08 04	Aeronautics and space	
08 05	Food quality and safety	
08 06	Sustainable development, global change and ecosystems	
08 07	Citizens and governance in a knowledge-based society	
08 08	Specific measures covering a wider field of research	<ul style="list-style-type: none"> <li>• <a href="#">Evaluation of the Specific Programme International Science and Technology Cooperation (INCO) under the Fifth Framework Programme (1998-2002)</a></li> <li>• <a href="#">Evaluation of INTAS Activities 1992-2004</a></li> </ul>
08 09	Strengthening the foundations of the European Research Area	
08 10	Structuring the European Research Area	<ul style="list-style-type: none"> <li>• <a href="#">Evaluation of the Marie Curie Fellowships under 4th and 5th Framework Programmes of Research and Technological Development of the EU (1994-2002)</a></li> <li>• <a href="#">Evaluation of the Science and Society Action Plan</a></li> </ul>
08 11	Research and training actions pursuant to the Euratom Treaty	

08 12	Completion of previous framework programmes and other activities	
08 13	Research programme of the research fund for coal and steel	
08 14	Enhancement of the European industrial potential in the field of security research	
08 81	Policy strategy and coordination for DG RTD	<ul style="list-style-type: none"> <li>• <a href="#">Evaluation of the Science and Society Action Plan</a></li> <li>• <i>Impact Assessment and ex-ante Evaluation: Proposal for the Council and European Parliament decisions on the 7th Framework Programme (EC and Euratom)</i></li> <li>• <a href="#">Mid-term Synthesis Report on the Integration of Socio-economic and Foresight Dimensions (SED) in FP6</a></li> </ul>
Cross-cutting for several activities in the policy area 'Research'		<ul style="list-style-type: none"> <li>• <a href="#">Monitoring 2004: Implementation of Activities under the EC and Euratom Framework and Corresponding Specific Programmes</a></li> </ul>

## Information Society

ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
09 02	Electronic communications policy	
09 03	eEurope	<ul style="list-style-type: none"> <li>• <i>Impact Assessment and Ex-Ante Evaluation: Proposal for a Framework Programme for Competitiveness and Innovation</i></li> </ul>
09 04	Research and technological development on information society policy	<ul style="list-style-type: none"> <li>• <a href="#">Analysis of Impacts of Benchmarking and the eEurope Actions in the Open Method of Co-ordination (OMC)</a></li> <li>• <a href="#">Evaluation of Networks of Collaboration between Participants in IST Research and their Evolution to Collaborations in the European Research Area (ERA)</a></li> <li>• <a href="#">Evaluation of Progress towards a European Research Area for Information Society Technologies</a></li> <li>• <i>Impact Assessment: Communication on eAccessibility</i></li> <li>• <i>Impact Assessment: Communication on i2010 (European Information Society 2010)</i></li> <li>• <i>Impact Assessment: Communication Reporting on the Public Consultation on the Scope of Universal Service</i></li> <li>• <i>Impact Assessment: Proposal for Revised TVWF Directive</i></li> <li>• <a href="#">Preliminary Analysis of the Contributions of the EU Information Society Policies and Programmes to the Lisbon and Sustainable Development Strategies</a></li> </ul>

<b>Direct Research</b>		
ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
10 02	Directly financed research operating appropriations — Sixth framework programme (2002 to 2006) — EC	<ul style="list-style-type: none"> <li>• <a href="#">JRC User Satisfaction Survey 2005</a></li> <li>• <a href="#">Periodic Action Review (PAR)</a></li> </ul>
10 03	Directly financed research operating appropriations — Sixth framework programme (2002 to 2006) — Euratom	
10 04	Completion of previous framework programmes and other activities	
10 05	Historical liabilities resulting from nuclear activities carried out by the Joint Research Centre pursuant to the Euratom Treaty	

<b>Fisheries</b>		
ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
11 02	Fisheries markets	

11 03	International fisheries	<ul style="list-style-type: none"> <li>• <i>Ex ante evaluation and impact assessment of a new Fisheries Partnership Agreement with Morocco</i></li> <li>• <a href="#">Ex post Evaluation of the Fisheries Agreement with Gabon and Ex ante Evaluation and Impact Assessment of a New Protocol</a></li> <li>• <a href="#">Ex post Evaluation of the Fisheries Agreement with Guinea Bissau and Analysis of the Impact of the Future Protocol on Sustainability, Including an Ex-ante Evaluation</a></li> <li>• <a href="#">Ex post Evaluation of the Fisheries Agreement with Mauritania and Ex ante Evaluation and Impact Assessment of a New Protocol</a></li> <li>• <a href="#">Ex post Evaluation of the Fisheries Agreement with Senegal and Ex ante Evaluation and Impact Assessment of a New Protocol</a></li> <li>• <a href="#">Ex post Evaluation of Transnational Projects for Innovative Actions in the Fisheries Sector</a></li> <li>• <i>Impact assessment and ex ante evaluation of the proposed fisheries agreement between the EC and Kenya, and analysis of the impact of the future agreement on sustainability</i></li> <li>• <i>Impact assessment and ex ante evaluation of the proposed fisheries agreement between the EC and Tanzania, and analysis of the impact of the future agreement on sustainability</i></li> </ul>
11 04	Governance of the Common Fisheries Policy	
11 05	Fisheries research	
11 06	Structural interventions for fisheries	
11 07	Fisheries conservation, control and enforcement	<ul style="list-style-type: none"> <li>• <i>Impact Assessment of the Proposal for a Council Regulation on the use of alien and locally absent species in aquaculture</i></li> </ul>

## Internal Market

ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
12 02	Policy strategy and coordination for the Directorate-General for the Internal Market	<ul style="list-style-type: none"> <li>• <a href="#">Evaluation of the Databases Directive 96/9/EC</a></li> </ul>
12 03	Internal market for goods and services	<ul style="list-style-type: none"> <li>• <a href="#">Evaluation of the Postal Services Directive 2002/39/EC</a></li> <li>• <a href="#">Mid-term Evaluation of the "Interactive Policy Making" (IPM) Feedback and On-line Consultation Mechanism for Commission Policy Making</a></li> </ul>

12 AWBL 02		<ul style="list-style-type: none"> <li>• <i>Impact Assessment: Communication on the Results of the Consultation Launched with the Green Paper on Defence Procurement</i></li> </ul>
12 AWBL 03	Financial services and capital markets	<ul style="list-style-type: none"> <li>• <a href="#">Evaluation of the Investment Compensation Schemes Directive 97/9/EC</a></li> <li>• <a href="#">Evaluation Report on the Settlement Finality Directive 98/26/EC</a></li> <li>• <i>Impact Assessment: Proposal for a Directive on Payment Services in the Internal Market</i></li> <li>• <i>Impact Assessment: Shareholders' Rights</i></li> <li>• <i>Impact Assessment: White Paper on Financial Services</i></li> </ul>
12 AWBL 04		<ul style="list-style-type: none"> <li>• <i>Impact Assessment: Accession of the Community to the Geneva Act of 1999 of the Hague Agreement Concerning the International Registration of Industrial Designs</i></li> <li>• <i>Impact Assessment: Reforming Cross-Border Collective Management of Copyright and Related Rights for Legitimate Online Music Services</i></li> </ul>

## Regional Policy

ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
13 02	Policy strategy and coordination	
13 03	European Regional Development Fund and other regional interventions	<ul style="list-style-type: none"> <li>• <a href="#">Thematic Evaluation of the Structural Funds Contribution to the Lisbon Strategy</a></li> </ul>
13 04	Cohesion Fund	<ul style="list-style-type: none"> <li>• <a href="#">Thematic Evaluation of the Structural Funds Contribution to the Lisbon Strategy</a></li> </ul>
13 05	Pre-accession interventions related to the structural policies	
13 06	Solidarity Fund – Management	<ul style="list-style-type: none"> <li>• <i>Impact Assessment: Proposal for a Regulation of the European Parliament and of the Council establishing the European Union Solidarity Fund</i></li> </ul>

## Taxation and Customs Union

ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
14 02	Policy strategy and coordination for Directorate-General 'Taxation and Customs Union'	



14 03	International aspects of taxation and customs	<ul style="list-style-type: none"> <li>• <a href="#">Interim Evaluation of the Customs 2007 Programme</a></li> <li>• Interim Evaluation of the Fiscalis 2007 Programme</li> </ul>
14 04	Customs policy	<ul style="list-style-type: none"> <li>• <i>Impact Assessment: Proposal for a Regulation Laying down the Community Customs Code and Proposal for a Decision Implementing a Paperless Environment for Customs and Trade</i></li> <li>• <a href="#">Interim Evaluation of the Customs 2007 Programme</a></li> </ul>
14 05	Taxation policy	<ul style="list-style-type: none"> <li>• <i>Impact Assessment: Communication on a "Home State Taxation Scheme" for SME's</i></li> <li>• <i>Impact assessment: Proposal for a Directive on the Taxation of Cars</i></li> <li>• Interim Evaluation of the Fiscalis 2007 Programme</li> </ul>

## Education and Culture

ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
15 02	Education	<ul style="list-style-type: none"> <li>• <a href="#">Evaluation of Erasmus Curriculum Development Projects in the Framework of Socrates 1997-2001</a></li> <li>• <a href="#">Intermediate Evaluation of the Cooperation Programmes in Higher Education between the EU and Canada and between the EU and the USA</a></li> </ul>
15 03	Vocational training	
15 04	Culture and language	<ul style="list-style-type: none"> <li>• <i>Impact Assessment (Integrating Ex ante Evaluation Requirements): Proposal Establishing the European Year of Intercultural Dialogue 2008</i></li> </ul>
15 05	Youth and sports	<ul style="list-style-type: none"> <li>• <a href="#">Evaluation of the European Year of Education through Sport 2004</a></li> </ul>
15 06	Dialogue with the citizens	<ul style="list-style-type: none"> <li>• <i>Impact Assessment (Integrating Ex ante Evaluation Requirements) Supporting the Proposal for a Decision of the European Parliament and of the Council for an Action Programme Promoting Active European Citizenship "Citizens for Europe" (2007-2013)</i></li> </ul>
15 07	Youth	<ul style="list-style-type: none"> <li>• <i>Impact Assessment: Communication "Implementing the European Youth Pact and Promoting Active Citizenship"</i></li> </ul>
Cross-cutting for several activities in the policy area 'Education and Culture'		<ul style="list-style-type: none"> <li>• <a href="#">Evaluation of websites managed by DG EAC</a></li> </ul>

<b>Press and Communication</b>		
ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
16 01	Administrative expenditure of Press and communication policy area	<ul style="list-style-type: none"> <li>• <i>Ex ante Evaluation of the "Audiovisual services and production" unit</i></li> </ul>
16 02	Provision of information to the media on the decisions and the politics of the Commission	
16 03	Analysis of public opinion trends and development of general information for citizens	
16 04	Integrated management of means of communication (at central and local level)	<ul style="list-style-type: none"> <li>• <a href="#">Evaluation of the EUROPE DIRECT Service</a></li> </ul>
16 05	Coordination of information relays and networks in the European Union	

<b>Health and consumer protection</b>		
ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
17 02	Consumer policy	<ul style="list-style-type: none"> <li>• <i>Impact Assessment and Ex ante Evaluation: Proposal for an EP and Council Decision Establishing a Programme on Health and Consumer Protection</i></li> </ul>
17 03	Public health	
17 04	Food safety, animal health, animal welfare and plant health	
17 05	Food and Veterinary Office	

<b>Freedom, Security and Justice</b>		
ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
18 02	External borders, visa policy and free movement of people	<ul style="list-style-type: none"> <li>• <i>Impact Assessment: General Programme for Solidarity and Management of Migration Flows</i></li> </ul>

18 03	Common immigration and asylum policies	<ul style="list-style-type: none"> <li>• <a href="#">Evaluation of the Activities of the European Migration Network</a></li> <li>• <i>Impact assessment: Proposal for a Council Decision on the Establishment of a Mutual Information Procedure Concerning Member States' Measures in the Areas of Asylum and Immigration (COM [2005] 480)</i></li> <li>• <i>Impact assessment: Policy Plan on legal migration</i></li> <li>• <i>Impact assessment: Solidarity in Managing Migration Flows</i></li> </ul>
18 04	Citizenship and fundamental rights	<ul style="list-style-type: none"> <li>• <a href="#">Evaluation of the Data Protection Directive 95/46/EC</a></li> <li>• <a href="#">Evaluation of the Millennium Strategy on the Prevention and Fight of Organised Crime</a></li> <li>• <i>Impact Assessment and Ex Ante Evaluation: Establishment of the European Union Agency for Fundamental Rights</i></li> </ul>
18 05	Law enforcement cooperation and prevention of and fight against general and organised crime	<ul style="list-style-type: none"> <li>• <i>Impact Assessment: Counterfeiting and Product Piracy</i></li> <li>• <i>Impact Assessment: Proposal for a Council Framework Decision on the Protection of Personal Data Processed in the Framework of Police and Judicial Cooperation in Criminal matters</i></li> <li>• <i>Impact Assessment: Proposal for a Directive on the Retention of Data Processed in Connection with the Provision of Public Electronic Communication Services and Amending Directive 2002/58/EC</i></li> <li>• <a href="#">Ex post Evaluation of Grotius II, Oisin II, Stop II, Falcone and Hippokrates Programmes and Interim Evaluation of the AGIS Programme</a></li> <li>• <i>Impact Assessment: Framework Programme on Fundamental Rights and Justice</i></li> <li>• <i>Impact Assessment: General Programme Security and safeguarding liberties</i></li> </ul>
18 06	Establishing a genuine European area of justice in criminal and civil matters	<ul style="list-style-type: none"> <li>• <a href="#">Evaluation of the Functioning of the European Judicial Network (EJN) in Civil and Commercial Matters</a></li> <li>• <i>Impact Assessment: Framework Decision on Mutual Recognition of Non-custodial Pre-trial Supervision Measures</i></li> <li>• <i>Impact Assessment: Implementation of the Principle of Availability</i></li> <li>• <i>Impact Assessment: Proposal for a Regulation on Jurisdiction, Applicable Law, Recognition and Enforcement of Decisions and Cooperation in Respect of Maintenance Obligations</i></li> </ul>
18 07	Coordination in the field of drugs	
18 08	Policy strategy and coordination	

<b>External Relations</b>		
ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
19 02	Multilateral relations and general external relations matters	
19 03	Common foreign and security policy	
19 04	European initiative for democracy and human rights (EIDHR)	
19 05	Relations with non-EU OECD countries	
19 06	Relations with the eastern Europe, the Caucasus and central Asian republics	
19 07	Relations with the western Balkans	
19 08	Relations with the Middle East and southern Mediterranean	
19 09	Relations with Latin America	<ul style="list-style-type: none"> <li>• <a href="#">Evaluation of the EC Regional Strategy in Latin America</a></li> </ul>
19 10	Relations with Asia	
19 11	Policy strategy and coordination for policy area 'External relations'	<ul style="list-style-type: none"> <li>• <a href="#">Evaluation of the EC support to Private Sector Development in Third Countries</a></li> </ul>

<b>Trade</b>		
ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
20 02	Trade policy	<ul style="list-style-type: none"> <li>• <a href="#">Interim Evaluation of the European Union's Trade Barrier Regulation (TBR)</a></li> <li>• <i>Sustainability Impact Assessment of Proposed WTO Negotiations – Overall Final Report for Sectoral Studies Relating to Agriculture, Forestry, and Distribution Services</i></li> <li>• <i>Sustainability Impact Assessment of the EU-ACP Economic Partnership Agreements (EPAs): Phase Two</i></li> </ul>

<b>External Relations, Development and Relations with African, Caribbean and Pacific (ACP) States</b>		
ACTIVITY N°	ACTIVITY NAME	EVALUATION BY YEAR
21 02	Development cooperation policy and sectoral strategies	<ul style="list-style-type: none"> <li>• <i>Impact Assessment: Regulation of the European Parliament and of the Council Establishing Accompanying Measures for Sugar Protocol Countries Affected by the Reform of the EU Sugar Regime</i></li> <li>• <i>Impact Assessment: Joint Declaration by the Council, the European Parliament and the Commission on the EU Development Policy</i></li> <li>• <i>Impact Assessment: Communication from the Commission "Accelerating progress towards Achieving the Millennium Development Goals: Financing for Development and Aid Effectiveness"</i></li> <li>• <i>Impact Assessment: Communication from the Commission "Accelerating progress towards achieving the Millennium Development Goals: The EU contribution"</i></li> <li>• <i>Impact Assessment: Communication from the Commission "EU Strategy for Africa"</i></li> </ul>
21 03	Relations with sub-Saharan Africa, the Caribbean, Pacific and Indian Ocean and overseas countries and territories	<ul style="list-style-type: none"> <li>• <a href="#">Evaluation of the Commission's Regional Strategy for the Caribbean</a></li> <li>• <a href="#">Evaluation of the European Commission's Strategy for Ghana</a></li> </ul>
21 04	Policy strategy and coordination for policy area 'Development'	<ul style="list-style-type: none"> <li>• <a href="#">Evaluation of the EC support to Private Sector Development in Third Countries</a></li> </ul>

<b>Enlargement</b>		
ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
22 02	Pre-accession assistance instruments	<ul style="list-style-type: none"> <li>• <a href="#">Interim Evaluation of the Pre-accession Aid Programme for Cyprus</a></li> </ul>
22 03	Transition facility for institution-building measures after accession	
22 04	Information and communication strategy	

<b>Humanitarian Aid</b>		
ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
23 02	Humanitarian aid	<ul style="list-style-type: none"> <li>• <a href="#">Evaluation of DIPECHO Action Plans in the Caribbean</a></li> <li>• <a href="#">Evaluation of DG ECHO Financed Actions in Burundi</a></li> <li>• <a href="#">Evaluation of DG ECHO Financed Actions in Haiti</a></li> <li>• <a href="#">Evaluation of DG ECHO Financed Actions in Northern Uganda</a></li> <li>• <a href="#">Evaluation of DG ECHO Financed Actions in Sri Lanka and in the Tamil Refugee Camps in Tamil Nadu, India</a></li> <li>• <a href="#">Evaluation of the partnership between DG ECHO and the UNHCR and of UNHCR activities funded by DG ECHO</a></li> <li>• <a href="#">Evaluation of DG ECHO Financed Actions in the People's Democratic Republic of Korea from 2001 to 2003</a></li> </ul>

<b>Commission's administration</b>		
ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
26 01	Administrative expenditure of policy area Commission's Administration	
26 01 07	Interinstitutional cooperation activities in the language field	

26 01 09	Administrative support of Publications Office	<ul style="list-style-type: none"> <li>• <a href="#">Interinstitutional Evaluation Concerning the Activities of the Different Print-shops of the Publications Office, the European Parliament (Luxembourg), the European Economic and Social Committee and the Committee of the Regions, the Offices for Infrastructure and Logistics in Brussels (OIB) and in Luxembourg (OIL)</a></li> <li>• <a href="#">Evaluation of the Use of the Formex Format in the Publication Activities of the Official Journal of the European Union</a></li> </ul>
26 01 10	Consolidation of Community law	<ul style="list-style-type: none"> <li>• <a href="#">Evaluation of the Use of the Formex Format in the Publication Activities of the Official Journal of the European Union</a></li> </ul>
26 01 11	Official Journal (L and C)	<ul style="list-style-type: none"> <li>• <a href="#">Evaluation of the Use of the Formex Format in the Publication Activities of the Official Journal of the European Union</a></li> </ul>
26 01 20	European Personnel Selection Office (EPSO)	
26 01 21	Office for the Administration and Payment of Individual Entitlements	
26 01 22	Office for Infrastructure and Logistics (Brussels)	
26 01 23	Office for Infrastructure and Logistics (Luxembourg)	
26 01 50	Personnel policy and management	<ul style="list-style-type: none"> <li>• <a href="#">2005 Staff Opinion Survey for Commission staff in Brussels, Luxembourg, JRC sites and EC delegations</a></li> <li>• <a href="#">Evaluation of the Performance Appraisal and Promotion Policy for Commission Staff</a></li> <li>• <a href="#">Evaluation of the Relations between the European Commission and Its Retired Staff</a></li> <li>• <i>Ex-ante evaluation of the future well-being policy of the European Commission</i></li> <li>• <a href="#">Internal Review of the Evaluations Managed by DG ADMIN's Evaluation Function (2002-2005)</a></li> <li>• <i>Strategic alignment of Human Resource Management in the European Commission</i></li> </ul>
26 01 51	Infrastructure policy and management	
26 01 52	Information technology management and coordination	
26 02	Multimedia production	

26 AWBL 07	Administrative support to DG Translation	<ul style="list-style-type: none"> <li>• <a href="#">Evaluation of DGT Statistics</a></li> </ul>
26 AWBL 08	Translations	<ul style="list-style-type: none"> <li>• <a href="#">External Translation Strategy Analysis</a></li> </ul>

<b>Statistics</b>		
ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
29 02	Production of statistical information	<ul style="list-style-type: none"> <li>• <a href="#">Evaluation of Commission Fishing Statistics Regulations</a></li> <li>• <a href="#">Fifth Report to the Council on the Operation of the Eurofarm Project</a></li> <li>• <a href="#">Report on the Implementation of the LUCAS Action</a></li> </ul>



## **ANNEX II –REPORTING ON THE PERFORMANCE OF EU INTERVENTIONS**

This annex presents fact sheets for all individual evaluations (other than ex ante and impact assessments) completed in 2005, sorted by policy area. These fact sheets have been provided by the DGs and services concerned and provide a summary description of the purpose, the findings and conclusions, the recommendations and, where relevant, the follow-up undertaken for each evaluation. The fact sheets do not reflect the full information deriving from the evaluations. Readers with a particular interest in any of them are encouraged to refer themselves to the original report, which is available to the public in most cases (cf. web address indicated in the fact sheets).

## Economic and Financial Affairs

e-mail address for information: [ECFIN-EVALUATIONS@cec.eu.int](mailto:ECFIN-EVALUATIONS@cec.eu.int)

### Evaluation of Business and Consumer Surveys

**Activities concerned:** 01 02: Economic and Monetary Union

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date March 2004 End date April 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

#### Purpose of the evaluation

The emphasis of this evaluation is on supporting organisational learning and improving the functioning of the DG's business and consumer surveys.

Business and consumer surveys are an ongoing activity of the DG and the evaluation design reflects this fact. The evaluation focuses on learning from experience to date and provides recommendations on this basis for improving the way in which survey activities are implemented.

#### Summary of findings and conclusions

The European Commission's joint-harmonised surveys are used by almost all Government and Research institutions interested in macroeconomic surveillance in Europe and also by a large majority of financial institutions for research and trading guidance purposes.

The surveys can be considered a highly effective instrument to monitor macroeconomic developments and the economic situation in the EU, the Euro Area and the Member States.

There are very few alternative products at European level and none shares the features of the Commission business and consumer surveys programme in terms of either country coverage or frequency.

There is convincing evidence that the Commission co-financing provides European added-value in that European harmonisation and the possibility of aggregating homogeneous data at the European and Euro-area level would be lost. Co-financing provides financial incentives for participating institutes to perform activities they would not spontaneously undertake if driven purely by market forces.

Turning the Business and Consumer Surveys financing from the current grant scheme into a contract for service is unlikely to bring, per se, any major operational efficiency that could not be achieved through other mean; in fact it could result in a legal stalemate if a number of legal issues on the surveys is not solved in advance. It is certainly true that in theory the contract could allow a better visibility of the Business and Consumer Surveys data on the media, but the practical

achievement of such a result would depend on a number of factors well beyond contractual technicalities. The centralised survey option, with a European sample, could allow substantial cost savings but this would also lead to the highly controversial discontinuation of some national series if it were to replace national co-funded schemes. A mixed implementation mechanism based on the subsidiarity principle would represent no major practical improvement in terms of costs as respect the present situation, but would provide fewer incentives to those who most need them.

### **Summary of recommendations**

The evaluation gave rise to 14 recommendations in response to the evaluation questions of which the following have the highest priority:

- In the context of ensuring both the reliability of the surveys and methodological transparency, the Commission should continue and strengthen its present efforts aimed at improving sample design, data collection and transmission, with a view to reaching a fully harmonised set of guidelines for all participating institutes.
- Together with the expansion of the Business and Consumer Surveys to the candidate countries, in the next few years the Commission's agenda for developing the programme should focus on better coverage of the service industry and of the financial sector. In the long run, some pilot testing of requests by the user community for new and modified sets of data appears worth considering, in line with the indications coming from the economic literature.
- Unless a difficult and complex regulatory solution is found, the Business and Consumer Survey Programme should continue receiving support from the Commission, since a decision to discontinue co-financing is likely to result in the loss of European Harmonised data.
- The Commission should not change its approach by implementing surveys through service contracts or by implementing a centralised survey. The risks of such an action would probably far outweigh its possible benefits, as the substantial value of information accumulated since 1985 could be lost. Furthermore, a careful assessment of the legal status of the surveys would be required before any reform, aimed at making the submission of business and consumer surveys mandatory, is planned.
- Should any further methodological problem arise in the future, the Commission should strongly discourage participating institutes from autonomously implementing methodological solutions that could result in diverging sets of the same data published at the National and European level, as this engenders confusion and mistrust among users resulting in risks to the credibility of the surveys at both the national and EU level.

### **Follow-up**

Below are presented a number of actions that are being undertaken in follow-up of the above recommendations. In addition, a number of more detailed actions specific to individual surveys are also being implemented.

- The Commission has started a programme of co-operation with the OECD. The aim of this programme is to improve sample design, data collection and transmission standards in line with international developments.

The results of these co-operative efforts, which were presented at a joint workshop in November 2005, have been published at the Internet sites of the two institutions. The programme will continue over the next two years, with a further joint workshop planned in autumn 2007. Deadline for action: December 2007.

- Better coverage of the service industry and of the financial sector issue was discussed at the EU workshop in November 2005. The discussion at the workshop showed that a lot of progress has been made in this area over past years. Institutes which do not fully cover the service sector indicated that they will extend the sector coverage in the near future. Moreover, the Commission has launched a tender for a European-wide survey in the financial service sector in autumn 2006. A contract will be signed presumably before the end of 2005. Deadline for action: June 2006.
- The Commission plans to publish a handbook on the EU business and consumer surveys programme. An important part of this handbook will deal with methodological issues and the possible uses of the surveys. The presentation of the handbook could be combined with workshops/seminars involving policy makers, financial analysts and other important user groups. Deadline for action: June 2006.
- A meeting took place between ECFIN and the relevant services at EUROSTAT to improve co-operation in technical and financial areas. Several areas of co-operation have been agreed, in particular in the area of quality control and the use of BCS data for Flash statistics estimates. Deadline for action: December 2006.

**Availability of the evaluation report**

Published at [http://europa.eu.int/comm/economy\\_finance/about/evaluation\\_en.htm](http://europa.eu.int/comm/economy_finance/about/evaluation_en.htm)

## Enterprise

e-mail address for information: [ENTR-EVALUATION@cec.eu.int](mailto:ENTR-EVALUATION@cec.eu.int)

### Ex-post Evaluation of EC Legislation and Its Burden on Business

**Activities concerned:** 02 02: Encouraging entrepreneurship

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date January 2004 End date June 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

#### Purpose of the evaluation

The aim of this evaluation was to shed light on the influence of the transposition process of Community law into the EU Member States' national legislation in terms of placing administrative and other burdens on businesses. It should help to identify elements and identify best practices on transposition.

In doing this, the study provides information about the regulatory burdens to businesses, imposed by a selected number of EC Directives. This includes an assessment of what their components are and whether they stem directly from the EC requirements, from the standard national provisions introduced in the transposition phase or from additional requirements linked to the follow-up of other national policies or administrative cultures.

To achieve these aims, the contractor analysed the impacts of four (4) EC Directives that have already been transposed into the national legislation of a sample of European countries (8) that have adopted the Internal market acquis. Moreover, the chosen EC Directives have been implemented and applied in the selected countries for at least 2 years.

The evaluation covered:

- An identification and estimation of the overall regulatory burden imposed by the Directives on businesses, and in particular SMEs;
- An analysis of these burdens and whether they are a result of:
  - Compliance costs stemming from the generic requirements of the legislation, such as one-off investments in new production processes, technology and training, or increased recurring costs for raw materials and labour (excluding administrative requirements);
  - Administrative burdens linked to government formalities and information requirements ("red tape"), making a clear distinction between whether these are directly imposed by the Directive or stem from national implementation measures;
  - Additional requirements introduced by national authorities that go beyond the basic obligations of the EU laws (usually referred to as "gold plating"); and

- Any other reasons (e.g. administrative culture, institutional reasons, delegation of executive powers to agencies, etc.);
- An estimation of the rate of compliance with these laws in the selected countries;
- A review of the existing methodologies, tools and data available in those countries that have developed specific strategies to tackle regulatory burdens imposed on businesses.

### **Summary of findings and conclusions**

The overall conclusion of the study is that the ways in which the EU legislation is transposed and implemented do influence the level of administrative burdens for companies.

#### *How has EC legislation been transposed into national legislation?*

The analysis shows that across the four directives and the eight member states, EU legislation is typically implemented at the national level by using a command-and-control approach, which is preferred in 69% of the cases compared to the 28% of the cases where the self-regulation approach was used.

For those countries where the regulation in question are characterised by command-and-control the regulation usually entails obligatory and detailed rules, allowing authorities to control the level of compliance on the national and regional level. The policy instruments often include frequent controlling of the industry – e.g. in terms of reporting requirements.

In contrast, self-regulation is based on voluntary agreements between authorities and the businesses operating within the policy field. In these agreements, industry commits itself to the implementation of certain requirements.

#### *Has the transposition of the legislation created administrative burdens?*

For all four directives, the business survey included questions on whether the companies would continue specific activities even in the absence of the legal requirements. The responses of those companies that would downscale or cancel a specific activity have been interpreted as an indication that this share of the companies to some extent sees the requirement as an administrative burden i.e. that the activity is only done to satisfy the legal obligation and not because it adds value to the normal business activities of the companies.

The main conclusion from this analysis is that for two of the directives, there is a significant share of the companies that find the requirements of the directives are burdensome and do not add any important value to their business processes in the field.

The analysis shows that the companies with business activities regulated by the Product Safety directive to the highest extent consider the requirements of the directive to be useful: 66% of the companies would continue the required activities at the same or higher level even in the absence of legislation.

This is quite different from the Medical Devices directive where a lower share of the companies would continue the activities at the same/higher level, and where a much higher proportion of the companies (37%) have indicated that they would reduce or stop the activities required by the directive, if this legislation was absent.

For the Constructions Sites directive, 59% of the companies would continue the required activities at the same or higher level even in the absence of regulation, while 26% of the companies have indicated that they would reduce or stop the activities required by the directive, if this legislation was absent.

**Availability of the evaluation report**

Published at

[http://europa.eu.int/comm/enterprise/regulation/better\\_regulation/docs/Final\\_report.pdf](http://europa.eu.int/comm/enterprise/regulation/better_regulation/docs/Final_report.pdf)

## Interim Evaluation of the Implementation of the e-Business W@tch

**Activities concerned:** 02 02: Encouraging entrepreneurship

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date January 2005 End date July 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

The e-Business W@tch was established under the Multi-Annual Programme for Enterprise and Entrepreneurship (MAP) at the end of 2001. The overall objective was to improve policy understanding of the impact of e-commerce at macro and micro-economic level and to provide DG ENTR with the necessary tools to assess the uptake and impact of e-business in different sectors and suggest policy orientations.

The evaluation study focused on the implementation of the e-Business W@tch from its establishment until the end of 2004 to assess its relevance in the future.

### Summary of findings and conclusions

The objective of the e-Business W@tch was to have an instrument that

- could be used for policy formulation to encourage ICT usage by enterprises, notably SMEs, in Europe, and
- would trigger further interest from business representatives and the research community.

The evaluator concluded that the main objective has been met, especially with regard to policy makers and researchers (though businesses tend to use national data sources). The evaluator also concluded that the e-Business W@tch outputs were generally in accordance with the objectives and expectations, the e-Business scoreboard is very helpful for presenting the results of the analysis, the survey quality is good, and the survey process has been well monitored. In terms of efficiency, the evaluator found that the allocation of resources has been appropriate during the two phases covered by the evaluation, and that it represents good value for money.

The evaluator concluded that the e-Business W@tch (or a similar initiative) will continue to be relevant in the near future and so should be continued, but focused in areas where policy challenges are more acute, notably on micro and small businesses and lagging sectors. The evaluator found that there has been no decline in the real relevance of e-business as a topic, even if it may have become a less fashionable issue than it was before the internet bubble burst. In fact, a comparison with other sources showed that the e-Business W@tch is still the only source of up to date information on e-business that collects and analyses information from a sectoral perspective across the EU. However the needs of policy makers and business representatives are diverging, with the former being more interested in statistics and the latter in real-life examples.



The evaluator also found evidence of the need for information and analysis on e-business developments, notably from a sectoral perspective, but concluded that future analysis should focus on sectors where e-business uptake is lagging and where e-business can be a driver of competitiveness.

#### **Summary of recommendations**

The evaluator recommends that a specific attempt be made to gain direct feedback from intermediary organisations (business associations, networks etc) as part of the late 2005 or 2006 dissemination activities. Furthermore, the e-Business W@tch should try to develop improved links with existing European networks (such as the EBN, the IRE or the SME Observatory) to raise awareness and disseminate its outputs, potentially increasing synergies between EU-supported initiatives.

It is also recommended that a more tailored, sector-specific approach is required and that the e-Business W@tch (or a similar initiative) should maintain and increase its current focus on micro and small businesses. Moreover, the evaluator stated that it is important to continue and strengthen Eurostat's focus on e-business issues in order to improve the overall availability of reliable data on this subject and to complement the activities of any future e-business monitoring initiative contracted by DG ENTR.

#### **Follow-up**

Most of the evaluator(s)' short-term recommendations have already been implemented by the e-Business W@tch or will be implemented during the next year to the extent allowed by the existing contract terms. Most medium / long-term recommendations are being taken into consideration by ENTR/D4 and will be appropriately reflected in the ToR for the 'new e-Business W@tch' that will be launched in 2006.

#### **Availability of the evaluation report**

Published at [http://europa.eu.int/comm/dgs/enterprise/pdf/final\\_report\\_eBusinessWatch.pdf](http://europa.eu.int/comm/dgs/enterprise/pdf/final_report_eBusinessWatch.pdf)

## Ex-post Evaluation of DG Enterprise and Industry Activities in the Field of Innovation

**Activities concerned:** 02 03: Research — promoting innovation and change

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date September 2004 End date September 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

As part of the general requirement to evaluate regularly all of its activities and in complement of evaluation and monitoring activities conducted at the level of the Framework Programme for Research and Technological development, DG Enterprise and Industry commissioned a specific evaluation of its activities in the field of innovation. The purpose of this evaluation was to provide DG Enterprise and Industry with an independent study of its operational activities in the field of EU Innovation Policy. The evaluation developed conclusions and recommendations by assessing the relevance, effectiveness and efficiency of six selected activities, and provided further recommendations in light of the new Framework Programme for Competitiveness and Innovation (CIP).

The evaluation covered six activities financed under the 5th and 6th RTD Framework Programme, all of which are managed by DG Enterprise and Industry. The selected activities were: the network of Innovation Relay Centres Network (IRCs); the Innovating Regions in Europe platform (IRE); the Intellectual Property Rights Helpdesk (IPR Helpdesk); Gate2Growth's ProTon Europe and InvestorNet; the KREO project of the Pilot Action of Excellence of Innovative Start-Ups (PAXIS); and the TrendChart on Innovation in Europe.

### Summary of findings and conclusions

According to the report, the evaluated activities will "continue to be relevant under CIP's objectives, as they broadly address key issues and problems related to competitiveness and innovation in Europe. This is done in different ways, for example IRE, InvestorNet and ProTon do so by partnership building between innovation actors; IRC by promoting the exploitation of results of research and the brokerage of knowledge transfer; and Trend Chart by assisting the role of governments in creating the right environment for competitiveness.

However, initiatives are considered less relevant by some key stakeholders in the field of innovation and there is a perceived lack of synergy between DG ENTR and other existing innovation initiatives. Also, a need to further involve SMEs is underlined.

### Summary of recommendations

In general, the report recommends maintaining and complementing the link between DG Enterprise and Industry activities and the EU RTD Framework Programme.

“The CIP should aim to complement the research-oriented activities under the EU RTD Framework Programme by further providing support schemes and networks for SMEs.

Future initiatives should put greater focus on supporting SMEs, especially regarding commercialisation of research. Also, reducing and streamlining procedures in future initiatives should facilitate greater SME participation.

The report recommends further promoting grass roots activities and involving practitioners who are best placed to provide the respective services. In order to achieve this, funding models and administrative procedures should be re-examined with a view to providing private companies with better opportunities to be involved in the implementation process.

In general, the relevance and efficiency of the activities may be improved by taking better advantage of synergies between the evaluated activities and similar initiatives at national, European and international level. “The relevance of DG ENTR initiatives is diminished because of the failure to exploit potential synergies, and to avoid the overlap or even duplication of efforts.”

The evaluation report also indicates areas where further analysis would be required. For example, the Commission should develop a better understanding of the use and application of good practices in order to facilitate their effective transfer. A framework should therefore be developed to allow for a clear diagnosis of cause and effect of good practices. Workshops for exchanging good practices need to be structured in a way that allows for follow-up and the further development of ideas.

The report also details specific recommendations for individual initiatives.

#### **Follow-up**

The operational units have commented on the recommendations for the evaluated activities. Some of the recommendations have been implemented or will be taken into account for future calls for proposals. These recommendations will also be relevant for some of the innovation activities under CIP.

#### **Availability of the evaluation report**

Published at [http://europa.eu.int/comm/dgs/enterprise/pdf/teec\\_inno\\_sept05.pfg](http://europa.eu.int/comm/dgs/enterprise/pdf/teec_inno_sept05.pfg)

## Ex-post Evaluation of the Grant Programme: Cross-border European Market Surveillance Actions

**Activities concerned:** 02 04: Getting still more from the internal market

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date February 2003                      End date February 2005

**Organisation of the evaluation:**                       external evaluation                       internal evaluation with external support                       internal evaluation

### **Purpose of the evaluation**

In 2000 the Commission launched a cross-border action to contribute to the implementation of effective market surveillance, to avoid duplicating national systems, and to start collaboration between the various national authorities. During the period 2000-2002 four requests for proposals were published and six projects have than been implemented. This is therefore an ex-post evaluation of the action. The objectives of the projects were:

1. To elaborate databases.
2. To organise conferences.
3. To study the marketplace (via trails and various verifications) for several categories of industrial products (machines, etc.)

This evaluation:

1. Assessed:
  - a. The importance, coherence, utility and effectiveness of the action within the EU;
  - b. The impact of the results on market surveillance in the participating MS;
  - c. The indirect or collateral impact on market surveillance in:
    - i. The EU
    - ii. At least 3 adhesion countries
    - iii. The “AdCo” (Administrative Co-operation) group relevant to each project.
2. Delivered a final report that demonstrates the importance, coherence, utility and effectiveness of the action and of its project. This report also includes conclusions and recommendations for any future work in this area, especially with regard to the implementation of the results of the projects, their impact on target populations (especially national authorities responsible for market surveillance in the MS) and the results obtained compared to the objectives of the action.

### **Summary of findings and conclusions**

The evaluation led to the following main conclusions:

*The objective of the Programme is very relevant:* Respondents confirmed the need for Market Surveillance improvements throughout Europe and for the involvement of the European

Commission in order to coordinate these efforts. Overall, the action types also seem reasonable: databases create a common source of information, joint projects, by verifying compliance, promote the exchange of best practices, and conferences are an effective means for communicating to a broad audience and providing a forum through which Surveillance Authorities can network.

*Critical target groups/stakeholders did not participate in its actions:* The survey refers to the absence of manufactures/producers and other commercial organisations from the Programme, who are very relevant stakeholders.

*The design of the Programme shows some incoherencies:* The main problems were identified in the database projects. For a database to be useful in helping uniformise standards and procedures, it needs to become the European standard. This sets significant requirements for its usefulness (information content, processes supported) and ease of use (e.g. interface in various languages). However, the budget for these projects seems to have been insufficient to produce a solution, which was truly superior to existing ones. In order to ensure that a critical mass of Member States come on-board and use the databases, their specific requirements need to be taken into consideration. These projects, however, could only rely on the active participation of two Member States. Finally, some lack of coordination seems to have existed in the approval of the various proposals as the two database projects partially overlap in their specifications.

*Both the conference and the joint machinery projects seem to be useful initiatives* to promote cooperation and improve the functioning of the internal market. Respondents generally considered these projects worth the time and effort invested and recommended other similar projects to be implemented in the future.

*The impact of the Programme is difficult to quantify:* This observation could be related to the lack of specific dimensions against which the success of the actions can be measured.

*A greater impact from similar actions could be achieved through improved execution:* Fundamentally significant potential exists in the improvement of communication and calls for proposal. These should include provision of a sufficient budget (and/or a commercial aspect) in projects that require it and involve enough countries so that critical mass is achieved (e.g. databases).

Consequently, the analysis of the surveys led to the conclusion that the “Cross-Border European Market Surveillance Actions” (2000 – 2002) were a first step that requires follow-up action in order to have a meaningful impact towards improved Europe-wide Market Surveillance.

## **Summary of recommendations**

### *Main recommendations*

1. The required tender process should be more specific and better adapted to the requirements of the individual projects. This means that technically demanding and high-budget projects, such as IT databases, will require different procedures from less-demanding projects. The introduction of a powerful database to strengthen the development, implementation and maintenance of Market Surveillance should be part of separate European actions.
2. The execution of the Programme requires the inclusion of all relevant stakeholders, including profit-making organisations. The precise definition of the target groups and of quantifiable success measures as well as the introduction of active dissemination of results will help to improve the impact of future actions.
3. There should be a broader communication strategy by the Commission in order to strengthen Market Surveillance, which may include increased visibility measures for every project funded by the Commission, as well as the publication of technical articles in professional

papers or during conferences, and an even more active dissemination within AdCo-Group meetings. This also means that publications should be written in English; articles written only in French are not sufficient for EU-wide dissemination.

#### *Project level recommendations*

4. Professional conferences for Market Surveillances related issues are deeply needed, and a protocol should be established of intervals between conferences not exceeding three years. The conference materials should be suitable for easy citation and copying within the participating organisations. This would require written material, which would also appeal more to commercial parties' potential interest in participation and sponsorship. Explicit networking possibilities and sponsoring should be fundamental elements of future editions of the conference.
5. Databases are an important support tool to disseminate information. The implementation of such a tool should be a key priority of future European Commission action to strengthen Market Surveillance. They should be powerful enough to provide clear and quantifiable time and money savings to the users and should be clearly superior to existing tools. This potential database could be a new tool replacing existing ones (including ICSMS) or could be based on the most suitable of the existing tools. It should integrate new functionality and multiple language versions as well as full and light versions. The commercialisation of such a product should be considered.
6. Test and verification projects are also suitable actions to improve Market Surveillance and EU-wide co-operation. However, as stated above, they require a significantly wider communication policy. The involvement of three or more organisations from countries that traditionally do not work together very closely may help to increase the EU-wide impact of such projects.

#### **Follow-up**

The evaluation produced some useful lessons, some of which may have an impact on the revision of the New Approach. Of the six main recommendations four were judged to be either useful or worthy of further reflection, while two were judged to be flawed as, though logical, they would probably be either in appropriate or significantly add to the administrative burden. The intention is to use it in the Impact Assessment for the revision of the New Approach, especially the chapter on the co-operation with Member States. The evaluation points also to a need for better networking between the Member States, but especially the fact that the continued use of separate tracking databases is inefficient at European level. It provoked the reflection that the continued lack of mutual recognition in testing cannot continue; it might be time to try, probably via a legislation, that MS accept the principle of equivalency (i.e. results of tests made in country A should be accepted in country B and indirectly to accept the product onto the market without repeating the tests), which would be a huge step in consolidating the single market, though it is early days yet in this reflection this would be in line with a Court of Justice judgement.

#### **Availability of the evaluation report**

Published at [http://europa.eu.int/comm/dgs/enterprise/pdf/evaluation\\_of\\_the\\_three-year\\_grant\\_programme.pdf](http://europa.eu.int/comm/dgs/enterprise/pdf/evaluation_of_the_three-year_grant_programme.pdf)

## Interim Evaluation of the G10 Medicines Initiative

**Activities concerned:** 02 05: Competitiveness and sustainable development

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date November 2004 End date October 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

The G10 Medicines initiative, or the High Level Group on Innovation and Provision of Medicines as it is formally known, was created in March 2001 out of a desire to find an innovative way of meeting the challenge of a decline in competitiveness of the European-based pharmaceutical industry. The purpose of this evaluation was to provide an assessment for DG Enterprise of the value of the working methods used by G10. It focused on the issues of effectiveness of the exercise and the efficiency of its method of working by answering following questions:

1. How effective has the G10 been in terms of results and impacts, with regards to its original objectives?
2. How useful has it been so far or is it expected to be in the near future?
3. How efficient have its working methods been including the impact on other Commission services?
4. To what extent can this model be applicable outside the pharmaceutical sector? What are the necessary conditions to apply them? What success criteria may be identified? How can it be more effective?

### Summary of findings and conclusions

The report concluded that the G10 process was successful in meeting its main objective that was to establish consensus in an area that was not only sensitive but one dominated by national competence. However, G10 did benefit from the timing. The earlier Round Tables had clearly established the scale of the competitiveness problem and this laid the foundations for the G10 initiative.

Some other factors also contributed to the success of the initiative. The key factors were that it was a small high level group each of whose members had made a personal commitment to the process as well as the support of the government or organisations that they represented.

The result of the process was a general consensus between key stakeholders that retaining a competitive pharmaceutical industry was not only in Europe's economic interest but critical to our public health objectives. It helped shape the debate on certain aspects of the Pharmaceutical Review, provided the focal point for discussion of the specific mechanism in the Accession Treaties concerning intellectual property rights. It enhanced DG Enterprise and DG SANCO cooperation in the pharmaceutical field and allowed the Commission to drive the European agenda on pharmaceutical competitiveness.

It also gave Member States a useful banner under which to drive forward G10-related measures at a national level.

However, G10 is no more than a mechanism for generating consensus in sensitive areas of mixed competence, as important as that is. Given the central role of national competence it will always be for Member States to take the leading role in implementing the recommendations.

### **Summary of recommendations**

The report recommends that the use of a G10-type of high level group should be considered when trying to generate consensus on ways to tackle issues of national competence that are having an impact at a European level.

A way forward for this is found to involve the European Parliament directly in the process.

It is also recommended to formally involve all Member States, even those with no key interest.

Finally, the report points out the need to undertake a full evaluation within three years of the process to assess the results of the G10 exercise jointly with DG SANCO.

### **Follow-up**

The main stakeholders have access to the evaluation report on the Enterprise website on Europa.

Of the four main recommendations three were judged to be either useful or worthy of further reflection, while one was judged to be no longer politically viable. This recommendation – to consider the use of a G10-like group in similar situations – is unlikely to be feasible in the foreseeable future as it excludes some Member States and although this was accepted for G10 it is unlikely to be accepted again, at least in the short-term.

### **Availability of the evaluation report**

Published at [http://europa.eu.int/comm/dgs/enterprise/pdf/Evaluation\\_of\\_approaches.pdf](http://europa.eu.int/comm/dgs/enterprise/pdf/Evaluation_of_approaches.pdf)



## Competition

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### Building Blocks for Effective Anti-cartel Regimes

**Activities concerned:** 03 03: Mergers, antitrust and Market liberalisation and cartels

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date June 2004 End date June 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

#### Summary of findings and conclusions

##### *Effective Institutions*

- An increasing number of competition agencies have set up special cartel branches.
- Views differ as to whether it is desirable to leave the investigative stage of a cartel case in the same hands as the subsequent prosecutorial stage. The responses received demonstrate that there are various ways of appropriately striking this balance.
- Some agencies have responded to these challenges by outsourcing some of the tasks associated with cartel investigations.

##### *Effective Penalties*

- There is wide agreement that an effective penalty needs to be deterrent.
- In the case of fines against enterprises deterrence means that both the expected gains from the cartel and the probability of detection have to be taken into account.
- All of the national systems examined allow for financial sanctions against companies and almost three quarters provide for fines against individuals. 42% of the countries surveyed even allow for prison sentences.
- In addition to these traditional penalties, attention is drawn to additional ways of achieving deterrence.

#### Follow-up

The conclusions of the International Competition Network (ICN) reports as regards effective institutions have had an influence in the decision to create a dedicated cartels Directorate in DG Competition.

The conclusions of the ICN reports as regards penalties and leniency have been fed into the reviews of the *Guidelines on fines* and of the *Leniency Notice* respectively, which are ongoing.

**Availability of the evaluation report**

Published at <http://>

[www.internationalcompetitionnetwork.org/bonn/Cartels\\_WG/SG1\\_General\\_Framework/Effective\\_Anti-Cartel\\_Regimes\\_Building\\_Buildings.pdf](http://www.internationalcompetitionnetwork.org/bonn/Cartels_WG/SG1_General_Framework/Effective_Anti-Cartel_Regimes_Building_Buildings.pdf)

## Evaluation of the Guidelines on Fines

**Activities concerned:** 03 03: Mergers, antitrust and Market liberalisation and cartels

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date January 2005 End date December 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

To assess the impact of the current Guidelines on the Commission's fining policy in the antitrust field.

### Summary of findings and conclusions

The evaluation supports a proposal for revision of the current policy. In particular, it confirms that there is a need to increase deterrence in some cases. It also underlines the inadequate results of the current system which takes into account the duration of the infringement in the level of the fines only to a limited extent.

### Summary of recommendations

The duration of a given infringement should play a more important role in the setting of the amount of the fine. Similarly, a more significant reference to the turnover of the companies on the market affected by the infringement could allow a more proportionate level of fine.

### Follow-up

The evaluation will form the basis of a new draft Guideline on fines to be presented in 2006.

### Availability of the evaluation report

For the internal use of the Commission only.

**Ex-Post Evaluation of Council Reg. 4056/86 Applying Competition Rules to  
Maritime Transport (Liner Conference Block Exemption)**

**Activities concerned:** 03 03: Mergers, antitrust and Market liberalisation and cartels

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date June 2003 End date December 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

**Purpose of the evaluation**

To review, in the context of the Lisbon agenda, the block exemption on liner shipping conferences in order to assess whether the exemption from EU competition rules of common price fixing and sharing of capacity is still justified.

**Summary of findings and conclusions**

Following a thorough consultation of stakeholders (carriers, shippers, Member States, EP and other institutions, international counterparts) and an extensive economic impact assessment (supported by 3 external studies), it was concluded that a block exemption from EU competition rules for liner shipping conferences is no longer justified in today's market circumstances.

**Follow-up**

The Commission has submitted to the Council a legislative proposal repealing Reg 4056/86.

**Availability of the evaluation report**

Published at <http://europa.eu.int/comm/competition/antitrust/legislation/maritime/>

## OECD Peer Review of the Competition Law and Policy in the European Community

**Activities concerned:** 03 03: Mergers, antitrust and Market liberalisation and cartels

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date April 2005 End date November 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

Review of the effectiveness of EU competition policy and its implementation so far.

### Summary of findings and conclusions

1. Enforcement against cartels would be strengthened further if sanctions applied to individuals as well as firms; if that is not feasible under Community law, the Commission could promote and support the imposition of individual sanctions under the national laws of Member States.
2. The area of law applying to abuse of dominance is due for modernisation to adapt it to the Commission's more economics-centred approach, to focus on likely or actual market foreclosure effects more than on formally defined prohibited behaviours. In adopting an economic approach to dominance, liability should depend upon effects that harm competition. In appropriate cases, assessing the scope for recoupment should be an integral part of such an approach.
3. The inclusive legal standard for merger control can deal with all kinds of competitive effects. The courts' critical response to several Commission merger control actions revealed weaknesses in its decision process, which the Commission has moved to correct by increasing its capacity for economic analysis and strengthening its internal quality controls. These checks, with which the Commission is still experimenting, improve quality but can increase costs. Nonetheless, a further increase in economic analysis capacity is called for.
4. The administrative process for applying the law is adapting in order to strengthen investigative powers and better incorporate economic evidence in decision-making, and thus convince the courts while maintaining policy consistency in a system of decentralised enforcement. Member State competition agencies and courts can apply Community substantive law, and the informal "European Competition Network" facilitates inter-agency co-ordination. Modernisation of the enforcement process, by eliminating notification and prior approval of exemptions while sharing enforcement responsibility with national agencies, is designed, among other things, to redirect resources so that DG Comp can concentrate on complex, Community-wide issues and investigations. A high priority here is to clarify the relationships among the leniency programmes of the Community and the national enforcement agencies.

5. Coverage of Community competition law is broad and generally consistent, with no sectoral exclusions and few provisions for special enforcement processes. Treaty provisions that prohibit Member State measures contrary to Treaty rules about public undertakings and undertakings with special or exclusive rights have been the foundation for the long-term liberalisation program to reform traditional infrastructure monopolies. Treaty principles about controlling State aid try to prevent competition-distorting actions by national public authorities. The Commission's impact analysis of EU legislative proposals that might affect competition in the internal market is turning attention to avoiding that EU legislation restricts competition.

#### **Summary of recommendations**

The OECD peer review resulted in four policy options for consideration:

- clarify the relationship among the leniency programmes of the Community and the national enforcement agencies;
- in adopting economic approach to dominance, make liability depend upon effects that harm competition; in appropriate cases, assessing the scope for recoupment should be an integral part of such an approach;
- increase further DG COMP's capacity for economic analysis;
- consider means for extending sanctions to individuals as well as firms, such as co-ordination with application of Member State laws that provide for individual sanctions.

#### **Follow-up**

Final conclusions from the evaluation were not yet available for decision-making during the year and the evaluation report was completed only in November 2005. However, DG COMP has already during and before the peer review exercise been working in some of the policy options displayed in the peer review for consideration. This concerns in particular the strategic decision-making type of issues that arise from the policy options number 1 (on leniency) and number 2 (on economic approach to dominance).

#### **Availability of the evaluation report**

Available at <http://www.oecd.org/dataoecd/7/41/35908641.pdf>

## Study on Merger Remedies

**Activities concerned:** 03 03: Mergers, antitrust and Market liberalisation and cartels

**Scope of the evaluation:** Retrospective

**Timing:** Start date July 2003 End date October 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

In view of a review of the merger Remedies Notice, identify with the benefit of hindsight i.e. three to five years after the Commission's decision:

1. any serious issues arising in the design and implementation of remedies;
2. the effectiveness of the Commission's merger remedies policy during the reference period; and
3. areas for further improvement of the Commission's existing merger remedies policy and practice.

### Summary of findings and conclusions

#### *Divestiture remedies*

The vast majority of remedies – 84 out of 96 – involved divestiture commitments. The Study's findings have confirmed the relevance of various aspects of the Commission's merger remedies practice introduced since 2000, i.e. after the reference period of the selected sample, such as the Remedies Notice and the Model Commitments Texts. Nevertheless, they have also identified a number of serious issues regarding the design and implementation of the analysed remedies which require further attention.

The Study found a number of such serious unresolved design and/or implementation issues in the different stages of the life of the analysed remedies that most likely led to reducing the effectiveness of the remedies to restore conditions of effective competition. Of these issues, the failure to adequately define the scope of the divested business was the most frequent problem, followed by the approval of an unsuitable purchaser, the incorrect carve-out of assets and the incomplete transfer of the divested business to the new owner.

#### *Access remedies*

The Study analysed ten stand-alone commitments to grant access that were designed to maintain actual or potential competition in the relevant market by preventing foreclosure to critical infrastructure, technology or IPRs, or by surrendering exclusive rights. These access remedies raised a number of serious design and implementation issues. The primary causes for the failure of access commitments were found to lie in the inherent difficulties in setting upfront the terms for effective access and in monitoring them. The insights offered by the Study tend to suggest that such access remedies have only worked in a limited number of instances.

### *Effectiveness of remedies in competition terms*

The Study also attempted an overall evaluation of the effectiveness of each remedy. This was based on the qualitative assessment as regards design and implementation as well as an assessment of collected quantitative market data, such as the operational status of the divested business and the evolution of relative market shares. This effectiveness indicator classifies the assessed remedies on the basis of the extent to which they have fulfilled their competition objective (i.e. maintaining effective competition by preventing the creation or strengthening of a dominant market position). However, in the absence of a full new market investigation for each remedy the Study's evaluation can only provide indications.

The overall effectiveness evaluation was possible in 85 of the 96 analysed remedies. Among these, 57% of remedies were fully effective, while 24% were considered only partially effective. Few remedies, 7%, had clearly not reached their intended objective and were thus considered ineffective. As regards different types of remedies, the Study found that remedies for the exit from a JVs were the most effective type of remedy (no failure), while the effectiveness of access remedies was the weakest.

### **Summary of recommendations**

Recommendations on how to amend the Commission's merger remedies policy and practice are developed in a separate policy paper that is based on the findings from the Study.

### **Follow-up**

A review of the Commission's merger remedy policy and practice, in particular of the Remedies Notice and possible the Merger Implementing Regulation.

### **Availability of the evaluation report**

Published at [http:// europa.eu.int/comm/competition/mergers/legislation/remedies\\_study.pdf](http://europa.eu.int/comm/competition/mergers/legislation/remedies_study.pdf)



## Agriculture and Rural Development

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### Evaluation of the CMO for Bananas

**Activities concerned:** 05 02: Plant products

**Scope of the evaluation:** Retrospective

**Timing:** Start date March 2003 End date December 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

#### Purpose of the evaluation

To review the effects of the Common Market Organisation (CMO) for bananas, also in view of providing an input into the preparation of a reform of the bananas CMO.

#### Summary of findings and conclusions

##### *Supply of the Community market:*

- The Import regime had more important effects in terms of price (CIF) than in terms of import volumes;
- Together with a system of distribution of licences, the import regime changed behaviour of economic operators and contributed to the price increase on the Community market;
- Another important factor influencing prices was the exchange rate euro / dollar;
- Overall, the market measures contributed to price stability, whereas prices remained at a reasonable level;
- The CMO had no role as concerns varieties, whereas an indirect role was identified with respect to quality, the supply of organic bananas, and “fair trade”.

##### *Community production and producer income:*

- The CMO contributed to achieving stability of average EU producer income per tonne, but incomes differed according to the Community producing regions;
- The evaluators stated an only limited scope for alternative economic activities in the producing regions.

##### *Synergy with other support instruments (in particular cohesion policy):*

- In addition to CMO measures, cohesion policy played very important role, whereas the extent of positive impacts differed according to the producing regions.

*Impact on the third country producers:*

- CMO measure had only limited influence on third country producers.
- The evaluators found a continuous fall in imports from Caribbean ACP States and a gradual increase of imports from the African countries.
- Non-traditional ACP suppliers increased their market shares on the Community market, whereas other third countries improved their position on the Community market only slightly.

*Management methods:*

- Whereas the 2001 reform reduced the number of licences and the number of registered operators, in combination with increasing the administrative burden, the 2003 reform simplified procedures of the administration of import certificates;
- Risk of fraud by using the false import certificates and incorrect certificates of origin was significantly reduced due to the reforms of the CMO; risk of fraud by importing higher volumes than declared is still possible.

**Summary of recommendations**

- The evaluators see the necessity of reforming the support scheme to EU producers in order to achieve a more equitable system, to facilitate audit, and to stabilise budgetary costs;
- As possible reform options, the evaluators mention the regionalisation of the compensatory aid, decoupling of direct aid with a reference year at 2000, and a possible integration of the aid scheme into the reformed POSEI scheme.

**Follow-up**

The evaluation report will be used by the Inter-service Steering group for impact assessment that was established in September 2005 in order to assist at the preparation of a reform of the CMO for bananas

**Availability of the evaluation report**

Published at [http://europa.eu.int/comm/agriculture/eval/index\\_en.htm](http://europa.eu.int/comm/agriculture/eval/index_en.htm)

## Evaluation of the Common Market Organisation for the Cereals Sector

**Activities concerned:** 05 02: Plant products

**Scope of the evaluation:** Retrospective

**Timing:** Start date January 2004 End date December 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

The evaluation aims at assessing how effective, efficient and relevant the measures in their current form are in attaining the main objectives of the policy.

As the subject covers an important range of measures: intervention, trade arrangements and direct payments, the evaluation would have some importance for a wider reflexion and debate on the CAP as a whole.

### Summary of findings and conclusions

#### *Effectiveness concerning producer income:*

- With all caveats concerning comparing income levels, the evaluators conclude that average incomes received by cereal farmers were similar to those of other producers. However, for all farm types and regions, larger holdings have much higher incomes per worker than smaller holdings.
- The measures applied by the Common Market Organisation for cereal were found to contribute significantly to keeping producers' incomes stable.
- Direct payments have a considerable importance in incomes of all sizes of cereal specialist producers (57% on large farms to 70% on medium-size).
- Unintended effects rising rentals, distortions of production such as shifts towards maize, more risk-taking behaviour, and reluctance to restructuring.

#### *Effectiveness concerning market equilibrium / price stability:*

- After the reduction in market support, the quantity and quality of cereal production have been better adapted to market signals, but regionalisation plans have also affected cereal production decisions. However, the evaluators pointed to the difficulties to attribute effects to market-related measures, given the multiplicity of other intervening factors (e.g. higher yielding new varieties).
- CMO reforms brought significant improvements of the competitiveness of domestic cereals in animal feed (cereals regained market share from cereal substitutes, many of which were imported).

- As regards the main non-food/non feed outlets, the evaluators identified substantial increase in starch manufacturing from wheat, whereas little progress was observed with respect to fuel ethanol produced from cereals:
- The evaluators stated that the increase in competitiveness of domestic cereals was not enough to ensure exporting cereals without refunds onto the world market. Thus, the EU share in world trade in cereals did not increase.
- The evaluators conclude that, in the situation of an enlarged EU-25, a single EU intervention price is a barrier to gain efficiency in the internal market.
- The evaluators identified as unintended effects a concentration among cereal traders.

*Efficiency:*

- For cereal producers as a group, no policy inefficiency was identified with respect to income objectives. However, the evaluators pointed to the fact that average income of large cereal farms incomes exceeded that of non-farm entrepreneurial incomes.
- Set-aside gave rise to several forms of policy inefficiency.
- Management of intervention stocks as safety nets over the cycle evaluated was seen as being efficient. However, as regards a single intervention price for all regions and all eligible cereals, the evaluators saw a major obstacle to the inter-spatial fluidity of the market.
- Management costs of intervention stocks were judged to be high.
- Unintended effects leading to inefficiencies were an overstatement of base areas and the building up of rye.

**Summary of recommendations**

- Whereas recent reforms solved many of the problems identified, others remain, partly accentuated by enlargement. This concerns notably the accumulation of intervention stocks, exacerbated by the application of a single intervention price for all member states and all cereals
- The evaluators recommend to restrict intervention to a small number of limited locations with the greatest deficits and most vulnerable to crop failures
- The evaluators also recommend to restrict intervention to a single cereal, bread making wheat, which would lead, through competition in the market and substitution, to cereals finding their market clearing price, while benefiting from wheat intervention price acting as an indirect safety net for all cereals
- The evaluators recommend to adapt import tariffs to reflect changes in the intervention system.
- The management of intervention stocks should work to a large degree through private storage instruments,
- Whereas the application of direct payments, in particular via regionalisation plans, lead to imbalances in terms of benefits received, greater moderation is required than that envisaged in the Mid-Term Review reform.
- As set-aside was seen as creating many inefficiencies while being lesser relevant in terms of ensuring supply control, the evaluators recommend a phasing-out of this instrument.

**Follow-up**

The study will be used as an input for reflection on future reforms of the CMO.

**Availability of the evaluation report**

Published at [http:// europa.eu.int/comm/agriculture/eval/index\\_en.htm](http://europa.eu.int/comm/agriculture/eval/index_en.htm)

## Evaluation of the Common Market Organisation for the Flax and Hemp Sector

**Activities concerned:** 05 02: Plant products

**Scope of the evaluation:** Retrospective

**Timing:** Start date December 2005 End date August 2004

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

Evaluation based on the six years cycle of the art. 21 of FR, the results were intended to be an input for the report of the Commission to the Council on the same subject. It focussed on analysing the relevance, effectiveness and efficiency of the aid.

### Summary of findings and conclusions

- The evaluators found the measures applied under the Common Market Organisation for flax and hemp was particularly effective in meeting the objective of cutting costs. As a result, economically viable outlets of the flax and hemp sectors experienced growth. Producers' income were overall maintained, or in some cases (flax producers), went up over the same period.
- Positive health- and environment-related impacts were stated over the entire chain of production-processing-consumption, in particular due to a substitution of less environmentally friendly and healthy materials (e.g. polyester fibres, artificial mineral fibres) by flax and hemp. However as there was no large scale substitution, these effects remained limited.
- The most significant consequence of replacing producer aid by aid for fibre processing was putting an end of speculative production that did not find an outlet.
- CMO aid, in supporting the overall production of flax and hemp in Europe, has also contributed to preserving and creating jobs in traditional production areas and in areas where production and primary processing play an important role both economically and socially. By supporting and expanding jobs in certain European rural areas, CMO aids contribute to rural development.
- According to the evaluators, European flax and hemp industries could cope only in the short run without the current CMO support system. However, in the long run, the evaluators would expect a serious destabilisation, as the interaction between primary production and the downstream sectors requires stable supply of raw materials. The latter could be ensured only with stable prices, given the high risk character of the crop.

**Summary of recommendations**

- The aid for long flax fibres, short flax, and hemp fibres should be merged into a single processing aid, possibly adding other fibrous plants. This would render the system more efficient in administrative terms and reduce distortions among different types of fibres.
- Along with moving to a single aid system, an aid reduction for impurities could be dropped, while maintaining a minimum rate of 25%.
- The level and adjustment mechanisms for the National Guaranteed Quantities should be revised, in order to facilitate growth of the sectors.

**Follow-up**

The study will be used as an input for reflection on future reform of the CMO.

**Availability of the evaluation report**

Published at [http://europa.eu.int/comm/agriculture/eval/index\\_en.htm](http://europa.eu.int/comm/agriculture/eval/index_en.htm)

## Evaluation of the Environmental Impacts of the CMOs Relating to Permanent Crops

**Activities concerned:** 05 02: Plant products

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date December 2004 End date October 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

This evaluation project concerns a horizontal environmental assessment of environmental effects related to the Common Market Organisation (CMO) for a range of permanent crops. The evaluation corresponds to the Treaty requirement account of environmental protection requirements when drawing up, implementing and evaluating Community policies, an obligation which was reinforced by the entry into force of the Treaty of Amsterdam on 1 May 1999.

It has been standard practice to include the environmental aspects in the evaluations of the sector CMO. However, based on experience with these in the period 1998-2002, a new, horizontal, approach has been chosen in this evaluation study. It deals with environmental aspects separately and covers a group of CMOs simultaneously. Given the specific environmental expertise needed for measuring environmental impacts this horizontal approach has proven to be more adequate.

### Summary of findings and conclusions

#### *CMO Olive oil*

The production aid of €132,25 per 100 kg of olive oil on the basis of Council Regulation 1638/98 has contributed to the intensification of the production which can have had negative impacts in the most intensive exploitations. This measure accounts for about 97% of CMO expenditure.

At the same time the production aid served to maintain marginal exploitations with an extensive production technology and with an important environmental value.

The support to producers' organisations was identified as a good approach towards encouraging environmental actions in the olive oil sector.

The reform in 1998 increased Maximum Guaranteed Quantities for production aid with 30% but was combined with a 6% reduction in the level of the aid. The overall reaction of producers to the decrease of the aid has been an intensification of the production.

#### *Fruits*

The support measures of the CMO have positive impacts on the environment, mainly via explicit environmental orientations in the operational programmes.

The evaluators concluded that the intensification that took place in certain Member States like Spain was not due to the CMO measures. Other Member States like France did not see intensification of the production in the last ten years.



The transfer of processing aid to the producers was not seen as a factor contributing to intensification; the evaluators concluded that it had neither a significant impact on the development of practices of producers nor on the environment.

#### *Wine*

The evaluation showed that the CMO measures had no or only a minimal impact on the environment.

### **Summary of recommendations**

#### *CMO Olive oil*

The evaluators suggest that the focus of the policy should be on the management of particular situations that are the most problematic ones for the environment. For this, the support to producers' organisations developing adequate operational programmes seems the right way to follow.

The evaluators concluded that, from an environmental point of view, it is important that the CMO for olive oil will not be disconnected from other relevant Community programmes, in particular those of the Rural Development Regulation.

#### *Fruits*

Overall, the approach introduced by the reform of 1996 introduced some changes, such as ending market withdrawals and eco-conditionality, which were identified as the right way to be pursued. Future adjustments of the CMO should build upon these elements to be even more beneficial to the environment.

Production aid to producer groups, linked to environmental requirements, were identified by the evaluator as being environmentally beneficial and should, therefore, be maintained and further developed.

#### *Wine*

The wine CMO is still primarily a market management instrument rather than one managing environmental impacts. The evaluators suggested, therefore, that future reforms of the CMO should "green" it and give a more prominent place to measures managing its environmental impacts.

With special reference to the Gothenburg objective of sustainability, the evaluators conclude that, the higher the environmental value at stake, the higher should be the required economic and social utility to operate or continue production in high environmental risk regions and vice versa.

### **Follow-up**

The study will be used as an input for reflection on future reforms of the CMOs.

### **Availability of the evaluation report**

Published at [http://europa.eu.int/comm/agriculture/eval/index\\_en.htm](http://europa.eu.int/comm/agriculture/eval/index_en.htm)

## Evaluation of the Common Market Organisations for Pig Meat, Poultry Meat and Eggs

**Activities concerned:** 05 03: Animal products

**Scope of the evaluation:** Retrospective

**Timing:** Start date January 2003 End date December 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

The evaluation was to examine the impacts of the instruments of the common market organisations (CMOs) for pig meat, poultry meat and eggs. The focus of the evaluation was on the main instruments: export refunds, import regime, aid for private storage, exceptional market support measures in case of epizootic diseases (the last two instruments only for the pig sector). The evaluation aimed essentially at analysing the effectiveness and the efficiency of the instruments and, to a lesser degree, at studying the relevance, the usefulness and the unintended effects of the measures.

### Summary of findings and conclusions

#### *Market equilibrium and price stability:*

- For all three sectors, the price reporting system was considered satisfactory for the market management purpose;
- The evaluators found a more focused use of export refunds since the implementation of the Uruguay Round Agriculture Agreement (URAA). This instrument was said to be effective in the pig meat and eggs sectors, while being limited in the poultry meat sector;
- Import tariffs helped to maintain Community preference over the whole evaluation period in the sectors for pig meat, poultry meat, and eggs.
- Overall, export refunds and import tariffs caused efficiency losses with respect to all three sectors.
- Aid for private storage (only for pig meat CMO) was effective in meeting the objective of stabilising the market;
- Exceptional market support measures (only for pig meat CMO) provided an effective compensation of direct losses while not accounting for all indirect losses.

#### *Producers' income:*

- Income levels of pig producers were above the average of the agricultural sector as a whole, whereas the income levels of poultry meat and egg producers were slightly lower.
- Income volatility was seen to be higher in the pig sector as compared to the poultry sector;

- Whereas a general increase in incomes was stated over the whole evaluation period, this increase was only to a limited degree attributed to CMO measures. However cost reductions in the feed component achieved due to a reduction in cereal intervention price had a positive influence.
- Increasing income effects result from policies related to manure disposal, emission reduction, and animal welfare, with great variations between Member States.

*Overall impacts and rural development and the environment:*

- The problem of instruments generating further support requirements was assumed for frozen whole chicken and the egg sector, whereas no evidence was found concerning pig production.
- The overall impact of CMO instruments on supply and demand was considered to be low as compared to other factors (evolution of EU and world consumer demand patterns and preferences, feed costs and other production costs, sanitary barriers, etc.);
- The impacts of the CMOs concerning rural development and the environment were found to be small and indirect.

**Summary of recommendations**

- The evaluators recommend to carry about a comparative analysis of the current CMO instruments as compared to private risk management tools;
- More emphasis should be given to studying the effects of further moving towards liberalisation, which the evaluator considered necessary with a view to improving the economic efficiency and the coherence with agricultural EU trade objectives.
- As regards individual instruments, aid for private storage in the pig meat sector should be applied earlier in order to improve efficiency and effectiveness.
- The evaluators recommend adjust the price reporting system in the three sectors by ensuring market representativeness, establishing an ‘early warning’ system for price developments, and harmonising definitions, tools and formulae of quality levels among Member States.

**Follow-up**

The study will be used as an input for reflection on future reforms of the CMOs.

**Availability of the evaluation report**

Published at [http:// europa.eu.int/comm/agriculture/eval/index\\_en.htm](http://europa.eu.int/comm/agriculture/eval/index_en.htm)

## Evaluation of the Agri-Environment Measures

**Activities concerned:** 05 04: Rural development

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date March 2004 End date December 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

The evaluation of agro-environmental measures (AEM) examined the respective parts for AEM in Regulation 2078/92 and 1257/99 and covered the period from 1992 till 2004. The request included a representation of the AEM, inventory and typology, an analysis of the implementation and finally the evaluation including a definition of the intervention logic of the AEM and answers to 16 evaluation questions.

The evaluation provides insights into the effects of agro-environment measures. The results were supposed to be available at a time when Member States should establish their rural development programmes for the period 2007-2013.

### Summary of findings and conclusions

#### *General remarks:*

The evaluation confirms, in general, positive environmental effects of agri-environmental measures. However, the evaluators pointed to the general difficulties of the analysis and the limitations to generalisations of findings: The effects of agricultural practices subject to agri-environment measures (e.g. grass strips, input reduction, fallow, direct seeding, etc.) concerning the different themes (biodiversity, habitats, landscapes, water, soil etc.) can take long to emerge. Furthermore, effects depend on site-specific circumstances.

This is true for all fields that have been analysed: biodiversity, habitats, breeds, and endangered varieties, water quality, water quantity and other resources, soil and landscape for which the evaluation identified mainly positive effects, sometimes no effect, rarely negative effects.

Therefore, in order to back their own findings, the evaluators consulted a broad range of scientific studies and they remained cautious with respect to generalisations. More robust findings concerning generally positive environmental effects were provided on the following measures:

#### *Biodiversity and habitats:*

Diversification of rotations, maintenance of grasslands, arable reversion to grassland, grass strips, maintenance of extensive grasslands and grazing, ecological infrastructures (hedges and small plots), appropriate mowing dates and methods, reduced tillage, organic farming.

*Water quality:*

Fallow-lands, diversification of rotations, maintenance of grasslands, buffer strips, conversion of arable land to grassland, winter soil cover, organic farming, and reduction of agricultural inputs.

*Soil:*

Conversion of arable land to grassland, set-aside (with green cover), grass strips, green cover during critical periods, terraces in the areas concerned by steep slopes, reduced tillage, ecological infrastructures (hedges and small plots).

*Delivery mechanism:*

The evaluators identified as conditions for the effectiveness of agro-environment measures aspects such as the clear definition of priorities at the programme level, information and training for farmers, and the reaching of a “critical mass”, i.e. the allocation of sufficient financial means.

Moreover, evaluators stated that delays in offering contracts to farmers caused by slow national procedures observed in some Member States also led to problems.

**Summary of recommendations**

- The elaboration of programmes and measures should start from a more participative process leading to the definition of quantifiable objectives.
- The effectiveness of measures depends on proper implementation. Moreover flexibility is needed with respect to adapting the implementation of AEM to the different regional or national context.
- A significant development of information, training, and support for farmers is needed to assure that all information necessary for the understanding of the issue and decision making is available.
- In order to achieve visible effects, agro-environment measures need to be applied to a sufficiently large area.
- The attractiveness of agro-environmental measures for intensive farms should be improved, as they remain, at the present time, mostly outside the schemes.
- An elaboration of the instructions for the authorities is advisable in order to assure that controls remain rigorous, but become more flexible and didactical.
- Development is needed with respect to monitoring and evaluation procedures and tools that put more focus on impact rather than on implementation and which are adapted to the diversity of issues concerned.

**Follow-up**

The findings, conclusions and recommendations of the evaluation are available for future adjustments of Rural Development Policies. Moreover, they are available to Member States for their establishment of rural development programmes for the period 2007-2013.

**Availability of the evaluation report**

Published at [http:// europa.eu.int/comm/agriculture/eval/index\\_en.htm](http://europa.eu.int/comm/agriculture/eval/index_en.htm)

## Synthesis of Rural Development Mid-term Evaluations

**Activities concerned:** 05 04: Rural development

**Scope of the evaluation:** Retrospective

**Timing:** Start date May 2004 End date December 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

The evaluation study concerned both objective 1 and non-objective 1 areas. It summarised and analysed the national and/or regional mid-term evaluation reports for rural development programmes and, based on these reports and other documents, examined the rural development policy financed by the EAGGF.

The evaluation study was considered to be an input for the updating of mid term evaluations in different regions/Member States as well as in the context of Member States' programming for the 2007 – 2013 period.

### Summary of findings and conclusions

The evaluations show a high degree of complementarity between rural development policy and Structural Funds; this entails a coherent co-operation between the relevant implementing authorities. It is however considered that synergy between rural development measures and the Structural Funds needs further encouragement.

The evaluation of the implemented measures reflects a high level of consistency with the respective policy objectives, with the following exceptions/comments:

- *Investment on farms:* The overall impact of the measure on the environment is difficult to establish, given its dispersed nature.
- *Young farmers:* The available evidence of the extent to which this measure contributes to the earlier transfer of farms is weak. The evaluators saw also little evidence of synergy with Chapter IV: Early retirement.
- *Early retirement:* There is only limited evidence supporting the idea that substantial transfers might occur earlier than would be the case in the absence of the measure.
- *LFA:* The extent to which compensation payments contribute to the aim of offsetting the economic implications of natural handicaps varies considerably and the degree of compensation provided depends on the type (severity) of LFA. Although no examples of over/under compensation were provided, the evaluators logically assume that those may exist.
- *Agri-environment:* Besides a generally positive conclusion on this measure, the evaluators pointed to that fact that the time was too short to see the full effect. Some of the indicators are criticised for relating to outputs rather than outcomes.

- *Investments in processing and marketing*: The evaluators concluded that this measure helped to improve quality, but saw difficulties, on the basis of the information available, to fully assess the extent of this impact.
- *Forestry*: The evaluators pointed to the fact that the time span was too short to see the full effect of the measure at the moment, when mid-term evaluations took place.
- *Adaptation and development of rural areas*: Some early evidence suggests an overall positive impact, but it is generally considered too early to assess the extent of this impact.
- *Delivery system*: Generally measures are considered to have coherent and mutually supportive objectives, although this does not always result in synergy. Some problems arose from the fact that the mid-term evaluations used DG Regio methodology and the Evaluation Questions set by DG Agri did not always correspond to that methodology.
- *Evaluation system*: It is felt that the common evaluation questions are sufficiently relevant to evaluate the quality of the rural development approach, with a few exceptions. Some of the proposed indicators are criticised in terms of their complexity, and the need for a greater flexibility in the use of indicators and evaluation questions was expressed.

### **Summary of recommendations**

The main recommendations derived from the evaluation (objective 1 and non-objective 1 areas) can be summarised as follows:

- a) *Overall objectives of Rural development*: Implementing authorities should ensure that the measures that they decide to implement form a coherent package at the programming level.
- b) *Young farmers*: a comprehensive and consistent survey of supported farmers could be undertaken at the EU level to establish the extent to which the scheme had an impact on their decision to set up and the extent to which the measure covered their setting up costs.
- c) *Less favoured areas*: There is a case for better targeting of the measure by reclassifying LFAs so as to ensure that payments are aligned more closely with natural and other handicaps, thus reducing the risk of possible over- or under compensation.
- d) *Agri-environment*: Longer-term scientific monitoring and evaluation, including the establishment of an ex-ante baseline, independent of financial programming periods, should be instigated to provide a proper assessment of outcomes in this area.
- e) *Investments in processing and marketing*: The links with other measures under the RDR, notably those promoting organic production, should be further encouraged in order to promote synergy along the supply chain.
- f) *Forestry*: Longer-term monitoring and evaluation, independent of financial programming periods, should be established to provide a proper assessment of outcomes in this area.
- g) *Evaluation system*: a smaller set of evaluation questions should focus on more broadly relevant issues such as income and employment, and greater freedom should be allowed to address the most relevant issues at local level. Indicators should be more capable to provide answers to the evaluation questions (e.g. more focused on outcomes rather than output), and greater effort should be made to establish suitable baseline. A greater degree of flexibility in the choice of indicators should be permitted, and, where possible, specified indicators should be simple. Regions/Member States should be encouraged to more efficiently feed back evaluations into better policy design. Monitoring systems should equally be more capable of facilitating evaluation.

**Availability of the evaluation report**

Published at [http:// europa.eu.int/comm/agriculture/eval/index\\_en.htm](http://europa.eu.int/comm/agriculture/eval/index_en.htm)



## Synthesis of Sapard Mid-term Evaluations

**Activities concerned:** 05 05: Special accession programme for agriculture and rural development (Sapard)

**Scope of the evaluation:** Retrospective

**Timing:** Start date February 2005 End date December 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

To assess at mid-term stage the results of the implementation of Sapard programmes in 10 accession countries between 2000 and 2003.

### Summary of findings and conclusions

The range of measures foreseen by Sapard is highly relevant to the programme's main objectives of contributing to the implementation of the *acquis communautaire* concerning the CAP and of solving priority and specific problems for a sustainable adaptation of the agricultural sector and rural areas in accession countries/new Member States.

Effectiveness of the programmes at regional or sector level was on the whole limited due to the late start of programme implementation, the relatively small Sapard budget compared to the overall rural needs, and absorption of funds rates, which until 2003 were significantly lagging behind what programmes envisaged. Nevertheless, where the Sapard projects were implemented, they clearly had the tendency to produce at project level the desired results in terms of increased income for beneficiary farmers and processors, better use of production factors, improved product quality in compliance with EU standards, better working conditions, improved rural infrastructure and perceived positive effects on quality of life in rural areas.

The programmes were on the whole found to be well focussed on the concrete needs of rural areas, but their internal coherence as well as the precise targeting of beneficiaries could be improved. Certain factors, including some eligibility conditions and application procedures, favoured projects submitted by larger beneficiaries. A certain level of dead-weight was identified particularly where support was granted to larger beneficiaries who acted in highly dynamic market segments and would have carried out their investments even without support from Sapard.

Despite partial under-performance and unnecessary complexities of the delivery system in some countries, Sapard has been a particular success in view of the building of administrative capacities in preparation of Structural Funds programmes after accession.

**Summary of recommendations**

Recommendations for improvements regarding the implementation of national Sapard programmes include: a review of administrative procedures and their reduction to the necessary minimum; attempts to strengthen the inner coherence of programmes and synergies between measures; a fuller use of the opportunities offered by all different measures to cater for the various rural needs, including an upgrading of the training measure and of efforts for the diversification of income sources; allowing for bottom-up planning and implementation of local development strategies; granting more support for smaller viable farms and businesses and for projects related to meeting EU standards and organic farming.

**Availability of the evaluation report**

Published at [http:// europa.eu.int/comm/agriculture/eval/index\\_en.htm](http://europa.eu.int/comm/agriculture/eval/index_en.htm)

**Study to Assess Communication, Information and Promotion Programmes  
Concerning Beef and Veal within the European Union**

**Activities concerned:** 05 08: Policy strategy and coordination of the Agriculture policy area

**Scope of the evaluation:** Retrospective

**Timing:** Start date December 2004 End date July 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

**Purpose of the evaluation**

To make a critical analysis of 15 communication programmes approved under Regulation 1358/2001 in 11 Member States, with a view to restoring consumer confidence in beef and veal following the BSE crisis.

**Summary of findings and conclusions**

The coherence of programmes with the objectives of the regulation was generally good but inconsistent; but the programmes were clearly coherent with the guidelines.

Impact and effectiveness were difficult to measure, firstly due to programme managers not keeping measurement of impacts and, secondly, the time lapse between programmes' closure and launch of the evaluation study.

A claimed absence of data precluded taking a view on the programmes' cost-effectiveness, except to say that they are unlikely to have had optimum cost-effectiveness in the absence of up-front cost-effectiveness analysis.

**Summary of recommendations**

The report's conclusion and recommendations include asking the Commission to insist that Member States focus more on communication principles and concepts in evaluating proposals before submitting them to the Commission. Proposals should have a better identification of needs and the Commission should be prepared to co-finance needs analysis.

**Follow-up**

The study will be used as an input for reflection on the future of the Agri Promotion Policy.

**Availability of the evaluation report**

Published at [http://europa.eu.int/comm/agriculture/prom/eval/beef/report\\_290705\\_en.pdf](http://europa.eu.int/comm/agriculture/prom/eval/beef/report_290705_en.pdf)

## Energy and Transport

e-mail address for information: [TREN-EVALUATION@cec.eu.int](mailto:TREN-EVALUATION@cec.eu.int)

### Ex post and Mid-term Evaluation of the Safety Assessment of Foreign Aircraft Programme (SAFA)

**Activities concerned:** 06 02: Inland, air and maritime transport

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date January 2005 End date May 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

#### Purpose of the evaluation

For managerial reasons, as a prerequisite for further support to this particular action programme, in order to continue or not with further funding for management and improvement of the programme.

#### Summary of findings and conclusions

- In order to assure air safety performance up to the highest international standards for flights in/to/from Europe, a widely accepted inspection programme is a clear necessity.
- In this way, the SAFA programme is needed and useful. It is a valuable complement to the duties of foreign National Aviation Authorities and to the ICAO audits.
- With evaluation ratings from good to excellent, except for one point still at average level (Database), the management by JAA is fully satisfactory. It is effective, efficient, and contributes to a good level of participation of most of the ECAC member states.
- In spite of a high level of involvement of the participating states, further improvement still may be advisable for the Database, and also in actions to reach better levels of participation in some member states. In the coming year, significant evolutions are foreseen, with entry into force of the EU Directive, and with transfers of duties from JAA to EASA.
- These evolutions may be used to reinforce SAFA, by bringing a legal basis to the programme.
- This will require particular attention to decide whether/how to continue participation of the non-EU ECAC member states.
- If the SAFA programme was not existing/continued, the EU would have to build-up an equivalent organisation to be able to manage actual application of its Directive.

**Summary of recommendations**

- For application of the EU directive, the EC has the choice between building up its own organisation, or continuing its contribution and use the existing SAFA programme. Considering the quality of the SAFA organisation and its present achievements, the solution of continuing seems preferable.
- The management by JAA is fully satisfactory. However, if future transfer of its duties to EASA is inevitable, it is essential to organise it when both organisations are ready for a seamless transition.
- Whichever choice is made, it is advisable to include in the future agendas discussions to decide how to continue inspecting aircraft of the EU members that are still considered as requiring vigilance, and also whether/how to continue participation of the non-EU ECAC member states.

**Follow-up**

Support for 2005 and 2006 has been approved, regulation for the transfer to EASA is proposed by comitology procedure, evaluation of Member States airlines has been included in the proposal for "blacklists of airlines".

**Availability of the evaluation report**

Published at

[http://europa.eu.int/comm/dgs/energy\\_transport/evaluation/activites/doc/reports/transport2005\\_safa\\_en.pdf](http://europa.eu.int/comm/dgs/energy_transport/evaluation/activites/doc/reports/transport2005_safa_en.pdf)

**Mid-term/Ex-post Evaluation of Road Safety Projects Financed during the Period  
1999-2004**

**Activities concerned:** 06 02: Inland, air and maritime transport

**Scope of the evaluation:** Retrospective

**Timing:** Start date December 2004 End date September 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

**Purpose of the evaluation**

The overall objective of the evaluation was to provide the European Commission with information on the results of the projects that the EU has supported financially from 1999-2004 as part of the implementation of the EU Road Safety Policy. However, the funded projects are only one part of the Commission activities in implementing the policy.

**Summary of findings and conclusions**

In general, the projects assessed in the evaluation are all relevant for the specific objectives and the Main Areas of Action in the RSAP, but the lack of clear and focused linkage between the Main Areas of Action and the overall problems and needs indicates that the overall focus of the RSAP is too broad, lacking a systematic development of the intervention logic and setting of indicators for later evaluations. Globally assessed, the funded projects most likely will contribute to a positive impact on road safety and can therefore be helpful for beneficiaries in member states, EC and other important stakeholders. Nevertheless, the magnitude and character of this positive impact is unpredictable. A majority of the projects have no description of the actual baseline (number of accidents realistic to influence). Furthermore, they deal with measures that are not considered priority measures with high efficiency according to e.g. a previous EC document describing priority road safety measures in EU.

On the basis of generally accepted knowledge about the sustainability of road safety effects, the assessment shows that the road safety projects tend to deal with types of measures having a long duration and a high degree of sustainability of impact.

**Summary of recommendations**

- In any future road safety action programme, the intervention logic, giving a clear description of the hierarchy of programme objectives, should be presented. It should include a description of the main problems and needs to be addressed, on the basis of statistics from the CARE database and the various international studies analysing the feasibility of different road safety measures.
- Future call for proposals should take their point of departure in a clear description of the programme objectives, including a description of the baseline situation for the issues in focus, as well as an indication of the timeframe for the expected impact.

The work started by DG TREN to establish performance indicators should be continued. This will support the prioritisation and monitoring of future evaluations on policy level. The CARE database will be an important element in this process.

- The setting up of objectives and targets should be adjusted:
  - Short-term targets, covering a timeframe of e.g. 5 years, should be established on the basis of the impact assessment carried out as part of the mid-term review of the RSAP. The targets have to be quantifiable, with clearly defined indicators.
  - Long-term objectives or a vision should be formulated to support long-term initiatives which cannot demonstrate impact in the short term.

The calls for proposals should request that tenders include an analysis of key partners from member states to be involved. This would ensure that all future projects exploit and build on road safety expertise available in all member states.

### **Follow-up**

One of the main points coming from the evaluation was that projects must be well defined with clear goals and specific objectives. To achieve this a change on the next call for proposals scheduled for 2006 will be made.

The call for proposals will be launched focusing on the Road Safety priorities. The evaluation criteria will be adapted to select projects more relevant to the Commission objectives. All the projects will have objective monitoring indicators.

### **Availability of the evaluation report**

Published at

[http://europa.eu.int/comm/dgs/energy\\_transport/evaluation/activites/doc/reports/transports\\_2005\\_n47\\_road\\_safety\\_expost\\_eval\\_en.pdf](http://europa.eu.int/comm/dgs/energy_transport/evaluation/activites/doc/reports/transports_2005_n47_road_safety_expost_eval_en.pdf)

## Evaluation of the Information and Communication (I&C) Activities of DG TREN - ManagEnergy

**Activities concerned:** 06 04: Conventional and renewable energies

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date September 2004 End date January 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

The purpose of the evaluation was to assess the results and to compile an overview of the performance of the website project (two ManagEnergy web sites [www.managenergy.net](http://www.managenergy.net) and [www.managenergy.tv](http://www.managenergy.tv), launched in March 2002 and May 2004 respectively), through analysis of the results from the survey and the consultations with stakeholders (deliverers, users) in order to orient the negotiations with the contractors of the new web providers.

### Summary of findings and conclusions

- *Level of awareness:* The number of registered users has increased steadily since the [www.managenergy.net](http://www.managenergy.net) website was launched in 2002. At the end of the evaluation period, there were more than 6,000 contacts on the mailing list and 2,000 organisations registered on the database. In comparison, there were 4,300 registrants for the weekly DG TREN Electronic Newsletter. Given that the latter list is probably a fair measure of a core of energy and transport actors across the EU, the size of the ManagEnergy database is impressive.
- *Achievements and impacts:* A measure of the achievements and impact of the web service is provided by the number of users and the positive responses received to the user survey. Strong participation by New Member States is particularly encouraging. The number of reports hosted on the website has increased steadily since launch. The degree of integration and therefore synergy between the web services and other aspects of ManagEnergy is high.
- *Perceived value to users:* The user survey provides ample evidence of the high value placed on the web service by its users. For example some 60 per cent of respondents find it the most important or one of the most important websites for information on energy efficiency and renewable energies. Overall, respondents felt that the website offers a high quality, user-friendly service.
- *Overall quality and value for money for the EC:* The overall quality of the service provided is high, based on level of use, together with user and stakeholder feedback. While it is difficult to make direct comparisons with other EU-funded websites, a brief review does provide evidence that, given the resources expended on ManagEnergy web services, value for money is being achieved.



### **Summary of recommendations**

Priorities for the future development of the two ManagEnergy websites to remedy the following weaknesses:

- The homepage should be restructured to fit the 800x600 screen resolution as it is estimated that about a third of users still use this format.
- The [www.managenergy.tv](http://www.managenergy.tv) website is significantly better than the [www.managenergy.net](http://www.managenergy.net) site in terms of its underlying structure and code. The latter is not state of the art.
- The poor underlying structure of the [www.managenergy.net](http://www.managenergy.net) site could be having a negative impact on download speeds.
- Accessibility (to disabled people) of neither site meets minimum standards, although again the [www.managenergy.tv](http://www.managenergy.tv) site is significantly better.
- However, any significant revisions of the structure to bring the [www.managenergy.net](http://www.managenergy.net) site up to current standards of best practice should be considered carefully in terms of cost/benefit.

### **Follow-up**

The follow-up is ensured in the two new service contracts signed concerning the ManagEnergy Initiative: The evaluation recommendations were carefully checked as regards to their relevance, analysed and discussed in the kick-off meeting for the two new ManagEnergy service contracts in January 2005. On this basis the updated web sites [www.managenergy.net](http://www.managenergy.net) and [www.managenergy.tv](http://www.managenergy.tv) were launched in June 2005 with new visual identity, legal and copy right notices, further updated content and improved structure in line with the latest EC decisions on accessibility. Based on this evaluation, this will be the third substantial web update of the ManagEnergy Initiative web site since March 2002.

### **Availability of the evaluation report**

Published at

[http://europa.eu.int/comm/dgs/energy\\_transport/evaluation/activites/doc/reports/energie/no39\\_managenergy\\_final\\_report.pdf](http://europa.eu.int/comm/dgs/energy_transport/evaluation/activites/doc/reports/energie/no39_managenergy_final_report.pdf)

## Evaluation of the SAVE Programme

**Activities concerned:** 06 04: Conventional and renewable energies

**Scope of the evaluation:** Retrospective

**Timing:** Start date August 2003 End date March 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

The SAVE Programme (Specific Actions for Vigorous Energy Efficiency) aims at improving energy efficiency by supporting non-technological actions in all sectors. More than 400 projects have been carried out under the SAVE Programme during the period under review. Most projects are studies. Others include ICT, educational, and communication projects.

To understand how and how much the results of SAVE projects influence decision-makers once projects are finished and to work out what actually happened to the project results over the medium to long term, the European Commission commissioned an evaluation of the Programme. The evaluation focussed mainly on the following issues:

- to learn more about the impacts of such energy efficiency pilot actions on the market,
- to improve dissemination of results and impacts of SAVE projects and the SAVE programme,
- to improve visibility of the SAVE programme,
- to guide ongoing and future projects,
- to provide input for the management and development of the SAVE programme.

### Summary of findings and conclusions

**Focus of the SAVE Programme:** The geographical distribution of the contractors is well balanced, as far as the country of origin concerns. However, private parties which consume most energy are yet underrepresented as target groups.

*Dissemination:* The general conclusion is that dissemination - the spreading of project results outside the organisations that were involved in the project - is common practise and an integral part of projects. In most cases multiple instruments are used. However contractors regularly consider it the closing part of a project and tend to use a least cost least effort approach. While individual projects have met their objectives and have generally been successfully undertaken, their influence can be significantly increased by greater availability and dissemination of results through the SAVE Programme itself. Due to a low accessibility of information regarding SAVE projects a huge potential for the dissemination and impact of the SAVE Programme is lost.

*Influence on decision makers:* Interestingly and importantly more than 75% of the people who are aware of the SAVE Programme are also influenced by it. Furthermore a decision maker is on average influenced some 5 times by SAVE projects with the influence being judged as

“important” (one of many important factors).

As such further optimization of projects within the current scope of the SAVE Programme will only lead to limited improvement as the influence from individual projects is already relatively high.

*Impacts:* Concerning the effects of decisions influenced by the Save programme it has proven impossible to quantify the amount of energy saved. Only in exceptional cases were respondents capable of mentioning the amount of energy saved or the amount of emission of CO<sub>2</sub> that was avoided. Decisions influenced by SAVE have a broad range of impacts. The most common type of impact is the raising of awareness. This is followed by investments. Institutional, financial, legislative and socio-economic impacts are the smallest categories. The impact a project has is not directly related to the influence it has. A limiting factor on the impact that SAVE has, is the extent to which projects can be or are implemented. A number of projects seem to be successful within the scope of the project but appear to be difficult to implement.

*Organisation:* The linkage between policy and the SAVE Programme is not always clear.

From a project perspective SAVE is overall a successful programme. However, significant possibilities exist for improvement in dissemination and influence.

### **Summary of recommendations**

Improvement at the programme level is possible: With management tools such as a projects database and monitoring tools the awareness of the Programme, the accessibility and availability of information will improve and the involvement of private parties can be enlarged. A public relations campaign would aid this greatly.

Consultation rounds with a broad spread of stakeholders as to what kinds of projects are most desired would aid the Commission in approving projects with high relevance. Tying the project more strongly to prevailing and anticipated policy and trends will make the programme more relevant to more stakeholders, especially in the private sector. This can be aided by assessing projects for their influence and impact potential. A two round approach whereby at first only concepts are submitted, followed by invitations to proceed for those considered appropriate will attract more parties to take part in the project selection process. Describing at the application stage the intended target group, how they intent to reach them, and what dissemination strategy will be employed will ensure greater influence and impact. A budget strategy supporting dissemination and exposure of projects to relevant stakeholders will prevent the disappearance of information that could otherwise have had a great impact.

### **Follow-up**

The Annual work programme (AWP) consultation of the Programme Committee and feedback from project reporting ensure that the programme properly follows policy priorities in the short-term (over a given year). Precise guidelines are given to evaluation panels for each call within the broader AWP framework.

The encouraging on-going experience of delegation of the bulk of programme management to the IEEA, with its compact, effective organisational structure and sufficient complement of highly qualified staff, is already providing an invaluable input in terms of hands-on experience 'in the field' with practical project implementation, which will be taken fully into account in the design of ongoing programme management incl. as regards DG TREN responsibilities. This ongoing process, both to the end of the current programme, and under the conditions of the CIP, should be fully harnessed to promote timely and flexible adaptation to the developing demands of the

energy efficiency market.

Arrangements for a dissemination monitoring tool are currently under development by the IEEA.

**Availability of the evaluation report**

Published at

[http://europa.eu.int/comm/dgs/energy\\_transport/evaluation/activites/doc/reports/energie2005\\_save\\_final\\_report\\_en.pdf](http://europa.eu.int/comm/dgs/energy_transport/evaluation/activites/doc/reports/energie2005_save_final_report_en.pdf)

**Final/Ex post Evaluation of the Organisation for Promotion of Energy Technologies  
(OPET Network) 1999 – 2005**

**Activities concerned:** 06 06: Research related to energy and transport

**Scope of the evaluation:** Retrospective

**Timing:** Start date June 2004 End date June 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

**Purpose of the evaluation**

The purpose of the study was to assess the efficiency of the contracts concluded between 1999 and 2002, to measure their effectiveness in respect to the given objectives, the sustainability of the effects as well as an analysis of their utility comparing effects with needs, problems and issues to be addressed. Furthermore the evaluation should provide conclusions and recommendations about the final decision on the opportunity of continuing with the new planned projects and how to improve them.

**Summary of findings and conclusions**

1. The dissemination of energy technology and policy information was identified as the key service provided by the OPET Network: It is highly successful in particular in international collaboration, i.e. transfer and exchange of information and experiences. It promoted EU technology successfully in third countries, most notably in China, India and Latin America. It disseminated EU policies in the EU and was also successful as support for implementation of EU policies in accession and candidate countries.
2. The OPET Network was efficient in terms of achieving short-term impacts/results. Expenses appear reasonable suggesting that results were achieved at reasonable costs, but the level of contract resources is not always reflected in the scope of output/results.
3. The sustainability of the established networking relations was evaluated to be very high. Evidence suggested that ideas for new projects and activities evolved naturally and frequently from OPET collaboration. These were subsequently submitted under FP6, Intelligent Energy Europe and other programs.
4. The results of the evaluation show a mixed outcome of some of the OPET activities. This leads to the necessity to define more clearly objectives, tasks and performance indicators of any future activity in this field.
5. The performance of the network was hindered by insufficient allocation of human resources for coordination and management tasks within the Commission (Final Report, par. 4.2.8, page 44 ff).

Based on the findings the contractor clearly recommends the Commission to continue with similar networking activities building on the most successful results of the present OPET Network to promote energy-related issues, i.e. focussing on dissemination of marketable technologies in the

EU and third countries and support to implementation of EU policies.

It is particularly important to fit these network activities into the overall context of the energy demand activity, especially the Energy Intelligent – Europe programme and its related activities. The recommendations might be implemented under the 7th RTD Framework Programme. For the time being a bridging activity is undertaken within the 6th RTD Framework Programme, the Thematic Promotion and Dissemination.

#### **Summary of recommendations**

The contractor recommends the Commission to continue with similar networking activities building on the most successful results of the present OPET Network to promote energy-related issues, i.e. focussing on dissemination of marketable technologies in the EU and third countries and support to implementation of EU policies. It is particularly important to fit these network activities into the overall context of the energy demand activity, especially the Energy Intelligent – Europe programme and its related activities. The recommendations might be implemented under the 7th RTD Framework Programme. For the time being a bridging activity is undertaken within the 6th RTD Framework Programme, the Thematic Promotion and Dissemination.

#### **Follow-up**

The implementation of the recommendations depends on the fundamental question whether the Commission decides to continue to support a network for dissemination of energy results or to rely exclusively on the dissemination actions undertaken within each RTD contract. As support to the design of a dissemination strategy it was suggested to the hierarchy to carry out a horizontal evaluation of energy-related promotion activities in all relevant programmes.

#### **Availability of the evaluation report**

Published at

[http://europa.eu.int/comm/dgs/energy\\_transport/evaluation/activites/doc/reports/recherche\\_2005\\_opet\\_en.pdf](http://europa.eu.int/comm/dgs/energy_transport/evaluation/activites/doc/reports/recherche_2005_opet_en.pdf)

## Transport of Dangerous Goods: Evaluation of the Community Policy in the Domain since 1994

**Activities concerned:** 06 07: Safety and protection of energy and transport users

**Scope of the evaluation:** Retrospective

**Timing:** Start date January 2004 End date April 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

To carry out an evaluation on the results of the adopted EU policy on the Transport of Dangerous Goods since 1994 and give recommendations for the future.

The study was meant to

- analyse the present national rules governing the TDG in the current Member States as a result of Community legislation, including the impact of exemptions;
- describe and analyse the real-life conditions under which the TDG is carried out in Europe;
- describe, which dangerous good is transported when, where and in what quantities in Europe;
- describe and analyse the level of danger of these transports, both from the viewpoint of safety and of security;
- give recommendations for levels of safety and security to be met in relation to different types of road infrastructure.

The results should be instrumental in devising a longer-term policy in the domain.

### Summary of findings and conclusions

The main purpose of the report was to review the impact of the various Directives that have been implemented by the Commission to standardise the rules for the transport of dangerous goods within the Member States. The main Directives are the two Framework Directives for RID (Regulations concerning the International Carriage of Dangerous Goods by Rail)/ADR (European Agreement concerning the International Carriage of Dangerous Goods by Road).

Member States are content with the two Framework Directives. They do not consider that any new Directives are required in this area. In principle, they are content to see the Directives merged and provisions for Inland Waterways included. However, those States with no international inland waterways carrying freight or waterways solely within in a national territory or no railways (Malta and Cyprus) require safeguards to ensure that they do not have to apply waterway or railway provisions in their territory. Several countries observed that they were content to apply the International Maritime Dangerous Goods Code – suitably adapted – to the few commercially navigable waterways in their territory.

Only about one third of Member States have stated that they would become contracting parties to the ADN (European Provisions concerning the International Carriage of Dangerous Goods by

#### Inland Waterway) Convention.

The rest have indicated no interest and wish to be excluded from any Directive that addresses inland waterways.

The analysis was carried out for three surface modes of transport – road, rail and inland waterway. Within the 15 Member States of the EU in 2002(EU-15) and based on tonne/km, road transport has the largest share of the dangerous goods traffic (58%) while rail transport and inland waterway represent 25% and 17% respectively.

Using the tonne/km measure, analysis of the 12 years showed that the growth in dangerous goods transport was less dynamic than the development of goods transport volumes. Overall growth was 31% but dangerous goods were only 13%.

Overall, the consultants believe that the current set of EU Directives covering the transport of dangerous goods in land transport have proved a valuable addition to safety in the transport and trade in dangerous goods. The Directives and associated annexes provide a comprehensive coverage of all aspects of the dangerous goods regulations.

#### **Summary of recommendations**

The Central Rhine Commission and the Danube Commission already duplicate most of the work of ADN, so the consultants question the added value of an EU Inland Waterways Directive which does not apply to all Member States.

*Infringements/ data from the Uniform Procedures Directive (95/50/EC):* Member States must be urged not to incorporate additional questions in the new form and reporting system. The Commission should plan to analyse the results and discuss the findings at the TDG Committee. Consideration should be given to a Uniform Procedures Directive for railway traffic.

*Derogations:* The majority of the derogations could be turned into Multilateral Special Agreements under RID or ADR.

The method of presentation of derogations to the EC needs to be revised.

*Security:* The consultants consider that there is need for the EC to

- Carefully watch the development especially for the road mode.
- Remind Member States and industry of their duty to apply all the provisions of RID/ADR on security.
- Support a "platform" for sharing best practice among the Member States.
- The DGSA (Dangerous Goods Safety Adviser) Directive should be extended to sea and air transport.

*Implementation and Enforcement Harmonisation:* The EC should consider whether to assist countries with difficulties in the role of the competent authority due to limited understanding of the regulations.

*Incident data:*

- There should be a reporting system that addresses daily minor occurrences.
- There may be merit in having a standard DGSA report (a list of minimum requirements)
- Make it a requirement that reports are sent to the competent authority annually.
- The analysis of such returns could be considered by the TDG Committee.
- A European database on incidents should be considered.



The Commission via trade contacts should consider assisting the standardisation of the dangerous goods transport rules between Europe and the Russian Federation and the CIS republics.

Council Directive 99/36/EC on transportable pressure equipment (TPED): It is perhaps worth considering revoking a regional system in favour of the international multimodal system of the UN.

Many Member States need to co-ordinate better between the modal agencies in their countries.

The EC should ensure that Member States:

- implement and apply the Directives in a standard and consistent manner,
- promote projects that would be of benefit to all Member States that the EC could oversee, such as risk analysis and research into the problems such as harmonised limited quantities,
- act as a point for liaison and analysis of problems.

Ensure greater co-operation in the fields of enforcement particularly at a multimodal level.

The co-operation should extend to ensuring standard application of testing and approval schemes for items such as packagings, tanks etc.

There is a need for better co-ordination within the EC concerning dangerous goods regulation. It is not recommended that the EC becomes a party to ADR.

#### **Follow-up**

The evaluation has been discussed in the Committee on the transport of dangerous goods.

On the basis of the evaluation, some actions have already been taken, some are under preparation, some have still to be reflected, and the Committee most probably will propose some further measures in the forthcoming meetings.

#### **Availability of the evaluation report**

Published at

[http://europa.eu.int/comm/dgs/energy\\_transport/evaluation/activites/doc/reports/safety\\_2005\\_dangerous\\_goods\\_1\\_en.pdf](http://europa.eu.int/comm/dgs/energy_transport/evaluation/activites/doc/reports/safety_2005_dangerous_goods_1_en.pdf)

## Environment

e-mail address for information: [ENV-EVALUATION@cec.eu.int](mailto:ENV-EVALUATION@cec.eu.int)

### Evaluation of the Community Action Programme in the Field of Civil Protection, the Community Mechanism to Facilitate Reinforced Cooperation in Civil Protection Assistance Interventions and the Marine Pollution Cooperation Framework

**Activities concerned:** 07 03: Environmental programmes and projects

**Scope of the evaluation:** Retrospective

**Timing:** Start date February 2004 End date June 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

#### Purpose of the evaluation

- To identify the possibilities for developing a single instrument for civil protection under the new financial perspectives covering the period 2007-2013.
- To measure the Community added-value of the individual actions carried out under the different programmes.

#### Summary of findings and conclusions

##### *Relevance of the programme*

The civil protection action programme and the Marine Pollution Community framework, as originally conceived, are still relevant and their objectives do not need to be updated.

##### *Coherence and complementarity*

The three instruments are coherent and complementary and overlaps are minimised by DG ENV coordination.

##### *Effectiveness and efficiency*

Specific results have been achieved at community, national, regional and local levels, such as the improvement in public information, education, and awareness raising, or a contribution to increase the level of preparedness. The transparency and the effectiveness of the actions could be improved through systematic assessments and dissemination of project results.

##### *Impact and sustainability*

The impacts of the three instruments in the achievement of their objectives at Community, national, regional and local levels has been positive, mainly facilitated through the creation of networks, whose robustness and dynamism will underpin the sustainability of the results. Individual actions have led to improvements in the Member States, in the form of a strengthened networking, a better understanding between countries, and improvements of national training.

**Summary of recommendations**

- Merging the action programme with the Community Mechanism, while leaving the marine pollution programme as an individual instrument.
- A simplification of the project application procedure.
- An in-depth assessment of the added value of Community Mechanism interventions outside Europe.

**Follow-up**

- The proposal for a Council Regulation establishing a rapid response and preparedness instrument for major emergencies will incorporate the civil protection action programme and the Community civil protection Mechanism. A follow up will be given to the current marine pollution programme.
- An amendment to the Mechanism is to be adopted by the end of the year. , strengthening the Mechanism in four key areas: transport of civil protection assistance, Community support to assistance interventions, coordination of interventions in third countries, and early warning.
- An info-day to clarify financial implications of projects will be organised.

**Availability of the evaluation report**

Published at [http:// europa.eu.int/comm/environment/civil/pub-news.htm](http://europa.eu.int/comm/environment/civil/pub-news.htm)

## Evaluation of the Implementation of the Community Action Programme Promoting NGOs Primarily Active in the Field of Environmental Protection

**Activities concerned:** 07 03: Environmental programmes and projects

**Scope of the evaluation:** Retrospective

**Timing:** Start date December 2003                      End date November 2005

**Organisation of the evaluation:**                       external evaluation                       internal evaluation with external support                       internal evaluation

### Purpose of the evaluation

To determine the effectiveness of the programme and its continued relevance.

### Summary of findings and conclusions

The overall conclusions indicate that the Programme established by Decision 466/2002/EC is useful and has been effective in meeting its objectives. The Programme's consistency and coherence was evaluated on the basis of economic and political economy theory showing that the arguments used to justify such support, i.e. improving the balance of power between the various stakeholders, from the intervention logic, has proven critical for beneficiaries in allowing them to achieve their current levels of activity across the enlarged EU-25, as well as across all subject areas with deeper civil society involvement in EU environmental policy development and implementation.

#### *Programme effectiveness:*

- almost equal distribution of the total amount of funding between the main five thematic areas;
- involvement of EU NGOs in the development and implementation of EU environmental policy/ legislation has increased through increase in staff, better organisational structures, improved professionalism, all partly attributed to the Programme;
- important multiplier effects in terms of the increased involvement of small regional/local NGOs as manifested by their participation in more thematic fields, dissemination and public awareness-raising activities and in allowing networks to better co-ordinate the work and objectives of individual members, with positive effect and impact on EU policy-making. Despite these improvements, there is still substantial variation in NGO involvement.

#### *Beneficiary effectiveness:*

- Beneficiaries have increased both the volume and quality of their contributions, manifested by a greater rationalisation in resources and increased cooperation and synergy between beneficiaries.
- Beneficiary participation in stakeholder consultation meetings and public hearings has increased although this does not always reflect the real level of political influence that NGOs can exert on policy-making but demonstrates a more balanced representation of the interests.

*Programme relevance:*

- vital in the maintenance of beneficiary involvement at the current level of activity;
- effort needed to address capacity building in the EU-10 given the currently low participation of these and candidate countries;
- clear added value, both in funding EU-wide policy objectives, and supporting thematic fields and geographic regions where other sources of funding may not be available;
- direct impact by enabling beneficiaries to strengthen the European element of their ‘parent’ organisation’s global strategic thinking.

The Programme has contributed to increasing public awareness in Europe on environmental issues. The application of the ‘degressivity’ rule may have implications for the Programme’s utility. The beneficiaries’ public profile is often raised by the co-financing requirement (multiplier effect), however, some activities would cease without this type of funding.

**Summary of recommendations**

The results of discussions with beneficiaries and DG ENV policy Units have demonstrated that there is consensus on the continuation of the Programme essentially in its current form of operating grants (core-funding) allocated on an annual basis.

Two particular suggestions for an alternative design to the programme, in the event of its continuation, were examined. Both were overwhelmingly rejected by beneficiaries:

- The first related to multi-annual funding, particularly in the form of “Framework Partnership Agreements” (as prescribed by the Financial Regulation), which provide for multi-annual cooperation but with annual commitments. These agreements were largely perceived by beneficiaries to be difficult to implement, higher risk, potentially increasing their vulnerability and compromising their independence.
- The second related to other forms of support, such as via action grants or service contracts, which were perceived to be useful complementaries but not alternatives. The Programme is appreciated for providing core-funding support, which is vital for beneficiaries’ involvement at the current level of activity while maintaining their flexibility and independence and for which no other source of funding can be found.

The evaluation underlines the need to ensure that the NGO Operating grants will not be covered by the rule of decreasing funding in art. 113.2 of the Financial Regulation (‘degressivity rule’).

This will be achieved through of the current text of the proposed LIFE + Regulation, where there is an exemption from this rule for operating grants to bodies pursuing objectives of general European interest. According to article 5 of the LIFE + Regulation such operating grants may not be subject to the degressivity provisions of the Financial Regulation.

The evaluation recommends an increase in the resources dedicated to the management of these operating grants. This would not only facilitate a timely implementation of all stages of the grant cycle. It would also make it possible to actively work for an improved access to the programme for applicants from new Member States, applicant countries and Balkan countries.

Finally, the evaluation recommends that the Commission undertakes extensive consultations with the beneficiaries (as was the case when the present Programme was drafted, but also with other comparable Community actions of NGO co-financing), to discuss options for its continuation post 2007.

**Follow-up**

Given that, overall, the implementation of the Programme during 2002-04 meets the objectives set out in the legal base, the evaluation recommends that the Programme should continue beyond the current programming horizon, under LIFE+

The overall objective for NGO support under LIFE+ should remain as it was originally set out in the 6th EAP: To facilitate for NGOs to participate fully in the stakeholders's dialogue during the environmental policy making and implementation. It is up to the Commission to ensure that this objective is met in the most effective and efficient way.

**Availability of the evaluation report**

Not yet available.

**Mid-Term Assessment of the Co-operation Framework to promote Sustainable Urban Development (Decision 1411/2001/EC)**

**Activities concerned:** 07 03: Environmental programmes and projects

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date March 2004 End date October 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

**Purpose of the evaluation**

It should be noted that the mid-term evaluation is in fact taking place after the Decision has ended. The reason is that the date foreseen in the Decision (March 2003) was too premature (no project could have been completed by then; few projects running). The DG, in agreement with the Commissioner, considered it appropriate to

- postpone the evaluation until the first results are available and
- outsource the evaluation to a consultant to get an objective appraisal of the results achieved so far.

In addition, the efforts made to focus the 4th call on more defined objectives already implied an internal assessment of the Decision and a will to improve its usefulness.

The Mid-Term assessment is a requirement set up in Art. 13 of Decision 1411/2001/EC. This assessment will also bring policy recommendations for the future and where possible, feed into the Thematic Strategy for the Urban Environment.

**Summary of findings and conclusions**

It is important to note that despite attempts at a balanced representation of stakeholders, the majority of respondents were beneficiaries of the programme. Therefore, the findings should be read within this context.

The Cooperation Framework's calls and subsequently funded projects and activities are relevant to the evolving Thematic Strategy, but are of less direct relevance to the original Decision. This being said, the evidence that the calls have become more refined and focused on the developing policy needs over time suggests that an effective learning process is underway.

The projects and activities are also relevant to the 'evolving needs' of local authorities, with the focus on networks and projects that encourage exchange of experience and the dissemination of good practice particularly relevant, as towns and cities work jointly to overcome similar problems in implementing urban sustainable development.

Given that many projects are not yet complete, and others were not meant to produce concrete outputs, the quantification of any direct environmental benefits has been impossible to establish. However, later projects have been more specific in their potential results suggesting positive environmental impact in the longer term, and more policy focussed thereby contributing to political decisions that resulted in changes at the local level.

Beneficiaries expressed concern about the initial decision-making delays regarding selection of projects for funding, however, it was acknowledged that this has improved over time and was due in most part to the lack of clarity in the Decision's text and sufficiently good proposals for funding.

To date, the Cooperation Framework appears to provide a distinct and worthwhile funding stream, providing an exclusive funding mechanism for projects that promote urban sustainable development, with pan-European networks being of particular added value.

### **Summary of recommendations**

In relation to the future funding, there is a need for stakeholders to be better informed about available mechanisms, to think more about how good practice should be exchanged at EU level, to fund effective networks for awareness-raising and to consider the possibility of funding ongoing projects/networks, if they are considered to have a proven Community-added value and are being managed effectively.

In relation to LIFE+, it is important that funding reaches the local authorities with the greatest need, both in terms of resources and improvement in their urban environment, through transparent selection procedures that consider a suitable level of co-financing from the Commission.

### **Follow-up**

LIFE+ and other future funding measures will be important vehicles for the delivery of the Thematic Strategy on the Urban Environment requiring pro active measures to be taken to ensure that projects promoting urban sustainable development should be funded not only through LIFE+ but also future structural funds.

### **Availability of the evaluation report**

Published at <http://europa.eu.int/comm/environment/urban/pdf/promote.pdf>



## Evaluation of the IMPEL Network

**Activities concerned:** 07 04: Implementation of environment policy

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date January 2004 End date November 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

A stocktaking exercise to assess the efficiency, effectiveness & utility of the network and establish potential for changing the scope of activities.

### Summary of findings and conclusions

IMPEL is a Network of the implementation and enforcement authorities of 30 countries – all Member States of the European Union, four Candidate and Accession countries (Bulgaria, Romania, Croatia and Turkey), as well as Norway. The Commission is also a member of IMPEL, co-chairs its Plenary Meetings and also provides the Secretariat. The Commission also provides the budget.

In its 13 years of existence IMPEL has turned into a widely known informal organisation which encourages the exchange of the best practice on the ground. As a result of this work, IMPEL activities are mentioned in a number of legislative tools (Council Resolution of 7 October 1997 on the drafting, implementation and enforcement of Community Environmental law; 6th Environment Action Programme; Recommendation 2001/331/EC of the European Parliament and of the Council of 4 April 2001 providing for minimum criteria for environmental inspection; Council Regulation of 29 April 1999 amending Regulation (EEC) No 1210/90 on the establishment of the European Environment Agency and the European Environment information and observation Network.)

The evaluation focused on two main questions and was based on answers by participants in the return to a questionnaire:

- Assessment of the Network's achievements, in particular, what progress it has made as regards work on the Recommendation for Minimum Criteria for Environmental Inspections.
- What should be the future of the Network in particular the financial and budgetary issues? As regards the status of the Network, would it be advisable to give the Network a legal status under any national law and what would be the most appropriate organisation form?

### Summary of recommendations

1. The main added value is seen by all Member States in the informal exchange of experiences and information.
2. There was, however, a marked difference of opinion whether or not IMPEL added value between EU10 and EU15, the former being more enthusiastic than the latter.

3. There was also a difference of opinion on what the role of the Commission should be with a majority in function of the status quo i.e. the Commission playing a relatively passive secretariat role.
4. There was no enthusiasm for a change in legal status, based on fears that any change would endanger the advantages of the present, loose structure.

#### **Follow-up**

The Commission is obliged, under Article IX of the RCMEI to submit a report on the operation and effectiveness of the Recommendation. In May 2003 the Member States, with contributions from IMPEL and all accession countries, as well as the candidate countries Bulgaria and Romania reported on point VIII of the Recommendation providing form minimum criteria for environmental inspections (2001/331/EC).

The Commission reviewed the reports on the operation and effectiveness of recommendations and will submit to the European Parliament and the Council a report accompanied by a proposal for further development in March 2006. It should, in parallel, examine the extent to which the operation of IMPEL serves the environmental objective of the Community environmental policy; and propose any appropriate changes.

#### **Availability of the evaluation report**

[http://europa.eu.int/comm/environment/pubs/pdf/impel\\_network.pdf](http://europa.eu.int/comm/environment/pubs/pdf/impel_network.pdf)

## Research

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### Evaluation of INTAS Activities 1992-2004

**Activities concerned:** 08 08: Specific measures covering a wider field of research

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date January 2005 End date November 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

#### Purpose of the evaluation

In 2004, INTAS (The International Association for the Promotion of Co-operation with Scientists from the New Independent States (NIS) of the Former Soviet Union) organised its own Impact Assessment evaluation: the "Idenburg" evaluation. In order for the Commission to have its own independent evaluation on INTAS, the evaluation "Evaluation for an Impact Assessment of INTAS Activities 1992-2004" was carried out. This evaluation is also a prospective evaluation considering the transformation of INTAS statutes, and its transition/liquidation period immediately after 31 December 2006 in order to meet all legal obligations.

#### Summary of findings and conclusions

- There must be a transition/liquidation period for the INTAS organisation immediately after 31 December 2006 in order to meet all legal obligations.
- The impact evaluation reveals strong support for maintaining the functions achieved thus far by INTAS.
- Future European endeavours can profit from the experience and expertise accumulated during the course of INTAS.
- Perhaps the most crucial conditions for the success of the INTAS function have been its flexibility and lean bureaucracy.

#### Summary of recommendations

INTAS can contribute substantially to research related tasks particularly within international cooperation and SMEs.

In the legal sense there are many options to consider when planning for the future organisational set-up in which the INTAS functions and expertise might be preserved. Only some of the legally viable options are feasible and realistic in terms of current policy and timing.

The INTAS functions and/or expertise might best fit within an executive agency of the EC.

**Availability of the evaluation report**

Paper or electronic copy available on request from [rtd-evaluation@cec.eu.int](mailto:rtd-evaluation@cec.eu.int)

## Evaluation of the Specific Programme International Science and Technology Cooperation (INCO) under the Fifth Framework Programme (1998-2002)

**Activities concerned:** 08 08: Specific measures covering a wider field of research

**Scope of the evaluation:** Retrospective

**Timing:** Start date January 2005                      End date September 2005

**Organisation of the evaluation:**                       external evaluation                       internal evaluation with external support                       internal evaluation

### **Purpose of the evaluation**

To perform an analysis of the impact of INCO's activities on the generation of societal impact and in relation to strengthening human and institutional capital relevant to the international challenges it set out to contribute to address. Emphasis is on programme level in conjunction with at least some initial comparative analysis with international S&T cooperation of other OECD, non-EU, countries and organisations.

### **Summary of findings and conclusions**

- Pioneering role for integrating Candidate Countries.
- Contribution to knowledge and capacity building in partner countries and regions, essential for solving problems and using e.g. European approaches and technologies.
- EU researchers gained access to knowledge landscapes in other parts of the world.
- EU forged alliances e.g. in international negotiations thanks to prior international Science and Technology (S&T) cooperation.
- EU S&T cooperation agreements become more important for fulfilling policy objectives; but currently, there are no resources against such Agreements.
- Coordination with Member States and other policies was a difficult and under-resourced remit.
- S&T policy dialogues for priority setting has translated into practical follow-up in INCO, but not sufficiently in thematic priorities.
- These processes need to continue and be amplified to overcome fragmentation and support the development of an overarching international strategy, also in view of FP7.

### **Summary of recommendations**

- Capitalise on the INCO legacy as an asset.
- Scale up multi-stakeholder platforms for durable research partnerships.
- Establish simpler procedures.
- Communicate international S&T cooperation more effectively.
- Intensify networking within the DG and with other stakeholders commensurate with the

geopolitical characteristics of international S&T cooperation.

- Coordination activities need accrued attention and resources to overcome ‘disconnects’.
- Programme focus and targeting need to be policy sensitive and communicated effectively.
- Future management might take the identified focus on international cooperation in the Capacities Programme of FP7 as a starting point for pro-active coordination of all international cooperation activities also in the Cooperation and Peoples SPs to ensure coherence.

**Availability of the evaluation report**

Paper or electronic copy available on request from [rtd-evaluation@cec.eu.int](mailto:rtd-evaluation@cec.eu.int)

**Evaluation of the Marie Curie Fellowships under 4th and 5th Framework Programmes of Research and Technological Development of the EU (1994-2002)**

**Activities concerned:** 08 10: Structuring the European Research Area

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date June 2003 End date June 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

**Purpose of the evaluation**

To have an independent evaluation designed to assess the impact of the Marie Curie European Fellowships of 4<sup>th</sup> and 5<sup>th</sup> Framework Programmes (FP4 and FP5) (1994-2002).

**Summary of findings and conclusions**

The evaluation showed that the main impacts of the Marie Curie European Fellowships schemes of FP4 and FP5 have been the following:

- Raising quality of the research in Europe: They have a prestigious reputation for the quality of the international peer review evaluation, for the level of remuneration and also for offering conditions that allow equal opportunities for researchers with families.
- Increasing new skills: both scientific and complementary skills especially in the academic environment.
- Fruitful combination of different backgrounds and knowledge exchange also intergenerational.
- Encouraging mobility, for instance most of the postgraduate fellows would not have moved without this funding.
- Retaining researchers in Europe that otherwise would have gone to third countries
- Improving networking both in creating new links and developing existing connections.
- Providing full time dedication to research and therefore capacity to explore new areas.
- Increasing productivity in numbers of publications, patents, conference participation, etc.
- Industry hosts provided fellows with exposure to commercial environments.
- Developing research careers in Europe through keeping researchers in research, increasing their professional status and creating a scientific European identity.
- The schemes have been a demonstration of best practice.

**Summary of recommendations**

- The schemes should continue in the new Framework Programmes
- The free choice of disciplines should be continued
- Levels of remuneration at least at the present levels should be continued
- There is a need to encourage industry participation and if relevant encourage supervisors to engage their fellows in on-going intersectorial collaborations

**Follow-up**

The recommendations have been taken into account in the design of the Fellowships schemes in the Proposal for a COUNCIL DECISION concerning the specific programmes "People" and "Capacities" implementing the 7th Framework Programme (2007-2013) of the European Community for research, technological development and demonstration activities (COM(2005) 442 final.)

**Availability of the evaluation report**

Published at

[http:// europa.eu.int/comm/research/fp6/mariecurie-actions/pdf/impact\\_fellow\\_en.pdf](http://europa.eu.int/comm/research/fp6/mariecurie-actions/pdf/impact_fellow_en.pdf)



## Evaluation of the Science and Society Action Plan

**Activities concerned:** 08 10: Structuring the European Research Area  
08 81: Policy strategy and coordination for DG RTD

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date September 2004 End date June 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

To evaluate the Science and Society Action Plan (SASAP, adopted by the Commission in December 2001). The results of the evaluation will influence subsequent proposals related to Science and Society in the context of the 7th Framework Programme.

### Summary of findings and conclusions

#### *Key Findings*

- The evaluation identified and mapped 272 activities in 30 of the 38 Actions of the SASAP. Of those, 71 under the public awareness theme 57 under science education and careers, 36 under the ethical dimension in science and technology.
- Half of the activities were classed as “recent” between 2002 and present across the EU25. 62% of a national scope across the EU25, with 27% having some form of international component or European dimension.
- A third of activities have been influenced by the Science and Society Action Plan and many of them are in line with its strategies. In part, the Science and Society Action Plan are considered as a result of their activities.
- Wide range of initiators including: national governments 30%, European Commission 24%, research bodies 13%, civil society organisations 4%, and private sector 2%.
- Equally wide range of implementers including: nat.gov 26%, networks 19%, research bodies 18%, educational institutions 15%, civil society organisations 6%.
- Diverse range of funding sources, with the majority coming from: nat. gov. 29%, European Commission 22%, national agencies 7%, educ.institutions 5%, private sector 3%.
- Budgets varied: EU15: € 1Million, New MS: € 0.5Million.

#### *Key Conclusions*

- Most activities in the Member States across all themes appear to be in line with the Science and Society Action Plan’s strategies.
- The effect of the Science and Society Action Plan is dependent upon the particular policy context and policy review process at national level:

- In most EU-15, the effects do not necessarily refer to the Science and Society Action Plan unless they had a recent policy review;
  - In the New MS, Science & Society policies tend to be more recent, and they more frequently refer to the Science and Society Action Plan.
- The Science and Society Action Plan's role in national policy is largely implicit.
  - But a 'booster' effect of the Science and Society Action Plan gives added momentum to activities on national political agendas.
  - "Grassroots" activities have been reinforced with increased attention and funding.
  - In some cases there are explicit links to national policy (FI, MT, SI).
  - Science and Society Action Plan "clusters" of Member States, under the auspices of the Comité de Recherche Scientifique et Technique (CREST), and FP6 activities have assisted the development of European networks on Science and Society issues, but SASAP has a fairly low visibility at national level.
  - There is a lack of funding schemes for Science & Society activities, particularly in the New MS.
  - There is a need for greater communication and dissemination of EC and National Policy \_at national level.

#### **Summary of recommendations**

- A need for more communication or dissemination at national level.
- A consecutive style Action Plan, with clear steps and priorities, could facilitate implementation and coherence with national strategy.
- Mechanisms for monitoring and sharing knowledge on good practice could increase the impact of national and international cooperation.

#### **Follow-up**

This evaluation aimed to map the extent and characteristics of Science and Society initiatives across Europe (EU national, regional), to understand the influence of Science and Society Action Plan, to gain insight into factors and dynamics at play and identify lessons learned. As such, it does not call for a direct follow-up by the Commission services in the frame of the FP6 implementation, but its findings and conclusions could be used as a 'baseline' against which to measure the impact of the Science and Society Action Plan on national policy and Science and Society activities in future.

#### **Availability of the evaluation report**

Paper or electronic copy available on request from [rtd-evaluation@cec.eu.int](mailto:rtd-evaluation@cec.eu.int)

## Mid-term Synthesis Report on the Integration of Socio-economic and Foresight Dimensions (SED) in FP6

**Activities concerned:** 08 81: Policy strategy and coordination for DG RTD

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date January 2005 End date April 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

The integration of socio-economic and foresight dimensions (SED) across the Framework Programmes (FPs) has been a feature of FPs since FP4. Its importance and potential benefits have become even more important since FP5 when the socio-economic dimension for EU RTD policy took on a new breadth in its contribution to the major objectives of the EU, including the Lisbon strategy and sustainable development.

At the point where FP6 reached its mid-term and preparations for FP7 were under way, a specific review was launched to assess the level of SED Integration in FP6.

This review is built on reports and specific information provided by the Commission services. In addition, an analysis of documents related to the SED in EU RTD policies and the FPs has been carried out. Also the reports from high level advisory groups, like EURAB and the SSH-ERA Advisory Group provided important insights and contributed substantially to the definition of conclusions and recommendations set up in support to the preparation of FP7.

### Summary of findings and conclusions

In particular, this report highlights both the successes but also the significant unrealised potential and importance of SED within EU FP's, in support to the realisation of the socio-economic objectives of European research in relation to, on the one side, the creation of the ERA and, on the other side, the Lisbon agenda.

The main conclusion from the present review is that the approach of integrating SED into the research and technological development activities under the FP should be maintained but further developed and strengthened.

### Summary of recommendations

Therefore, it is recommended that in the next FP a well conceived concept of research and technological development is applied, that utilises the benefits of integrating natural and engineering sciences and SED. This will support well founded decisions and choices to be made in the pursuit of new research results and in decisions in the course of shaping new technologies. Of course, the definition and importance of appropriate criteria will depend not only on the specific thematic activity area but also on the position of the research activity relative to application.

A multi-dimensional interpretation of technology integrates

- natural and engineering sciences' dimensions: disciplinary perspectives, and related criteria values; and
- social, economic and human sciences' dimensions: disciplinary perspectives, and related criteria and values.

The groups of criteria and values, such as e.g. functionality, competitiveness, prosperity, economic efficiency, security and safety, health, as well as human and societal factors, are also related to possible impact areas.

It is also emphasised that in future Community RTD activities the integration of the SED should be supported by a convincing multi-dimensional concept of technology that is perceived as beneficial by scientists and researchers. Socio-economic criteria and impacts respectively should be integrated in the evaluation criteria again, however, in specific ways according to the requirements of the different activity areas. Researchers with socio-economic background should be stronger involved in the FPs at all levels – in the design state, as partners in projects, and as evaluators at project and programme level. Appropriate measures should be taken to intensify interdisciplinary interaction and collaborative learning.

Also in FP7, the coordinating and monitoring function of the socio-economic Directorate should be ensured, and the work of the Socio-economic Correspondents Group should be continued and supported.

In order to provide analytical tools and measures for the monitoring of the involvement of different disciplines in the FP it is proposed that a classification scheme for scientific disciplines of persons and organisations is introduced across the whole FP. The SESAM IT application will provide first interesting quantitative insight in the participation of socio-economic researchers in FP6 soon.

Finally, it has to be emphasised that the foundations of a successful cooperation of natural and engineering sciences and socio-economic sciences have to be laid by substantial changes and the application of modern concepts in the education and training of engineers and social and economic scientists

#### **Follow-up**

This review study and recommendations provided a strong incentive and relevant input to the recent works of EURAB (European Research Advisory Group) on Social Sciences and Humanities and FP7. EURAB adopted and also published a set of recommendations to the Commission in support to the preparation of FP7.

#### **Availability of the evaluation report**

Published at [http://ftp.cordis.lu/pub/citizens/docs/sed\\_report\\_final\\_050720.pdf](http://ftp.cordis.lu/pub/citizens/docs/sed_report_final_050720.pdf)

## Monitoring 2004: Implementation of Activities under the EC and Euratom Framework and Corresponding Specific Programmes

**Activities concerned:** 08 81: Policy strategy and coordination for DG RTD

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date May 2005 End date August 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

As requested in the decisions on the Framework programmes (art 5.1 of the Fifth Framework Programmes -FP5- and articles 6.1 1513/2002 and 5.1 2002/668/Euratom of the Sixth Framework Programmes -FP6-), this exercise assesses, for activities conducted in 2004, the implementation of European Research Area (ERA), the Sixth Framework Programmes, the Fifth Framework Programmes and the follow up of on-going activities initiated under FP4; it proposes recommendations for introducing best management practices and possible adaptations of the work programmes as regards efficiency, lessons learned and achievements.

### Summary of findings and conclusions

The experts underlined that after 20 years of implementation, the fundamental concepts of the FPs have been highly successful not only through their continuous enabling of RTD hotbeds on a European scale but also as role models for Member States' RTD programmes.

So successful has FP6 been so far that in some areas the competition for funding has far exceeded the availability of funds. The Panel shared the Commission's concern about oversubscription and welcomes all activities to overcome it.

The experts also considered that in 2004 the implementation of FP6 has reached a steady state and that intensive preparations for FP7 were underway.

### Summary of recommendations

#### *Recommendations:*

- improve the learning process as concerns new instruments (Technology Platforms, ERANETs, Networks of excellence);
- clarify rules of recognition of the Technology Platforms;
- create an horizontal line in the Cooperation programme of FP7 to support institutional cooperation between Member States;
- develop New and Emerging Science and Technology (NEST) like activities in thematic priorities and the Cooperation programme of FP7;
- earmark budget for International Cooperation (INCO) in the thematic priorities;
- implement the proposals for a new evaluation system under FP7 (internalisation of

monitoring, replacement of the Five Year Assessment by a mid-term evaluation of the ongoing FP and an ex post of the past FP.

*Suggestions/comments:*

- to develop a vision on infrastructures for the next 20 years;
- to invest in capacity building in new Member States rather than setting of fixed quotas in thematic priorities;
- to consider new approaches for the management of the Marie Curie contracts in the context of a probable increase of the budget without corresponding increase of the staff.

**Follow-up**

- Presentation of the Monitoring report to the Horizontal Programme Committee of the Sixth Framework Programmes in the perspective of the adoption of FP7;
- preparation of official Commission services replies to the Monitoring report's recommendations/comments and examination of their follow up in the Interservices RTD Evaluation Network.

**Availability of the evaluation report**

Published at [http://ftp.cordis.lu/pub/fp6/docs/monitoring\\_2004\\_final\\_v4.pdf](http://ftp.cordis.lu/pub/fp6/docs/monitoring_2004_final_v4.pdf)

## Information Society

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### Analysis of Impacts of Benchmarking and the eEurope Actions in the Open Method of Co-ordination (OMC)

**Activities concerned:** 09 04: Research and technological development on information society policy

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date December 2003 End date March 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

#### Purpose of the evaluation

The study was focused primarily upon two features of the OMC, namely benchmarking and exchange of best practice. Benchmarking involves the quantitative comparison of achievements in each Member State using an agreed set of indicators. Exchange of best practice involves peer-based qualitative identification of best practices, in specific areas of development and its documentation and promotion.

The main task of the study was to evaluate the effectiveness of the OMC approach in the delivery of the eEurope goals. Specifically the study was meant to:

- identify and test methodologies for evaluating the impact and effectiveness of benchmarking and exchange of good practice in meeting eEurope goals;
- provide recommendations on the nature of measures for which benchmarking and actions to support exchange of best practices would be optimal;
- examine how OMC could be applied and adapted to better support the Lisbon goals and in particular more coherent policy and programme development across all information society initiatives.

#### Summary of findings and conclusions

The assessment of the effectiveness of the Open Method of Co-ordination in the context of the eEurope Action Plan has highlighted the strengths and weaknesses of “benchmarking” and the activities to support exchange of experience and good practice. These findings will be reflected into the final evaluation of the eEurope Action Plan in 2006.

**Availability of the evaluation report**

Published at

[http://europa.eu.int/comm/dgs/information\\_society/evaluation/studies/s2003\\_03/index\\_en.htm](http://europa.eu.int/comm/dgs/information_society/evaluation/studies/s2003_03/index_en.htm)



**Evaluation of Networks of Collaboration between Participants in IST Research and their Evolution to Collaborations in the European Research Area (ERA)**

**Activities concerned:** 09 04: Research and technological development on information society policy

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date December 2003 End date March 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

**Purpose of the evaluation**

The study addressed the following objectives:

- To assess the degree to which IST researchers in Europe collaborate with colleagues in other European countries compared with others in their own country; and the degree to which research on the information society is integrated across the European Research Area (ERA).
- To assess how the integration of IST research in the European Research Area is changing as a result of the introduction of the new instruments and structures for the 6th Framework Programme.
- To assess measures of the performance of co-operating alliances, as well as of the entire network across the ERA.

**Summary of findings and conclusions**

FP6 network participants are more tightly interconnected than they were in FP3, 4 and 5: IST RTD projects in FP6 are more closely connected than they were in FP5; an organisation in one project is likely to be partnering participants in another project. The IST-RTD network is a 'small-world', and the IST-RTD in FP6 is more likely than other IST research collaboration networks to connect universities and businesses, and different research themes. It is also more likely to include organisations from new Member States, SMEs, and key patent-holders.

- When compared to other IST RTD networks, the Framework Programme provides a major integrating function by drawing together these participants and sectors at the European level.
- FP6 participants are likely to be part of other European-level programmes such as COST or EUREKA. However, FP6 is far better integrated and inclusive than these other programmes.
- The connectedness of the FP6 IST network flows through a much larger number of alternate routes, making the network more resilient. FP6 not only makes the ERA as a whole more resilient, but increases the odds of diversified knowledge exchanges among participants, reincorporating knowledge created in other activities such as COST. In addition to the above, it was found that for the new instruments (IPs and NoEs) the density of the links is higher (120 per project in FP6 versus 22 in FP5). However, large institutes and companies are more dominant in FP6 acting as 'gate-keepers' of collaboration, particularly in relation to SMEs. As a result, the smaller companies have been 'crowded out' compared with FP5, and this is borne

out by the statistics of decreased SME participation in FP6 IST.

**Follow-up**

The results of this study have been fed into follow-up studies that are continuing to analyse the dynamic and networking aspects of IST RTD. This is also being extended to Information Society deployment activities.

The results and findings of these evaluative studies will make contributions to ex-post evaluations of FP6 IST and mid term evaluations of FP7 IST.

**Availability of the evaluation report**

Published at

[http:// europa.eu.int/comm/dgs/information\\_society/evaluation/studies/s2003\\_01/index\\_en.htm](http://europa.eu.int/comm/dgs/information_society/evaluation/studies/s2003_01/index_en.htm)

## Evaluation of Progress towards a European Research Area for Information Society Technologies

**Activities concerned:** 09 04: Research and technological development on information society policy

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date December 2004                      End date December 2005

**Organisation of the evaluation:**                       external evaluation                       internal evaluation with external support                       internal evaluation

### Purpose of the evaluation

- To assess whether and in what domains European research organisations are leading “knowledge hubs” in global collaboration networks for IST-RTD, and how the Integrated projects and networks of Excellence supported at EU-level are positioned in global networks;
- To analyse what makes these leading “knowledge hubs” effective, what are their success factors and key characteristics; and provide recommendations on what has to be done to facilitate the development of new leading “knowledge hubs” in predetermined or emerging technical areas;
- To assess whether this “collaboration leadership” defined in terms of networking links matches EU research leadership in terms of outputs, results and impacts (e.g. standards, patents, scientific papers etc.) and to recommend what might be done to optimise the role of “knowledge hubs” in exploitation of research through innovation;
- To assess whether the collaboration networks for IST-RTD supported in the 6th FP are sufficiently inclusive of National research networks, COST and EUREKA, and of the networks of SMEs involved in ICT supply chains and application innovations, with appropriate ranges and mixes of disciplines;
- To investigate the networks of collaboration, dissemination and exploitation of knowledge associated with the mobility of scientists and engineers between universities and companies, and between Member States (at Regional level), including through the Human capital and Mobility support in the 6th FP.

### Summary of findings and conclusions

IST-RTD Programmes have very positive effects for the network connectivity of the European information and communication sector in terms of:

#### *Attracting key actors to the European IST Knowledge Network*

- IST-RTD Programmes attract Global Hubs. IST-RTD projects are able to attract Global Hubs whether these Hubs are based in Europe or not. More than half of the top 25 Global Hubs participate in the examined IST-RTD Programmes, a percentage that rises steeply if organisations are weighted according to their network ranking.

- IST-RTD Programmes tend to attract the Hubs of Member States. The examined IST-RTD Thematic Area programmes tend to include a good share of the top Knowledge Hubs of most of the EU15 Member States. Probably due to the timing, the programmes include fewer such organisations from new Member States.

*Creating and strengthening the connectivity among actors*

- IST-RTD Programmes create linkage additionality. IST-RTD projects add new and complementary links to existing linkages.
- IST-RTD Programmes incorporate key organisations that are both IST-RTD Hubs and Global Hubs. Mostly private sector companies, these organisations play a critical role as gate-keepers, effectively putting in contact organisations involved in IST-RTD with the broader global network of collaborations in information and communication technologies. Gatekeeper organisations are at the crossroads of information and knowledge flowing both within IST-RTD projects and within strategic alliances around the world.
- Integrated Projects (IPs) play a critical role in connecting IST-RTD participants to the rest of the world. Integrated Projects are responsible for a very large fraction of ties in the IST Applications Network and the IST Development Network. Moreover, IP linkages account for a major part of overall connectivity among Hubs. IPs are found to be an effective instrument in terms of connecting Global Hubs to IST-RTD Hubs and, through them, connecting many other IST-RTD participants to the broader Global IST Network. For companies, NoEs seem less effective than IPs in that particular role.

*Generating and diffusing new knowledge effectively*

- Hubs are effective in producing and diffusing knowledge. Gatekeeper organisations – simultaneously Global Hubs and IST-RTD Hubs - are the most effective in terms of both enriching the network with new knowledge and facilitating the dissemination of knowledge among network members. In turn, IST-RTD Hubs are more effective than other IST-RTD participants in terms of both producing and disseminating new knowledge. IST-RTD Hubs also contribute to the dissemination of knowledge by playing a very significant role in the mobility of inventors among European IST organisations. The evaluation analysis has also identified two other features of the European information and communication technology industry and of the IST-RTD programmes that deserve attention:

*Few European organisations are Top Global IST Network Hubs*

- Relatively few European companies can be characterised as Hubs in the Global IST Network. A relatively small percentage of Global IST Network Hubs have been identified as organisations headquartered in Europe.

*Few of the highly technologically dynamic SMEs are part of the IST-RTD Programme*

- IST-RTD involves innovative SMEs but there is still a lot of room for improvement. SMEs do not and probably cannot, play central roles in the IST networks and therefore are not Hubs. Importantly, a large share of the most highly technologically dynamic SMEs does not participate in the IST-RTD programmes.

**Summary of recommendations**

Hubs are important for providing the underlying linkage infrastructure that maintains vibrant IST network communities where knowledge is produced and diffused effectively. They also have distinct characteristics compared to other organisations in the IST network. The findings of this study lead to a few policy recommendations.

- Promote the IST-RTD activities in the Research Framework Programme in order to maintain the connectivity and robustness of the European IST Network.
- Make certain that Global Knowledge Hubs participate.
- Expand the global reach of European IST-RTD Networks.
- Facilitate further development of existing European IST Hubs and their accession to highly ranking Hubs in the Global Network.
- Investigate the causes of limited participation by smaller, highly dynamic companies in the IST-RTD Programmes and ways to encourage their participation. Nurture new European IST Hubs.
- Maintain a balance of instruments, especially instruments with the characteristics of IPs and STRePs.
- Be conscious about the resulting network structure when allocating IST-RTD resources. The desired network structure could conceivably be translated into a project selection criterion.

**Availability of the evaluation report**

Published at

[http://europa.eu.int/comm/dgs/information\\_society/evaluation/studies/s2004\\_02/index\\_en.htm](http://europa.eu.int/comm/dgs/information_society/evaluation/studies/s2004_02/index_en.htm)

## **Preliminary Analysis of the Contributions of the EU Information Society Policies and Programmes to the Lisbon and Sustainable Development Strategies**

**Activities concerned:** 09 04: Research and technological development on information society policy

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date January 2004 End date March 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### **Purpose of the evaluation**

The objective of the study was to identify the contributions of all DG Information Society policies and programmes to the Lisbon and Sustainable Development Strategies in 2000-2003 and recommend means and actions for greater synergy between them beyond 2005.

The key aims of the analysis were to assess:

- Strengths, weaknesses, gaps and potential synergies in the DG Information Society activities; and opportunities for greater synergy and impact in the future;
- Ways to strengthen the linkage between the “Information Society” and the Lisbon Strategy goals;
- Opportunities for systematic engagement of business and civil society in implementation of a coherent strategy.

### **Summary of findings and conclusions**

Overall, the policies and programmes undertaken by DG Information Society between 2000 and 2003 have made a positive contribution to the goals of the Lisbon and Gothenburg Strategies.

In certain policy areas good synergies can be identified, in others the situation is weaker. Strengthening such synergies is a critical challenge for DG Information Society.

### **Summary of recommendations**

In order to strengthen the linkages between the information society and the Lisbon goals in the future we suggest that DG Information Society adopt an approach that integrates the RTD, regulatory and deployment activities around a limited number of themes. This will also enhance the opportunities to develop beneficial synergies between RTD, regulatory and deployment activities. Based upon the evidence available it was suggested that actions in six areas should be considered:

- Encouraging implementation in the public sector
- Promoting internet security and trust
- Supporting research and innovation in the IST sector

- Strengthening competition and the internal market
- Underpinning developments in skills and the labour market
- - Working towards environmental and social sustainability

**Follow-up**

The study results were taken into account in the drafting of the i2010 strategy. The study was followed up by internal DG INFSO consultations on how to best improve synergies between regulatory deployment and RTD initiatives.

**Availability of the evaluation report**

Published at

[http://europa.eu.int/comm/dgs/information\\_society/evaluation/studies/s2003\\_04/index\\_en.htm](http://europa.eu.int/comm/dgs/information_society/evaluation/studies/s2003_04/index_en.htm)

## Direct Research

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### JRC User Satisfaction Survey 2005

**Activities concerned:** 10 02: Directly financed research operating appropriations  
– sixth framework programme (2002 to 2006) – EC  
10 03: Directly financed research operating appropriations  
– sixth framework programme (2002 to 2006) – Euratom

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date May 2005 End date September 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

#### Purpose of the evaluation

The legal basis of the evaluation of Community research activities is formulated in Article 6 of both Decisions on the EC and Euratom Sixth Framework Programmes and in the Decisions on the specific programmes.

In implementing the Specific Programmes for nuclear and non-nuclear research under the Sixth Framework Programme for Research the JRC supports European policy makers through its direct research. The purpose of the User Satisfaction Survey is to

- measure users' satisfaction (inside and outside the Commission) with JRC products/services;
- collect information regarding strengths and weaknesses of JRC's products and services;
- collect information concerning users' needs and expectations regarding JRC products/services.

#### Summary of findings and conclusions

The user survey carried out among clients inside an outside Commission services observed a positive trend in user satisfaction. There was an average degree of satisfaction with the quality of JRC products and services of roughly 82% for both types of users. In particular, users expressed their satisfaction with the scientific quality and the relevance of JRC's work to their needs. Nevertheless, there is still room for improvement at the level of project management.

Although it is obvious for users that alternatives to JRC do exist both nationally and internationally, the contribution of JRC is considered as essential for external users as well as internal users.



**Summary of recommendations**

- More efficient attention and resources should be devoted to management, improved normalised and top-down management procedures for monitoring and control of projects should be set, especially at institute level in order to homogenise the treatment of projects;
- All projects should be better integrated within an overall strategy at institute level in order to direct and prioritise the use of human and technical resources. Not only this will help with the lack of staff capacity but also it will increase the coherence of the actions of the JRC;
- Communication on JRC's Institute/Directorates, resources, activities as well as strategy should be improved and systematised toward internal and external users.

**Follow-up**

The constant level of user satisfaction regarding project management is being discussed within the JRC Total Quality Management Group. Conclusions and follow-up actions at corporate level are expected in the first quarter of 2006.

To obtain in the future results with more specific indications for improvement actions a redesign of the user survey is under discussion.

**Availability of the evaluation report**

For the internal use of the Commission only.

## Periodic Action Review (PAR)

**Activities concerned:** 10 02: Directly financed research operating appropriations  
– sixth framework programme (2002 to 2006) – EC  
10 03: Directly financed research operating appropriations  
– sixth framework programme (2002 to 2006) – Euratom

**Scope of the evaluation:** Retrospective

**Timing:** Start date May 2005 End date September 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

In implementing the Specific Programmes for nuclear and non-nuclear research under the Sixth Framework Programme for Research the JRC supports European policy makers through its direct research. The purpose of the Periodic Action Review is to evaluate the performance of JRC actions according to the three groups of criteria:

- policy impact
- scientific output
- competence building

### Summary of findings and conclusions

This year's PAR exercise was the first fully fledged internal evaluation of the roughly 100 scientific actions of the JRC.

The main purpose of PAR is to produce objective and comparable quantitative data for the actions to provide fact-based support for decisions of the senior management, e.g. for Work Programme planning, resource allocation and strategic planning.

The importance of PAR-scores for resource allocations and corrective measures cannot yet be established in a first year of application, since solid conclusions about the performance of an action cannot be drawn on the basis of one individual measurement point in time. The expectation is that a time series of action performance over three years could justify corrective measures.

The one-off PAR scores of this year do give a first impression of poorly performing actions, but the actions need to be checked individually to fully appreciate whether low score is due to poor performance, poor provision of action data about the performance or – and there are some actions like that – that the activities are such that the action will not score high on the criteria of policy support, science output or competence. Therefore one important conclusion is that the tool cannot be applied without individual check of the reason for a "low performance" score and that we should always establish the reason for a "low-performance" score in dialogue with the action leader and that the tool cannot be applied without individual check of the reason for a "low performance" score.

**Summary of recommendations**

Besides detailed insights at the level of the roughly 100 actions, the following recommendations regarding the methodology could be derived:

- the implementation of PAR should be done within 3 months
- PAR reviews too much: too many criteria, too many indicators. Therefore the evaluation will try to simplify the indicator set and analyse whether the 3 criteria (policy support, scientific results and competence building) are meaningful and need all 3 to be maintained to arrive at a meaningful result.

**Follow-up**

The next PAR exercise is presently being prepared with the aim of reducing evaluation cost, as well as reducing and refining the set of indicators and criteria used.

**Availability of the evaluation report**

Published at [http://www.cc.cec/home/dgserv/jrc/dwnld/docs/rd/eval/par2004\\_report\\_final.pdf](http://www.cc.cec/home/dgserv/jrc/dwnld/docs/rd/eval/par2004_report_final.pdf)

## Fisheries

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### Ex post Evaluation of the Fisheries Agreement with Gabon and Ex ante Evaluation and Impact Assessment of a New Protocol

**Activities concerned:** 11 03: International fisheries

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date December 2004 End date June 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

#### Purpose of the evaluation

Analysis to be used within the framework of the preparation of the negotiation of a new agreement and protocol and their subsequent management.

#### Summary of findings and conclusions

The ex post evaluation shows that the protocol to the fisheries agreement may be regarded as effective overall, since it helps to achieve support for the presence of European fishing fleets in distant fishing grounds.

Analysis of the agreement's efficiency shows that it is possible to generate about €2.6 in value added for the Community areas dependent on fisheries for every €1 invested by the EC.

#### Summary of recommendations

- Ongoing fisheries relations between Gabon and the EC: both Gabon and the EC would be losers if there were no agreement.
- Introduction of an exclusivity clause: the justification for this is to allow the Community to retain control of the European vessels that apply for licences.
- Maintenance of tuna capacity only: given the uncertainties surrounding the state of the resource and the possible impact of trawler fishing in Gabon, the study recommends keeping only those tuna capacities whose impact can be assessed ex ante.
- Technical conditions for the operation of fleets: the measures for tuna vessels in the current protocol are satisfactory and may be renewed. If fishing rights for trawling are retained, it is recommended that their technical conditions be better defined than in the previous protocol: the fishing ground concerned, mesh sizes, the possibility of introducing selectivity devices, species authorised with, as appropriate, maximum percentages for other species.
- Monitoring and supervision of fleets: the possibility of putting observers on board tuna vessels can be maintained, even if it is not feasible for logistical reasons. As to reporting

requirements, these are provided for in the current protocol and should be renewed.

- Landings in Gabon: for tuna vessels, it is recommended that compulsory landings in Gabon should not be imposed, so as not to distort the principle of free competition between West African ports.
- Areas of cooperation between Gabon and the EC: the study recommends that the development of scientific opinion in support of fisheries management is the priority area for cooperation. Surveillance of fishing grounds is the second priority area, to be developed through a transfer of know-how so that strategies can be worked out for controlling the activities of vessels in the Exclusive Economic Zone.

#### **Follow-up**

The main results of the evaluation have been already communicated to the Member States and the European Parliament. It is foreseen to make these main results available on the DG FISH internet website after the adoption of the new agreement by the Institutions.

#### **Availability of the evaluation report**

Not yet available to the public.

**Ex post Evaluation of the Fisheries Agreement with Guinea Bissau and Analysis of the Impact of the Future Protocol on Sustainability, Including an Ex-ante Evaluation**

**Activities concerned:** 11 03: International fisheries

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date May 2005 End date December 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

**Purpose of the evaluation**

Analysis to be used within the framework of the preparation of the negotiation of a new agreement and protocol and their subsequent management.

**Summary of findings and conclusions**

The renewal of the Agreement appears to be strongly in the mutual interests of both the European Community and the partner country. However, if the dysfunctional policy framework of the partner country with respect to the management of the fishery and the allocation of fisheries access rights are not addressed, then there is a significant risk that the efficiency of the Agreement will continue to decline, to the point where it will fail to deliver the economic benefits to the European shrimp trawl operators.

The net benefit to the European Community was €29.0 million/year, with a cost advantage of 3.74, indicating a highly favourable arrangement for the Community. However, due to the decline in shrimp prices in 2004, sales revenues declined to an estimated €27 million in 2004, suggesting a significant reduction in efficiency of the Agreement in the second half of the Protocol.

**Summary of recommendations**

- Costs of access: A reduction in the licence fee would improve the efficiency of this component of the Agreement and ensure continued uptake by the fleet.
- Financial disbursements: the dual signature measure introduced for disbursement of support measure funds has proven to be an effective means of ensuring transparency and it is therefore recommended that this measure be retained in any future protocol.
- Fishing Gears: it is recommended that in future a component of the support measures be directed specifically at strengthening the research on by-catch and discards and developing the legal basis for those measures found to be technically and economically appropriate and feasible.
- Maximum by-catch retention rates.
- Catch declarations: the requirements with respect to catch declaration need to be retained in a future protocol, but the procedures for their verification should be more clearly specified, along with stronger sanctions for non-submission. The renewal of the Protocol should also be

accompanied by the support measures for the strengthening of the observer programme. It is also recommended that the Commission ask the Member States to remind the vessel operators of their responsibilities.

- Observer programme: there is a need to retain the observer programme in a future Protocol, but use the support measures to achieve a significant upgrade in capacity.
- Employment on board: the crew employment should therefore be retained in the future Protocol. However, it is noted that some vessel operators have experiences of underperformance of Guinea Bissau crew designated by the Guinea Bissau authorities, and this right should not be retained.
- Fish landings: it is recommended that the measure be withdrawn.
- Priority partnership areas :
  - An improved management for sustainable exploitation of fisheries.
  - Continuation of the support for the development and implementation of the fisheries Monitoring, Control and Surveillance system and its legal basis.
  - Development of a wider fisheries policy framework which can adequately address the fisheries development potential of Guinea.

#### **Follow-up**

The main results of the evaluation have been already communicated to the Member States and the European Parliament. It is foreseen to make these main results available on the DG FISH internet website after the adoption of the new agreement by the Institutions.

#### **Availability of the evaluation report**

Not yet available to the public.

**Ex post Evaluation of the Fisheries Agreement with Mauritania and Ex ante Evaluation and Impact Assessment of a New Protocol**

**Activities concerned:** 11 03: International fisheries

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date May 2005 End date September 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

**Purpose of the evaluation**

Analysis to be used within the framework of the preparation of the negotiation of a new agreement and protocol and their subsequent management.

**Summary of findings and conclusions**

The ex post evaluation shows that the protocol to the agreement is effective as regards supporting distant Community fleets and safeguarding the European market for fisheries products. The agreement has contributed to the development of the Mauritanian sector by boosting trade between the private sectors of both parties, but has not been altogether effective since there were few stops by European fishing vessels in Mauritanian ports, which prevented the creation of local value added. The agreement has not been effective as regards promoting responsible fishing. The lack of transparency in the activity of European fleets in the Mauritanian Exclusive Economic Zone helped to frustrate the establishment of a dialogue in this respect.

On average, €1 invested by the EC generates €1.77 in Community value added, for the benefit mainly of the fisheries dependent areas from which the vessels come.

**Summary of recommendations**

On the basis of the results of the ex post evaluation, recommendations have been made to ensure that the future protocol minimises undesirable environmental, social or economic impacts while preserving the substance of the objectives of the fisheries agreements policy as approved by the Council. The recommendations also seek to increase the effectiveness and efficiency of the agreement. Broadly speaking, the study recommends maintaining current fishing rights except for a reduction in the cephalopod segment to take account of the state of the stock. The efficiency of the agreement will be improved, if the financial contribution reflects negotiated capacities more fully so as to respect the commercial dimension. It is recommended that there should be a shift from public private equilibrium to ship-owners paying a larger share of the cost of access; however, licences are expensive and only some categories can be increased without compromising vessels' profitability.

The study sets out a number of recommendations which it is anticipated will make licences more attractive for the private sector; this will benefit the Mauritanian segment as well.



**Follow-up**

The main results of the evaluation have been already communicated to the Member States and the European Parliament. It is foreseen to make these main results available on the DG FISH internet website after the adoption of the new agreement by the Institutions.

**Availability of the evaluation report**

Not yet available to the public.

## Ex post Evaluation of the Fisheries Agreement with Senegal and Ex ante Evaluation and Impact Assessment of a New Protocol

**Activities concerned:** 11 03: International fisheries

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date December 2004 End date September 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

Analysis to be used within the framework of the preparation of the negotiation of a new agreement and protocol and their subsequent management.

### Summary of findings and conclusions

The ex post evaluation shows that the current protocol is effective as regards support for distant Community fleets and for employment in the sector. It is less evident that the objective of safeguarding the supply of the European market has been achieved, given the limited quantities caught compared with the total needs of the Community market, but it is possible to safeguard the supply of products of a speculative nature, such as cephalopods or shrimps and prawns.

On average, €1 invested by the EC generates €1.50 in Community value added, for the benefit mainly of the fisheries dependent areas from which the vessels come. Economic analysis shows that the Community investment is not efficient, given the high cost of the agreement vis à vis the economic benefits it generates, as compared with other mixed or tuna agreements.

### Summary of recommendations

The partnership provided for under the next protocol will have positive effects, if it concentrates on the areas which are missing or which deserve to be strengthened further. According to the report, it is necessary to support the restructuring of the Senegalese fisheries sector and to take environmental considerations into account in the management of fishing grounds, so as to move towards an ecosystem approach. Scientific research and the supervision of fishing grounds should also be eligible for a partnership with the Community.

### Follow-up

The main results of the evaluation have been already communicated to the Member States and the European Parliament. It is foreseen to make these main results available on the DG FISH internet website after the adoption of the new agreement by the Institutions.

**Availability of the evaluation report**

Not yet available to the public.

## Ex post Evaluation of Transnational Projects for Innovative Actions in the Fisheries Sector

**Activities concerned:** 11 06: Structural interventions for fisheries

**Scope of the evaluation:** Retrospective

**Timing:** Start date January 2005 End date June 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

The objective of the study was to provide an assessment of the 'innovative actions' through an evaluation of each of the 10 projects for innovative actions financed in the framework of the call for proposals published in the Official Journal No C 132 of 4 June 2002 (IA projects) and other 5 projects for innovative actions among those financed by the Financial Instrument for Fisheries Guidance (FIFG), in the framework of the operational programmes for the 2000-2006 period (OP projects).

The assessment covered for each project: scope and effectiveness; efficiency of the project; quality of the monitoring system and final evaluation; effectiveness of the dissemination mechanism; operational capacity of the organisations in charge of the project; sustainability of the innovative actions.

The objective was to determine whether Innovative Action projects or Operational Programme projects were more successful.

### Summary of findings and conclusions

With regard to the operational capacity of the organisations in charge of the project, the scope and effectiveness, the efficiency, the quality of the monitoring system and the sustainability, the Operational Programme projects are more performing than the Innovative Action projects.

Regarding the effectiveness of the dissemination mechanisms, both types of projects present some weaknesses.

### Summary of recommendations

The evaluation recommended two options:

- To reinforce the Innovative Actions (IA) by targeting them to more specific topics, promoting their "pilot" aspect and increasing their budget, and to make them more attractive for the local/regional authorities and the professional organisations;
- Another option would be to stop the Innovative Actions after the closure of the Innovative Action projects selected in the framework of the 2003 call. The arguments for doing so are: the operational programmes are more in line with the needs of the fisheries sector due to their financial resources; national/regional administrations in charge of the management and the implementation of the Operational Programmes are more connected to the fisheries actors

(ranging from local authorities to professional organisations and trade unions); management authorities are able to provide economic analysis and impact analysis of the results of the Operational Programme projects and are familiar with the sectoral and geographic context.

**Follow-up**

The results of the evaluation will be presented at a seminar in September 2006.

As a result of the evaluation the Commission has decided not to continue the Innovative Action projects in the framework of the calls for proposals.

**Availability of the evaluation report**

Paper or electronic form available on request from [FISH-01-EVALUATION@cec.eu.int](mailto:FISH-01-EVALUATION@cec.eu.int)

## Internal Market

e-mail address for information: [markt-B2@cec.eu.int](mailto:markt-B2@cec.eu.int)

### Evaluation of the Databases Directive 96/9/EC

**Activities concerned:** 12 02: Policy strategy and coordination for the Directorate-General for the Internal market

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date June 2005 End date December 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

#### Purpose of the evaluation

The purpose of this evaluation was to assess whether the policy goals of the Directive have been achieved and, in particular, whether the creation of a special "sui generis" right has had adverse effects on competition.

The evaluation focused on the issue of whether the Directive has created a legal framework that would establish the ground rules for the protection of a wide variety of databases in the information age. It focused in particular on whether the European database industry's rate of growth increased after introduction of the new right; whether the beneficiaries of the new right produced more databases that they would not have produced in the absence of this right; and whether the scope of the right was drafted in a way that targets those areas where Europe needs to encourage innovation.

#### Summary of findings and conclusions

On the basis of the information available, the staff working paper finds that the economic impact of the "sui generis" right on the database production is unproven. Introduced to stimulate the production of databases in Europe, the new instrument has had no such proven impact.

While the empirical evidence, at this stage, cast doubts on the usefulness of the new right, the European publishing industry, consulted in the on-line survey, argued that "sui generis" protection was crucial to the continued success of their activities. In addition, most respondents to the on-line survey believe that the "sui generis" right has brought about legal certainty, reduced the costs associated with the protection of databases, created more business opportunities and facilitated the marketing of databases. Doubts were also cast on the GDD as the relevant benchmark to assess the database industry's rate of growth.

Therefore, further evidence on the usefulness of "sui generis" protection needs to be gathered. Stakeholders are thus invited to submit their views and comments. The staff working paper invites stakeholders to provide further evidence on the economic impact of "sui generis" protection in stimulating the production of databases in Europe.

**Summary of recommendations**

The evaluation report concludes in proposing four options on how to proceed from withdrawing the whole directive, withdrawing the "sui generis" provisions, amending the "sui generis" provisions, and maintaining the status quo.

**Follow-up**

Services and Cabinet are currently discussing next steps on the basis of the evaluation report and the options outlined.

**Availability of the evaluation report**

Published at

[http://europa.eu.int/comm/internal\\_market/copyright/prot-databases/prot-databases\\_en.htm](http://europa.eu.int/comm/internal_market/copyright/prot-databases/prot-databases_en.htm)

## Mid-term Evaluation of the "Interactive Policy Making" (IPM) Feedback and On-line Consultation Mechanism for Commission Policy Making

**Activities concerned:** 12 03: Internal market for goods and services

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date July 2004 End date July 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

1. Assess the extent to which IPM mechanisms have contributed to policy-making in the Commission.
2. Examine quality of the data provided to policy-makers and its value added as compared to other available sources.
3. Evaluate the technical quality of the system.
4. Assess the cost-effectiveness.

The evaluation aimed at facilitating decisions on

1. Future investments in the project and organisational arrangements.
2. Where necessary and feasible, improving the quality of the tools and of the data provided.
3. How to maximise the benefits to the Commission's policy-making process.

### Summary of findings and conclusions

#### *IPM Feedback Mechanism:*

Awareness, usage and impact on policy-making of IPM Feedback Mechanism was generally low across the Commission. Lack of promotion and slow adaptation of new ways of working could partly explain this. Quality of data provided by the intermediary network could be improved. Costs had doubled since the start and cost per encoded case were not considered to be justifiable. As a pioneering initiative IPM Feedback Mechanism would have needed high-level political support and guidelines, making policy-makers accountable on their use of feedback data in the development of EU policies.

#### *IPM Online Consultation tool:*

Awareness, usage and impact on policy-making of the online consultation tool are significantly higher than for the feedback mechanism. The demand for the use of the tool has been steadily growing since the start. Deficits are the lack of representativity in the results generated for most of the consultations. Software and technology is considered easy to use, but analytical tools could be further developed. The online consultation tool is relatively low-cost (around 3 000 - 10 000€ per consultation). The costs are however mainly born by DG MARKT.

*Overall conclusions of the evaluation* and lessons learnt relate to the lack of strategic leadership



for IPM as well as an unclear functional management of the project/initiative. The technical development for the Commission applications of IPM was greatly influenced by the fact that it was financed through IDA (putting other requirements on the technical features than those requested by the DG MARKT and needed for the applications within the Commission). Generally the allocated resources in terms of human resources and budget were considered insufficient.

### **Summary of recommendations**

#### *Recommendations relating to IPM Feedback Mechanism:*

- The Feedback Mechanism should not continue in its present form.
- The Commission should not lose the Feedback Mechanism's listening channel.
- In the future the Feedback Mechanism should be developed taking into account lessons learned from the current mechanism (this will include measures such as political support, central oversight, technical development, making policy-makers accountable on their use of feedback data in the development of EU policies, a promotional budget; alternative models to the intermediary 'feedback model should be analysed; high input quality should be ensured). A future model would also benefit from a study to further analyse the needs of policy-makers and to better define the operational and technical processes behind such a mechanism.
- The Commission should not lose the experience and knowledge capital in the IPM team.

#### *Recommendations relating to the IPM Online Consultation (OLC) Tool:*

- The OLC tools should be promoted across the Commission as a cost-effective consultation tool.
- The OLC tool should have a proper software product management plan.
- Investment is needed for the sound methodological development and in training offered to policy-makers.
- The software should be functionally enhanced to better meet the needs of policy-makers (e.g. reporting and statistical analyses functionalities).

#### *Recommendations relating to the open source IPM software for Member States:*

- A clear plan with budgets, responsibilities and goals should be developed for the roll-out of the IPM software tools to Member States (DIGIT).

### **Follow-up**

In view of the conclusions from the IPM evaluation, DG MARKT decided to discontinue its leading role for the IPM feedback mechanism as of September 30 2005, and to refocus exclusively on the on-line consultation tool as an important instrument for better regulation in the Internal Market.

It was decided that if demand justified the development of a properly funded and equipped new "listening channel" similar to the feedback mechanism at a central point in the Commission, DG MARKT would then decide what would be its involvement in this new mechanism alongside with other user services.

DG MARKT has informed DG ENTR and DIGIT as close partners in the IPM Feedback initiative of its decision. While awaiting the outcome of a DG MARKT evaluation of the Citizens Signpost Service (CSS) initiative, CSS is maintaining its role as an intermediary network in the IPM Feedback mechanism.

DG MARKT is continuing as a lead service for the IPM Online consultation tool and has integrated the European Business Test Panel into this service.

DIGIT has continued the technical development into the final version of the tool (Version 2.1) according to previous plans. It is now preparing for making this Open source system available to Member States in the framework of the IDAbc programme.

**Availability of the evaluation report**

Published at [http://europa.eu.int/comm/dgs/internal\\_market/evaluation/eval\\_compl\\_en.htm](http://europa.eu.int/comm/dgs/internal_market/evaluation/eval_compl_en.htm)

## Evaluation of the Postal Services Directive 2002/39/EC

**Activities concerned:** 12 03: Internal market for goods and services

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date April 2004 End date March 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

The Community framework for EU postal services is set out by Directive 97/67/EC as amended by Directive 2002/39/EC (“the Postal Directive”). Article 23 of Directive 2002/39 requires the Commission to report on the application of the Postal Directive to the European Parliament and Council every two years. It also requires that this report should include “appropriate information” on market developments including technical, social, employment and quality of service aspects.

An important role of this Report is also to assess the achievements of the objectives of the Directive, and, as such, it serves as a general evaluation of the Directive. In that respect the report looked into the standard evaluation questions with regard to effectiveness and (future) relevance.

### Summary of findings and conclusions

The report confirms that overall the reform of the postal sector in the EU is well on track. Though not yet completed, it has already resulted in a number of significant improvements notably as regards quality of services, improved business efficiency, and the separation of regulators from operators. The role of postal services remains vital in delivering the benefits of the Internal Market to citizens, consumers and business.

### Summary of recommendations

- Facilitate the conditions for further modernisation Respect the timetable set in the Directive
- Monitor carefully regulatory developments
- Intensify cooperation on regulatory issues
- Promote an in depth debate on the future postal policy

### Follow-up

The evaluation provides the basis and points out the direction for the preparation of a proposal required by the Directive concerning the further development of the postal services market in the EU.

### Availability of the evaluation report

Published at [http://europa.eu.int/comm/internal\\_market/post/studies\\_en.htm](http://europa.eu.int/comm/internal_market/post/studies_en.htm)

## Evaluation of the Investment Compensation Schemes Directive 97/9/EC

**Activities concerned:** Financial services and capital markets

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date April 2004 End date July 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

The objective of the evaluation exercise was to get a complete picture of the actual implementation of national investor compensation schemes and the way they have acted in different claims as well as identify the risk covered, and assess the resilience of the different national schemes.

### Summary of findings and conclusions

The overall message is that the investor compensation schemes work fairly well and that they play an important complementary role in providing last-resort protection for retail investors. However, there are some problems, specially in the following fields:

- Delays in compensation
- Funding and financial resiliency
- Compensation in cases of bad investment advice

### Summary of recommendations

The recommendation is to launch a debate at the level of the ESC among Member States and at the level of the national compensation schemes in order to consider the implications of the report's findings and promote best-practice.

### Follow-up

First steps have been taken. A debate has been launched and the evaluation report and its findings have been presented to the Member States in the framework of the European Securities Committee (ESC) on 22 June 2005. Following the publication of the report, Member States and the National Investor Compensation Schemes as well as any other interested parties have been invited to provide the Commission with their comments on the report, its conclusions and policy recommendations.

### Availability of the evaluation report

Published at [http://europa.eu.int/comm/dgs/internal\\_market/evaluation/eval\\_compl\\_en.htm](http://europa.eu.int/comm/dgs/internal_market/evaluation/eval_compl_en.htm)

## Evaluation Report on the Settlement Finality Directive 98/26/EC

**Activities concerned:** Financial services and capital markets

**Scope of the evaluation:** Retrospective

**Timing:** Start date October 2005 End date December 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

The two main objectives of this limited evaluation report are limited (i) to analyze the process of implementation and application of the SFD and (ii) to identify a list of potentially problematic issues that could be subject of a future revision of the Directive. At this stage and due to a lack of time and resources, a full evaluation of the directive going deeper into the analysis of the issues raised here below cannot be carried out.

### Summary of findings and conclusions

The SFD is functioning well. Member States are overall satisfied with it.

There is some need and space for clarifications, improvements, better definitions and possibly simplification, as specified above.

### Summary of recommendations

The Commission proposes to revert to the Member States and the ECB during 2006, for instance in the framework of the European Securities Committee (ESC) to start a dialogue to establish in how far the issues identified for improvement in the report, and/or other issues, should be subject to amendments to the SFD.

### Follow-up

Not yet decided.

### Availability of the evaluation report

Not yet available.

## Evaluation of the Data Protection Directive 95/46/EC

**Activities concerned:** 18 04: Citizenship and fundamental rights

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date March 2003 End date July 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

An implementation report was required by the directive. Yet, as compliance with the directive and national laws by data controllers did not need a long period of transition, it had been decided to complement the analysis of the legal implementation with an analysis of the administrative burden and the economic costs of compliance.

### Summary of findings and conclusions

The implementation report concluded that in principle Member States had implemented the Directive but that some concerns remained with regard to the accuracy of the implementing laws of some Member States. Furthermore, there was some concern that Member States had used the flexibility provided by the Directive to a large extent, resulting in a situation where compliance with national laws seemed unnecessarily complicated for multinational companies in some cases.

The economic evaluation confirmed these findings with respect to notification requirements and in particular the transfer of data to third countries. On the other hand, compliance costs seem to remain reasonable and insignificant for almost all companies.

### Summary of recommendations

The implementation report recommended a work programme consisting of ten actions aiming at improvements in areas like notification procedures, enforcement and transparency as well as the transfer of data to third countries. Along the same lines the economic study recommended to focus further work on the discrepancies between national laws and the transfer of data to third countries in order to avoid unnecessarily high compliance costs for data controllers.

### Follow-up

The implementation report proposed a work programme that has already been executed in the meantime.

### Availability of the evaluation report

To be published at [http://europa.eu.int/comm/dgs/internal\\_market/evaluation/eval\\_compl\\_en.htm](http://europa.eu.int/comm/dgs/internal_market/evaluation/eval_compl_en.htm)

## Regional Policy

e-mail address for information: [regio-eval@cec.eu.int](mailto:regio-eval@cec.eu.int)

### Thematic Evaluation of the Structural Funds Contribution to the Lisbon Strategy

**Activities concerned:** 13 03: European Regional Development Fund and other regional interventions  
13 04: Cohesion Fund

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date October 2004 End date February 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

#### Purpose of the evaluation

The study had the general objective to understand better the contribution of the current generation of structural funds to the Lisbon agenda, to analyse the policy framework at national and regional level for such a contribution and to explore potentials and limits for the future.

The study influenced the preparation of the new programming period 2007-2013.

#### Summary of findings and conclusions

The study finds that in the Member States the Lisbon Agenda is primarily seen as a set of policy objectives on which there is a broad consensus, and which serve to focus and maintain attention on important political issues. The achievement of these targets so far is mixed and varies across Member States. The weakness of the Agenda is the weakness of its implementation mechanism. The Agenda has, however, had a significant independent impact as regards resources allocated to R&D, IT infrastructure investment, and activities for improving information society skills.

The involvement of the regions in any formal implementation processes of the Lisbon Agenda is limited. However, the regions clearly pursue a number of objectives that are integral to the Lisbon Agenda.

Structural Funds contribute significantly to the objectives of the Lisbon Agenda, even if there is, with the exception of the European Social Fund, little formal integration between the Lisbon Agenda and the Structural Funds. In many regions, more than two thirds of Structural Fund expenditure is allocated to activities that are directly relevant to the Lisbon Agenda objectives, and a number of impacts from this support on the achievement of the Lisbon Agenda's quantitative targets can be detected. In regions where a lower share of Structural Fund expenditure is directly relevant to the Lisbon Agenda, the main reason is the significance in Structural Fund support for basic physical infrastructure, reflecting particular investment needs of the least prosperous regions.

The main priority of the Lisbon Agenda is a higher rate of aggregate economic growth in the European Union, while the overriding concern of the Structural Funds is cohesion and a reduction

of the regional economic disparities within the Union. Considering the relationship between the Lisbon Agenda and the Structural Funds, there is on the one hand the growth contribution of Structural Funds via the activation of underused potential of underdeveloped regions and the reduction of congestion problems in agglomerations, and on the other hand some empirical evidence of a trade-off between economic growth and inequality.

### **Summary of recommendations**

Three main ways of increasing the complementarities and synergies between the Lisbon Agenda and the Structural Funds are recommended:

R1) Since the Lisbon Agenda is primarily an agenda for growth and competitiveness, measures should be taken to increase the growth effects of Structural Fund support through a greater efficiency and effectiveness of their interventions,

R2) Secondly, the future Convergence and Competitiveness objectives of the Structural Funds open greater opportunities for interaction and complementarities with the Lisbon Agenda. The new Competitiveness and Employment Objective in particular should be used actively to promote a stronger take-up of the Lisbon Agenda by Member States and regions. In order to achieve this goal, the resources of the proposed Objective must be concentrated, allowing it to make a significant impact. To maximise the effects of the Objective on the implementation of the Lisbon Agenda, it is recommended that a direct linkage is ensured with national policies and programmes, that concentration of the resources of the Objective is achieved geographically and/or thematically, and in this context that measures are put in place to multiply and mainstream experience from supported regions or prioritised thematic fields.

R3) The Lisbon Agenda's governance structures should be adapted to allow a more direct and closer formal integration and synergies between Structural Fund support and the Agenda, also through a greater inclusion of the regional and local authorities.

### **Follow-up**

The study is being used by the Directorate-General in the ongoing discussion on the future design of cohesion policy with the Member states. This includes both the level of the general policy at EU level as the level of individual Member states. The study is a valuable help in establishing the room for manoeuvre of structural funds in supporting the Lisbon agenda under the circumstances of different Member states. For this purpose, the study has been presented and discussed at different levels within the Directorate –General for Regional-Policy.

### **Availability of the evaluation report**

Published at

[http://europa.eu.int/comm/regional\\_policy/sources/docgener/studies/pdf/lisbon2005.pdf](http://europa.eu.int/comm/regional_policy/sources/docgener/studies/pdf/lisbon2005.pdf)



## Taxation and Customs Union

e-mail address for information:

### Interim Evaluation of the Customs 2007 Programme

**ABB activities concerned:** 14 03: International aspects of taxation and customs  
14 04: Customs policy

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date January 2005 End date December 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

#### Purpose of the evaluation

According to the Decision implementing the Customs 2007 (C2007) programme, an interim evaluation report had to be submitted to the Council and the Parliament by the 31<sup>st</sup> December 2005. The results of the interim evaluation are used in the impact assessment for the renewal of the programme from 2007 onwards. Secondly, the results were used to improve the management of the programme at both national and EU level.

#### Summary of findings and conclusions

In terms of relevance, C2007 objectives, priorities and content are seen by stakeholders as being highly relevant to the needs of the national administrations of participating countries (PCs) and as essential to operating the EU customs union.

There is broad satisfaction amongst PCs with most C2007 IT systems and with interconnectivity and interoperability between the Community and national parts. PCs are generally satisfied with C2007 IT systems in terms of their reliability and the accuracy of the information, and see them as a key part of the effort to work as a single administration.

Regarding improving working methods, management practices and operational results of customs controls, C2007 activities are seen as having contributed greatly to identifying and introducing improved working methods for customs control.

C2007's contribution during the last two years to the fight against fraud is perceived by stakeholders to be positive.

Regarding C2007's contribution to facilitating trade, it is difficult to draw any conclusions based on the data available.

There is general satisfaction with NCTS (New Computerised Transit System) among PCs and the system is seen as a clear step towards improved application of transit procedures. NCTS's deployment has shown that developments of such huge systems require complementary expertise in areas such as change management.

New Member States (NMS) are highly satisfied with C2007 support for their preparations for EU accession and the successful integration of the NMS into C2007 is a real achievement.

The overall conclusion of this evaluation is that there is general satisfaction with the effectiveness and efficiency of the Programme. Moreover, the assessment is that the objectives of the programme still correspond to the needs of the addressees.

#### **Summary of recommendations**

Some recommendations aim to improve the management of the programme both at national and European level as well as to improve effective dissemination of C2007 results into national administrations.

Furthermore, C2007 should continue covering Community safety and security issues and a better coordination between first and third pillar instruments would be needed in order to avoid duplication of work and to ensure a better communication.

A greater involvement of EOs will be essential to ensure that genuine improvements and clear benefits can be realised for EOs in line with the European Community's objective to facilitate trade.

C2007 needs to continue to invest effort in order to ensure continued progress towards the goal of equal treatment for economic operators.

Lessons learned from the NCTS experience need to be incorporated in the development of new systems within the framework of e-Customs.

#### **Follow-up**

The report's results were presented to the programme management committee and are subject to a follow-up exercise one year after publication of the results.

#### **Availability of the evaluation report**

Published at

[http://europa.eu.int/comm/taxation\\_customs/customs/cooperation\\_programmes/background\\_papers/index\\_en.htm](http://europa.eu.int/comm/taxation_customs/customs/cooperation_programmes/background_papers/index_en.htm)

## Interim Evaluation of the Fiscalis 2007 Programme

**ABB activities concerned:** 14 03: International aspects of taxation and customs  
14 05: Taxation policy

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date January 2005 End date July 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

According to the Decision implementing the Fiscalis 2007 programme, an interim evaluation report had to be submitted to the Council and the Parliament by the 30<sup>th</sup> June 2005. The results of the interim evaluation were used in the impact assessment for the renewal of the programme from 2007 onwards. Secondly, the results were used to improve the management of the programme at both national and EU level.

### Summary of findings and conclusions

The overall conclusion of the evaluation is that there is a general satisfaction on the effectiveness and efficiency of the Programme. All stakeholders involved in the evaluation agree that Fiscalis helps bringing about a better cooperation between participating countries, their administrations and officials. What's more, it has been assessed that the objectives of the programme still correspond to the addressees' needs.

### Summary of recommendations

Most of the recommendations aim to improve the management of the programme both at national and European level. The issue of disseminating into the national administrations the results achieved by the programme have led to important recommendations.

### Follow-up

The report's results were presented to the programme management committee and are subject to a follow-up exercise one year after publication of the results.

### Availability of the evaluation report

Published at

[http://europa.eu.int/comm/taxation\\_customs/taxation/tax\\_cooperation/fiscalis\\_programme/legal\\_t  
exts\\_docs/index\\_en.htm](http://europa.eu.int/comm/taxation_customs/taxation/tax_cooperation/fiscalis_programme/legal_texts_docs/index_en.htm)

## Education and Culture

e-mail address for information: [eac-evaluation@cec.eu.int](mailto:eac-evaluation@cec.eu.int)

### Evaluation of websites managed by DG EAC

Activities concerned:	15 02: Education 15 03: Vocational training 15 04: Culture and language 15 05: Sports 15 06: Dialogue with citizens 15 07: Youth
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<b>Scope of the evaluation:</b>	Both prospective and retrospective
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<b>Timing:</b>	Start date February 2004	End date October 2005
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<b>Organisation of the evaluation:</b>	<input checked="" type="checkbox"/> external evaluation	<input type="checkbox"/> internal evaluation with external support	<input type="checkbox"/> internal evaluation
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#### Purpose of the evaluation

DG Education and Culture's websites have recently been restructured and are in the process of migrating to a more efficient technical platform with a view to further decentralising their editorial management. The objective was to assess the extent to which websites cover the users' needs and support the Commission's overall communications strategy. Moreover, it was intended to evaluate the ergonomics and the quality of the content of the sites and their relationship to the relay sites maintained by the national agencies.

#### Summary of findings and conclusions

There are many positive aspects to the DG EAC set of websites in that the information they provide is accessible, useful and, in general, is well received. However, as with many communication and information initiatives, there are improvements that can be made to enhance the service for users. Consistency across the websites (and newsletter), in terms of website design ("look and feel", structure and navigation) and editorial aspects (types of article and style of writing), is perhaps the main element that should be taken into consideration.

#### Summary of recommendations

It is recommended that those responsible for DG EAC websites (and electronic newsletter) work together to design and implement a programme of consistency for website design and editorial management. The primary aims of such a programme would be to effectively brand the sites, improve "user-friendliness" in terms of navigation and language used and extend the number of Member State languages offered, at least for the most important information.

It is envisaged that the consequence of such a programme would be to attract and maintain a wider and larger target audience.

**Follow-up**

In accordance with the evaluation procedures of DG EAC, by the end 2005 an action plan (describing the actions to be taken in response to the evaluator's findings and recommendations) will be produced by the operational unit responsible for the evaluation project. Progress made in fulfilling these actions will be monitored in 2006.

**Availability of the evaluation report**

Published at

[http://europa.eu.int/comm/dgs/education\\_culture/evalreports/cross\\_2005/TepWebrep\\_en.pdf](http://europa.eu.int/comm/dgs/education_culture/evalreports/cross_2005/TepWebrep_en.pdf)

## Evaluation of Erasmus Curriculum Development Projects in the Framework of Socrates 1997-2001

**Activities concerned:** 15 02: Education

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date February 2003                      End date May 2005

**Organisation of the evaluation:**                       external evaluation                       internal evaluation with external support                       internal evaluation

### Purpose of the evaluation

The purpose of this evaluation was to analyse the relevance, effectiveness, efficiency and impact of curriculum development activities supported by the Erasmus action within Socrates between 1997 and 2001. The evaluation should provide a firm basis for the definition of future Community policy in this field. The findings of this evaluation will be taken into account in the implementation of the current Erasmus action and in preparing the implementation of the Erasmus sectoral programme within the new programme (2007-2013) in the field of lifelong learning, the proposal for which was adopted by the Commission on 14/7 2004 (COM (2004) 474). It will also contribute to the ex post evaluation, in 2007, of the second phase of the Socrates programme.

### Summary of findings and conclusions

Main results:

- Generally project coordinators considered that their objectives had been reached in terms of general output.
- The majority of the projects modified or adapted existing programmes rather than establishing new ones.
- Whether the projects responded to the objective of bringing a European Dimension to the non-mobile students cannot be ascertained from the findings.
- The use of ITs and open distance learning appears to have become more common during the lifecycle of the programme.

*Relevance:*

- Strong commitment to building bridges between the outcomes of CD projects and the development work in the context of the Bologna Process.
- Regarding the objective that all students can benefit from a "European dimension", all participants in the programme had an idea about the "European Dimension", which took a variety of forms and had no single definition.
- There is no evidence that CD projects made a notable contribution to the encouragement of "less widely used and less widely taught languages"; the predominance of English was confirmed.

- The CD action succeeded in supporting wide-ranging and close cooperation between higher education institutions in the eligible countries.

*Effectiveness and impact:*

- Concerning implementation 80% of the coordinators reported that the outputs of their projects were implemented. The main factor which facilitated implementation was the recognition of the project output by the home institution and/or the national system.
- Use of funds: the relatively small amounts of money invested created an opportunity for curriculum development. The projects tended to support more than is apparent in the reports.

*Sustainability:*

- No evidence of structured evaluation of the academic "value" of the outputs before approving a dissemination grant, but depending of the main aim, this may have been less important.
- Support in the institution to the dissemination is essential.

### **Summary of recommendations**

Main recommendations:

- It is recommended that all measures taken to strengthen the link between project partners and their institutions should be supported.
- It should be ensured that project teams receive full support from the management of their university in running the project as well as for the subsequent implementation phase.
- CD projects action should include provision for quality assessment of project outputs before the allocation of a dissemination budget and before the implementation stage.
- In order to collect more detailed information on the impact of non-mobile students a qualitative survey, based on interviews and visits should be undertaken.
- A share of funding should continue to support the small projects in highly innovative and new areas.
- To put more emphasis on the quality of project outputs and learning outcomes in the assessment on the programme management level (final assessment currently too focused on administrative and financial reporting) and link it to the Erasmus University Charter at institutional level.

### **Follow-up**

The findings of this evaluation will be taken into account in the implementation of the current Erasmus action and in preparing the implementation of the Erasmus sectoral programme within the new programme (2007-2013) in the field of lifelong learning, the proposal for which was adopted by the Commission on 14/7 2004 (COM (2004) 474). It will also contribute to the ex post evaluation, in 2007, of the second phase of the Socrates programme.

In accordance with the evaluation procedures of DG EAC, an action plan (describing the actions to be taken in response to the evaluator's findings and recommendations) has been produced by the operational unit responsible for the evaluation project. Progress made in fulfilling these actions will be monitored in 2006.

**Availability of the evaluation report**

Published at

[http://europa.eu.int/comm/dgs/education\\_culture/evalreports/education\\_2005/Erasmus-cd/erasCDxprep\\_en.pdf](http://europa.eu.int/comm/dgs/education_culture/evalreports/education_2005/Erasmus-cd/erasCDxprep_en.pdf)



**Intermediate Evaluation of the Cooperation Programmes in Higher Education  
between the EU and Canada and between the EU and the USA**

**Activities concerned:** 15 02: Education

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date September 2004 End date April 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

**Purpose of the evaluation**

The purpose of this evaluation was to assess the intervention logic, relevance, effectiveness and impact, efficiency and cost-effectiveness, and utility and sustainability of the current (2001-2005) EU/Canada and EU/US Cooperation Programmes in higher education and training. The evaluation additionally encompasses projects launched in 1999 and 2000 under the preceding 1996-2000 Cooperation Agreements. The evaluation covers European, Canadian and US interlocutors, though the main focus is on European lead and partner institutions. The findings of the evaluation will contribute towards the preparation of proposals for the renewal of the current EU/Canada and EU/US Agreements, and to possible improvements in the structure, content and implementation of the current programmes.

**Summary of findings and conclusions**

Main findings:

- The Programmes promote the establishment of transatlantic partnerships in higher education. No serious shortcomings have been found.
- A high percentage of students (85%) is satisfied with the quality of the project activities.
- The outcomes of the Cooperation programme are in line with the objectives, especially as regards promoting understanding between the participants and improving the quality of human resource development.
- There is a need for efficiency indicators because:
  1. The project's budgets do not vary substantially, there is some variance in the conversion ratio of inputs to outputs.
  2. Regarding project duration the three-year time limit is considered to be too short to provide an appropriate 'return on investment' for the time, effort and resources spent by the institution.
  3. In terms of project implementation, monitoring and evaluation a certain degree of reorganisation could realize efficiency gains.
- The Fulbright-EU Programme is a key instrument in strengthening academic relations between EU and US scholars and their institutions. The grantees are satisfied with the opportunities offered by the grant scheme. Moreover, being a Fulbright grantee is considered an asset to an international academic career.

### **Summary of recommendations**

Main recommendations:

- As the equal importance of all objectives is not yet recognised, the Programmes six official objectives should be prioritised.
- Taking life long learning into account the age criterion should be reconsidered and the scope to postgraduates should be widened.
- The possibilities for one-year preparatory projects should be extended in order to better attune project planning to the actual project period.
- To increase the Programme's sphere of influence the Cooperation Programmes' budget should be increased.
- Good practices should be made available to applicants and project partners.
- Redesigning the administrative procedures would relieve project partners of the administrative burden.
- In order to increase efficiency additional resources should be allocated to the management of the Programmes as well as the adaptation of the calendar of the Programme's procedures to the academic/educational years.
- Sustainability should be incorporated into the project plan by requiring a sustainability plan to be included in the final report. As student mobility grants represent the most important factor in fostering the sustainability of projects an additional grant for student mobility should be introduced.
- The visibility of the Fulbright-EU Programme should be increased, for instance, by publishing the call for proposals in academic journals.
- Grantees should be asked to provide better insight in what they produced during and after their time abroad.
- The visibility of the Fulbright-EU Programme alumni organisation should be improved and grantees should establish follow-up connections with their host institution.

### **Follow-up**

In accordance with the evaluation procedures of DG EAC, an action plan (describing the actions to be taken in response to the evaluator's findings and recommendations) has been produced by the operational unit responsible for the evaluation project. Progress made in fulfilling these actions will be monitored in 2006.

Evaluation results have been taken into account in the draft "EU-US Canada recommendations" to the Council for a negotiation mandate with a view to establish new cooperation programmes. The extent to which these recommendations will be translated into the new agreements will depend of the outcomes of the negotiations.

### **Availability of the evaluation report**

Published at

[http://europa.eu.int/comm/dgs/education\\_culture/evalreports/education\\_2005/eu-uscan-int2/EUUSCANint2rep\\_en.pdf](http://europa.eu.int/comm/dgs/education_culture/evalreports/education_2005/eu-uscan-int2/EUUSCANint2rep_en.pdf)

## Evaluation of the European Year of Education through Sport 2004

**Activities concerned:** 15 05: Sports

**Scope of the evaluation:** Retrospective

**Timing:** Start date April 2004 End date July 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

The aims of this evaluation were to assess to what extent the objectives of the European Year of Education through Sport had been met and provide orientations for future EU strategy in the field of sports. Evaluation findings were meant to support the Commission report to be submitted by 31 December 2005 at the latest (article 12 of the Decision establishing the European Year of Education through Sport).

### Summary of findings and conclusions

Main results:

- Opinions expressed by the national representatives consulted indicate that the EYES and its goals matched the expectations of those involved in sport and education in the various participating countries.
- Concerning the internal coherence there was no evidence of competing claims of the different sets of activities covered by the EYES.
- Regarding the external coherence the synergy between the EYES and the national and local policies for education through sports is confirmed and recognised by the various parties involved.
- The two main goals of the EYES, firstly to foster cooperation between educational institutions and sports organisations and secondly to take advantage of the values conveyed through sports to develop knowledge and skills were achieved.
- However, other desired effects of the EYES have remained more limited, including the promotion of sport as a vehicle for social inclusion of disadvantaged groups.
- The EYES was a fairly efficient operation but its leverage effect could have been greater, e.g. as human resources proved to be inadequate and planning was not carried out sufficiently early.

### Summary of recommendations

Main recommendations:

- For further European Commission actions in the field of education through sport it is recommended to build on the EYES initiative by e.g. distributing the evaluation results widely among the participating countries and publicising examples of good practice.

- It is recommended that the Commission's action in the field of education through sport should be further developed by e.g. strengthening the "sport" dimension of the European Commission activities in the field of education through sport or by continuing discussions with the Member States on improving student mobility by arranging sporting and cultural encounters.
- The possibility of a European sports policy should be anticipated by e.g. establishing a European network of educational institutions, sporting organisations and public authorities or by co-financing projects.

#### **Follow-up**

Both the “Communication on the EU action in the field of Education through Sport” and the “Commission report to the Institutions on the EYES implementation” have built on the evaluation results. Furthermore, evaluation findings (as well as those of other similar initiatives) have already been taken into account for the preparation of the proposal for the “European Year of Intercultural Dialogue 2008” adopted in October 2005.

In accordance with the evaluation procedures of DG EAC, by the end 2005 an action plan (describing the actions to be taken in response to the evaluator's findings and recommendations) will be produced by the operational unit responsible for the evaluation project. Progress made in fulfilling these actions will be monitored in 2006.

#### **Availability of the evaluation report**

Published at

[http://europa.eu.int/comm/dgs/education\\_culture/evalreports/sport\\_2005/aees/aeesrep\\_fr.pdf](http://europa.eu.int/comm/dgs/education_culture/evalreports/sport_2005/aees/aeesrep_fr.pdf)

## Press and communication

e-mail address for information:

### Evaluation of the EUROPE DIRECT Service

**Activities concerned:** 16 04: Integrated management of means of communication (at central and local level)

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date October 2004 End date November 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

#### Purpose of the evaluation

The purpose of this evaluation was to examine the achievements and potential of the service. It was supposed to examine whether the service adds value to other sources of information and to what extent it complements and contributes to synergies between tools set up at EU and/or national and regional levels.

#### Summary of findings and conclusions

EUROPE DIRECT is effectively providing answers to enquirers' specific questions related to EU activities and policies via its three communication channels (Telephone, Email and Web Assistance). The Service also seems to be operating efficiently in terms of the technology employed, the competence and skill of operators and in the realm of management reporting.

EUROPE DIRECT is presently seen at the forefront of the Commission's "personalised" service offerings and seems to complement EUROPA well, particularly in the sense that most enquiries result in users being guided to information on EUROPA. Typical users of the Service seem to be those with some existing knowledge of the EU who use the internet. For these users, EUROPE DIRECT meets their needs in that it generally provides appropriate answers to their enquiries. As internet penetration across the EU increases so too, will this type of user. Subsequently, the number of enquiries to EUROPE DIRECT is also likely to rise.

If EUROPE DIRECT wishes to attract an audience not so familiar with the EU and/or with the internet, further measures will have to be implemented to enable these additional citizens to be reached. It is considered that this would require a major shift in terms of scope and resources.

#### Summary of recommendations

It is recommended that EUROPE DIRECT continues to offer three communication channels (Telephone, Email and Web Assistance), two of which offer access in 20 official languages. The Service should build upon its reputation and further promote the fact that it is "The Commission's Enquiry Service for EU Citizens".

Increased visibility on the EUROPA Homepage and the Internet, a clearer EUROPE DIRECT Homepage which defines each of the communication channels and describes the service in more detail, would all assist in attracting more users.

If EUROPE DIRECT wishes to extend its target audience, it is recommended that the Service becomes the sole entry point for all questions to the Commission. Where necessary, certain questions (those that EUROPE DIRECT would not be able to handle) could be directed to specialised Commission services to handle.

An appropriate promotion budget will be required to effectively publicise the Service and extend its target audience, particularly if it were to become the Commission's sole entry point.

#### **Follow-up**

DG Press intends to undertake a qualitative study with a view to receive further information about the public's awareness as well as expectations regarding the service.

As regards increased publicity, a major communication campaign is being developed in cooperation with the Representations in the Member States which will include various media (billboarding, newspaper advertising, publication etc).

#### **Availability of the evaluation report**

Published at <http://www.evaluationpartnership.com/edir/edir.htm>

## Freedom, Security and Justice

e-mail address for information: [http://europa.eu.int/comm/justice\\_home/contact\\_us2\\_en.htm](http://europa.eu.int/comm/justice_home/contact_us2_en.htm)

### Evaluation of the Activities of the European Migration Network

**Activities concerned:** 18 03: Common immigration and asylum policies

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date April 2004 End date August 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

#### Purpose of the evaluation

An assessment of the European Migration Network (EMN) pilot and preparatory action and the development of options for the form and structure of a future EMN. This involved looking at the suitability of its present functions and forms and the way the network works, as well as assessing its results and achievements to identify weaknesses, success factors and lessons learnt. To then use the findings as input to support the preparation of a Green Paper and a proposal for a legal basis for the future of the EMN, focusing on whether and what role there is for the network and what form and functions the EMN should assume in order to carry out this role.

#### Summary of findings and conclusions

Overall, the terms of reference, objectives and institutional arrangements developed for the EMN were relevant and suitable at the time of the network's set up. However, policy and other contextual developments, as well as the network's experiences so far, call for a renewed policy architecture and design.

In general, the network would, however, have benefited from more clarity, especially with regard to its mandate and functions.

The structure, and to a less extent, the status chosen for the EMN were suitable for a pilot preparatory action but some aspects may have influenced the network's independency and ability to produce reliable and objective data.

Seven key problems and needs have been identified (Informing future EU policy developments; Insufficient information management and co-ordination; Lack of information on policy and legislation; Problems of statistical data and information; Information on the New Member States; Need for information on specific and pertinent topics; and Need to take advantage of ICT developments.

**Summary of recommendations**

The EMN is strongly embedded in asylum and migration policy within the EU and hence is relevant. The future network should, however, strengthen and maximise its potential to contribute to work in the area of statistics, monitoring and analysing the various dimensions of migration and asylum and to policy making in general.

The EMN should have a clear organisational structure, preferably including a body to steer the work and an executive body (e.g. a coordination unit) to implement activities with National Contact Points (NCPs, required from all 25 MS) being independent and objective.

Financial procedures and processes should be optimised, so that they do not inhibit implementation of the programme.

The preferred structural option for the EMN is an observatory managed by DG JLS within the framework of an interservice Steering Group and an Advisory Committee plus input from MS Ministries. A Co-ordination Team should be appointed which then has direct contractual links with the selected NCPs from each MS.

**Follow-up**

The findings and recommendations were directly used in the preparation of the EMN Green Paper (COM(2005) 606), which was published on 28 November 2005. It also stimulated the current EMN and its NCPs to review and assess its progress to date.

**Availability of the evaluation report**

Paper or electronic form available on request from  
[http://europa.eu.int/comm/justice\\_home/contact\\_us2\\_en.htm](http://europa.eu.int/comm/justice_home/contact_us2_en.htm)



## Evaluation of the Millennium Strategy on the Prevention and Fight of Organised Crime

**Activities concerned:** 18 05: Law enforcement cooperation and prevention of and fight against general and organised crime

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date September 2004 End date May 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

The purpose of the evaluation was to follow-up on the implementation of the EU strategy on prevention and control of Organised crime. It focuses on the steps and measures taken to implement the conclusion of the mid-term evaluation of the strategy (doc 10925/03 CRIMORG 49 of 30.6.2003).

### Summary of findings and conclusions

- The improvement of the way information on convictions and disqualifications circulate between the Member States contributes to the objectives set out.
- A new Directive on money laundering has considerably improved the legal situation.
- Actions taken contribute to closer cooperation between relevant actors in the field of analysis of data on organised crime.

### Summary of recommendations

- Proposals to set up an EU computerised system for exchanging information on convictions and disqualifications must be made.
- The work to establish a system for statistics on crime, etc. has to be developed.
- The Commission should consider EU legislation or standards to improve the fight against organised fiscal and customs fraud.
- A framework decision on minimum standards on the constituent elements of criminal actions and on the sanctions applicable thereon in the field of drug trafficking must be implemented.

### Availability of the evaluation report

Published in paper form.

## Ex post Evaluation of Grotius II, Oisin II, Stop II, Falcone and Hippokrates Programmes and Interim Evaluation of the AGIS Programme

**Activities concerned:** 18 05: Law enforcement cooperation and prevention of and fight against general and organised crime

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date June 2004 End date October 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

Evaluate the on going implementation of the AGIS Programme, in order to overcome eventual weaknesses and propose the necessary action.

Contribute to the process for the definition of the follow-up to the AGIS Programme after 2007.

### Summary of findings and conclusions

- The programmes were generally not found to be demand driven, in the sense that policy priorities and objectives do not determine the portfolio of projects. Objectives are broad and not clearly prioritised, allowing applicants to claim that most of their ideas match the programme objectives. Rather than being EU demand driven, most projects are thus supply driven, resulting from the specific interest of possible promoters;
- The former Title VI programmes as well as the AGIS programme have been useful programmes that have made a very positive contribution to increasing knowledge, understanding and trust among target groups;
- All programmes have led to the implementation of effective projects that in most cases would not have existed without the financial support of the programmes;
- The transnational element is strong in most of the projects. This element has been more predominant or better integrated under the AGIS programme, as compared to the former Title VI programmes;
- The programmes have led to the creation and strengthening of many formal and informal networks.

### Summary of recommendations

The main recommendation concerns the adoption of a future programme that is more policy or EU demand-driven. Within this option, the following recommendations are made:

- Objectives should be narrowed and clearly specified to focus on those concrete outcomes considered as most necessary. Consequently, the programme would have a stronger focus on

fewer areas (such as organised crime and terrorism), so that results and likely impacts could in turn be bigger.

- The topics of annual work programmes should be made more detailed and precise, thereby focusing the efforts on the most pressing issues that have the highest possible returns.
- The award criteria should be related directly to the desired outcomes and thus the specific topics of annual work programmes should reflect the political prioritisation, ensuring therefore that these topics have a preponderant influence in determining which projects are selected.
- Central management by the Commission should be retained to ensure an unbiased selection of projects and to facilitate coordination.
- As the focus should be on the concrete outcomes, transnationality becomes less important (just a pre-condition, no longer an award criterion). This is not to ignore completely the benefits from transnationality, as they clearly do exist, and would continue to yield good results in terms of partnerships, building and securing trust etc. Accordingly, transnationality should not be abandoned, but requirements could be loosened in some circumstances so that a minimum number of international partners is not considered imperative for the attainment of a specific project outcome.
- To ensure the likelihood that certain areas are addressed, it should be possible to receive financing for the majority of costs incurred for certain actions addressing these areas.
- To ensure better monitoring systems/databases of projects should be considered, combined with an active involvement of Member States and relevant organisations.
- To ensure widest possible benefits and use of project results, dissemination outside of project networks should be systemised, with the Commission playing a leading role in this respect.

#### **Follow-up**

The Commission has published a Staff Working Document (SEC(2006)333) with main conclusions and recommendations to ensure that the above mentioned recommendations will be applied during the next programming period.

#### **Availability of the evaluation report**

Published at [http://europa.eu.int/comm/justice\\_home/funding/agis/funding\\_agis\\_en.htm#](http://europa.eu.int/comm/justice_home/funding/agis/funding_agis_en.htm#)

## Evaluation of the Functioning of the European Judicial Network (EJN) in Civil and Commercial Matters

**Activities concerned:** 18 06: Establishing a genuine European area of justice in criminal and civil matters

**Scope of the evaluation:** Prospective

**Timing:** Start date October 2004 End date June 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

To evaluate the extent to which the Network meets its objectives, the adequacy of existing structures and delivery mechanisms and in short to evaluate its efficiency and effectiveness.

### Summary of findings and conclusions

The Network activities contribute positively to its objectives. The current set-up and functioning of the EJN in general is appropriate, functioning well and contributes to the achievement of Network's objectives of facilitating judicial co-operation between Member States and also contribute to improving effective access to justice for persons engaged in cross-border litigation (such as members of the public and the legal professions). The execution of Network activities by the contact points and organisation on national level show nevertheless a clear deficiency in the working capacity of contact points for EJN work.

### Summary of recommendations

It is recommended that priorities should focus on further consolidation of the EJN and in particular on the completion of its website.

It is mainly recommended to the Member States that additional resources be made available particularly for the contact points but also the national structures of all national EJN members and/or national substructures, for the purposes of facilitating the efficiency and effectiveness of the EJN at national level, and the improvement of access to justice for the citizen.

The Network should also clarify the relationship between its members within the EJN framework with a view to establishing the primary function of the EJN as an additional mechanism for facilitating judicial co-operation and not a substitute for existing mechanisms in relevant instruments. Further public relation activities are recommended e.g. information campaigns should concentrate on judges and other court staff. Finally, the Network should intensify and concentrate all available efforts on the full completion of the website, as regards both its content and its availability in all relevant languages.

**Follow-up**

Publication of a Report of the Commission to the European Parliament and the Council on the functioning of the Network at the beginning of 2006.

**Availability of the evaluation report**

Paper or electronic copy available on request.

## External Relations, Development and Relations with ACP States

e-mail address for information: [EuropeAid-evaluation@cec.eu.int](mailto:EuropeAid-evaluation@cec.eu.int)

### Evaluation of the EC Regional Strategy in Latin America

**Activities concerned:** 19 09: Relations with Latin America

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date April 2004 End date April 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

#### Purpose of the evaluation

The purpose of the evaluation is to assess the Regional Strategy Paper and the application of regional cooperation over the period 1995 2004. The results of the evaluation, the conclusions and the recommendations should help to prepare the next programming period (2007 13) and will constitute a basic framework for the final, ex post evaluations of the regional strategy and the associated programmes.

#### Summary of findings and conclusions

The Commission's cooperation strategy in Latin America is supported mainly by horizontal programmes, which have proved very appropriate. Nevertheless, the impact of the cooperation is still very patchy when it comes to other objectives, such as integration, combating poverty and promoting economic and social development. Greater consistency between the three levels of Commission assistance (regional, subregional and bilateral), between the measures implemented (too dispersed in the past) and between the Commission's major policies – agricultural policy and development, for instance – is recommended. The measures implemented have produced the expected effects only in part. Regional institutions are still very fragile and civil society's understanding of regional integration as a development instrument is very inadequate.

#### Summary of recommendations

##### *Recommendations at strategic level*

1. Prepare a single, explicit strategy for the Community in Latin America, linking all the Community measures in the region.
2. The strategy paper for Latin America recommends that a specific strategy for development cooperation be developed as well, comprising three levels of activity (country, subregional and regional/continental). The strategy and the programmes conceived must reflect the asymmetric, fragmented reality of Latin America.

3. It is recommended that the consultation process be enlarged to include civil society actors so as to legitimise regional measures.
4. The RSP should no longer be limited and marginal in character and should be extended in scope to include horizontal topics.
5. The Community cooperation strategy should strengthen subregional integration as an intermediate objective on the way to regional integration.
6. Intensify consultations with institutions in Latin America that have experience and knowledge of integration.

*Recommendations at horizontal programme level*

7. Apply selection criteria to increase the participation of the poorest countries, balance asymmetric aspects and make measures more effective.

*Recommendations regarding consistency, coordination and complementarity*

8. Improve consistency with the general objectives of integration and development.
9. Promote coordination and complementarity of horizontal programmes with the other initiatives developed by the Community concerning national and subregional cooperation, and with the other programmes involved in development cooperation.
10. More coordination and consultation between all the Community measures would increase consistency and synergy between policies and programmes.

**Follow-up**

- Distribution to the services concerned in the Commission and publication on the Internet.
- Preparation of the “fiche contradictoire” for the implementation of the recommendations.

**Availability of the evaluation report**

Published at [http://europa.eu.int/comm/europeaid/evaluation/reports\\_2005/951661\\_vol1\\_es.pdf](http://europa.eu.int/comm/europeaid/evaluation/reports_2005/951661_vol1_es.pdf)

## Evaluation of the EC support to Private Sector Development in Third Countries

**Activities concerned:** 19 11:19 11: Policy strategy and coordination for External relations policy area  
21 04: 21 04: Policy strategy and coordination for Development policy area

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date November 2003 End date December 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

The primary purpose of the present evaluation was to identify key lessons pertaining to the wide variety of instruments available, and their application in partner countries. The evaluation should contribute to improved coherence; it should assess the European Commission's co-operation activities in private sector development. The evaluation should consider the complementarity of individual actions against the strategy and stated overall objectives of the Commission. It should also aim at enhancing coherence between objectives in private sector development (PSD) and the Commission's other policy objectives, as well as a more rational strategic decision-making (including within Country Strategy Papers). The main result of the evaluation will be an ex-post evaluation of the EC strategy and actions over the period 1994-2003 through assessments of key issues reflected in the Evaluation Questions. The evaluation should consider possible effects of Private Sector Development to Poverty reduction.

The evaluation should come to a general overall judgement based upon well-founded conclusions regarding the fundamental aspects on the Commission's past performance and the relevance of its proposed approach. The evaluation should serve policy and sectoral decision-making and project management purposes.

### Summary of findings and conclusions

Much progress can be noted through the period of evaluation on the understanding of the key role of the private sector on development. This evolution is reflected on different orientation documents and a milestone is the strategy proposed through the COM(2003)267. This strategy also reflects efforts made to provide Community PSD support in a comprehensive and coherent way to all third countries. Whilst the strategy is comprehensive at covering most dimensions of PSD, one major weakness is the ambiguity on the message conveyed. For instance, it mentions that a particular attention should be given to macro-level interventions but it also leaves much room for micro-level programmes that can crowd-out private initiative or introduce market distortions. This ambiguity is reinforced by a second weakness; the fact that little orientation is given to prioritise among the areas of intervention proposed. Given the transversal dimension of the private sector, this means that the strategy is too open, scattering EC efforts among all sorts of programmes in different areas, with different focuses and with different degrees of success.



A second consequence of these two limitations, a majority of the EC staff responsible for implementing Community support to PSD lacks the necessary strategic vision on how to support PSD, with direct consequences on the implementation: uneven implementation in the field and a limited contribution to the competitiveness of the private sector in beneficiary countries - even for more recent programmes.

### **Summary of recommendations**

#### *PSD strategy*

- There is a need to clarify the message conveyed by the strategy, by including a detailed explanation of the links between PSD, economic growth, development objectives and, most of all, poverty reduction;
- the strategy should prioritise the various areas of intervention;
- an increase ownership should be developed with a view to reaching a unique and common Community vision on PSD support on the part of staff through wide dissemination using all available channels.

#### *Implementation of EC PSD support*

- Despite the fact that there exists no one-size fits all approach to PSD interventions, it is important to adopt a methodical procedure for selecting areas of intervention in a country,
- PSD programmes should be designed with a view to improving business sector competitiveness in a sustainable manner, which involves aligning programme objectives with those stipulated in the EC PSD strategy and addressing the key constraints bearing on success in the areas of intervention;
- complementarities should be maximized between areas of intervention, as well as coherence between PSD interventions, interventions in other sectors, and other EU policies.

### **Follow-up**

The evaluation is to be published on the internet with the formal response of the commission services, a summary and a quality judgment. A seminar within EC services is planned for first semester 2006.

### **Availability of the evaluation report**

Published at <http://europa.eu.int/comm/europeaid/evaluation/index.htm>

## Evaluation of the Commission's Regional Strategy for the Caribbean

**Activities concerned:** 19 11:21 03: Relations with Sub-Saharan Africa, the Caribbean, Pacific and Indian Ocean

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date December 2003 End date February 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

The objective of the evaluation was to provide the Commission with key findings and lessons of experience from the Commission's past and current assistance to the Caribbean Region under the regional programme. Taking account of the region political, economic, social and environmental framework, it should 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 Strategy.

### Summary of findings and conclusions

1. The Commission's support strategy to the Caribbean region has been focused on the construction of an integrated regional space. This objective finds its justification in the characteristics of the region and is shared by the Caribbean partners. However, the Commission's strategy suffers from the absence of policy dialogue on a long term vision for this regional integration and its contribution to sustainable development and poverty reduction.
2. Overall, the strategy has been able to respond to evolving needs but its design pays insufficient attention to the development asymmetries between the Caribbean countries, the most populated one (Haiti) being a least developed country whereas several others belong to the group of middle-income countries.
3. The Commission's interventions contributed to fostering regional integration across a broad range of sectors such as trade, promotion of cultural identity and diversity, product identity and regional marketing, post-secondary education and crime prevention. The Commission's achievements have nevertheless been hindered by an insufficiently clear organisational framework and by the lack of a long-term perspective in the design of its interventions. Attempts to maximise possible synergies between complementary interventions were insufficient, in particular as regards the linkage between the regional programme and the national ones.
4. Apart from 'environment', cross-cutting issues have not been sufficiently addressed.

### **Summary of recommendations**

1. The Commission should engage in a policy dialogue with its Caribbean partners with a view to developing a long term vision on how to achieve an integrated regional space which maximises the development benefits for the region. This should lead to a programming based on an in-depth analysis of the integration process and an identification of the major constraints to be overcome, allowing for a better selection and prioritisation of actions to be undertaken.
2. In the design of its strategy as well as in the implementation of its interventions, the Commission needs to address the development asymmetries of the Caribbean countries. Sustainability, cross-cutting issues and the 3Cs (coordination, complementarity and coherence) also need to be factored in the Commission's interventions, both at programming and implementation stages.
3. A linkage should be created between the regional programme and the national ones so as to maximise their global contribution to the Commission's strategic objectives.
4. Future foreseeable changes in EU policies such as the Common Agricultural and Trade Policies should be anticipated and response strategies identified in collaboration with partners in the region so as to integrate them properly in the regional strategy.

### **Follow-up**

Recommendations and related responses of the services have been established in a 'fiche contradictoire' published along with the report. Action on recommendations to be followed up after 12 months.

### **Availability of the evaluation report**

Published at <http://europa.eu.int/comm/europeaid/evaluation/index.htm>

## Evaluation of the European Commission's Strategy for Ghana

**Activities concerned:** 19 11:21 03: Relations with Sub-Saharan Africa, the Caribbean, Pacific and Indian Ocean

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date April 2004 End date April 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

The purpose of the evaluation was to provide the Commission with key findings and lessons of experience from its past and current co-operation with Ghana.

### Summary of findings and conclusions

1. Overall, the Commission's cooperation strategy for Ghana addresses well the main developmental needs affecting the country. However, the importance given to private sector development has been substantially reduced from the 7th to the 9th EDF, in spite of the central role that this sector could play in coping with Ghana's economic vulnerability.
2. The Commission's interventions in the area of rural development have been effective in increasing access to safe water and sanitation, and to basic economic and social facilities. They were less effective in terms of improving agricultural production systems and diversification of the sector.
3. In the area of transport, interventions have contributed to the objective of fostering growth.
4. In social sectors, the Commission's interventions have contributed to increase access to basic education and health services for the poorest segments of the population.
5. However, long delays in the implementation have hindered the effectiveness of most of the Commission's interventions.
6. Coordination among the donors has proved effective, and, as a result, their activities have ensured a wide coverage of the needs of the country. As regards the Commission's interventions, links between the national and the regional strategies are insufficiently developed, although no conflict is apparent.
7. The Commission's interventions have directly and indirectly contributed to good governance to a significant degree. At the opposite, gender and environment were insufficiently addressed.

### Summary of recommendations

- The Commission should continue to base its strategy on the areas that are currently selected as sectors of intervention. Nevertheless, a greater importance should be given to private sector development, which should be incorporated in the Commission's strategy as a transversal

issue that could be mainstreamed in the main areas of intervention.

- The Commission should also make explicit linkages between its national and regional strategies.
- As regards the implementation, steps should be taken to better mainstream and monitor gender and environment issues and to reduce implementation delays, in particular as regards the disbursement of funds through budget support.

#### **Follow-up**

Recommendations and related responses of the services will be established in a published 'fiche contradictoire', describing the action on recommendations to be followed up after 12 months.

#### **Availability of the evaluation report**

Published at <http://europa.eu.int/comm/europeaid/evaluation/index.htm>

## Trade

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### Interim Evaluation of the European Union's Trade Barrier Regulation (TBR)

**Activities concerned:** 20 02: Trade policy

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date December 2004 End date June 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

#### Purpose of the evaluation

To conduct an in-depth examination of the use made of the European Union's Trade Barrier Regulation since its launch ten years ago; and to make recommendations addressed to the European Commission on ways in which the instrument can be reformed so as better to serve its purpose of removing illegal trade barriers adopted or maintained by the EU's trade partners.

#### Summary of findings and conclusions

1. *Concerning the relationship between the TBR and the European Union's Market Access Strategy (MAS):*

- The unit responsible for administration of the TBR should continue to function independently of that responsible for administration of the MAS.
- Decisions about which particular trade barriers should be tackled by the TBR (rather than by some other mechanism) should in principle be handled by the market access unit. Co-ordination, interaction and communication between these two units should be improved, and a less formal but more frequent reporting mechanism put in place.

2. *In respect of practical aspects concerning administration of the TBR:*

- There should be further clarification of the standards applied when the Commission decides whether or not a TBR complaint meets the threshold for establishing a prima facie case; and greater latitude for complainants in terms of the number of economic indicators they must present to support a claim for injury and/or adverse trade effects.
- A mechanism is required to protect the identity and confidentiality of complainants, where such action is requested

3. *Concerning possible revisions to existing legislation:*

- Standing requirements should be harmonised by (a) allowing companies or associations of companies, as well as industries, to complain both against measures limiting access to third country markets, and against measures causing harm in the EC market; and (b) making the threshold for all complaints "adverse trade effects".

- Companies and associations of companies should be allowed to lodge complaints against violations of bilateral treaties to which the EC is a party.
  - The time limit for the Commission to take a decision on whether to open a TBR investigation should be increased.
  - A time-limiting mechanism should be put in place whereby WTO dispute settlement procedures are triggered automatically at expiry of the time-limit imposed.
  - The period allowed for the monitoring of steps taken by 3rd countries to address trade barriers (and during which, TBR investigations are suspended) should be subject to a time limit
4. *Concerning the visibility of the TBR within EU industry:*
- The level of awareness of the TBR among EU enterprises is very low, and further actions and initiatives will be necessary to raise the profile, and the rate of use, of the instrument. The degree of ignorance within the EU services sector is particularly acute, and this sector may require specific marketing and promotional effort.
5. *Concerning institutional issues:*
- TBR Committee meetings should either be organised more frequently, or else written status reports should be sent more frequently. The latter should include the Commission's action plan for trying to resolve the problem, and should be sufficiently detailed taking into account the circumstances of each case.

### **Summary of recommendations**

#### *Concerning the relationship between the TBR and the European Union's Market Access Strategy (MAS):*

- The unit responsible for administration of the TBR should continue to function independently of that responsible for administration of the MAS.
- Decisions about which particular trade barriers should be tackled by the TBR (rather than by some other mechanism) should in principle be handled by the market access unit. Co-ordination, interaction and communication between these two units should be improved, and a less formal but more frequent reporting mechanism put in place.

#### *In respect of practical aspects concerning administration of the TBR:*

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- The level of awareness of the TBR among EU enterprises is very low, and further actions and initiatives will be necessary to raise the profile, and the rate of use, of the instrument. The degree of ignorance within the EU services sector is particularly acute, and this sector may require specific marketing and promotional effort.

*Concerning institutional issues:*

- TBR Committee meetings should either be organised more frequently, or else written status reports should be sent more frequently. The latter should include the Commission's action plan for trying to resolve the problem, and should be sufficiently detailed taking into account the circumstances of each case.

**Availability of the evaluation report**

Published at [http://trade-info.cec.eu.int/doclib/docs/2005/october/tradoc\\_125451.pdf](http://trade-info.cec.eu.int/doclib/docs/2005/october/tradoc_125451.pdf)



## Enlargement

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### Interim Evaluation of the Pre-accession Aid Programme for Cyprus

**Activities concerned:** 22 02: Pre-accession assistance instruments

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date October 2003 End date August 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

#### Purpose of the evaluation

To provide stakeholders with independent assessments of the implementation and performance of on-going pre-accession programmes; to serve as a management tool and early-warning system for programme managers; to provide inputs for decision-making by senior management at the Joint Monitoring Committee meetings; to provide a basis for accountability in the use of pre-accession funds.

#### Summary of findings and conclusions

A general conclusion of the 2005 Country Summary report is that project implementation has improved considerably over the last two years. Most projects' immediate objectives have been achieved at satisfactory to highly satisfactory level. This can be attributed to the experience gained by stakeholders in project management, as well as to the positive effect of the accession on the country's general environment.

Nevertheless, there is still room for improvement. Projects with strong technical components faced more problems in their implementation. To this effect, the responsible institutions in Cyprus have responded favourably to suggestions and recommendations put forward by the evaluators.

As a consequence of the pre-accession assistance strong organisational structures have been set-up with appropriate monitoring and control systems. Most beneficiary organisations have all or most staff in place. Furthermore, the appropriate legal framework is in place. As a general rule, sufficient national funds are appropriated in maintaining projects' sustainability. Hence, the likely impact and sustainability are highly satisfactory.

In conclusion, the projects under review have contributed to the adoption of the acquis at a satisfactory to highly satisfactory level and so is the overall evaluation of the pre-accession programme under review.

**Summary of recommendations**

The evaluators made the following key recommendations.

- Monitoring reports need further improvement
- Projects with strong technical components, irrespective of the sub-sector they belong to, experienced problems in their implementation. Strong management and technical teams need to be set-up in order to support them.
- Tight contracting project scheduling should be avoided.
- Contract documentation in particular terms of reference and technical specifications should be well drafted in order to avoid misinterpretations.
- Opinions and comments requested from other authorities should be expedited.

**Follow-up**

According to the interim evaluation process, the main evaluation results and recommendations were incorporated in the Implementation Status Report that was discussed for corrective actions at the Joint Monitoring Committee meeting, thus ensuring feedback to the decision-making process.

**Availability of the evaluation report**

For the internal use of the Commission only.

## Humanitarian Aid

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### Evaluation of DIPECHO Action Plans in the Caribbean

**Activities concerned:** 23 02: Humanitarian Aid

**Scope of the evaluation:** Both retrospective and prospective

**Timing:** Start date August 2004 End date April 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

#### Purpose of the evaluation

##### *Global objective*

The purpose of the evaluation is to assess the appropriateness of DIPECHO's actions, in accordance with DG ECHO's mandate, in order to establish whether they have achieved their objectives, they have pertinent strategies and finally to produce recommendations by country within the regional, national and local context, depending on the conclusions, for an exit strategy or for improving the effectiveness of future operations in the Caribbean region.

##### *Specific objectives*

To have an independent structured evaluation of the results of the DIPECHO action in the Caribbean region – relevance, coverage, efficiency, effectiveness, impact, sustainability, and results achieved (accountability) – and of the way these results have been achieved (lessons learned).

The evaluation should contain conclusions and recommendations at both strategic and operational levels about the EC's disaster reduction approach.

#### Summary of findings and conclusions

DIPECHO is not only oriented towards a specific and vital need, but has also found a niche, which is not covered by any other international agency with the same level of profoundness. The DIPECHO programme is pertinent and appropriate with regards to the regional situation.

ECHO at the moment is rather the only agency to fund community based Disaster Preparedness (CBDP) in all the countries of the region. Regarding the high and growing level of national and local vulnerability, and the still unconsolidated governmental prevention and mitigation policies, disaster preparedness has a high **relevance** for the vulnerable population.

The question of whether or not coping strategies of the affected population were supported by ECHO-financed interventions can definitely be answered affirmatively.

The DIPECHO action plan IV did support the preparedness of communities and mainly developed the following activities: organization of Community Disaster Response Committees; creation of functional teams responsible for the preparation and the implementation of immediate responsive action in case of disaster, i.e. evacuation, shelter management, transport, nutrition, education etc; training of community members and staff of public institutions ...; elaboration of vulnerability and capacity maps; elaboration of community emergency plans and in some cases household emergency plans; and in some cases installation of early warning systems and organization of community based groups able to maintain these systems.

Although it is difficult to measure the impact of these activities because of the different character and consequently different impact of any disaster and because of a lack of clear indicators of measurement yet to be developed, experience has shown that the above-mentioned elements are the most essential to guarantee an effective reduction of loss of lives.

With the implementation of the CBDP projects, DIPECHO IV has found its niche. The projects meet essential needs, and their methodology and techniques are consistent with local organization and culture. They are highly accepted among the target population.

Related institutions and local staff have been trained and can be employed in future projects.

### **Summary of recommendations**

- DIPECHO’s distinct identity and niche should be preserved. It is vital to avoid overcharging the program with expectations and responsibilities belonging to other actors or structures of the EC. DIPECHO should continue to be a budget line that supports community capacities for coping and resilience, through non-governmental actors.
- ECHO should strengthen its advocacy pillar, and establish a clear strategy with necessary resources. This strategy should be established at all levels of EC operations: central (for policy making, follow up, planning, and evaluation), regional and national. It is strongly recommended that the Santo Domingo office initiative for a “*Regional ECHO Strategy*” should be continued and consolidated.
- DPP should be inserted better than at present into the agenda of development services of the EC. Delegations should be asked to carry out an annual situation analysis and issue strategic recommendations. Procedures should be developed to define communication and cooperation between ECHO’s regional offices and delegations (regular strategy consultations, meetings etc.).
- Risk reduction criteria need to be included into the formulation of related development projects (especially of infrastructure, rural and urban development, poverty relief etc). For all these reasons it is highly recommended that the programme be continued until national institutions and the international community include the subject in their agenda and until the achieved results are consolidated.
- An additional result should be required from the partners (and be included into the calls for proposal): an assessment of existing local and national institutional structures and capacities as well as a plan which contains proposals on how to develop a follow up of the projects, in order to consolidate them and guarantee their sustainability.
- CBDP projects should therefore include in their activities, to a higher degree than in DIPECHO IV, EWS (*Early Warning System*) in communities that are prone to sudden floods. Calls for proposals should encourage partners for the application of EWS in their projects.

- DIPECHO should give priority to mid- or long-term activities, making use of the partner's work plan in the countries. The achievement of planned objectives and results, management of time constraints and follow up would then be possible.

**Follow-up**

Where relevant the evaluations recommendations will either be taken up directly with the NGOs concerned or will feature in a further financing decision.

**Availability of the evaluation report**

Published at [http://europa.eu.int/comm/echo/evaluation/index\\_en.htm](http://europa.eu.int/comm/echo/evaluation/index_en.htm)

## Evaluation of DG ECHO Financed Actions in Burundi

**Activities concerned:** 23 02: Humanitarian Aid

**Scope of the evaluation:** Both retrospective and prospective

**Timing:** Start date 06 2005 End date 8 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

#### *Global objective*

The purpose of the evaluation was to assess the appropriateness of ECHO financed actions, in accordance with ECHO's mandate, in order to establish whether they have achieved their objectives and to produce recommendations for improving the effectiveness of future operations in Burundi in a political context that is changing from civil war to transition and from purely emergency aid towards rehabilitation and sustainable development.

#### *Specific objectives*

To have an independent structured evaluation of the results of the action in Burundi. – relevance, coverage, efficiency, effectiveness, impact, sustainability (if appropriate) and results achieved (accountability) – and of the way these results have been achieved (lessons learned). The evaluation should contain conclusions and recommendations at both strategic and operational levels. Lesson learning and accountability are the main purposes of the evaluation.

The evaluation should contain conclusions and recommendations at both strategy and operational levels and assist ECHO and other EC services to define a coherent and viable LRRD (Linking Relief, Rehabilitation and Development) transition plan for its future eventual progressive and partial phase down/phase out from the region.

### Summary of findings and conclusions

Consultations between ECHO and other Directorate-Generals of the RELEX family have increased, and joint strategic documents have been produced at the Brussels level. Yet, with the exception of the food security sector, there still appears to be too little evidence that a real vision of the LRRD process is shared at field level, or between the field and Brussels.

ECHO policy towards cost-recovery in the health system in Burundi has shifted during the period under review to reflect changing Ministry of Public Health policies. From 'free' service delivery, ECHO's partners now all apply flat-rate partial cost-recovery, with, supposedly, exemptions for the most vulnerable as agreed by community health committees. These same partners are also paying 'incentives' of up to three times the salary to national health staff.

ECHO has supported the Watsan sector since 1994. However, recent introduction of alternative EC (ACP) budget-lines aimed at provision of safe water, and the need for more substantial urban treatment and distribution systems, means that ECHO can begin to disengage. This is done in close cooperation with AIDCO and other donors.

ECHO's adoption of 'results-based' management in the late 'nineties changed the focus from measurement of inputs to results. There continues to be, however, lack of agreement between ECHO and its partners at the field level on the use of performance indicators.

Some partners feel that their relations with ECHO at country level are based on an institutional logic which is imposed. After contract signature, the level of detailed monitoring is felt to be constructive by some and oppressive by others, with very little room for manoeuvre between budget-lines.

Genuine linkages between relief and development require longer-term funding approaches than are currently permitted under EC rules within the Financial Regulation and the principle of annuality. This is not to say that all relief projects require such an approach, however. But there are some areas that would be of indirect, but nevertheless ultimately lifesaving impact over relatively short time frames.

Cross-cutting issues such as gender are addressed in the implementation of ECHO-funded operations, but often in a non-systematic and planned way. Despite this, several partners reported that when present in beneficiaries' associations, particularly water committees, women are a guarantee of good management and transparency in Burundi.

#### **Summary of recommendations**

- To reap the synergies inherent in the LRRD concept, the evaluators suggest that ECHO support the process of re-establishing community self-reliance and self-determination so needed in Burundi under an overall strategy of 'conflict prevention'.
- A review of humanitarian coordination arrangements within the integrated mission construct would prove useful. It is certainly timely. It would be re-assuring if selected INGOs were to be included in any such process. Allied to this, principles of 'good donorship', particularly in respect of joint assessment, planning, and reporting, could be reviewed under the leadership of the Humanitarian Coordinator.
- Efforts to combat malnutrition, especially where food utilisation rather than food availability is suspected as a determinant of malnutrition, should be closely linked to education. Such an integrated approach to humanitarian activities is supposedly one of ECHO's policies and should be considered.
- HIV/AIDS is an emergency issue and requires mainstreaming earlier in any emergency response. This implies a different approach by ECHO's habitual partners that is more integrated, less vertical, and more community-based. ...additional technical support and diagnostic supplies are needed at VCT level in support of increasingly home based care.
- MDGs provide a focused framework for development, with clear indicators of success. These can be used as a guide when planning even emergency programmes since they aid accountability, especially through the LRRD transition.
- Needs Assessments are relative, not absolute, and too many of them overlap and duplicate. Vulnerability is as much a function of local coping strategies and resilience than a function of 'rights-based' absolute thresholds. In complex settings, they should be independent, use formal methodologies, be jointly conducted by all relevant stakeholder groups on sectoral bases, and subject to pre-determined timings. Ideally, they should be coordinated by OCHA.
- More attention could be paid to joint ECHO-DG Development/FED missions to sub-sectoral projects that conform to ECHO's 2004 Global Plan.

- A bigger emphasis from ECHO would stimulate partners to incorporate a more proactive approach towards cross-cutting issues when planning their humanitarian activities.
- Further support is needed for the establishment of comprehensive disease surveillance in Burundi, including a strong nutritional surveillance component.
- It is proposed that ECHO and its partners conduct more detailed (regional) assessments of: Drug Quality Control measures; Malaria and TB control programmes; Blood Safety; micro-nutrient deficiencies among extremely vulnerable groups; and diversion/monetisation of food commodities at tertiary household level.

**Follow-up**

Where relevant the evaluations recommendations will either be taken up directly with the NGOs concerned or will feature in a further financing decision.

**Availability of the evaluation report**

Published at [http://europa.eu.int/comm/echo/evaluation/index\\_en.htm](http://europa.eu.int/comm/echo/evaluation/index_en.htm)



## Evaluation of DG ECHO Financed Actions in Haiti

**Activities concerned:** 23 02: Humanitarian Aid

**Scope of the evaluation:** Both retrospective and prospective

**Timing:** Start date May 2005 End date November 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

#### *Global objective*

The purpose of the evaluation was to assess the appropriateness of ECHO's actions, in accordance with ECHO's mandate, in order to establish whether they have achieved their objectives and to produce recommendations for improving the effectiveness of future, albeit reduced, operations in Haiti.

#### *Specific objectives*

To have an independent structured evaluation of the results of the action in Haiti since 2004—relevance, coverage, efficiency, effectiveness, impact, sustainability (if appropriate) and results achieved (accountability) – and of the way that these results have been achieved (lessons learned). The evaluation contains conclusions and recommendations at both strategic and operational levels. Lesson learning and accountability were the main purposes of the evaluation.

The evaluation should assist ECHO and other EC services to define a coherent and viable LRRD (Linking Relief, Rehabilitation and Development) transition plan for ECHO's partial phase down/phase out.

### Summary of findings and conclusions

The independent evaluators noted that, with a budget of nearly EUR 13 million (the second largest donor of emergency relief funds for 2004), ECHO had supported a wide variety of projects, not only the more conventional health, nutrition and water and sanitation projects, but also agricultural and communication projects. In view of the complex and extended crisis in Haiti, this wider view was well justified and the vast majority of the projects are considered to be appropriate and reasonable successful.

In general, most NGOs and IOs acted professional in their operations. The progress under difficult security situations in an extremely poor country is much appreciated by this evaluation team. However, the technical quality of some of the constructions leaves room for improvement.

More ECHO presence could have made needs assessments more independent, and could have improved quality control and ECHO's visibility during the crisis.

Although ECHO reacted within 2 weeks after Aristide left Haiti, ECHO could have been more proactive in view of the rapidly deteriorating situation in the period before Aristide's downfall.

The lack of a reliable radio network and the constraints in OCHA's staff did hamper to some extent the NGOs' operations, but no staff members were endangered. However, the problems might have been more serious if the political crisis had lasted longer.

The logframe approach in the project documents was not done consequently, and NGOs often failed to discuss the OVIs in their final report. Impact assessment of projects for final reports will improve monitoring and self-evaluation... The degree of ownership the beneficiaries and other stakeholders had in the projects, the level of institutional capacity, and financial and technical issues, were much easier to gauge in terms of impact the intervention had on the crisis.

The link with development of most ECHO projects is weak or non-existent. This is not a failure, but inherent to the nature of most projects (emergency relief with a short emergency rehabilitation span).

### **Summary of recommendations**

- Despite some constraints in their performance, ECHO should continue with well established NGOs which are not only well prepared for a disaster, but could offer a sensible aftercare strategy and have relations with Haiti counterparts.
- Although the staff of the ECHO Office for the Caribbean did a remarkable job monitoring the many projects, the complexity of Haiti warrants that there should be an ECHO staff member especially for Haiti in the event of another crisis. It might also be useful to carry out needs / impact assessments by ECHO staff rather than leave this to IOs/NGOs.
- The use of a logical frame matrix in planning a project, with its ability to improve monitoring and self-evaluation of activities during implementation, is recommended to all partners. About half of the NGO projects evaluated took advantage of a logical framework matrix and profited, especially in the areas of project effectiveness and impact. Because of these projects' improved monitoring and evaluation ability, each could easily follow up their projects with an impact assessment in the final report.
- In the case of Haiti, emergency rehabilitation activities after an emergency should be sustainable and fit within the development strategy as much as possible. Even without a strategy, organisations should put emphasis on issues such as ownership, cost-recovery (except for the very vulnerable) and availability of spare parts.
- “The useful cooperation with local institutes and authorities should be continued. Data collection and preparing strategies (WatSan, Health, Poverty, etc) should have priority in the near future as the lack of these limits the relevance and impact of (proposed) projects, could weaken the existing (semi-) government institutes in Haiti and will negatively effect the sustainability. Limited (assuming that the situation does not worsen) assistance of ECHO funding could continue. The continuation of health projects makes more sense than WatSan or agricultural rehabilitation projects. Food Aid projects might be relevant too, but it is recommended to wait until the results of the forthcoming nutrition survey are available.

### **Follow-up**

Where relevant the evaluations recommendations will either be taken up directly with the NGOs concerned or will feature in a further financing decision.

### **Availability of the evaluation report**

Published at [http://europa.eu.int/comm/echo/evaluation/index\\_en.htm](http://europa.eu.int/comm/echo/evaluation/index_en.htm)

## Evaluation of DG ECHO Financed Actions in Northern Uganda

**Activities concerned:** 23 02: Humanitarian Aid

**Scope of the evaluation:** Both retrospective and prospective

**Timing:** Start date July 2005 End date October 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

#### *Global objective*

The purpose of this evaluation was to assess the appropriateness of ECHO's strategy and the effectiveness of partners' actions. Recommendations for fine-tuning both ECHO's strategy and the effectiveness of partners' actions were also required.

#### *Specific objectives*

To have an independent structured evaluation of the results of the action in northern Uganda since 2004 – relevance, coverage, efficiency, effectiveness, impact, sustainability (if appropriate) and results achieved (accountability) – and of the way these results have been achieved (lessons learned). The evaluation should contain conclusions and recommendations at both strategic and operational levels. Lesson learning and accountability are the main purposes of the evaluation.

The evaluation should assist ECHO and other EC services to define a coherent and viable LRRD (Linking Relief, Rehabilitation and Development) transition plan for its future eventual progressive and partial phase down/phase out from the region.

### Summary of findings and conclusions

The impression left with the evaluators is of a programme of interventions about which ECHO can feel broadly satisfied. As with any programme of this sort at this stage in the continuum there are many refinements which can be made. In particular it must be recognised that, whilst much has been provided to sustain life and livelihood, many people still lack the fundamentals of decent water and sanitation provision.

There remain significant needs in all the regions visited by the evaluators ... but the scale of those needs depends upon the 'remoteness' (in terms of access and security) from the 'humanitarian hub' town of the camps and the number of them remaining.

At this stage in the continuum, the requirement is pressing for overall need assessments of geographical sector priorities on which to base ECHO's Humanitarian Aid Decisions. Needs derived from information provided via project proposals are partner driven, reflecting their perceptions and inevitably influenced by their own areas of expertise and interest. A more comprehensive and systematic baseline data collection needs to be commissioned, to avoid a piecemeal approach which risks to miss out some higher deserving areas or sectors.

ECHO should congratulate itself and its staff on the exemplary cooperation and collaboration it has developed with the other relevant EC services in Brussels and in Kampala. This is appropriate as it enters the consolidation/transition phase and should be already starting to plan its exit.

#### **Summary of recommendations**

- ECHO should move to consolidate its achievements and those of its partners through further funding having - very broadly - the following sector priorities (in order): Water and Sanitation; Health and nutrition services to camps; Health services at or close to ‘humanitarian hubs’; Livelihood security and Protection.
- The proper quantification of needs should be the subject of a survey ... ECHO should investigate effective ways of directing funding towards a comprehensive needs assessment, to be carried out independently of implementing agencies.
- ECHO should plan on a three to four year horizon, with a review one year after the coming elections next spring. The plan should anticipate an intensification of ECHO activities in the coming two years, followed by a two-year withdrawal, with contingency plans to bring the withdrawal forward and/or to convert the programme into pure rehabilitation in the (unlikely) event that the security situation is resolved quickly.
- Future ECHO funded projects should have flexibility built in via properly elaborated contingency plans to cope with resettlement of IDPs on an opportunistic basis. Proper engagement with local authorities and with beneficiaries adds an important dimension to interventions and is relevant to protection, sustainability, LRRD and wider impact. The attitude and effort of partners devoted to these aspects is quite varied and ECHO has a role to give active encouragement as well as leadership by example.
- In formulating proposals in all sectors, especially in food security and watsan, LRRD perspective. Demonstration of such a commitment is likely to require: the evident involvement of staff from the local group in preparation of the proposal and its negotiation with ECHO; provision within the project for practical relevant training and capacity building; a formal memorandum of understanding setting out roles; and a clear methodology for involving beneficiaries in decision making, including appropriate time allowance in the project timeline.

#### **Follow-up**

Where relevant the evaluations recommendations will either be taken up directly with the NGOs concerned or will feature in a further financing decision.

#### **Availability of the evaluation report**

Published at [http://europa.eu.int/comm/echo/evaluation/index\\_en.htm](http://europa.eu.int/comm/echo/evaluation/index_en.htm)

## Evaluation of DG ECHO Financed Actions in Sri Lanka and in the Tamil Refugee Camps in Tamil Nadu, India

**Activities concerned:** 23 02: Humanitarian Aid

**Scope of the evaluation:** Both retrospective and prospective

**Timing:** Start date August 2004 End date October 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

#### *Global objective*

The purpose of the evaluation was to assess the appropriateness of ECHO's actions, in accordance with ECHO's mandate, in order to establish whether they had achieved their objectives and to produce recommendations for improving the effectiveness of future operations in Sri Lanka.

#### *Specific objectives*

To have an independent structured evaluation of the results of the action in Sri Lanka and in Tamil Nadu since the ceasefire agreement of February 2002– in terms of relevance, coverage, efficiency, effectiveness, impact, sustainability and results achieved (accountability) – and of the way these results have been achieved (lessons learned). The evaluation should contain conclusions and recommendations at both strategic and operational levels. Lesson learning and accountability are the main purposes of the evaluation.

The evaluation should contain conclusions and recommendations at both strategy and operational levels and assist ECHO and other EC services to define a coherent and viable LRRD (Linking Relief, Rehabilitation and Development) transition plan.

To review ECHO's restated policy of treating affected populations on the basis of need. The review in Sri Lanka is the fourth such exercise relating to forcibly displaced persons; reviews have already taken place in Sudan, Angola and Afghanistan.”

### Summary of findings and conclusions

The evaluation team had left the island only shortly before the Tsunami hit so their findings were immediately overtaken by other events. The report can be still used as a point of reference.

- A more holistic and comprehensive approach, especially with respect to environmental health, would have increased the effectiveness of interventions in water and sanitation.
- Partners are also encouraged to use a more scientific approach.
- Sector coordination was not sufficient and did not allow for much exchange of ideas as to the type of technology used, material procured or produced, implementation methods, etc.

- A key aspect in efficiency of implementation has been experienced technical personnel (especially personnel with a construction background). There have been considerable differences in the quality of project management and efficiency among the partners.
- Overall efficiency of the interventions can be rated as good, however quite high ratios of support costs / total costs existed. Investment costs per beneficiary and structure have been economical: unit-costs have been fairly equal. In the general absence of required data even short term impact cannot be evaluated. Overall sustainability can be expected as a number of INGOs have development-oriented projects proceeding in parallel and the durability of structures built is good.

#### **Summary of recommendations**

- ECHO assistance increasingly needs to be strictly focussed only on the most vulnerable and the most needy.
- Impacts of any reduction or termination of food assistance needs to be closely monitored by the partners, especially in Tamil Nadu, to allow immediate corrective actions if the nutritional status of those affected by the cut in assistance falls below acceptable levels according to WHO standards.
- *Water/Sanitation/Shelter*. Standardization of typical structures should be made and be required of partners immediately after programme start for all sectors. ECHO partners should be asked to meet, discuss and agree standard designs, materials used, procurement methods that respect their contractual requirements and implementation techniques. This would also facilitate comparison of performance and subsequent lessons learning. Before the start of a humanitarian intervention in a country the existence of a lead agency should be ensured in core sectors.
- *Quality Control*. ECHO should ensure that lead agencies are active in core sectors (funds must be allocated for specialised activities e.g. coordination, dissemination of material, etc.). ECHO must insist that standards are agreed for all sectors and adhered to.

#### **Follow-up**

Where relevant the evaluations recommendations will either be taken up directly with the NGOs concerned or will feature in a further financing decision.

#### **Availability of the evaluation report**

Published at [http://europa.eu.int/comm/echo/evaluation/index\\_en.htm](http://europa.eu.int/comm/echo/evaluation/index_en.htm)

**Evaluation of the partnership between DG ECHO and the UNHCR and of UNHCR activities funded by DG ECHO**

**Activities concerned:** 23 02: Humanitarian Aid

**Scope of the evaluation:** Both retrospective and prospective

**Timing:** Start date December 2004 End date October 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

**Purpose of the evaluation**

The purpose of this evaluation was to evaluate the quality of the partnership between DG ECHO and UNHCR as measured against the requirements of articles 7, 8 and 18 of the Humanitarian Aid Regulation.

The evaluation should focus on the partnership between DG ECHO and UNHCR and their inter-related capacity to answer the needs of beneficiaries, in the field of protection and assistance to refugees and returnees. The evaluators should study the 2001 DG ECHO/UNHCR evaluation recommendations and advise to what extent those recommendations had been implemented by both agencies. The evaluators should also examine the impact of DG ECHO's thematic funding in support of UNHCR in the implementation of its core mandate, the complementary and added value of thematic with geographical funding and establish recommendations on possible new applications for future thematic funding.

In those countries where other EC services are supporting UNHCR programmes the evaluators were meant to assess the transitional context, LRRD and how possibly other available EC funding instruments could further enhance the transition towards durable solutions into refugee situations.

The evaluation should finally formulate a set of clear findings, conclusions and recommendations for UNHCR and for DG ECHO, on how to improve the overall DG ECHO-UNHCR partnership, at both operational and thematic levels.

**Summary of findings and conclusions**

No other DG ECHO partner can match the UNHCR's legal mandate or operational capacity to provide an extensive array of services to refugees and displaced persons across the world. UNHCR is a key humanitarian partner for the European Union.

DG ECHO's thematic funding mechanism for capacity building has been successfully applied in the partnership between the UNHCR and DG ECHO and is considered the most effective tool in ECHO's 'arsenal', helping its partners to address areas in need of strategic managerial improvement.

The SPD (Strategic Partnership Dialogue) should be enhanced, to include a separate forum for high-level policy exchange which would address or avoid possible miscommunications and misunderstandings between both organisations.

### **Summary of recommendations**

UNHCR should accelerate its adoption of a genuinely needs-based planning and results-based monitoring and reporting.

The UN Coordinator or OCHA should ensure that the refugee assistance is congruent with the needs of the local population and/or the long-term development priorities.

DG ECHO should ensure its other partners respect the UNHCR's co-ordination role, which needs to be strong in order to reach a consistent level of services within and among camps.

The evaluators recommend that DG ECHO increases thematic funding for capacity building as a strategic support to the UNHCR.

The UNHCR should revise its Memorandum of Understanding with UNICEF and WHO to ensure their predictability and commitment in education and health assistance respectively.

The UNHCR should treat its 'implementing' partners as partners and not as contractors.

The UNHCR should increase, under geographical funding, the resources assigned to protection, also for those refugees outside the camps.

DG ECHO should bolster its capacity to mobilize political support for the UNHCR, especially when the right of asylum is compromised.

The UNHCR should increase the relative funding of its protection activities and ECHO should increase its relative investment in protection and coordination activities with UNHCR.

DG ECHO's geographical units should increasingly opt for "lightly" earmarked 'programmatic funding' to the global appeal of UNHCR. If need be, DG ECHO should consider adjusting the financial implementing procedures of the FAFA (Financial and Administrative Framework Agreement).

### **Follow-up**

This evaluation is itself a follow-up of an earlier evaluation.

DG ECHO will present the evaluation results to the EU Member States at the forthcoming Humanitarian Aid Committee (HAC) meeting of February 2006, and then invite the UNHCR's representatives to express themselves in turn before the HAC on a later occasion (most probably at the HAC meeting of April 2003).

The evaluation of DG ECHO itself required a strong and in-depth consultation process on DG ECHO's Partnerships with a wide range of partners, including the UNHCR. The results will be used in this other evaluation.

Strengths and weaknesses as assessed for thematic funding will receive due attention by DG ECHO and the UNHCR directly at field and at operational desk levels (Burundi and the other countries concerned by the thematic funding decision).

Conditional to the UNHCR's relative increase for legal and physical protection activities as well as coordination purposes, DG ECHO will possibly consider increasing its relative investment in protection and coordination activities on a case by case basis.

At sectoral levels (food, health and sanitation projects), identified strengths and shortcomings will be followed up by DG ECHO and by the UNHCR directly at field and geographical desks' levels (Guinea, Chad and Afghanistan/Pakistan).



**Availability of the evaluation report**

Published at [http://europa.eu.int/comm/echo/evaluation/index\\_en.htm](http://europa.eu.int/comm/echo/evaluation/index_en.htm)

**Evaluation of DG ECHO Financed Actions in the People's Democratic Republic of Korea from 2001 to 2003**

**Activities concerned:** 23 02: Humanitarian Aid

**Scope of the evaluation:** Both retrospective and prospective

**Timing:** Start date August 2004 End date January 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

**Purpose of the evaluation**

*Global objective*

The purpose of the evaluation was to assess the appropriateness of ECHO's interventions since 2001, in accordance with ECHO's mandate, in order to establish whether they have achieved their objectives, and to produce recommendations for improving the effectiveness of future operations. The primary purpose is lesson learning, the secondary one accountability.

*Specific objectives*

To have an independent structured evaluation of the results of ECHO's operations in the last years. The evaluation should assess the relevance, coverage, efficiency, effectiveness, impact, sustainability (if appropriate) and results achieved (accountability) – and of the way these results have been achieved (lessons learned). The evaluation should contain conclusions and recommendations at both strategic and operational levels. Lesson learning and accountability are the main purposes of the evaluation.

**Summary of findings and conclusions**

The humanitarian emergency in DPRK continues. The economic reforms of 2002 have created winners and losers, extending the ranks of the vulnerable.

Restrictions on information and data gathering make objective assessment of humanitarian needs exceptionally difficult in DPRK. However national nutrition surveys, and informal data on the household economy, illustrate the continuing seriousness of the situation.

ECHO's response to this longstanding humanitarian emergency has been broadly appropriate, both in terms of institutions supported and sectors addressed.

Since DPRK institutions are not in a position to provide accountability, ECHO has been right to support UN agencies and Red Cross societies, and to support and promote European NGOs.

Since the beginning of the emergency in 1995 international agencies have worked under severe restrictions in DPRK, with limitations on access and very limited accountability. These restrictions eased gradually over the years but increased again from September 2004.

Agencies have generally been unable to work with technically qualified Korean counterparts, limiting opportunities for training and capacity building.

On 15th September 2004 the DPRK government announced its intention to impose further restrictions on the activities of international humanitarian agencies, including visits to projects for monitoring (in practice for any) purposes. Although the short term impact has been limited, the long term implications, though uncertain, are likely to be very considerable - especially for international NGOs, of whom ECHO is the principal sponsor.

There are no genuinely independent or non-governmental agencies in DPRK, though there are three or four agencies with a degree of autonomy, notably the DPRK Red Cross, who provide exceptional opportunities for collaboration. Such collaboration greatly increases impact.

### **Summary of recommendations**

- The evaluation supports the continuation of ECHO's programme in DPRK, broadly along current lines. If DPRK government policies and ECHO finances permit, the evaluators would support the expansion of the programme.
- Priority should continue to be given to a wide-ranging dialogue with relevant stakeholders, with a view to maintaining and developing an objective view of the opportunities and constraints of working in the exceptional environment of DPRK.
- Particular care needs to be taken continually to adapt the programme to changing circumstances, especially since the rate of change in DPRK may accelerate considerably in coming years.
- Distribution and monitoring regimes relating to the supply of essential drugs and equipment should be standardized as far as possible, and if possible upgraded to conform with WHO guidelines should the necessary funding become available.
- An external review should be undertaken of the programmes distributing drugs and essential medical equipment, as implemented by UNICEF, the Red Cross, UNFPA and WHO.
- Coordination between all agencies involved with the distribution of drugs and medical supplies in DPRK should be further improved, with a view to standardizing approaches as far as possible. If possible a central database should be established.
- Serious efforts should be made to find out the reasons for the institutionalization of babies and children in DPRK, despite the difficulties involved.
- Local/regional distribution of IVF should be promoted. Traditional IVF production should be evaluated. New donors should be sought for long-term provision of consumables to the IVF and blood bank projects.
- New donors should be sought to promote the sustainability of work with the handicapped.
- ECHO (and/or other EC instruments as appropriate) should continue to consider the provision of support for food aid, particularly if shortfalls recur.

### **Follow-up**

Where relevant the evaluations recommendations will either be taken up directly with the NGOs concerned or will feature in a further financing decision.

### **Availability of the evaluation report**

Published at [http://europa.eu.int/comm/echo/evaluation/index\\_en.htm](http://europa.eu.int/comm/echo/evaluation/index_en.htm)

## Commission's Administration

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### Evaluation of the Use of the Formex Format in the Publication Activities of the Official Journal of the European Union

**Activities concerned:** 26 01 09: Administrative support of the Publications Office  
26 01 10: Consolidation of Community Law  
26 01 11: Official Journal of the European Union

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date June 2004 End date December 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

#### Purpose of the evaluation

1. Decision-making aid: which policy is to be retained concerning choice of electronic platform in order to ensure timelessness of format and to reduce as much as possible market captivity? (FORMEX, TIFF, PDF, other platform format?)
2. Ensure in the most effective, efficient and economic way one of the principal missions of the Office, namely publication of the Official Journal and dissemination of Community legislation
3. Analysis of the alternatives in terms of technological, organisational and budgetary performance.

#### Summary of findings and conclusions

1. The FORMEX electronic format of exchange of information and of file structuring has undeniably many technical advantages, especially since the arrival of the XML, but is not sufficiently exploited enough in all phases of production of the documents published in the OJ. The technology being currently ripe and in the recognition and adoption phase by the professionals of the sector, it is necessary to progress towards an integrated system or more compatible XML method of production in all its phases.
2. The process of production of the texts published in the OJ by the various institutions is not taken enough as a whole, like a complete process with various successive participants and with various purposes.

3. The possibility of modifying production procedures upstream of publication will need considerable efforts by the institutions in the 3 – 7 years horizon.

**Summary of recommendations**

The development of the systems of production of the various institutions towards a more integrated or more compatible system should be considered, in particular regarding the XML format (possible implications for the production system or the organisation of the different services of the various institutions and new needs in terms of the participants' training).

**Follow-up**

Not yet defined.

**Availability of the evaluation report**

For the internal use of the Commission only.

**Interinstitutional Evaluation Concerning the Activities of the Different Print-shops of the Publications Office, the European Parliament (Luxembourg), the European Economic and Social Committee and the Committee of the Regions, the Offices for Infrastructure and Logistics in Brussels (OIB) and in Luxembourg (OIL)**

**Activities concerned:** 26 01 09: Administrative support of the Publications Office

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date January 2005 End date October 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

**Purpose of the evaluation**

1. Decision-making aid (organisational efficiency: synergy search, investment plan, production and organisation alternatives)
2. How to confer more added value and better to promote the activities of the Office from a point of view of development of the objectives of the various issuing departments and of production technologies; which synergies to develop; which interinstitutional or interdepartmental complementarity to organise?

**Summary of findings and conclusions**

The organisation and the efficiency of these activities have to be improved.

**Summary of recommendations**

Different propositions and orientations are described in the conclusions. The aspect of increased cooperation and complementarity between the different services of the different institutions is taken into consideration.

**Follow-up**

In relation to its mission, which is not to simply to produce Community publications but to publish them in the most professional, effective and economic way possible, the Office decided to phase out by mid-2006 the "offset" activities of its print workshop, maintaining the activities related to prepress and to electronic printing.

**Availability of the evaluation report**

For the internal use of the Commission only.

**2005 Staff Opinion Survey for Commission staff in Brussels, Luxembourg, JRC sites and EC delegations**

**ABB activities concerned:** 26 01 21: Office for the Administration and Payment of Individual Entitlements  
 26 01 22: Office for Infrastructure and Logistics (Brussels)  
 26 01 23: Office for Infrastructure and Logistics (Luxembourg)  
 26 01 50: Personnel policy and management

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date May 2005 End date December 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

**Purpose of the evaluation**

The second general survey on staff satisfaction with the working environment and the horizontal services of DG ADMIN, OIB, OIL and PMO was launched on 10 October 2005 and closed on Friday 21 October 2005. It was open to staff in Brussels, Luxembourg and this year also to JRC locations and the EC delegations.

The objective of the staff opinion survey is to “measure” to what extent the expectations of staff are met with regards to the services of the DG ADMIN, OIB and PMO, as well as the working environment within the Commission. The feedback and ratings of this year are used to compare satisfaction levels with those of last year and to further improve the service provision.

**Summary of findings and conclusions**

A total number of 6.312 staff completed the survey, about 25% of all Commission staff. This is an improvement in the response rate of more than 49 % as compared to last year’s staff opinion survey.

If we apply a 70% satisfaction benchmark (meaning that staff rate satisfaction 7 or more on a scale of 10), 67% of staff is really satisfied with being employed in the Commission. This is a very good satisfaction rate in the public sector. At least 90% of staff is averagely satisfied with their employment in the Commission.

It is worth noticing that there is a slight improvement in the overall satisfaction rate with the Commission as a workplace when staff compares it with an ideal workplace.

As compared to last year, Commission staff is less proud to work in the Commission or are slightly less tempted to recommend others to apply for a job in the Commission. The perception of staff is that they enjoy a pleasant working atmosphere and that they have wide range of possibilities for personal development. The relations of staff with management have slightly improved. Staff is still dissatisfied with the relation between performance and career progression.

In general, staff is neutral to very slightly satisfied with the services provided by DG ADMIN and

the three Offices (OIB, OIL and PMO). The satisfaction with the services of PMO is decreasing slightly while the level of satisfaction with the services of DG ADMIN and OIB show a very minor improvement.

#### **Summary of recommendations**

- Improvement of the service orientation;
- Clearer communication and increased transparency;
- Simplification of some internal procedures of DG ADMIN and the Offices;
- Improved Human Resource Management: focussing on the person's individual value for the organisation as well as modernising the workplace; and
- Provision of improved recognition or acknowledgement of staff performance as well as increasing the level of respect for staff as individuals.

#### **Follow-up**

Responding to these issues in particular, ADMIN embarked on a comprehensive simplification exercise. A list of actions was drawn up and 22 of these should be implemented before the end of this year with the aim of making the working life of staff easier. Final analysis of the survey should be out in early 2006 along with more news of how ADMIN and the Offices are responding to the issues raised.

#### **Availability of the evaluation report**

For the internal use of the Commission only.



## Evaluation of the Performance Appraisal and Promotion Policy for Commission Staff

**Activities concerned:** 26 01 50: Personnel policy and management

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date February 2004 End date November 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

The new staff appraisal methodology, known as "career development review" (CDR) and the new promotion system were introduced as part of the Commission's reform of its human resources policies. The new staff appraisal and promotion system took effect from January 2003.

The objectives of this evaluation were the following:

- To provide a in-depth analysis of the second CDR and promotion exercise;
- To provide practical recommendations for further improvement of the Commission's staff appraisal and promotion system and policy, including the basic concepts;
- To assess the new staff appraisal and promotion system in terms of "strengths, weaknesses, opportunities and threats", satisfaction, effectiveness and relevance;
- To analyse the link to career management and organisational development: the strategic integration with the aim of enhancing the performance culture.

### Summary of findings and conclusions

After three years of implementation, the current appraisal and promotion system ("CDR") does not appear to be working as expected originally. Although one cannot expect any form of appraisal system to become "popular" among staff (other organisations that were used as "benchmarks" admitted of being subject to criticisms as well), a majority of staff perceives that the CDR does not yet offer the overall sense of fairness and logic that is required in order to be fully accepted.

The new DGE (Dispositions générales d'exécution) for the articles 43 (appraisal) and 45 (promotion) of the Staff Regulation, of 24 March 2004, introduced some improvements (e.g. the use of half merit points, much appreciated) and simplifications (e.g. less cumbersome interim reports). These were the first results from the lessons learned during the evaluation of the CDR 2003 and the subsequent internal discussions. Some of these modifications (the chairmanship of the Joint evaluation committee given to a Director coming from another Service) were appreciated by the staff representatives, though often less by the Services themselves.

In the eyes of staff the CDR did not fully attain the objective of rewarding merit fairly and properly. In the general survey, more than 72% of those who replied stated that they were “dissatisfied” or “very dissatisfied” with the fairness and transparency in the attribution of both merit and priority points. In addition, the system is generally considered as overly cumbersome and time consuming (an opinion expressed in 75,3% of the replies to the survey by the general staff, and by up to 85,3% of the reporting and counter-signing officers). Whilst positive elements have been introduced by the CDR, these are often undermined by negative factors – with unintended consequences on staff commitment and team spirit.

### **Summary of recommendations**

Findings indicate indeed that the CDR would need some additional “breathing space” in the very short term, to allow –to the extent that this is still psychologically possible- some of the Services which have the least manoeuvring room regarding merit points (the smaller, most specialised ones in particular) to alleviate somewhat the internal tensions around similar merit marks and subsequent promotions.

In the longer-term, the solution envisaged should be perceived by the general staff as a significant change or improvement of approach (e.g. a new name should be adopted); it should also avoid as much as feasible any other untested mechanism, and rely on lessons learned by some other “benchmarks” –however not perfect-, which are now available (Court of Justice, OHMI, possibly the European Parliament...).

The analysis carried out during the evaluation indicates that the various reforms introduced by the potential benchmarks were all careful to retain the most positive aspects of the CDR (dialogue, objectives, and self-evaluation), while focusing on development and streamlining/ decoupling the processes of evaluation and promotion decisions.

### **Follow-up**

The improvement of the CDR system is one of the aims of DG ADMIN’s recent comprehensive simplification exercise. In the short term, our performance appraisal and promotion system could be better implemented with some short-term modifications. In the longer term, the system could be upgraded in order to take account in an improved fusion of two objectives, namely the search for optimum performance and career development for staff. DG ADMIN is currently developing proposals and options to improve the system. However, there is no “ideal” appraisal or promotion system and DG ADMIN would like to keep the positive components of the current system.

### **Availability of the evaluation report**

For the internal use of the Commission only.

## Evaluation of the Relations between the European Commission and Its Retired Staff

**Activities concerned:** 26 01 50: Personnel policy and management

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date September 2004 End date August 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

The aims of this evaluation were to:

“Evaluate the social policy of the European Commission towards retired staff as well as the relations with the pensioners, with the aim of clearly identifying limited specific measures of a social nature for pensioners in the future, further improving the relations with them and future services for them, while at the same time assessing if efficiency measures could be taken.”

### Summary of findings and conclusions

This evaluation was based on interviews with Commission staff and representatives of pensioners. A questionnaire was sent to all 14000 pensioners and there were 4192 usable replies, an overall response rate of under 30%. For an unprompted postal survey this response rate is exceptionally high. Round table discussions with pensioners were held in five locations. And finally a policy workshop took place with senior Commission staff and members of the pensioners’ association AIACE (Association Internationale des Anciens des Communautés Européennes) to discuss emerging findings.

The number of pensioners is rising rapidly. In 1998 there were 9376 pensioners and in early 1995 the number exceeded 14000. A detailed analysis of the numbers and characteristics of pensioners, now and in the future, is being prepared by the Commission’s Pensions Unit (in PMO).

The cost of pensions has increased from €413million in 1998 to €643 million in 2003, an increase of 55% in five years. The actuarial valuation of total future Commission pensions was estimated at €22.8 billion as at 31 December 2003. Expenditure on sickness is also increasing and title 30 of the 2005 budget also contains an allowance for insurance against sickness applicable to retired staff €26m. In addition to pension payments and sickness insurance, pensioners also receive social and other services from the Commission. Article 1(e) of the new Staff Regulations which came into force as of 1 May 2004):

“Officials in active employment shall have access to measures of a social nature adopted by the institutions and to services provided by the social welfare bodies referred to in Article 9. Former officials may have access to limited specific measures of a social nature”.

There is also a discretionary power under Article 76 and 76bis to make “gifts, loans or advances to former officials or those entitles under him who are in a particularly difficult position as a result of serious or protracted illness or by reasons of a disability or family circumstances”.

This discretionary power also applies under Article 76bis to surviving spouses.

A specific issue that came up in the evaluation was the number of more dependent pensioners, those who have to rely on others to help meet their living needs. These can either be very old, handicapped, suffer from serious illness or be isolated, or present a combination of these factors. Some 14% of pensioners are aged above 80 and a large proportion of pensioners, some 36%, live alone. There is however no single assessment of the number of more dependent pensioners but feedback from the round tables and AIACE suggested that around 5% of all pensioners (14,000) may fall into this category, i.e. of the order of 700 pensioners. These pensioners require a variety of social services, and the evidence suggests that the needs of the vast majority of elderly pensioners are being met.

#### **Summary of recommendations**

22 recommendations were formulated in the evaluation, including :

- Recognising at senior level the growing issue of pensioners
- Providing better information to pensioners
- Helping identify pensioners in need
- Reducing the case role of social assistants
- Helping AIACE develop its social work

#### **Follow-up**

A policy workshop was organised on 13 October 2005 in order to examine the implementation of the 22 recommendations. Participants came from different Commission services involved in the relations with retired staff: ADMIN.C.1, PMO.3, PMO.4, and ADMIN.D.5 and from AIACE. A policy statement is planned for early 2006, which will establish the appropriate follow-up.

#### **Availability of the evaluation report**

For the internal use of the Commission only.

**Internal Review of the Evaluations Managed by DG ADMIN's Evaluation Function  
(2002-2005)**

**Activities concerned:** 26 01 50: Personnel policy and management

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date October 2004 End date November 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

**Purpose of the evaluation**

The purpose of this review or meta-evaluation was to assess the previous experiences with evaluations in DG ADMIN and the Offices in order to provide recommendations to management about how to improve the utility of these

After almost three years of existence of DG ADMIN's Evaluation Function, it was time to review the progress and assess the evaluation projects that were managed since its establishment. The review was to add value to DG ADMIN in terms of policy support and to assess the internal (or external) use of evaluation results of our projects.

The review was designed to provide DG ADMIN, and in particular the Director of Resources and the Director General, with information about past performance and how the internal practices or procedures could be improved to make evaluation an even stronger policy support tool for DG ADMIN, the Offices and DIGIT.

**Summary of findings and conclusions**

The findings of this review were based on several data-sources, including desk-top research, coding of evaluations, a study on the use of surveys in DG ADMIN and the Commission, survey (of selected staff in Commission services, external evaluation consultants) and a very limited interview programme.

The Evaluation Function has managed a total of 18 evaluations, since its creation in the end of 2001. 16 of these were external (or primarily external) and carried out by consultants or evaluation experts under the supervision of the Evaluation Function. The other two were internal evaluations carried out by the Evaluation Function itself.

DG ADMIN's evaluations are usually conducted using the omnibus model combining features from the ex ante, intermediate and ex post evaluations, which is believed to be more suitable for the ongoing horizontal activities and programmes undertaken by DG ADMIN and the Offices.

DG ADMIN's evaluations have a greater emphasis on managerial aspects than the typical Commission evaluation. There has been a recent increase in the use of ex ante evaluations in support of development of policies.

The survey data show that the overall utility of the evaluations undertaken in the DG ADMIN family and especially the performance of the Evaluation Function in general is perceived to be satisfactory. Staff is satisfied with the overall performance (74%) of the Evaluation Function and indicate that they understand the Evaluation Function to perform useful work (87%). There is however room for improvement. Staff is less satisfied with evaluation reports and the process leading to these (54%) and especially the overall performance of consultants (38%). The perception of the Evaluation Function's performance is satisfactory. A majority of consultants indicate that the Function compares favourable to other DGs with respect to overall performance (83%), management of projects (84%), quality of the Terms of Reference (83%) and the day-to-day working relationship (84%).

### **Summary of recommendations**

All recommendations were established on the basis of two very fundamental acknowledgements: Firstly, that staff and consultants are relatively satisfied with the performance of the Evaluation Function; and secondly that evaluation projects are very different in nature and therefore require a customized approach. As a result of these reservations, most recommendations are not "one size fits all", but need to be applied to the demands of the project in question.

Some of the recommendations were:

- The Evaluation Function should apply a practice of using "policy briefs" informing relevant stakeholders about the objectives of the evaluation and the implications of these to the wider DG ADMIN agenda in order to improve awareness and commitment from senior management and stakeholders;
- An internal survey policy should be established;
- It should be considered to upgrade the statistical software available to the Evaluation Function;
- The Evaluation Function should when possible provide feedback to consultants about the outcome or follow-up of an evaluation to facilitate learning and better evaluations in the long term.

### **Availability of the evaluation report**

For the internal use of the Commission only.

## Evaluation of DGT Statistics

**Activities concerned:** 26 AWBL 07: Administrative support to DG Translation

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date April 2005 End date December 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

Evaluation of quality and management of DGT statistical data warehouse ("StatSuivi") and inventory of statistics produced outside StatSuivi.

### Summary of findings and conclusions

1. The planned new StatSuivi interface conforms to the basic principles of interface architecture.
2. DGT statistics lack the systematic information needed to understand statistical data (metadata).
3. The DGT environment is supportive of statistics, and resources are commensurate with needs.
4. No quality procedures are defined for statistical quality components.
5. A comprehensive system of StatSuivi technical quality controls is in place but no assessment or documentation of quality controls is available.
6. The roles of those involved in StatSuivi are not clarified.
7. Procedures for relations with users are not available.
8. No policy for the dissemination of statistics to other DGs is defined.
9. Statistics of horizontal units are not systematically available in DGT intranet.
10. Statistics of horizontal units are not integrated within the DGT statistical system.

### Summary of recommendations

- a. Metadata should be established for StatSuivi statistics.
- b. Quality procedures need to be defined for all statistical quality components (relevance, accuracy, timeliness and punctuality, accessibility and clarity, comparability and coherence).
- c. An internal assessment and documentation of StatSuivi quality controls is advisable.
- d. The roles of those involved in StatSuivi should be clarified by drawing up a formal mandate.
- e. Procedures for relations with users should be established, including regular user consultation which would provide useful feedback.
- f. A policy for the dissemination of statistics to other DGs has to be defined.

- g. Heads of horizontal units producing statistics should consider publishing these statistics online in DGT intranet.
- h. A cost-effective project for integrating DGT statistics is the inclusion in StatSuivi of links to statistics produced in the horizontal units.

**Follow-up**

Evaluation was finalised in December 2005, so no follow-up measures have officially been taken. Nevertheless, several recommendations of the report (roles of the actors involved in DGT statistics, procedures for relations with users [implemented in January 2006], quality procedures for all statistical quality components, policy for the dissemination of statistics) are already under discussion within DGT.

**Availability of the evaluation report**

For the internal use of the Commission only.



## External Translation Strategy Analysis

**Activities concerned:** 26 AWBL 08 - Translations

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date January 2005 End date May 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

Review of the current system of external translation aiming at possible improvements to maximize efficiency.

### Summary of findings and conclusions

Freelance translators are to be considered as support for DGT. The revision efforts have to be minimised to avoid duplication of work, therefore the quality of outsourced translations should be improved, e.g. by intensifying and improving communication with the external translators

### Summary of recommendations

1. Improving the feedback procedures in relation to FL translators, evaluators and requesting services (DGs)
2. Respecting deadlines for evaluation of translations.
3. Fostering the transparency of relevant data.
4. Improving the quality procedures.

### Follow-up

An action plan to implement the recommendations above has been established. It is accompanied by a precise timetable. Several recommendations have already been put in practice.

### Availability of the evaluation report

For internal use of the Commission only.

## Statistics

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### Evaluation of Commission Fishing Statistics Regulations

**Activities concerned:** 29 02: Production of statistical information

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date July 2004 End date March 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

#### Purpose of the evaluation

To assess the relevance of the existing legislation on fishery statistics

#### Summary of findings and conclusions

*The 3 Regulations on catch statistics (North-East Atlantic, North- West Atlantic and other areas) are highly relevant.*

The catch statistics covered by the Council Regulations nos 3880/91 and 2597/95 are basic data required by fishery managers and scientists. There are parallel demands for such data from other international bodies (notably FAO). These latter demands are of long standing (at least 30 years) and are well integrated with the EU legislation. The workload on the national authorities is not heavy and has been a part of the annual programmes of these services for many years. It is proposed that these two Regulations should be maintained with no changes.

The Council Regulation no 2018/93 covers the same basic catch statistics as in the other two Regulations but is extended to include the requirement for more detailed information. This information is required to meet the EU's obligations as a Contracting Party to the NAFO Convention and has been demonstrably extensively used in the assessment and management of the fisheries within the remit of that organisation. Although the workload on the national services is more extensive it has been undertaken for many years and does not appear to impose an undue burden. It is thus proposed that this Regulation should be maintained in its current form.

*The Regulation on landing statistics is in need of revision*

The landing statistics covered by the Council Regulation no 2104/93 impose a considerable workload on the national services and there is some doubt as to the necessity for the current level of detail. While it is considered that some form of legislation is required, it is proposed that a full and in-depth review be undertaken to reduce the demand to the minimum essential data required by the fishery managers, thereby also minimising the work-load on the national services.

*The coverage of the Regulation on aquaculture has to be expanded.*

The aquaculture production statistics covered by the Council Regulation no 788/96 are required by the DG FISH and do not seem to create difficulties for the national authorities. Thus it is proposed that the Regulation should be maintained.

However it is noted that the DG FISH has requested an extension of the coverage of the legislation to include the value of the production and the structure of the industry. It is further noted that such an extension of the coverage would not increase the overall workload of the national services in meeting their commitments to the EU since the requested additional information are already included in a request from FAO. Thus it is proposed that a review of the Regulation be undertaken with the view to meeting the DG FISH's request.

#### **Summary of recommendations**

Revisions of Regulations 1382/91 and 788/96 are required.

#### **Follow-up**

Revisions are in progress.

#### **Availability of the evaluation report**

Paper or electronic form available on request from [estat-evaluation@cec.eu.int](mailto:estat-evaluation@cec.eu.int)

## Fifth Report to the Council on the Operation of the Eurofarm Project

**Activities concerned:** 29 02: Production of statistical information

**Scope of the evaluation:** Retrospective

**Timing:** Start date January 2003 End date June 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

Council Regulation 571/88 defines Eurofarm as a set of data banks to be used for the processing of Community surveys on the structure of agricultural holdings. This Regulation states that every three years the Commission should submit a report on the operation of the Eurofarm projects and propose any necessary changes to the Regulation. This report covers the 2003 survey, the preparation of the 2005 survey and the functioning of the Eurofarm software

### Summary of findings and conclusions

#### *2003 survey:*

- data are now available for 28 countries EU25 + BG, RO, NO;
- the average delay between delivery of first version of the survey and acceptance of the final version has improved significantly (112 compared to 253 days);
- 78 tables of data covering the main aspects of the survey was published on the Eurostat website;
- paper publications were published in addition.

#### *2005 survey:*

- two legal acts were adopted to prepare the survey;
- the Eurofarm database was prepared to receive the data.

#### *Eurofarm software:*

- the Eurofarm database contains individual farm data for a large number of countries and variables;
- the system has worked without major interruptions and contain a tool which enables extractions for ad hoc analysis made by users especially by Commission departments;
- web based access to the database is being implemented;
- confidentiality issues are taken care of;
- the database will need to migrate to a new version of Oracle in 2006.

### Follow-up

A new report will be established in 2008.

**Availability of the evaluation report**

Paper or electronic form available on request from [estat-evaluation@cec.eu.int](mailto:estat-evaluation@cec.eu.int)

## Report on the Implementation of the LUCAS Action

**Activities concerned:** 29 02: Production of statistical information

**Scope of the evaluation:** Both prospective and retrospective

**Timing:** Start date July 2005 End date October 2005

**Organisation of the evaluation:**  external evaluation  internal evaluation with external support  internal evaluation

### Purpose of the evaluation

To contribute to the Commission report (end of 2005) on the implementation of the activities since the Decision entered into force.

The overall objectives of the Lucas project are:

- to carry out an area-frame survey based on points (area frame means that the observation units are land portions rather than agricultural holdings) in order to collect information on land cover and land use, within an acceptable period, particularly in terms of its agricultural component in the broad sense;
- to develop a standard survey methodology in terms of the sampling plan, the nomenclature and the collection and use of data to obtain harmonised data (unbiased estimates) at EU level of the main Land Use / Cover areas and changes limiting the workload placed on farmers. Precision is expected to be around or better than 2% for main categories like wheat, cereals, arable land, permanent grassland, permanent crops, forests, urban areas, inland waters.

### Summary of findings and conclusions

The pilot surveys carried out in the Member States in the period 2001-2003 demonstrated the feasibility of this project at a Community scale. It was shown that the project could:

- provide a common methodology and classification for data collection and estimates of land use and land cover;
- provide harmonised information for the entire territory of the European Union;
- potentially yield early information on the areas under crops;
- extend the system (which, being dedicated entirely to information on land use and land cover, was originally intended for users of agricultural statistics) to environmental experts, who will thus have at their disposal a unified database covering, inter alia, soil erosion, the landscape, natural disasters, noise, etc.
- provide statistical data necessary for implementing some indicators measuring the
- integration of environmental concerns in the common agricultural policy, as described in Commission Communications COM(2000)20 and COM(2001)144.

**Summary of recommendations**

The actions proposed for the remaining period are the following:

- Cover as many Member states as possible with the 2006 survey with the available budget.
- Modify the methodology to allow reducing survey costs in countries where orthophotos are too expensive or difficult to access or where points to be surveyed are too much spread on the territory as a results of the stratification process.

**Follow-up**

- Evaluate the real precision obtained with the new methodology.
- Test the possibility to provide early estimates by 15th of June for "southern" countries.
- Evaluate potential usage of the stratification results.
- Evaluate the possibility to use the sampling grid and evaluation results for launching ad'hoc surveys focusing on environmental issues.

**Availability of the evaluation report**

Published at <http://forum.europa.eu.int/irc/dsis/landstat/info/data/results.htm>

## ANNEX III – PREPARING FUTURE ACTIVITIES

This annex puts together summary information about the purpose, the findings and conclusions of prospective evaluations completed in 2005. By doing so, the Commission aims at contributing to the objective of allowing the other EU institutions and other stakeholders a clearer understanding the evidence considered as part of the decision-making exercise. This does not replace the full information provided through the actual impact assessment reports, but offers a summary, comprehensive view as to the main results of those exercises, sorted by policy area.

Most completed impact assessment reports are available at

<http://intracomm.sg.cec.eu.int/i/impact/index.php?lang=en&page=cia2005dg>

### Economic and Financial Affairs

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#### Impact Assessment: Proposals for Amending the Council Regulations 1466/97 and 1467/97 Related to the Stability and Growth Pact

##### Purpose of the evaluation

The objectives of the proposals are to improve the functioning of the Stability and Growth Pact (SGP) via a renewed agreement on well-defined and transparent rules to ensure predictable procedures and fiscal policy recommendations that are in line with the achievement of the overall objectives of:

- using more economic rationale in applying the Stability and Growth Pact (SGP);
- avoiding pro-cyclical fiscal policy;
- taking into account of economic differences in member states
- preventing unsustainable debt and developments;
- safeguarding fiscal sustainability also in the light of ageing;
- improving the linkages between budgetary policies and the Lisbon Agenda.

##### Summary of findings and conclusions

The proposals will contribute to the main objectives, although the final impact depends on many factors:

- improved fiscal sustainability, by improved implementation and enforcement of the framework and better linking of the medium-term budgetary objectives to the long-term sustainability concerns, improved incentives for structural reforms and increased focus on the debt criterion of the Treaty.
- improved stabilisation of economic growth and continued price stability, by less pro-cyclical fiscal policy recommendations and improved adherence to the medium-term budgetary objectives of close-to-balance or in surplus over the cycle if national ownership of the fiscal framework improves.
- contribution of fiscal policy to long-term growth by facilitating enhanced (budgetary)



allocation by reducing the focus on short-term, on-off budgetary adjustment and facilitating some major structural reforms.

In practical terms, a more effectively implemented SGP will induce certain Member States in the short to medium term to reduce budget deficits and implement key structural reforms (in particular as a result of the implementation of the BEPG recommendations), and in the medium to long term to generate budget surpluses, especially during periods of strong economic growth.

The major effect in the short to medium term is an adjustment of fiscal policy to maintain or increase government revenues and/or to reduce government expenditure. The economic, environmental and social impacts of such adjustments will occur as a direct result of the policy choices and budgetary trade-offs made by affected governments. In such a context, the effects of the proposal will be indirect and it is not possible to foresee if the implementation of the different options will give rise to differentiated effects vis-à-vis the three categories of impacts.

In the medium to long term improved sustainability of public finances will contribute to :

- stable macro-economic conditions (e.g. low inflation, low real interest rates) with positive impacts in particular on innovation and research and other productive investment by firms, new firm creation, employment, etc.
- the continued provision of adequate public services and support (e.g. education, training, welfare, pensions) in the context of anticipated demographic changes.

### **Impact Assessment: Proposal for a Council Decision Providing Macro-financial Assistance to Georgia – Ex-ante Evaluation Statement (SEC(2005)1449)**

#### **Purpose of the evaluation**

By providing financing complementary to resources made available to Georgia by the International Financial Institutions, the Community would encourage and strengthen the implementation of the adjustment and reform programmes. This will be particularly important in the areas targeted by the programme's conditionality. Moreover, the effect of the Community's involvement will be strengthened as a result of the synergy with other Community programmes for the region (notably the Food Security Programme and Tacis) which target institution and capacity building in the longer-term, partly in the same policy areas. The macro-financial assistance is a policy-based instrument and would therefore also contribute to the process of re-orientating the Community's future assistance to Georgia further to that direction under the new financial perspectives in the context of the new European Neighbourhood and Partnership Instrument.

Another major contribution of the Community assistance to reforms in Georgia stems from the particular feature that makes it different from most other macro-financial assistance programmes, i.e. the link between the disbursements of EC grant assistance and the early debt repayments to the EC. Therefore, the added value of the Community involvement is clearly the reduction in Georgia's external indebtedness whose effects should be mainly appreciated as an improvement in medium-term external debt sustainability. In parallel, interest payments due to the Community on the remaining amount of the debt will be reduced.

**Summary of findings and conclusions**

Among the instruments presently at the disposal of the European Community, the exceptional macro-financial assistance would provide a real opportunity for Georgia to further improve its external financial situation by substantially reducing its outstanding debt obligations vis-à-vis the Community, thereby improving its debt profile and debt sustainability in the medium-term.

By providing further macro-financial assistance in the form of grants, the Community will continue supporting Georgia's economic reform efforts. The Community will in particular target medium term external sustainability and will thus aim at completing the objectives of the EFA programme.

## Enterprise

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### Impact Assessment: Action Plan/Follow-up of the Innovation Policy Communication

#### **Purpose of the evaluation**

To identify whether there is a need for a new Innovation Action Plan, as a policy paper to bring together the different relevant policy areas for innovation and to better coordinate and generate synergies with and among the Member States' and their regions' innovation activities. To explore possible alternatives to an EU Action Plan.

#### **Summary of findings and conclusions**

The assessment set out 3 different options to respond to the research and innovation challenges identified by the new Lisbon partnership for growth and jobs, ranging from independently developing research and innovation policies – with no consideration for synergies (“zero option”) – to the creation of a single Research and Innovation Action Plan setting new and ambitious targets for both Member States and the Community. Finally, it was decided to present a Communication based on option 3 which implies a common approach towards research and innovation, by using existing Community instruments in a consistent manner to support more and better research and innovation investments in Europe.

As the purpose of the Communication is to constitute a tool for increasing coherence between existing and new envisaged instruments rather than proposing a new legal basis for European research and innovation policy, its impact is difficult to measure. However, it is clear that it should facilitate the implementation of the FP7 and CIP proposals by making the synergies clearer and the ultimate goal of various proposed measures more visible. Moreover, the Communication highlights the importance of the following policy level actions which are expected to have a profound impact on mobilising more resources for research and innovation:

- Improved tools to strengthen research and innovation through public policies,
- Improved tools for policy learning and exchange of good practice,
- Improved tools to foster strong clusters and innovation poles in Europe,
- Improved tools for fostering trans-national cooperation,
- Improved tools for policy analysis and benchmarking.

As a second strand, the Communication proposes a number of actions facilitating access to finance and technology transfer and strengthening the research and innovation community.

## **Impact Assessment: Proposal for a Regulation on Advanced Therapy Medicinal Products**

### **Purpose of the evaluation**

Tissue engineering is an emerging biotechnology sector at the interface between medicine, cellular/molecular biology, materials science and engineering. However, the development of this sector is currently hampered by the lack of a harmonised and tailored regulatory environment.

In order to bridge this regulatory gap, the European Commission proposes to establish specific procedures and requirements for the authorisation, supervision and vigilance of tissue engineered products, in the broader context of advanced therapies. This initiative is part of the Commission Legislative Work Programme for 2005<sup>1</sup>. Objective is to ensure the free movement of these products, while guaranteeing an equal high level of safety for patients throughout Europe.

This impact assessment report provides a detailed overview of the policy options envisaged by the European Commission to meet its objective. It is based, in particular, on wide-ranging consultation with all stakeholders, including patients, industry, hospitals, doctors, regulators, and the research community.

### **Summary of findings and conclusions**

Outcome of the impact assessment suggests that the proposed Regulation should be of significant benefit for all actors in the field, by providing legal clarity and certainty, harmonising quality, safety and efficacy standards for the placing on the Community market of these products, improving the competitiveness of the concerned economic operators and increasing the confidence of patients and healthcare practitioners.

## **Impact Assessment: Proposal for On Board Diagnostic Systems (OBD) for Passenger Cars**

### **Purpose of the evaluation**

Article 3 of Directive 98/69/EC requires the Commission to submit a proposal to the European Parliament and to the Council with regard to the implementation of revised threshold limit values for the OBD (On-Board Diagnostics) system for vehicles of categories M1 and N1 equipped with positive ignition engines. The main task of the evaluation is the study of the likely positive and negative impacts that the introduction of new values will have from the economical, environmental and social point of view, taking into account that the setting of the level of OBD thresholds is a balance depending on the performance of the monitoring technology, the effectiveness of the OBD calibration, the need to reliably determine “real failures” and to accurately distinguish between real and false failures.

### **Summary of findings and conclusions**

Four different sets of OBD thresholds were studied in terms of the effect they would have on vehicle emissions as function of mileage. The calculations were based on a number of assumptions regarding the deterioration rates expected in real-world and the expected statistical variability regarding the initial emissions and the durability of the emission control components.

Based on four different sets of OBD thresholds, 8 policy options reflecting various realistic

implementation periods were studied taking into account the vehicle fleet data for a 15-year period starting at 2008.

For each of the eight different policy options, the evaluators estimated the achieved pollutant reduction and the total implementation cost and then calculated the expected cost-effectiveness. The analysis makes it quite clear that, for the evaluation period 2008-2023, policy option 7 (“Proportional Reduction” starting from 2008) is the most cost-effective one. However, if we consider the timeframe required for the enforcement of the regulation and the time needed by the manufacturers for adaptation, 2008 could be too early for the introduction of such thresholds.

The implementation of each of the proposed policy options inevitably triggers some changes that may affect the market as a whole, due to the interactive relation between manufacturers and consumers. The estimated impacts are presented below:

- The introduction of stricter limits may affect all Small and Medium Enterprises (SMEs). If the costs for implementing new technologies in order to meet the new limits are too excessive, then all SMEs will probably have to undertake a large financial burden to keep up with the forthcoming changes.
- Adopting more stringent OBD limits is expected to affect the vehicle price moderately. The effect could be proportionally higher in small and medium size vehicles.
- No major impact on employment and business creation is expected by the introduction of stricter threshold limit values.

In this context the study highlights that there is the immediate need of a number of initiatives at European level, in order to support on one hand the necessity of full evaluation of OBD performance and on the other to further evaluate and explore the new capabilities that OBD together with the concurrent development of intelligent sensors may offer for the future. □

## **Impact Assessment and Ex-Ante Evaluation: Proposal for a Framework Programme for Competitiveness and Innovation**

### **Purpose of the evaluation**

The Integrated Programme for Competitiveness and Innovation (CIP) will be an instrument to support competitiveness and innovation in the single market. It brings together a number of existing and planned Community programmes in the very fields that have been identified as most critical to boosting European productivity growth, namely the Multiannual Programme for Enterprise and Entrepreneurship 2001-2005 (MAP) and the Support Programme for Entrepreneurship and Enterprise Competitiveness (PACE), the Intelligent Energy programme, the Life+Innovation and the Modinis, e-Content and e-TEN programmes. It will also include certain innovation actions previously undertaken within the Research Framework Programme.

As with all proposals for spending programmes this proposal was the subject of an impact assessment in line with the relevant requirements, which integrated the ex-ante evaluation in line with Articles 27 & 28 of the Financial Regulations and Article 21 of the Implementing rules.

### **Summary of findings and conclusions**

The assessment showed that several Community programmes addressing related problems are already in place and have proved their worth over the years. A possible option, therefore, would have been to continue to implement the various programmes independently.

However, this option would have not created synergies between them, nor would it have been acceptable to continue to address some of the issues relating to the strategy for growth and jobs in a piecemeal fashion. A more ambitious option would have been to merge the specific programmes into one single crosscutting integrated programme. However, the outcome of the stakeholder consultation clearly favoured a more balanced approach, which is reflected in the chosen option: a framework programme with specific pillars building on the existing Community programmes, which are as follows:

1. The Entrepreneurship and Innovation Programme,
2. The ICT policy support programme,
3. The Intelligent Energy Europe Programme.

In terms of economic impacts, the Community Financial Instruments for SMEs will ease the supply of seed and early-stage capital for innovative start-ups and young companies. They will increase the supply of development equity for innovative SMEs in their expansion stage. This will facilitate SMEs investments in knowledge-related activities, innovation and environmental technologies, where they are currently hindered by the difficult access to finance. The European business and innovation support services will enable SMEs to identify and exploit business opportunities outside their home country, and to get the most out of the enlarged internal market. They will also enable business concerns to be more fully integrated into EU policymaking, ensuring that the voice of businesses is heard, and the impact of existing legislation on SMEs will be monitored. Furthermore, the initiatives to encourage economic and administrative reform should reduce the burden of red tape.

Many of the social consequences will be linked to the impacts created by the Community Financial Instruments for SMEs, which will enable the creation and growth of enterprises where the market has failed to do so, thus creating employment. In addition, the policy analyses, development and co-ordination to enhance entrepreneurship, enterprise growth and innovation are expected to have positive impacts on the framework conditions, including the social framework. Innovation also has a high potential to contribute in products and services to improving the quality of life of specific social groups, such as the disabled, and of the ageing population, and to improve public health.

Positive direct environmental benefits should flow from stimulating better use of resources and energy through the Intelligent Energy Europe Programme. This should also promote new and renewable energy sources and support energy diversification, thus reducing Europe's reliance on imported fossil fuels.

## Employment and Social Affairs

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### Impact Assessment: Communication of the Social Agenda (SEC 2005)177

#### Purpose of the evaluation

To assess the usefulness of an overall policy framework for EU action in the social and employment fields in pursuit of both the Lisbon Strategy and the SDS

#### Summary of findings and conclusions

The precise impact will depend on specific measures taken to implement the Agenda, on the interactions with other policies, the role played by actors at all levels and the policy pursued at Member State level. Positive and negative impacts will be examined and addressed as concrete initiatives are taken on the Agenda.

### Ex-ante Evaluation and Impact Assessment: European Year of Workers' Mobility 2006

#### Purpose of the evaluation

The European Year of Mobility for Workers was not foreseen in the evaluation plan 2004-2006. It is a political priority emerging within the context of the enlarged Union, particularly in the light of the mid-term review of the Lisbon Strategy and the need to promote action by the Member States to improve the operation of labour markets. The ex-ante / impact assessment evaluation was carried out during the design of the proposal and performed within the Commission services, including the support of DG EMPL evaluation unit.

The aim of an ex-ante evaluation was, in addition to the support to the definition of the objectives and delivery mechanisms, to identify further actions needed to ensure the good implementation of the objectives. Further evaluation results (concerning EURES or social dialogue, etc.) will be reported and taken into account to implement the European Year

#### Summary of findings and conclusions

#### Relevance of the Objectives

The competences concerning workers mobility are shared with Member States and cover several Union's policy fields. This implies broad objectives to be reached in a European Year. The European added value will depend on the capacity to create the awareness on concrete issues and the conditions to transfer the experiences between MS. The principal responsibility of Member States in the areas of occupational and internal geographic mobility militates in favour of giving the Member States a large role in the implementation of the Year. Exchanges at EU level should be elaborated on the basis of good practices at MS level.

### *Policy options*

#### Option 1: Independent action in MS

This option is likely to have limited impact as some Member States will be less than optimally active in the light of their own limited administrative resources. Lack of co-ordination between Member States would be likely to reduce the impact of this approach even further.

#### Option 2: Initiative from the Union to require MS to act

This option is likely to encounter political opposition from the Member States and is probably disproportionate to the objective to be achieved.

#### Option 3: Co-ordinated actions with MS

This option is likely to achieve significant political impact in raising awareness and in increasing the level of knowledge of the nature and scale of intra-EU migration and the factors which could influence it. Nevertheless it is unlikely to achieve major change in pattern and level of migration flows themselves.

This option 3 has been judged appropriate to create the momentum needed in 2006 to make actors and beneficiaries aware of the importance and the opportunities offered through the implementation of this policy.

### *Cost effectiveness*

The principle of economy has been implemented through several cumulative processes. The barriers to be addressed by the actions consist in large part of a lack of information. In consequence, the activities foreseen relate to the provision and exchange of information and the further study of areas where there is a lack of information from current sources. By grouping the activities together, the proposal will maximise their impact while limiting the degree of intervention. Financial leverage effect could be produced through the momentum created. The moral support actions could be used in order to increase the number of actions using the LOGO and so the visibility of the Year. As the Commission will organise initiatives during the Year in consultation with the Member States, only a limited budget of 6 € millions is foreseen.

### *Conclusions*

The Commission intends to bring the issue of mobility of workers and the important decisions on the transitional measures currently in place on free movement between, to and from the new Member States to the attention of a wide range of stakeholders within the Member States, to co-ordinate efforts to raise awareness. With this objective in mind, the Commission proposes to designate 2006 as the European Year of Mobility for Workers – towards a European labour market which has proved to be an efficient community instrument to achieve this kind of objectives and create an added value at European level. Regarding the repartition of competences in this field the choice of involving Member States through public bodies and intermediaries to increase the awareness at Union's and Member States level seems relevant. A European Year could be an appropriated instrument to create a momentum around key topics and EU priorities. To achieve the objectives of the Year the actions targeted seem also relevant

The budget is estimated to reach the critical mass needed to achieve the operational objectives of the Year.



## **Ex-ante Evaluation and Impact Assessment: European Year of Equal Opportunities for All (2007)**

### **Purpose of the evaluation**

The Commission intends to bring the issue of equal opportunities for all to the attention of a wide range of stakeholders within the Member States, to co-ordinate efforts to raise awareness.

With this objective in mind, the Commission proposes to designate 2007 as the "European Year of Equal Opportunities for All – towards a just society".

The purpose of the ex-ante evaluation and impact assessment was to explore first what are the needs and policy challenges the European Year would aim at addressing and to what extent the format of the European Year was the most appropriate to meet the identified needs and policy challenges. In addition, the evaluation paid attention to the most effective delivery-mechanisms to reach the objectives.

### **Summary of findings and conclusions**

Previous evaluation results show the relevance of the different actions supported to achieve the objectives described above, as well as the value-added of a Community level action in this area. European Years have proven to be an efficient instrument in putting European political issues on top of the EU Agenda and in ensuring political commitment from all the EU actors. This type of intervention has increased added-value compared to single interventions carried out by Member States. The Union-wide scale of such intervention has created a momentum throughout Europe to take action.

Three options have been examined with their subsequent conclusions presented as follows:

1. Option 1 – No change scenario – sole reliance on the continuation of the existing Community action programmes to alter attitudes and behaviour and promote a just society, free from discrimination. This option is not likely to produce expected impact. The existing Programmes scheduled to run to 2013 do not adequately respond to the identified problems and needs identified.
2. Option 2 – Action coordinated and centralised by the Commission on the basis of a limited incentive measure over a fixed period, providing a unique opportunity and platform to raise awareness on the necessity to create a more cohesive society that celebrates differences within the framework of EU core values and fosters the respect of the substantial EU acquis in equality and non-discrimination. This option is likely to put unnecessary burden on the Commission while not being capable of meeting the concerns and specificities of Member States. This option will fall short in acknowledging and accommodating the various national sensitivities and cultural contexts. It will not be able to take account of the varying level of progress achieved by Member States in promoting non-discrimination and equality. It is likely to encounter political opposition from the Member States which would seem disproportionate to the objective to be achieved.
3. Option 3 – Same action as Option 2 with the difference that the implementation of activities will be decentralised to the Member States under the supervision of the Commission to ensure consistency with the policy objectives of the European Year. This option is likely to achieve significant political impact at the national level in raising awareness and in stimulating an open debate and dialogue on policy strategic issues linked to the diversity of European society.

Option 3 would seem the most appropriate to create the momentum needed in 2007 to make actors and beneficiaries sensitive to the necessity to tackle the barriers to the participation in society and create a climate where Europe's diversity is seen as a source for the socio economic vitality of Europe.

## **Impact Assessment: Framework Strategy "Non-discrimination and equal opportunities for all"**

### **Purpose of the evaluation**

The purpose of the impact assessment accompanying the Communication of the Commission on "Framework strategy on non-discrimination and Equal Opportunities for All" was to explore the impacts the framework-strategy and its announced measures or initiatives are likely to achieve.

### **Summary of findings and conclusions**

The following policy options and their subsequent conclusions can be summarised as follows:

#### 1. Taking no further action at EU level to tackle discrimination

The Commission does not consider that it would be appropriate to discontinue work at the EU level. There is considerable evidence that discrimination continues to exclude people from jobs and other opportunities in the EU. There is widespread recognition of the added value of action at the EU level and considerable expectations have been placed on the European Commission to reinforce its efforts in this area.

#### 2. Stepping up efforts to implement and enforce the current legal framework

The EU has some of the most advanced anti-discrimination legislation in the world, but evidence from legal experts, NGOs and other sources indicates that this legislation is not yet operating to its full effect. The Commission, therefore, considers that further efforts should be made in order to ensure the effective implementation and enforcement of the current legal framework. These efforts should include: completing the process of transposition into national law; the establishment of effective specialised equality bodies in all Member States; additional training and awareness-raising measures.

#### 3. Actively promoting the principles of non-discrimination and equal opportunities

In addition to the full and effective implementation of EC anti-discrimination legislation, the Commission considers that additional measures are necessary in order to address the complex and deep-rooted patterns of inequality experienced by some groups. The framework strategy envisages the development of tools to promote the mainstreaming of non-discrimination in other areas of EU policy, building on experience to date with the practice of gender mainstreaming. It also calls for a range of EU funding instruments to contribute towards the implementation of non-discrimination and equal opportunities for all. There is a need for particular efforts to address the severe forms of exclusion and discrimination experienced by some ethnic minorities, particularly the Roma.

#### 4. Making proposals to complement the current legal framework

The Commission acknowledges the demands from certain stakeholders to take action to address the differences in the level and scope of protection against discrimination on different grounds. However, the Commission has also taken note of the contributions of several respondents to the Green Paper consultation, which stressed the need to ensure the full implementation of the existing *acquis* before moving on to new challenges, and to study further the costs and benefits of

action to tackle discrimination on a range of grounds outside the field of employment. The Commission has concluded that it would be premature to come forward at this stage with further legislative proposals based on Article 13 of the Treaty. However, it will undertake an in-depth study into the relevance and feasibility of possible new measures to complement the current legal framework.

## Energy and Transport

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### Assessment of Options, Benefits and Associated Costs of the SESAR Programme for the Definition of the Future Air Traffic Management System

#### Purpose of the evaluation

Air Traffic Management is to make sure that flights are safe and efficient. Air traffic controllers, the human operators on the ground, organise traffic flows through the communication of instructions to pilots on board the aircraft.

The technology used in air traffic control has changed little over the last 30 years and is quite rudimentary, and the whole system is relying heavily on the human controllers' capability: most of the technologies are dating from the 1970s, with in particular a telecommunication system which is still using antique VHF (Very High Frequency) radio channels. This results in a highly inefficient system, where important safety "buffers" are necessary to compensate for technology weaknesses.

In terms of safety, although the track record for aviation safety is extremely high, the trends are not reassuring: Europe faced in the last 5 years 3 fatal accidents, of which the main cause was Air Traffic Control (Milan Linate, Paris Charles de Gaulle, Überlingen).

The system has reached a stage where it is so much "handicraft-based" that it is very costly to maintain and extremely difficult to adapt to new technologies and constraints. For instance, the incorporation of satellite navigation, which will result in massive cost savings and efficiency increase, will face important technical difficulties in the current ATM systems architecture. Also the implementation of security requirements is extremely difficult in systems of which the architecture is more than 20 years old.

Given the forecasts for traffic growth in Europe, which show that air traffic is expected to more than double in the coming 20 years, and taking into account the long lead time necessary to adapt and maintain any aeronautical product, Air Traffic Management modernisation is urgently needed.

Modernisation programmes have not succeeded in the past, although considerable effort and resources were devoted to the initiatives, in Europe and the USA; this is mainly due to the programmes dispersion and the lack of proper decision-making mechanisms, in a field which assembles private, corporate or state air navigation service providers, airspace users as diverse as network carriers, general aviation or low fare airlines, military, manufacturing industry, etc.

SESAR is a Air Traffic Control modernisation federating programme for Europe. The proposed Council regulation, subject of this impact assessment, establishes a governance structure for SESAR, which would guarantee management consistency, and be an appropriate vehicle for public-private partnership.

#### Summary of findings and conclusions

The Cost Benefit Analysis with guidance from stakeholders, shows that the proposed option, which is to set up a SESAR Joint Undertaking, provides major benefit over a 'do nothing' or 'non EU intervention' option:

- The impact on air transport safety has been assessed to be very high.
- The financial analysis shows a Net Present Value of 20 billion €.
- The Economic analysis shows that SESAR is likely to have a substantial (50 billion €) contribution to Europe economic growth, and will enable, through increased efficiency in transport activities and global leadership of the European aeronautical sector, substantial employment creation in Europe.
- The environmental assessment shows a significant improvement in individual flights environmental efficiency, even if an overall growth in air traffic will outweigh this improvement and necessitate further measures to address environmental impact.
- The proposed regulation also appears to be a perfect application of the Lisbon strategy, by fostering innovation in Europe, creating high added-value jobs, and improving competitiveness of the European industry.

**Impact Assessment: Market Failures and of the Level Playing Field in Road Haulage Markets - Review of the Options including an Amendment of Council Regulation (EEC) No 4058/89**

**Purpose of the evaluation**

The setting of freight transport rates is left to free agreement between the parties of the road haulage contracts (customers and road haulers) by Council Regulation No 4058/89. The road transport market is fully liberalised and supposed to function as a market without any imperfections. However, the market power is not very well-balanced in this sector. Whereas there are many small and medium-sized companies at the supply side, the demanding parties are often large industries and logistics companies. The small haulers are not always capable in passing on sudden and large cost increases (in particular fuel costs) to their customers, leading to low profitability and high vulnerability. In addition, this leads to artificially low road transport prices in detriment to other competing modes of transport. Therefore the market failure in the road sector misbalances the whole freight transport market.

**Summary of findings and conclusions**

For the impact assessment the following policy options were analysed:

- Option 1: Amendment of Regulation (EEC) No 4058/89 (minimum contract clauses)
- Option 2: No policy change
- Option 3: Minimum contract clauses (option 1) in combination with harmonisation of fuel excise duties

For these options, the economic, social and environmental impacts were assessed, based on the results of the stakeholder analysis, including the collected data, interviews and expert opinions.

Following the problem analysis, the consultation with the stakeholders and the use of expert judgement in assessment of impacts, the conclusion is that the amendment to the Regulation (option 1) will provide support to the SMEs and micro road haulers, but it will still not establish fair competition or solve all problems of the road freight transport market.

The no policy change (option 2) is expected to worsen the situation in international road freight not only for SMEs and micro road haulers but also by the adverse indirect effects it creates through the violations of rules to the economy and the environment.

The option of combining the harmonisation of fuel excise duties with the amendment of Regulation No 4058/89 (option 3) will further stimulate fair competition and an improved functioning of the market. At the same time, it will have some limited upward impacts on the road transport prices and on consumer prices. Especially the latter will be negligible, as transport costs form only a very small part of consumer prices.

The problem analysis confirms that the profitability in the road haulage sector is low and decreasing. Main factors for this are:

- Low entry barriers, resulting in easy expansion of capacity
- Concentration of purchasing power with large logistics service providers and shippers
- Rising costs, which are only partially and with a time lag reflected in the freight rates

These factors affect all types of road haulage companies, but small and medium-sized enterprises are more vulnerable to rising costs, whereas their clients can exercise pressure, in particular when road haulers are dealing only with one client.

In the case of sudden and large increases of costs, the solvency of the small companies is endangered. The amendment to Regulation (EEC) No 4058/89 would establish price revision clauses and harmonise their application in the Member States, thus helping to create equal competition conditions in the road haulage sector. It should be noted that not all stakeholders are in favour of this option. In particular, shippers do not see the need for the price revision clause. On the contrary, the policy option combining minimum contract clauses with a harmonisation of the fuel excise duties gets the approval of the majority of the stakeholders. This is therefore the best policy option. In fact, today road haulers from different Member States experience different cost basis and only a harmonisation of fuel excise duties will improve the level playing field

## **Impact Assessment: Biomass Action Plan**

### **Purpose of the evaluation**

In 2004, the Commission assessed the progress of renewable energy. It concluded that if the Union's target of a 12% renewable energy share in 2010 is to be achieved, the contribution of bio-energy will need to more than double. For the EU-25 this means an increase in bio-energy use from 69 million tons of oil equivalent (mtoe) in 2002 to 149 mtoe. If the EU had to supply this level of bioenergy from its domestic resources alone, it has more than enough potential to do so. Since most regions of the world have higher potential, relative to their energy consumption, imports offer a valuable additional source of bioenergy. This increase is therefore technically achievable.

This impact assessment asks what the economic and environmental effects of such an increase would be. It examines a Biomass Action Plan (BAP) scenario under which the use of transport biofuels would increase by 18 mtoe per year; biomass use for heat generation would increase by 7 mtoe/yr; and biomass use for electricity generation would increase by 35 mtoe/yr. It compares the cost and benefits of this scenario with the present-day situation.

### **Summary of findings and conclusions**

This impact assessment reaches the following conclusions:

1. The increased use of bioenergy would deliver the following main benefits:
  - a. Diversification of the energy mix and increase of security of energy supply. The share of fossil fuel use in the energy mix of the EU-25 would go down from 80% to 75%. The amount of imported crude oil would fall by 8%, with biofuels and biomass heating making the main contribution to this.
  - b. Reductions in greenhouse gas emissions. The reductions in greenhouse gas emissions would amount to 209 million tons CO<sub>2</sub>-equivalent per year. Electricity generation and heat supply would contribute most to these reductions.
  - c. Job creation and stabilisation of rural regions. Some 250 000 to 300 000 additional jobs could be directly created inside the EU-25, most of them in rural areas. Biomass in electricity and biofuels in transport would create most of them. Further indirect employment effects may additionally take place.
2. Without internalising a monetary value of these benefits, the direct additional cost would be in the range of € 2.1 billion up to €16.6 billion per year, depending on the price level of fossil fuels. Biofuels in transport would account for the highest proportion of the costs, followed by biomass in electricity generation.

## **Impact Assessment: Commission's Proposal for a Directive on Civil Liability and Financial Securities of Ship-owners - 3rd Maritime Safety Package**

### **Purpose of the evaluation**

The purpose of the Community intervention is to establish stringent liability rules applicable to all ships which will help to prevent damage caused by ships and guarantee this is repaired. For that purpose, all Member States should ratify the 1996 Convention on the Limitation of Liability for Maritime Claims as soon as possible. In addition, in order to better respond to the interests of accident victims, it is necessary to supplement the legislation on liability by setting up a system of obligatory financial securities for ship-owners.

### **Summary of findings and conclusions**

The finding and conclusions of the impact assessment can be summarised as follows:

- The relatively slow pace of national ratification processes makes the date of entry into force and the geographical scope of the international conventions in this field uncertain. A directive would be the most proper binding instrument under which these conventions can be swiftly and uniformly applied at EU level. In addition, this directive would permit a medium-term possibility of modernising civil liability law in the maritime sector.

- In terms of removing financial liability ceilings, only ship-owners owning a ship flying the flag of a third country which is not party to the 1996 Convention and that are guilty of gross negligence, will be affected, for the greater benefit of those owners mindful of security standards who will continue to enjoy the protection of limited liability. It should also be noted that establishing an obligatory insurance system will help tackle the problem of sub-standard ships, in the same way as applying the other measures contained in this legislative package. Accordingly, it is expected that the risk to insurers will not increase.

As regards obligatory insurance, the vast majority of owners who already have a civil liability insurance policy for damage to third parties caused by their ships will benefit from this new regime in that the market will not be distorted by the actions of some unscrupulous operators with no insurance.

In practical terms, ship-owners should follow the procedures to obtain certificates and then notify their on-board presence. The crew will also benefit from the protection afforded by the financial security for the repatriation of seafarers. The situation of persons who have suffered damage caused by a ship and who demand that this be made good by the owner of that ship (individuals, professionals, but also public authorities) will be improved by the new mechanism removing ceilings and making insurance obligatory. Introducing a direct action will further ease their situation. Governments (flag States and port States) are affected in that they must set up a system for issuing and verifying financial security certificates. It should be noted that Member States are already under this obligation, but that this is limited to tankers transporting persistent oils.

### **Impact Assessment: Commission's Proposal for a Directive on Flag States Responsibilities (3rd Maritime Safety Package)**

#### **Purpose of the evaluation**

The aim of the proposal is to improve safety at sea and to protect seafarers and the environment by conferring greater responsibility on the flag States as regards the obligations they have incurred at international level. These States should exercise this responsibility both before and after granting flag rights.

More specifically, steps are proposed to be taken to make the provisions of the Code compulsory in respect of the implementation of the mandatory IMO instruments relating to the flag States and also to introduce a flag State Audit Scheme.

#### **Summary of findings and conclusions**

Two options were considered: individual action on the part of the Member States and a proposal for a Directive on the flag State compliance requirements.

As regards option 1, an analysis of the economic, social and environmental effects led to the following conclusion: any individual action, no matter whether it is rigorous or disparate, on the part of the Member States will not be sufficient for achieving the intended objective at Community level. Such an individual action would not bring about the added value that Community action is capable of achieving through the uniform application throughout the Union of the international regulatory framework established by the IMO. Moreover, there is a risk that individual action may lead to different levels of safety and protection among the various flag States, coupled with the risk of economic distortion among operators.

An analysis of the second option, in contrast, leads to the conclusion that incorporation of the IMO Code into Community law will not impose new obligations on Member States, provided that their maritime administrations abide by the commitments entered into under the international conventions. Consequently, this action should not give rise to additional budget costs, but rather should prove beneficial to maritime safety and hence the environment, as well as to the social conditions of seafarers.



## **Impact Assessment: Commission's Proposal for a Directive on Marine Casualty Investigations**

### **Purpose of the evaluation**

The general objective of the proposal is to improve maritime safety and prevent future disasters. As in the aviation sector, the aim of technical investigations in the maritime area is not to determine, and far less to apportion civil or criminal liability, but to establish the circumstances and to research the causes of maritime incidents in order to draw all possible lessons from them and thereby improve maritime safety.

The proposal was drawn up in compliance with the rules of international maritime law and in accordance with the definitions and recommendations in the IMO Code for the Investigation of Marine Accidents. It introduces into Community law the obligation for Member States to carry out technical investigations after maritime accidents.

### **Summary of findings and conclusions**

Four possible alternatives were considered when assessing the possible action to be taken:

1. maintaining the current status quo (“do nothing”);
2. a non-legislative Community initiative encouraging the Member States to apply the recommendations in the IMO Code voluntarily;
3. a submission to the IMO from the 25 Member States of the EU to amend the international conventions to establish a formal obligation to carry out technical investigations following maritime incidents, and
4. developing clear guidelines at Community level on carrying out technical investigations and on feedback of experience following all serious maritime incidents.

Analysis of the potential impact of these options has confirmed that:

- Community legislation is the most appropriate option for dealing with the issue of technical investigations following maritime incidents within the framework of maritime safety policy;
- the instrument chosen (a Directive establishing the basic principles which Member States should follow for technical investigations following maritime incidents) should be based, as far as possible, on the principles and recommendations in the IMO Code. However, the proposed legislation should ensure at least the same level of feedback as that guaranteed by the legislation in the aviation sector; and that Community action in this area is urgently needed because technical investigations form part of a policy aimed at preventing further maritime disasters within the European Union.

## **Impact Assessment: Commission's Proposal for a Regulation on the Liability of Carriers of Passengers in the Maritime Transport Sector - 3rd Maritime Safety Package**

### **Purpose of the evaluation**

The purpose of the proposal is to incorporate into Community law the provisions of the 2002 Athens Convention which are applicable only to international journeys and to extend them to

cover domestic maritime traffic and inland waterways. The Athens Convention establishes a regime of liability for damage suffered by passengers carried on a seagoing vessel. It declares a carrier liable for damage or loss suffered by a passenger if the incident causing the damage occurred in the course of the carriage and was due to the fault or neglect of the carrier.

According to the proposal, all EU ship passengers will be able to benefit from the same protection regime in the event of an accident: modernised carrier liability rules, a mandatory insurance system and a satisfactory compensation ceiling. The rights of persons with reduced mobility when they use maritime transport will be also guaranteed.

These protection rules also apply to all passengers who have purchased their tickets in Europe, even if they travel outside Community waters and even onboard a ship flying a third-country flag.

#### **Summary of findings and conclusions**

- *Option 1*: implementation of the Athens Convention only. This will be achieved with the adoption by the Council of the Commission proposal of June 2003 relating to the accession by the Community and by the Member States to the Athens Convention. The scheme will only be applicable to international transport.
- *Option 2*: incorporation of the Convention without adaptations. The main advantage with this process is to ensure a uniform interpretation of the Convention by the Court of Justice. The impacts will be similar as with option 1.
- *Option 3*: incorporation of the Convention with adaptations, such as the extension of the scope to cover domestic traffic and inland waterway transportation. With this option, all passengers will benefit from the new scheme of the Convention and all carriers will be subject to the same liability regime throughout Europe. Passengers with reduced mobility will be covered.

### **Impact assessment: Commission's Proposal for a Revision of Directive 2002/59/EC (Vessel Traffic Monitoring) - 3rd Maritime Safety Package**

#### **Purpose of the evaluation**

The aims of the Community intervention are:

- to incorporate in Directive 2002/59/EC additional measures for better ship safety and environmental protection;
- to harmonise the implementation of the "places of refuge" plans to ensure they are applied uniformly in the different Member States, which will help in preventing serious pollution. There is a need, in particular, to clarify the rules for applying these principles;
- to integrate in the Directive the principles defined in the work done by the Member States and the Commission to set up the Community maritime safety information exchange system SafeSeaNet. In particular, the principles have to be established on the one hand for the systematic exchange of maritime safety information at Community level via the SafeSeaNet system and on the other hand for cooperation between the Member States on monitoring and developing the system. All national systems will have to be compatible with SafeSeaNet and any information of Community interest will have to be presented in a harmonised manner;

- to prepare the Community legal framework for future technological developments, especially the space applications such as ship monitoring beacons, imaging systems or Galileo. This progress has to make it possible to extend surveillance of maritime traffic into European waters and, in particular, provide better coverage of the open sea.

#### **Summary of findings and conclusions**

The data collected and the detailed conclusions of the impact study can be summarised as follows:

- Option 1 – Do nothing at this stage: this option would allow fundamental differences of interpretation to persist with regard to certain provisions of the Directive, in particular as regards the extent of Member States' obligations concerning places of refuge.
- Option 2 – Let the Member States act through regional cooperation bodies (such as Helcom for the Baltic or the Bonn Agreement for the North Sea). This would mean giving up the principle of harmonised application of the Directive between the different maritime regions of the European Union. For some measures this solution would create appreciable differences of treatment between ships without justification.
- Option 3 – Completely recast the Directive to take into account the results of the work done to set up the Community maritime safety information exchange system SafeSeaNet, and to merge in particular certain report messages. However, considering the state of progress with transposing Directive 2002/59/EC and the opinion of most of the Member States, such a drastic review seems premature at this stage.
- Option 4 – Carry out a specifically targeted amendment of the Directive.

After a detailed analysis of the situation taking into account the impact of the proposed measures and in particular the urgent need for harmonisation of the Member States' different "places of refuge" procedures, a targeted amendment of Directive 2002/59/EC would seem to be the best way to make sure that it is implemented properly.

### **Impact Assessment: Commission's Proposal for a Revision of Directive 94/57/EC (Classification Societies) - 3rd Maritime Safety Package**

#### **Purpose of the evaluation**

The Community intervention is intended to reform the present system for the recognition of classification societies by the Community established by Directive 94/57/EC (JO L 319, 12.12.1994, p. 20), and more especially to:

1. strengthen the control systems of recognized organizations,
2. harmonise the current dual system of ordinary and limited recognition,
3. simplify and improve the structure of the Community recognition criteria,
4. reform the system of penalties,
5. clarify the scope and facilitate the application of certain provisions of the Directive.

It is essential to make use of the recasting technique during this fourth updating of the Directive in the interests of the transparency and legibility of Community legislation. Furthermore, apart from the substantive amendments proposed, recasting allows the recitals to the Directive to be updated.

### **Summary of findings and conclusions**

The findings and conclusions of the impact assessment can be summarised as follows:

#### *a) Strengthening the control systems of recognised organisations*

Community recognition has hitherto revolved around the question of professional standards without considering the risks inherent in the accumulation of tasks by the recognised organisations. Two types of solution have been examined:

- The introduction of cross checks during inspections and when issuing certificates, which means separating statutory tasks from classification tasks. The Commission's analysis has shown the advantages of this arrangement, but it has one basic drawback: it can only apply to ships flying the flag of a Member State.
- Strengthening the existing control mechanisms within an appropriate framework. Analysis shows this could improve the quality of the service and the effectiveness of inspections for all recognised organisations, regardless of the flag flown, and at a negligible price to these organisations. During the consultations and bilateral exchanges conducted by the Commission, the recognised organisations themselves advocated strengthening the vertical audits.

#### *b) Reform of limited recognition*

Reforming limited recognition by extending it to cover all Community territory and replacing the present quantitative criteria by qualitative criteria is not expected to have any economic impact. The market situation will stay the same since the present system of limited recognition of an organisation can be extended at any time to other Member States if they so request.

#### *c) The recognition criteria*

Simplifying and updating the recognition criteria, which does not impose any new obligations on recognised organisations, has no appreciable economic impact (except as regards prohibiting the use of non-exclusive surveyors, the impact of which would be small and would extend across the entire fleet classed by the recognised organisations).

#### *d) Reform of the system of penalties: introduction of financial penalties*

As this would be a purely legal change, reform of the system of penalties is not expected to have any economic impact.

#### *e) Other parts of the reform*

As the changes would be purely of a legal nature, chiefly to clarify other provisions and/or ensure their proper application, new provisions regarding the legal structure of the recognised organisations, the Commission's inspection powers and the exclusion of "security" aspects from the scope of the Directive are not expected to have any economic impact.

## **Impact Assessment: Commission's Proposal for a Revision of Directive 95/21/EC (Port State Control) - 3rd Maritime Safety Package**

### **Purpose of the evaluation** *(describe the needs the Community intervention aims to satisfy)*

The Community intervention aims to:

- recast Directive 95/21/EC on port State control and its successive amendments in a single text (better regulation) and

- make a number of amendments in order to update, complement and reinforce the Directive with a view to improving safety and security at sea, and the protection of seamen and the environment.

### **Summary of findings and conclusions**

The data collected and the detailed conclusions of the impact study can be summarised as follows:

#### *Option 1: No action*

The present arrangements are maintained. However, the status quo does not meet the demands made by the European Parliament and the Council or the undertakings made by the Commission following the PRESTIGE accident. It obliges Member States to apply conditions which have been overtaken by developments in international law or the situation within the EU. The balance sheet is therefore negative from an environmental and social point of view. From an economic point of view, although there are no extra administrative costs for the authorities, this option allows the unfair competition suffered by quality ship-owners from substandard ships to persist.

#### *Option 2: Resolve the problem through increased cooperation between Member States.*

Cooperation between Member States, whether directly or through the Paris Memorandum, is legally conceivable only in areas not already covered by the Directive. This could, however, lead to a divergence between Community rules and the procedures applied under these intergovernmental agreements which would be extremely detrimental to the effective and harmonised application of port State control. The social, environmental and economic impacts would therefore be negative, particularly as some Member States are not parties to the Paris Memorandum.

#### *Option 3: Simplification and improvement of the existing legislation*

Simply adopting a technical adaptation of the Directive has the advantage of leaving the existing framework in place and proposing only targeted changes to meet identified needs. The environmental, social and economic costs would therefore be low. However, its benefits are less than the more ambitious approach described in Option 4, particularly at the economic level, since although it tightens up sanctions on substandard vessels by making it easier to ban ships, it does not fully meet the objective of promoting high quality maritime transport.

#### *Option 4: Modification of the existing regime*

This would involve replacing the present regime based on a quantitative approach (25% of ships inspected by Member State) by a more qualitative and global approach at EU level. The new inspection system would be more cost effective by concentrating inspection resources on high risk ships and relaxing inspections of vessels of a high standard, which would provide the environmental, social and economic advantages without the drawbacks.

## **Impact Assessment: Extension of EASA Competences to ANS, ATM and Airports**

### **Purpose of the evaluation**

Considering the present competencies of the involved bodies, specifically EASA, JAAs, GASR, Eurocontrol, ECAC, the European Commission and National Aviation/Supervisory Authorities, and their mutual relation, there is a need of harmonising the ANS, ATM and Airport regulation, certification and oversight among the EU countries.

The impact assessment analyses the available policy options, measures and compares potential impacts with relevant and credible indicators and assesses the risk and uncertainty of the assumptions, specifically with regards to:

1. Economy
2. Environment
3. Society
4. Competitiveness

The following policy options are analysed in depth:

- Do nothing,
- Give to Eurocontrol additional competencies
- Extend EASA competencies in the above mentioned areas;
- Create a new Agency for the specific competencies.

The impact assessment is specifically to be used by the Directorate-General for Energy and Transport of the European Commission to focus its choices for the new measures to be proposed in order to achieve the overall objective of improving the air transport safety.

#### **Summary of findings and conclusions**

The assessment reveals that there is a clear reason to intervene in the current situation. All policy options are expected to lead to positive impacts on safety, through the introduction of a common approach towards safety across the EU. This positive safety impact is expected to be highest in the case of the extension of EASA competences since this would enable a truly holistic systems approach within one organisation. It would also establish a closer link between (support to) new rulemaking and regulation and the implementation of rules through a certification, audit, and licensing and standardisation system.

The extension of the EASA competences clearly has European added value: Only on a European level it is possible to reduce interpretation and implementation differences. Furthermore, the extension of EASA offers the opportunity to establish common rules for the entire aviation system for the whole of the European Union. Finally, this option offers the possibility to reduce the multiplication of regulatory-rulemaking activities at different level.

## **Impact Assessment: Harmonization of Rules Applicable to Air Operations, Flight Crew Licensing and Safety of Third Country Aircraft**

### **Purpose of the evaluation**

For a long time the Joint Aviation Authorities (JAA) have been developing rules on the operation of aircraft for the purpose of commercial air transportation, flight crew licensing and crew training, but their application is left to the discretion of the States which sign up to them and which implement them in very different ways, or do not implement them at all. Consequently, there is no uniform level of safety. In addition, national disparities interfere with the smooth functioning of the internal market.

The inclusion of the JAR-OPS rules in Community legislation, via the pending amendment of Regulation No 3922/91, will undeniably be a step forward but will not procure a sufficient degree of harmonisation because it will only cover commercial air transport. Other types of aircraft, other

commercial operations and non-commercial operations will not be covered by these common rules; nor will the rules cover flight crew licensing or third-country aircraft.

The safety of third-country aircraft operating in the Community needs however to be more effectively ensured. The Annexes to the Chicago Convention lay down minimum standards with which aircraft, air carriers and crews involved in international flights must comply. The State in which an aircraft is registered has primary responsibility for checking that these obligations are fulfilled, but the other contracting States can inspect aircraft which overfly their territory to verify their safety. In the Community, this is done under the "SAFA" Directive, which refers to Annexes 1, 6 and 8 to the Chicago Convention. However, SAFA inspections carried out by the Member States will relate only to these minimum standards, which do not cover all aspects of air safety.

This is the context in which the Commission has envisaged to extend the common safety rules to air operations, pilot licensing and third-country aircraft, as already requested by the legislator.

#### **Summary of findings and conclusions**

Two options in particular were examined:

- extending the scope of Regulation No 1592/2002, and hence of the European Aviation Safety Agency's remit; this was the option favoured by the legislator;
- transposing into Community law, via Regulation No 3922/91, the rules defined through intergovernmental cooperation within the JAA.

The impact assessment showed clearly that it would be better for aviation safety, and for the functioning of the internal market, to introduce specific Community measures: the Commission therefore opted to extend the scope of Regulation No 1592/2002.

## **Impact Assessment: Road Safety Action Programme**

#### **Purpose of the evaluation**

A mid-term review of the European Road Safety Action Program was foreseen for 2005. The impact assessment covers the economic, environmental and social impact of the Road Safety Action Programme. It analyses the available policy options, and assesses the risks and uncertainty of the assumptions. The impact assessment will be used to verify that the intervention is based on a coherent strategy, which is relevant to the needs, problems and issues that it is supposed to address. It also assesses whether the strategy is in line with other public interventions and checks whether the necessary monitoring and evaluation system are being designed into the revised Action Programme

#### **Summary of findings and conclusions**

Improvement of the road safety situation in the EU25 has a substantial positive economic impact. Additional costs will have to be borne by governments, households and companies, but these are generally (far) less than the benefits that can be achieved for society. The Benefit/Cost ratio of many measures is above 1, but some of the measures, for instance those relating to infrastructure, might be costly and take longer time to materialise. This cost effect will be mostly on managers of infrastructure like (local) governments. The extra costs for households and companies of road safety measures are generally limited.

Following recommendations were made:

- Operational objectives should be set in relation to the actions of the Commission. Suitable indicators need to be formulated. This enables a better assessment of both progress in and contribution to the road safety objective. In the longer run, when data is sufficiently available, intermediate and road safety performance indicators could be introduced in monitoring the objective of the RSAP.
- The Commission could make an assessment of the impact of its actions in terms of road safety. This can give better insight in the role that the Commission has in achieving the objective of improving road safety.
- As the target of the RSAP might not be realised if actions from all actors concerned do not sufficiently change, it is recommended that the Commission reorients its actions so as to achieve highest impact on the road safety situation. This could involve more support for and monitoring of national road safety plans and to some extent the use of guideline and directives in appropriate areas. The reorientation might also involve more focusing on those problem areas and policy measures that are likely to have highest effect in terms of improving road safety.

## **Contribution Study to the Impact Assessment on Social and Economic Aspects of RES-E for the Future Communication on the Financing of Sustainable Energies**

### **Purpose of the evaluation**

To contribute to the analysis required for the Commission Communication on the support of electricity from renewable energy sources.

### **Summary of findings and conclusions**

Currently, there are a range of different support systems in the EU which can broadly be classified into four groups: feed-in tariffs, quota obligations (green certificates), tendering systems and tax incentives. This is a fairly simple presentation of the situation. There are several systems that have mixed elements, especially in combination with tax incentives.

The EU has set the overall objectives for renewable energies but leaves it largely to Member States how to achieve these objectives. Directive 2001/77/EC has left the door open for the harmonisation of support schemes. This raises two questions: Should harmonisation be pursued? If so, what support scheme should be adopted? The analysis necessarily has to be based both on current real cost figures and on a theoretical approach.

The most important benefit of the harmonisation of RES policies across the European Union would be the positive impacts on theoretical static and dynamic efficiency.

A number of studies suggest that the overall cost of achieving the EU RES-E target share in 2010 could be substantially lower with the harmonisation of TGC or REFIT schemes than with the continuation and coexistence of the present national policies. However, the prerequisites are a genuinely liberalised market, where market distortions in the form of support for conventional energy sources are eliminated and a higher interconnections and trade capacity. These prerequisites are not currently met, so a harmonisation of renewable energy sources is not recommended at this stage.



## **Impact Assessment: Initiative on the Promotion of Energy Efficient and Low Emission Road Transport**

### **Purpose of the evaluation**

The impact assessment carried out concerned the evaluation of a proposal for a Directive aiming at promoting public procurements of clean and energy efficient vehicles on the basis of the criterion of costs, by taking into account environmental and energy costs. The motivation for the possible directive is to provide an even basis across EU against which the energy efficiency and the emission costs will be compared. It provides for a high level of transparency vis-à-vis manufacturers across EU.

### **Summary of findings and conclusions**

The study provided a qualitative and quantitative analysis of the impact of such an initiative. The principal conclusions of this study are that this initiative could have a positive impact on the market of clean vehicles and on the environment, and that the impact of such a directive strongly depends on the criteria of costs for energy and emissions of the pollutants taken into account.

On the basis of this impact assessment and the overview of existing legislation, the expected impacts on the reduction of energy consumption, pollutant and greenhouse gas emissions, as well as on the competitiveness of European automotive industry while producing cleaner and more energy efficient vehicles, justify an action at Community level.

## **Impact Assessment: Proposal for a Directive of the European Parliament and the Council on the Promotion of Clean and Energy Efficient Road Transport Vehicles**

### **Purpose of the evaluation**

The impact assessment realized by Price Waterhouse Coopers concerned a proposal for a Directive aiming at promoting public procurement of clean and energy efficient vehicles on the basis of technology selection, because improvement of vehicles could make a significant contribution to tackle the problems of pollutant emissions and energy consumption.

Policy at European level is important to support and encourage the automotive industry towards more energy efficient and cleaner vehicles, as well as helping developing a sustainable market for them.

Green public procurement was mentioned in different European policy documents as good means to favour environmentally friendly products and services.

Policies to promote green public procurement and more energy efficient and cleaner vehicles have been already adopted in some places at local level. Local or national incentives, however, are not sufficient to encourage more investments of the automotive industry.

The increased production and use of cleaner vehicles could be a critical factor in helping cities meet the obligations arising from EU regulation on air quality.

Action at Community level is therefore clearly necessary.

### **Summary of findings and conclusions**

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The increased production and use of cleaner vehicles could be a critical factor in helping cities meet the obligations arising from EU regulation on air quality.

Action at Community level is therefore clearly necessary.

## **Ex-ante Evaluation: Proposal for a Council Decision on the Creation of a Joint Undertaking under the Euratom Treaty to Organise Research on Nuclear Waste**

### **Purpose of the evaluation**

Assessment of the impact of the creation of the Joint Undertaking in order to support the Commission proposal to the Council

### **Summary of findings and conclusions**

Three distinct policy options had been compared on three main criteria: efficiency, effectiveness / impacts and funding aspects.

The policy options are:

1. The creation of a Joint Undertaking (JU) under the EURATOM Treaty, making use of one of the new instruments proposed within the 7th Framework Programme which is aimed at large, complex research themes.
2. Business as usual, i.e. the continued use of the more traditional FP instruments (STREP, IP, NoE etc.) in collaborative research projects, combined with direct funding through JRC.
3. EFDA model: The European Fusion Development Agreement (EFDA) is not really an organisation, but merely a contract between associations (member states or organisations in member states), part of a long-term programme of cooperation in the field of nuclear fusion research. Funding mechanisms and instruments for research within EFDA deviate from the regular FP instruments and are regulated through a specific annex 2 within the Council Decision on the Euratom FP6.

The creation of a JU in comparison with a more traditional FP approach using existing instruments is expected to lead to clear efficiency gains and higher effectiveness.

The "business as usual" approach could also improve on these aspects by a further simplification of procedures, externalisation of the administrative process and the introduction of a Technology Platform to promote joint strategic planning but will always have less flexibility and degrees of freedom with respect to procedural changes than a Joint Undertaking. The EFDA model is also an effective model, but would require a separate set of instruments within the 7th FP to realise its full efficiency gains.

In establishing a JU a number of considerations need to be accounted for:

- The traditional research instruments may offer advantages for specific cases of more bottom up initiated research, which could be better fitting to specific needs of individual member states.
- Private sector interest might differ per theme. Largest interest is expected where either a legal commitment exists or a clear commercial interest.
- Without defining a clear objective a JU might loose on its effectiveness and the interest of private industry. It is strongly recommended to define a clear objective for the JU.
- The unanimous decision that is required on the establishment of a JU under the EURATOM Treaty. A JU with only a central (top-down) approach might prove to be difficult to get full support of all Member States in this respect.

On the basis of these considerations it is recommended to establish a single JU to organise research on radioactive waste management that combines the experience of GJU and JU JET. Within this JU, research on Geological Repository could then be organised through a parallel research work programme, comparable to the organisation of FP research in GJU.

## Environment

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### **Impact Assessment: Communication on Winning the Battle against Global Climate Change**

#### **Purpose of the evaluation**

This Impact Assessment accompanies and provides the analytical background for the Communication COM(2005)35 responding to the request of the European Council at its March 2004 meeting to provide a report as input for a discussion on “medium and longer term emission reduction strategies, including targets”.

#### **Summary of findings and conclusions**

The analysis undertaken included a review of the scientific and economic evidence (including the impact on competitiveness) on the costs of climate change and options to respond to it. It led to the recommendation of a number of elements which should be included in the EU’s future climate change strategies and proposed dialogue with key partners during 2005 in order to prepare the EU’s position for future international negotiations. These were:

1. The broadening of participation: The EU should continue to play a leadership role in the multilateral approach to climate change, but wider participation on the basis of common but differentiated responsibilities is urgently required.
2. The inclusion of more policy areas: The scope of international action should be widened to cover all greenhouse gases and sectors.
3. Enhanced innovation: Within the context of the Lisbon strategy, a technology policy employing an optimal mix of ‘push’ and ‘pull’ policy instruments should be developed to underpin the restructuring process.
4. The continued use of market based and flexible instruments: These include emission-trading, as introduced by the European Union, on the basis of emission limitations and project based mechanisms as building blocks to a truly international carbon market, the rules for monitoring and reporting on emissions, and a multi-lateral compliance regime.
5. The inclusion of adaptation policies: More resources need to be allocated to adapt effectively to climate change.

## **Impact Assessment: Council Regulation establishing a Rapid Response and Preparedness Instrument for Major Emergencies**

### **Purpose of the evaluation**

This Impact Assessment accompanies and provides the analytical background for the Communication COM (2005)113 establishing a Rapid Response and preparedness instrument for major emergencies.

### **Summary of findings and conclusions**

The specific action proposed will allow the Commission and the Member States to pursue an integrated approach that will provide the optimal level of support to Member States affected by major disasters. It will allow the Commission to address the main weaknesses of existing work on civil protection and ensure that effective assistance is provided immediately to those affected by major disasters. The proposal will allow recent events, new technologies and the lessons learned from disasters to be taken into account and reflected in the future work of the Mechanism. They contribute to the Commission's overall policy of enhancing security of EU citizens and showing solidarity with those affected by disasters.

The specific objectives of civil protection actions in this area are to mobilise expertise, to facilitate transportation and associated logistical support and to mobilise equipment and means. The actions will result in

- The sending of experts in case of disasters to assist the affected country in the assessment of the needs on site and to liaise with the competent authorities of the affected country (estimated number of 10 disasters per year and 10 experts per disaster);
- Transportation of European civil protection assistance in the event of disasters as well as associated logistical support (estimated number of 10 disasters per year and 6 flights per disaster);
- The mobilisation of equipment and means (estimated number of 10 disasters).

Relevant indicators are the delivery of European assistance in preparedness for disasters, its positive impact on the immediate consequences, its timeliness and effectiveness.

Preparedness actions encompass all activities and measures taken in advance, within the EU and the participating countries, to ensure effective rapid response and to mitigate the adverse consequences of disasters.

They will ensure the following concrete results (per year):

- training courses (including general training courses in the context of the Mechanism as well as training courses focusing on specific issues or for a specialised audience) to provide experts and team leaders with the knowledge and tools needed to participate effectively in Community interventions and to develop a common European intervention culture;
- command post exercises and full-scale exercises to test interoperability, train civil protection officials and create a common intervention culture;
- the exchange of experts to enhance understanding of European civil protection and to share information and experience;
- workshops to enhance information sharing and promote a common understanding of civil protection issues;

- projects, studies, surveys, modelling, scenario-building and contingency planning, capacity building assistance; demonstration projects; technology transfer; awareness and dissemination actions; communication actions; provision of adequate means and equipment and monitoring assessment and evaluation.

## **Impact Assessment: Thematic Strategy on Air Pollution**

### **Purpose of the evaluation**

The Thematic Strategy on air pollution is one of the thematic strategies required by the 6th Environmental Action Plan.

### **Summary of findings and conclusions**

The Thematic Strategy on air pollution presented a coherent and integrated policy on air pollution which: (1) reviews the improvements brought about by current policies; (2) establishes interim health and environmental objectives with a view to making further progress towards the attainment of long-term environmental objectives; and (3) presents possible measures to bring about the attainment of the interim objectives including a revision of the existing ambient air quality legislation and the national emissions ceilings directive.

To help decide on the costs and benefits of different levels of action, various options were considered with reference to a scenario whereby all possible emissions abatement measures are deployed irrespective of cost. This is called the “Maximum Technically Feasible Reduction” (MTFR) scenario, but even if the EU undertook all measures available, irrespective of costs, there would still be significant negative impacts on health and the environment in 2020.

The direct costs of measures considered were calculated at between €5.9 billion and €14.9 billion per annum. The scenario finally chosen is estimated to cost approximately €7.1 billion per annum, representing about 0.05% of the EU-25 GDP in 2020, against benefits of around €42 billion per annum.

This level of ambition will entail improvements by 2020 relative to 2000 of:

- 47% in life expectancy lost from exposure to particulate matter
- 10% fewer cases of acute mortality from exposure to ozone
- 74% less forest area and 39% less freshwater area where acidification critical loads are exceeded
- 43% less area where critical loads for eutrophication are exceeded
- 15% less forest area where critical levels are exceeded due to ozone.

## **Impact Assessment: Thematic Strategy on the Prevention and Recycling of Waste**

### **Purpose of the evaluation**

The Thematic Strategy on the prevention and recycling of waste is one of the thematic strategies required by the 6th Environment Action Programme.

### **Summary of findings and conclusions**

Overall, this new policy will increase the focus on important environmental issues and deliver improvements in the regulatory environment. It will entail negligible costs for industry and in the longer run could generate economic benefits for the EU. Given the framework character of this policy, Member States will shoulder much of the responsibility for delivering the benefits.

Key short-term benefits will be:

- Waste policy will become more focused on environmental impact, thereby becoming more efficient and cost-effective;
- The regulatory environment for waste management activities will be improved and lead to lower costs and reduced barriers for waste recycling and recovery activities.
- Waste prevention policies will be implemented at the appropriate national, regional or local level, avoiding the introduction of economically inefficient measures at EU level. This will promote action closest to the point of generation of the waste and focus on the most environmentally relevant wastes;
- Increasing the amounts of waste recovered will result in lower emissions from waste disposal and environmental benefits such as reduction of greenhouse gas emissions.

This will lay the foundation to achieve further benefits in the longer term:

- With common standards in place the EU will be in a position to simplify the rules governing shipments of waste within the EU. This would result in lower costs for recycling activities and promote recycling, thereby contributing to reducing the associated environmental impact;
- More environmental benefits could be reaped by increased recycling at lower cost.

On the basis of this IA, the Commission considers that today the EU has a unique opportunity to make a paradigm shift in waste policy. This will involve:

1. Taking a resource approach to waste. This includes moving to life-cycle thinking, adopting a framework for waste prevention policies and increasing recycling and recovery of waste.
2. Moving to a European recycling society by developing common environmental requirements for waste recycling and allowing waste for recovery to move more freely between Member States;
3. Modernising the legislative framework by revising the waste framework legislation and adopting interpretative guidelines for issues needing case-by-case approaches.

a set of preferred options has emerged from this IA that will increase the environmental efficiency and the cost-effectiveness of EU waste policy:

- linking waste policy to product and resource policies , national waste prevention programmes and increasing recycling and recovery of waste through framework approaches;
- moving to a European recycling society by developing common environmental requirements for recycling and allowing waste to circulate more freely across the EU;

- modernising the legislative framework by revising the waste framework legislation, adopting interpretative guidelines and repealing the priority given to regeneration of waste oils.

## **Impact Assessment: Thematic Strategy on the Sustainable Use of Natural Resources**

### **Purpose of the evaluation**

The Thematic Strategy on the sustainable use of natural resources is one of the Thematic Strategies required by the 6th Environment Action Plan.

### **Summary of findings and conclusions**

The focus of the strategy is to identify – during the 25 year timeframe – the most serious environmental impacts related to the use of natural resources and promote solutions and actions to overcome them by increasing knowledge of them and providing easy access to it. The overall objective is to reduce the negative environmental impacts generated by the use of natural resources in a growing economy – a concept referred to as decoupling.

To address the environmental concerns relative to the use of natural resources (e.g. raw materials and land), the strategy will put in place actions that will track and monitor the use of natural resources through their whole life-cycle – “from cradle to grave” – and develop the actions necessary to reduce their environmental impacts. As well as setting out an overall way of working in the area that should lead to better decision-making, a number of specific and immediate actions are foreseen:

1. Establishment of a Data Centre for knowledge purposes,
2. Development of strategy-relevant indicators,
3. Establishment of an International Panel on the sustainable use of natural resources,
4. Setting up of a High-Level Forum with senior representatives of Member States.

## **Impact Assessment: Thematic Strategy on the Urban Environment**

### **Purpose of the evaluation**

The Thematic Strategy on the urban environment is one of the Thematic Strategies required by the 6th Environment Action Plan (Commission Work Programme item 2005/ENV/038).

### **Summary of findings and conclusions**

The Impact Assessment identified the impacts, positive and negative, for a range of different actions proposed for the Thematic Strategy on the Urban Environment. Costs were calculated where possible and case study and survey data were used to give quantified data on the likely benefits that would come from each proposed measure.



The Impact Assessment allowed an informed decision on the measures to include in the Thematic Strategy (i.e. a package of measures to support Member States, regions and local authorities improve the environmental performance of Europe's urban areas; but not proposals for Directives on sustainable urban transport plans and environmental management plans).

## **Impact Assessment: Thematic Strategy on Protection and Conservation of the Marine Environment**

### **Purpose of the evaluation**

The Thematic Strategy is one of the thematic strategies required by the 6th Environmental Action Plan. It aims at providing the right institutional framework for promoting good status of the marine environment in Europe.

### **Summary of findings and conclusions**

The marine environment is faced with a number of threats including loss or degradation of biodiversity and changes in its structure, loss of habitats, contamination by dangerous substances and nutrients and impacts of climate change. While measures to control and reduce pressures and impacts on the marine environment do exist, they have been developed in a sector by sector approach resulting in a patchwork of policies, legislation, programmes and actions plans at national, regional, EU and international level, which contribute to the protection of the marine environment.

At the EU level, while there are a number of policies affecting the marine environment, there exists no overall, integrated policy for marine protection.

Two main options were considered in this Impact Assessment. Firstly, a strictly voluntary approach based on a Communication setting non-binding recommendations, without new legislative measures. Secondly, the favoured option of a flexible legal instrument combined with non-binding recommendations of a Communication.

Under this option, there would be administrative and other policy costs incurred by the set-up and operating of the framework through which the strategy is to be implemented. These costs have been estimated to amount to about €90 million for the initial phase (total amount for a period of about 2 years) and slightly above €70 million, annually, after this period. There would also be more significant implementation costs resulting from the programmes of measures devised at regional level. However, it is not possible at this stage to fully anticipate the measures that will emerge from regional Implementation Plans. However, it is foreseen that the legislative instrument will require detailed impact assessment of the programmes of measures is carried out to ensure that environmental objectives are reached at a minimum cost.

## Research

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### **Impact Assessment and ex-ante Evaluation: Proposal for the Council and European Parliament decisions on the 7th Framework Programme (EC and Euratom)**

#### **Purpose of the evaluation** *(describe the needs the Community intervention aims to satisfy)*

The evaluation was carried out in support of the preparation of the proposals for the 7th Framework Programme. The proposed programme aims to tackle the following problems faced by the EU:

1. Economic, social and environmental challenges. Europe needs to boost its economic growth, improve its competitiveness, create more and better jobs in knowledge intensive sectors, improve cohesion in the face of the challenges posed by ageing and enlargement, confront social problems like poverty and serious diseases, and address environmental challenges in areas such as climate change, water quality, food production and air pollution.
2. Weaknesses of the European research system. Europe needs to invest more in research, and to do so more effectively. It needs to become better at transforming the results of research into commercially valuable innovations, and so improve its competitiveness. The European research area must be better organised in order to make it more attractive to foreign investment and researchers. It must open up further by encouraging a greater pooling of knowledge and resources across frontiers, stimulate the mobility of researchers and better coordinate its national research efforts so as to reduce fragmentation and diversification of funding.

#### **Summary of findings and conclusions** *(main impacts identified, conclusions and recommendations regarding the different policy options and, where appropriate, the cost-effectiveness analysis carried out)*

In order to estimate the possible aggregate "economic impacts" of the FP7 proposal, an econometric model was used. Various scenarios were simulated for long-term trends in FP funding and national/sectoral flows of financing (for a detailed presentation of the model, its scenarios and assumptions, see the in-depth report). On the basis of this modelling, it is concluded that the estimated aggregate economic impacts of FP7 are large (See Table 3; Chapter 5, Section 3). Compared to its modest share of European public R&D funding, the FP achieves significant impacts, especially in the long-term, mainly because of high crowding-in and economic multiplier effects. The proposed doubling of FP7:

- will boost Europe's economic growth rate (up to 0.96 percent extra economic growth by the year 2030 over and above the business-as-usual scenario, 1.66 percent if GDP is corrected for quality),
- will create extra jobs for European citizens (up to 925,000 extra jobs by the year 2030, of which up to 215,000 in research),
- will raise Europe's competitiveness (extra-European exports are increased by up to an extra 0.64 percent by the year 2030, imports reduced by up to 0.3 percent), and increase Europe's R&D intensity (the extra growth in Europe's R&D intensity could reach 0.2 percent).

The FP is more effective than national funding in reaching these results. On the other hand, under the no framework programme option:

- Europe would lose up to 0.84 percent of economic growth by the year 2030 compared to the business-as-usual scenario and up to 800,000 jobs, 87,000 of them research-related.
- Extra-European exports would be lower by 2 percent and imports higher by 1.85 percent.
- Europe's R&D intensity would be lower by 0.09 percent, making it harder to achieve the 3 percent objective.

The proposed FP7 has large potential aggregate "social impacts", as well as beneficial "environmental impacts".

As far as "impacts on particular groups" is concerned, care has been taken to make sure that all players in the European S&T system, including SMEs and the new Member States, will benefit to the maximum extent possible from the implementation of the FP. Besides, EU scientific achievements have a significant global impact.

In examining policy options, 3 key factors were taken into account. Firstly, FP7 should be tailored to European S&T needs: acting as an instrument to promote Lisbon and other key policies, while addressing the specific needs of the diverse research players, and having a strong EU added value. Secondly, it should reply to the strong demand for new actions in the fields of industrial and basic research. Thirdly, it should respond to stakeholders' requests for a more user-friendly and outcome-based FP.

The assessment of the policy options (including sub-options, trade-offs, and management options) focused on their economic, social and environmental impacts, and the extent to which each option takes account of the three key driving factors above.

## Information Society

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### Impact Assessment: Communication on eAccessibility

#### Purpose of the evaluation

The impact assessment examined options to increase deployment of previously stated EU policy initiatives on eAccessibility across the European Union.

#### Summary of findings and conclusions

The option of legislation was found to give rise to fewer positive impacts than a looser policy instrument involving greater co-ordination and promotion at EU level. For example legislation would face strong opposition from industry, which favours a self-regulatory non-legislative approach as much as possible based on current provisions, in the context of existing legislation; possible difficulties in reaching an agreement on legislative details among the Member States; increase in product development costs, in order for industry to meet new additional requirements imposed by mandatory legislation, should it cover 3rd party certification.

On the other hand, co-ordination would allow for more and better coordination at EU level, namely in harmonising technical requirements imposed by different national legislations; this would in turn result in larger markets straddling across national borders; lower product cost per unit would be likely to follow, as a result of development costs being spread over higher production volumes; this would in turn be a significant benefit both for users/consumers and industry; alignment with international partners (USA, Japan, Canada) would be easier; potential to increase the availability of accessible ICT products and services in Europe; this would result in more job opportunities for disabled and elderly people; it is acceptable both to users and their representative associations (which nevertheless would prefer option 3) as well as to industry.

### Impact Assessment: Communication on i2010 (European Information Society 2010)

#### Purpose of the evaluation

This impact assessment identifies options for policy actions in the field of ICT beyond 2005. It is based upon extensive consultation and empirical evidence. In the context of the renewed Lisbon strategy for European growth and employment, it offers a timely opportunity to assess information society initiatives to follow the current eEurope Action Plan which comes to an end in 2005. This Extended Impact Assessment is presented as a supporting document to a forthcoming Communication which will take into account the following assessment and go one step further to deliver the policy strategy for the next five years.

**Summary of findings and conclusions**

The impact assessment examined the options for a proposed to follow up the eEurope 2005 Action Plan, and a new policy framework (Option 3) for the development of a new ICT strategy, providing a combination of focused policy development and communication activities to increase the visibility and impact of actions:

Three priorities for Europe's information society and media policies:

1. i) the completion of a Single European Information Space which promotes an open and competitive internal market for information society and media;
2. ii) strengthening Innovation and Investment in ICT research to promote growth and more and better jobs;
3. iii) achieving an Inclusive European Information Society that promotes growth and jobs in a manner that is consistent with sustainable development and that prioritises better public services and quality of life. There were strong grounds for this Option based upon the analysis of its likely positive impacts on dynamism of the ICT sector, eSecurity, better public eServices, and more stimuli to innovation. In a context of at one level policy convergence and at domain level technological convergence a coherent i2010 strategy was found most likely to optimise delivery of Lisbon targets in this sphere.

**Impact Assessment: Communication Reporting on the Public Consultation on the Scope of Universal Service****Purpose of the evaluation**

Universal service refers to a basic set of telecommunications services which ensure a public 'safety net'. Services within the scope of universal service must be available to all users in the territory of a Member State and be affordable in the light of national circumstances. The impact assessment accompanied the Communication on the consultation over the review of the scope of Universal Service.

**Summary of findings and conclusions**

In examining the options for altering the scope of the universal service ('include mobile communications', 'include broadband internet access' and 'status quo') the impact assessment extends beyond the Directive's questions governing review of the scope of universal service in its presentation of the impacts on regulatory burdens, on the public, on economic and labour factors. Although a few positive impacts can be identified if the scope were extended to broadband (improved opportunities for teleworking, temporary job increases) and to mobile (increased competition between operators delivering universal service, possibility of cheaper services in remote regions) on balance these are heavily outweighed by negative or neutral impacts as set out in table 1 (such as potential for reducing competition in broadband services, likelihood of more expensive fixed line costs if scope extended to mobile). In comparing the options, it is clear that the status quo presently offers the best trade-offs among opportunities and risks and offers overall the best option. Given the current rapid developments in technologies and markets, this preferred option may not hold over time. The impact assessment therefore considers longer term issues and assesses possible future options that may be considered during the 2006 eCommunications Package review. In doing so it also serves to identify key monitoring and evaluation parameters and data needs and sources.

## **Impact Assessment: Proposal for Revised TVWF Directive**

### **Purpose of the evaluation**

The Television without Frontiers Directive provides a minimum harmonisation of national legislations applying to television broadcasting services across the European Union, in order to serve two primary and interconnected objectives:

1. Facilitating the free movement of television broadcasting services within the EU internal market through the application of country of origin principle;
2. Ensuring the protection of fundamental public interest objectives, including protection of minors and human dignity (ban on incitement to hatred), right to reply and consumer protection through minimum harmonisation of existing regulations. The market for European television services has changed dramatically through the convergence of techniques and markets, as outlined above. These changes have been substantial, and by continuing to keep the TVWF Directive as it stands now only the traditional television broadcasting services remain regulated, while they have to compete increasingly with other linear services on other platforms and non-linear (on-demand) services that offer audiovisual media content that is in many ways comparable with television for time of consumers, and, consequently, for advertisement revenues. Action at the EU level seems to be needed in view of the potential for enhancing legal certainty through basic harmonisation of national regulations concerning on-demand services for what is left open by the Electronic Commerce Directive and for simplification for the media operators through their liberation. The impact assessment examined the options for action and their potential impacts.

### **Summary of findings and conclusions**

The impact assessment is still in process and further examination of impacts of options is anticipated. A summary of these can be made available at the stage of adoption by the Commission.

## Internal Market

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### **Impact Assessment: Communication on the Results of the Consultation Launched with the Green Paper on Defence Procurement**

#### **Purpose of the evaluation**

This impact assessment provides a basic analysis of concerns associated with the application of the public procurement directive on defence contracts. Problems regarding the interpretation of public procurement rules are identified. The document presents a first rationale suggesting that policy intervention could improve the current situation by addressing this specific problem. The report does not accompany a specific proposal but rather a document summarising the state of play and the stakeholder consultation on the Green Paper on Defence Procurement. For this reason, the report does not go into a detailed analysis of the options, but only sketches some areas that might require a more comprehensive examination.

Furthermore, it is important to stress the fact that this impact assessment is restricted to the Internal Market public procurement rules. It does not take into account other effects or problems, such as questions on issues of competition.

#### **Summary of findings and conclusions**

This proportionate impact assessment and the results of the stakeholder consultation presented in the Communication illustrate quite clearly the scope for further action of the Commission and need for further, in-depth analysis of the problems and potential ways to solve them. The preparatory work done so far should provide a good basis for this. It provides all stakeholders and interested parties with an overview of the status quo and should allow for swift progress in the analysis and, if regarded as necessary, in the design of appropriate actions.

At this stage, a precise definition and assessment of the policy options is not possible. Hence, it would be premature to propose monitoring and evaluation strategies at this stage. It is more appropriate to recommend that any options that the Commission will decide to follow in the future, will be accompanied by a proportionate impact assessment, aiming at clearly identifying and measuring the potential positive and negative impacts of each option, with the associated complimentary monitoring and evaluation strategies.

From the cursory assessment that it is possible to provide here, it would seem logical to base the future work around options to improving defence procurement in a complementary way, both at Community and inter-governmental level.

For this reason, DG MARKET launched a further Impact Assessment, with a view to draft an interpretative communication and a possible specific directive. The content of this interpretative communication would be determined by the problem analysis in the impact assessment. However, in principal, the communication could clarify the existing law and in particular the principles governing the use of the derogation in Article 296 TEC.

## **Impact Assessment: Proposal for a Directive on Payment Services in the Internal Market**

### **Purpose of the evaluation**

Modern economies are based on an intricate web of payments. Payments allow economic actors (business, households and governments) to complete any commercial transaction face to face or at distance. Payment systems are based on professionally managed infrastructures. Efficient electronic payment systems for remote transactions are particularly important in order to exploit the maximum potential in the Internal Market for goods and services.

The Internal Market for payment services is hugely fragmented. National payment markets do not compete as they are technically confined to their local markets. The introduction of the Euro in 1999 has integrated the market for euro cash payments but the integration of the market for electronic payments is only at the beginning. This is evident in the huge differences in efficiency and prices for electronic payments between Member States. The price of providing basic payment services related to a bank account varies between Member States by a factor of 1:8, e.g. from EUR 34 a year for the average customer in the Netherlands to EUR 252 in Italy. However, to effectively reduce the total costs of payments, a cost-efficient alternative to cash in the form of electronic payments is needed which can be used throughout the internal market, for national and cross-border payments.

The purpose of the Impact Assessment was to decide whether some kind of action at EU level is necessary and if so, which form it should take.

### **Summary of findings and conclusions**

The IA assessment concludes that a limited regulatory intervention by the EU combined with market-led initiatives is the best way to tackle the problem of market fragmentation of payment systems. Consequently the Commission's proposal will focus on the removal of legal and technical barriers and provide the market with a legal framework for consolidation of the historically fragmented European payments landscape.

The first building block of the Directive for a new legal framework is the harmonisation of market access requirements for non-credit institution payment service providers and introduction of a specific license for payment institutions. An assessment of the potential social and economic impacts of keeping the differentiation of market access conditions between Member States found that the un-level-playing field is detrimental to the functioning of the Single Market and creates substantial barriers to market entry.

The second building block of the new legal framework is aimed at overcoming the fragmentation effect of divergent national and Community rules on information requirements which constitute currently an impediment to cross-border service provision a high level of consumer information and an efficient EU payment services market.

The third building block of the new legal framework will be formed by harmonised core rights and obligations of users and providers in the interests of certainty and efficiency. In the identified areas the impact analysis showed that Community legislation would be more effective than self regulation or national legislations to achieve the objectives and bring about the desired efficiency gains



## Impact Assessment: Shareholders' Rights

### Purpose of the evaluation

To vote on shares in a listed company located in a Member State, for shareholders in another Member State or from outside the EU, is often either very difficult and cumbersome or even practically impossible. This problem is becoming all the more urgent as the cross-border nature of equity investment is increasing and is actively stimulated by the drive to create integrated financial markets in Europe and beyond. Removing obstacles to domestic and cross-border shareholder rights is a key prerequisite for the development of stock markets in the EU and to facilitate financial market integration in the EU. All the more so since in EU Member States stock markets still play a lesser role in corporate finance compared to the US.

The purpose of the Impact Assessment was to decide whether some kind of action at EU level is necessary and if so, which form it should take.

### Summary of findings and conclusions

- *Scope*: the Impact Assessment proposes that only listed companies are affected. Being the number of unlisted companies much higher and the cross-border ownership of them insignificant, extending the proposal to unlisted companies would increase dramatically implementation costs without increasing significantly the benefits.
- *Regulatory instrument*: The present situation does not allow cross-border shareholders to participate actively in the company decision process, with important negative economic effects, therefore, some kind of action must be proposed. A recommendation does not ensure that measures required to tackle cross-border voting barriers will be taken at national level, this conclusion is shared by most consulted stakeholders. A Directive is the best suited instrument to guarantee minimum common standards while respecting national specificities. Comparing with a regulation, a Directive is the less onerous way of achieving the objectives defined, being respectful with the proportionality principle.
- *Proxy voting*: The Impact Assessment proposes to introduce minimum standards, removing all existing restrictions in national laws. This could lower the cost for shareholders to vote by proxy or to give instructions to their intermediaries, and increase the voting records of cross-border shareholders. A total harmonization of conditions would not allow for flexibility at Member-State level to take into account national specificities.
- *Share blocking*: The proposal is to prohibit share blocking, replacing it by a record date, leaving flexibility to Member States to determine the applicable record date. This option would allow shareholders to trade shares and to vote at the same time reducing costs and increasing attendance rate.
- *Information related to GMs*: Minimum standards should be introduced regarding (i) a minimum notice period for convening a general meeting; (ii) the obligation for issuers to specify the location from which the information relating to GM can be obtained and a description of voting procedures; and (iii) requiring issuers to post GM-related documents on the company website. These measures would reduce the information costs of shareholders, lowering the overall voting costs and encouraging them to vote.

## **Impact Assessment: White Paper on Financial Services**

### **Purpose of the evaluation**

As the Financial Services Action Plan (FSAP), adopted in 1999, is reaching its final deadline, with nearly all its measures adopted on time, a chapter of the financial services policy of the European Commission is closing.

The purpose of the IA was to identify what is left to be done in the Internal Market for Financial Services. The inefficiencies that need to be removed and the gaps that need to be filled

### **Summary of findings and conclusions**

The extensive stakeholder consultations and the analysis included in the impact assessment help in the decision of the general strategy to be followed by the Commission at this point in time. About the definition of concrete proposals, it is too early to decide on them, and they will be accompanied, in any case by proportionate impact assessments.

The final strategy chosen is the one called "dynamic consolidation of the framework set in place by the FSAP". This strategy consists on a pro-active enforcement policy going further than the simple check of transposition measures transmitted by Member States, it is an option to ensure that the new framework is optimised and streamlined to the maximum. Among other possible tools are close monitoring of implementation through scoreboards, transposition workshops, read-across exercises to ensure consistency, etc. Furthermore, it has to include also a strong focus on the analysis of the resulting framework. This analysis might reveal some limited inadequacies, inconsistencies or gaps. Similarly, some potential "quick-wins" could appear in the new framework, i.e. some inefficiencies that could be easily removed, possibly also by non-regulatory intervention.

This option could result in future policy actions, including using the legislative tool but not exclusively, most probably with a very targeted and calibrated ('surgical') approach in order to consolidate the framework in place without fundamentally changing it.

## **Impact Assessment: Accession of the Community to the Geneva Act of 1999 of the Hague Agreement Concerning the International Registration of Industrial Designs**

### **Purpose of the evaluation**

The impact assessment analyses whether a "link" should be established between the international and the Community registration systems and how such a link should look like.

### **Summary of findings and conclusions**

The assessment of the options leads to the conclusion that in order to best achieve the outlined objectives, the EC should adhere to the Geneva Act.

The establishment of a link between the Community design system and the international registration system of the Hague Union would promote a harmonious development of economic activities, will eliminate distortions of competition, will be cost efficient and will increase the level of integration within the internal market. The accession of the EC to the Geneva Act will therefore make the Community design system more attractive.

Similar advantages cannot be achieved without accession.

The result of the consultation carried out by the Commission could hardly be more self-evident. An overwhelming majority of the responses, bordering on unanimity, supports the idea that the EC should accede in the near future to the Hague Agreement.

## **Impact Assessment: Reforming Cross-Border Collective Management of Copyright and Related Rights for Legitimate Online Music Services**

### **Purpose of the evaluation**

Throughout the Community, collective rights management is submitted to different legislations; the collecting societies have many different legal forms and ways of action; often, there is even a legal or a de facto monopoly and sometimes open or hidden discrimination against nationals from other EU countries (i.e. difficulties for membership or no redistribution of revenues). Therefore, there is no “level playing field” for the collecting societies and the parties involved, and the freedom of establishment and the freedom to provide services are not always ensured in the EU.

The European market is divided and diverse, at the disadvantage of all parties involved. Right holders have expressed specific complaints: they cannot always join the collecting society of their choice, in their own Member State or in another one; they are not confident that their interests are always well taken care of by efficient collecting societies, in particular in a cross-border context. Commercial users have expressed their own complaints: they cannot licence efficiently protected works across the EU in a transparent and non-discriminatory way. The purpose of the IA was to determine if action by the Commission is needed and which form it should best take.

### **Summary of findings and conclusions**

The impact assessment concluded that a reform package for EU-wide licensing of musical works for legitimate online music services requires the parallel deployment of all business models that are available to foster more efficient multi-territorial licensing. The IA therefore proposes to eliminate territorial restrictions and customer allocation provisions in existing reciprocal representation agreements while leaving right-holders who do not wish to make use of reciprocal agreements to manage their repertoire the additional option to tender their repertoire for EU-wide direct licensing.

In addition, the proposed reform includes rules on governance, transparency, dispute settlement and accountability of collective rights managers. Governance rules setting out the duties that collective rights managers owe to both right-holders and users would introduce a culture of transparency and good governance enabling all relevant stakeholders to make an informed decision as to the licensing model best suited to their needs. This should stimulate EU-wide licensing and promote the growth of legitimate online music services.

## Regional Policy

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### **Impact Assessment: Proposal for a Regulation of the European Parliament and of the Council establishing the European Union Solidarity Fund**

#### **Purpose of the evaluation**

To assess the possible impact of a revised Solidarity Fund Regulation.

#### **Summary of findings and conclusions**

The main impact of an enlarged EUSF is the better responsiveness on the level of the EU to crisis situations other than natural disasters. Another likely impact might be on the budget. A Solidarity Fund enlarged in scope could lead to a higher overall aid level under the EUSF. By focussing the policy on the genuine major disasters and abolishing the eligibility for regional disasters, the focus and effectiveness of the solidarity measures should be improved. In addition, the Regulation foresees for major disasters only a single decisive criterion for eligibility which would allow the Commission to complete its examination in a much shorter time.

## Fisheries

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### Ex ante evaluation and impact assessment of a new Fisheries Partnership Agreement with Morocco

#### Purpose of the evaluation

Analysis to be used within the framework of the preparation of the negotiation of a new agreement and protocol and their subsequent management.

#### Summary of findings and conclusions

- Fisheries to be excluded from a new agreement concern shellfish, cephalopods and white rake.
- From a scientific point of view, the new financial resources through a fisheries agreement should allow for more systematic programmes for the evaluation of stocks, as well as making the observation programmes permanent.
- Without an agreement, the current, underutilised stocks will not be fully exploited in the short/medium term.
- According to the conclusions of the report, the priority fields for cooperation should include:
  - A better integration of environmental concerns in the management of Moroccan fisheries;
  - Scientific research;
  - Fisheries control;
  - Sea training;
  - Modernisation of the fishing fleet.

### Impact assessment and Ex ante Evaluation of the Proposed Fisheries Agreement between the EC and Kenya, and Analysis of the Impact of the Future Agreement on Sustainability

#### Purpose of the evaluation

Analysis to be used within the framework of the preparation of the negotiation of a new agreement and protocol and their subsequent management.

#### Summary of findings and conclusions

For every €1 spent by the European Community, the agreement will generate € 5.58 in value added to the Community. The agreement is expected to generate from €2.4m to € 3.6m value added to the Community. It will support 376 to 564 jobs.

#### *Recommendations*

- Payments of compensation: to ensure that priority is given to the marine fishery sector, that

the Department of Fisheries has the institutional capacity to manage the Fisheries Partnership Agreement and that it follows its own legal requirements.

- Possibilities by segment: careful attention must again be made to ensure that the vessels applying for a license are the vessels already active within the Region.
- Catch statistics and reporting: Member states must be seen to comply with the data reporting regulations.
- Promotion of responsible fishing.
- Hiring crew members: careful attention needs to be paid to the compliance with the International Labour Organisation standards.

**Impact assessment and ex ante evaluation of the proposed fisheries agreement between the EC and Tanzania, and analysis of the impact of the future agreement on sustainability**

**Purpose of the evaluation**

Analysis to be used within the framework of the preparation of the negotiation of a new agreement and protocol and their subsequent management.

**Summary of findings and conclusions**

The benefits for the EU remain high. For every € 1 spent, the fisheries agreement will generate € 3.6 in Community benefits. These benefits include value added to the EC sector (profits and wages) and some added upstream (suppliers) and downstream benefits (processing).

*Recommendations*

- a. The development of a strategy for development of the resources of the Exclusive Economic Zone (through the support of Technical Assistance), establishing policy in line with the strategy and priorities of Tanzania;
- b. Membership of the Indian Ocean Tuna Commission (IOTC);
- c. Development of a scientific research programme;
- d. Strengthening of Monitoring, Control and Surveillance capacity through development of a strategic plan, training of administrative and fishery officers, observers as well as support for the installation of VMS (Vessel Monitoring System);
- e. Rehabilitation of the statistical collection service, probably linked directly to the scientific research; and
- f. Promotion of investment allowing harvest of the tuna resources by a segment of the artisan fleet.

## **Impact Assessment of the Proposal for a Council Regulation on the use of alien and locally absent species in aquaculture**

### **Purpose of the evaluation**

The Impact Assessment aims to underpin the proposal to regulate movement of alien and locally absent species in aquaculture.

### **Summary of findings and conclusions**

The main positive impact expected is a more sustainable European aquaculture sector in which the introduction and translocation of alien species will not cause wanton damage to biodiversity.

On the negative side, a high proportion of aquaculture farms will be affected by this regulation, since nowadays most of them use alien species (rainbow trout, Pacific oyster, and carp) and introduce these regularly. However, it is felt that these introductions will in most cases be considered as routine movements, which will greatly simplify the procedure. In the case of non-routine movements, a considerable amount of work will be required in the risk analysis process.

## Taxation and Customs Union

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### **Impact Assessment: Proposal for a Regulation Laying down the Community Customs Code, and Proposal for a Decision Implementing a Paperless Environment for Customs and Trade**

#### **Purpose of the evaluation**

To examine probable advantages of a legal change

#### **Summary of findings and conclusions**

Due to the steady increase of commerce as well as the development of IT the question is whether the Community customs code (ccc) should be modified, especially with respect to risk control methods.

There were 4 options examined:

1. no further changes
2. decision/ modernisation of electronic customs without legal changes
3. electronic customs modernised plus reform of CCC
4. reform of CCC and centralised management of certain aspects of the customs union.

Assessing costs and benefits for producers, traders, consumers and administrations, option 3 is recommended.

### **Impact Assessment: Communication on a "Home State Taxation Scheme" for SME's**

#### **Purpose of the evaluation**

To contribute to the harmonisation of fiscal systems; strengthening the economy by supporting SME's.

#### **Summary of findings and conclusions**

Current taxation systems of the MS are disadvantageous especially for SME's that want to internationalise business. A more harmonised corporate tax system would encourage cross-border investment. The implementation of HST (home state taxation) would be beneficial, contributing to optimisation of costs and better allocation of resources. Main benefits would consist in increased possibilities of cross-border loss compensation and lower compliance burden in dealing with administration. Established enterprises would profit; more business start-ups can be expected. Tax offices though would bear increased administrative costs. A pilot system would be desirable.



As to the evaluation method, the problem existed that many economic actors which were to be involved did not reply. The replies given were often incomplete. 85 % of respondents were from one MS.

## **Impact Assessment: Proposal for a Directive on the Taxation of Cars**

### **Purpose of the evaluation**

To examine tax-related obstacles to the internal market.

### **Summary of findings and conclusions**

In 16 out of 25 Member States, a registration tax (RT) is levied on passenger cars. This contributes to a fragmentation of the car market, to the disadvantage of producers and consumers. Tax administrations, too, have an increased workload. Not only taxation as such, but double taxation also is a problem. Beyond problems for the single internal market, there is also a problem for environmental policy, as CO<sub>2</sub> emissions are fought against in an uncoordinated way.

Options discussed are the following approaches :

- not to intervene,
- the maintenance of existing MS taxes however introducing an EU wide refund system
- a comprehensive EU passenger car policy (incl. an EU-wide maximum RT threshold, i.e. 10 % of purchase price; a refund system; a restructuring/ harmonisation of tax base)

None of these alternatives was deemed to be appropriate. Instead, the study proposes the total abolition of RT.

## Education and Culture

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### **Impact Assessment (Integrating Ex ante Evaluation Requirements): Proposal Establishing the European Year of Intercultural Dialogue 2008**

#### **Purpose of the evaluation**

The impact assessment / ex ante evaluation report has supported the proposal by the Commission for a Decision of the European Parliament and of the Council establishing the European Year of Intercultural Dialogue 2008 (adopted on 05 October 2005).

#### **Summary of findings and conclusions**

##### *Main problems identified:*

There is clear and growing recognition and awareness in Europe of the need for deeper and more structured intercultural dialogue involving not only national authorities but also civil society at large. This stems from:

- the recent enlargement of the Union to 10 new Member States has considerably increased the diversity of the Union in political, social, economic and cultural terms. In this context, it is essential to ensure that this diversity becomes a source of richness rather than a source of confrontation.
- recent international events have provoked severe tensions and given renewed meaning to the concept of “clash of civilizations”. It is essential that the Union upholds and promotes its values internally and also in its relations with the outside world. Intercultural dialogue can usefully complement diplomacy and contribute to conflict prevention. It can also play a central role in the Union’s New Neighbourhood Policy.
- the peoples of the European Union are increasingly made up of a mosaic of cultures, languages, traditions, origins and religions. The real challenge is to move from a “multi-cultural” society to an “inter-cultural” one. The social fabric of the Union is threatened by rampant racism and xenophobia, in this context, it is essential to promote dialogue between religious and ethnic communities. The Union’s internal policies also deal with intercultural dialogue (including migration, employment and social policy, education, training, youth and culture) through various initiatives and programmes. However, these actions generally lack visibility and fail to be part of a coherent strategy for the promotion of intercultural dialogue.

For all the reasons stated above, there is a sense of urgency. This is the reason why the Commission is proposing to organise the European Year of Intercultural Dialogue in 2008.

##### *Main policy objectives:*

The European Year of Intercultural Dialogue would seek to achieve the following:

- Raising awareness of the European citizens on the importance of intercultural dialogue;
- Promoting better mutual understanding between new and old Member States;
- Facilitating dialogue between religious or ethnic communities;
- Fighting against racism, xenophobia and discrimination.

The European Year of Intercultural Dialogue should also contribute the new European Neighbourhood policy.

Appropriate co-operation will be organised with the Council of Europe and UNESCO.

**Impact Assessment (Integrating Ex ante Evaluation Requirements) Supporting the Proposal for a Decision of the European Parliament and of the Council for an Action Programme Promoting Active European Citizenship "Citizens for Europe" (2007-2013)**

**Purpose of the evaluation**

The Impact Assessment report has supported the preparation of the proposal for a new Community programme in the field of active citizenship "citizens for Europe" (adopted on 6 July 2005).

**Summary of findings and conclusions**

In response to the emergence of the question of citizenship among the political priorities of the Union, the adoption of a new specific programme is the best option for achieving the desired objectives.

In order to respond properly to the expectations of citizens, this programme aims to firmly place the citizen at the centre of the actions, and is distinguished by its educational and transnational aspects. The first element gives citizens the necessary instruments to become involved at a European level, and the second creates favourable conditions for the mobility of citizens. It thus gives people the opportunity to develop their mutual understanding and to share a feeling of solidarity through the common European values that unite them. Through this approach the programme attempts to respond as closely as possible to the needs of civil society. It develops a public arena devoted to dialogue and citizenship open to all citizens and decentralised across the whole of Europe through lending support to town twinning, to all types of transnational citizens' initiatives and to events with a European dimension. At the same time it encourages a structured participative process on questions linked to the construction of Europe and the values on which it is based. Finally it respects the diversity on which the richness of the European Union is founded.

The content of the new legal basis maintains the essential elements of the Civic participation programme 2004–2006, and adapts them in the light of the past experiences and needs expressed during the wide consultation process.

- It is in line with new political priorities and provides a stronger internal coherence to the programme: it encourages synergies and crossfertilisation between the different activities and organisations, in order to reach the maximum number of citizens and to have the greatest impact.
- - Concerning the contents of the actions, the present legal basis both ensures the continuity of the Civic participation programme and opens itself to new activities, while providing a degree of flexibility in order to be able to adapt to future evolutions.

## **Impact Assessment: Communication "Implementing the European Youth Pact and Promoting Active Citizenship"**

### **Purpose of the evaluation**

The IA report supported the proposal for a Communication on European policies concerning youth "Addressing the concerns of young people in Europe – implementing the European Youth Pact and promoting active citizenship".

### **Summary of findings and conclusions**

Expected impacts:

- The Communication is expected to have an important impact on the development of the Framework for European Cooperation in the Youth Field, which should guide political action in this area in the coming years.
- The Communication will refocus the development of the youth field taking into consideration the adoption of the Youth Pact.
- The Communication is also expected to clarify responsibilities and mechanisms for the implementation of the European Pact for youth at national and European level.
- Another important impact will be related to structuring the involvement of young people in the development of the European Youth Pact for Youth and the OMC in the youth field.
- No negative effects related to these activities are envisaged.

Conclusions:

- The indicated factors call for a reappraisal of the entirety of activities at European level in the youth field.
- The Communication presents a comprehensive overview of the entire field of youth policy, taking into account the impact of the Pact, and, as such, will be a reference document for the further development of the youth field at EU level.

### Alternative options considered

#### *No-action option*

Doing nothing, in the face of Conclusions of the European Council that have already been taken up by the principal stakeholders, would mean not meeting the expectations of either the political leaders or of the stakeholders.

#### *Option 2 "no Communication option"*

Although the OMC and the Pact are existing instruments, it was not considered appropriate not to present a Communication, as this situation could generate incoherence. In addition, for the sake of transparency and awareness of these instruments by stakeholders it was not possible to contemplate this option.

#### *Option 3 "integrating the Youth OMC into the Pact"*

It would have been interesting to have a Pact covering all the different policies that concern young people. However, "citizenship" is not a priority covered by the Lisbon strategy and the streamlining Lisbon strategy insisted on not creating new structures for the management of the Lisbon strategy. So that option could not be contemplated.

*Option 4*

The timing of the Pact coincides with the completion of the first cycle of implementing the Framework for European Cooperation in the Youth Field, established by the Council Resolution of 27 June 2002. It is thus appropriate, before a second cycle is launched, for the Commission to present a comprehensive overview of existing activities in the youth field.

This Communication will be followed up by a large consultation of stakeholder during the Youth "États Généraux".

The Communication focuses on the articulation of existing political instruments, namely the European Pact for Youth and the OMC.

## Press and communication

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### Ex ante Evaluation of the "Audiovisual services and production" unit

**Purpose of the evaluation** (*describe the needs the Community intervention aims to satisfy*)

To draw a complete picture of the current and future needs of the users of the audiovisual products and services delivered by DG Press.

**Summary of findings and conclusions** (*main impacts identified, conclusions and recommendations regarding the different policy options and, where appropriate, the cost-effectiveness analysis carried out*)

Findings: The audiovisual services fill a major role as TV source for European journalists.

Recommendations :

1. to adapt the services to rapid technological changes
2. to develop new products and services tailored to demands
3. to improve quality of service and delivery

## Health and consumer protection

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### **Impact Assessment and Ex ante Evaluation: Proposal for an EP and Council Decision Establishing a Programme on Health and Consumer Protection**

#### **Purpose of the evaluation** *(describe the needs the Community intervention aims to satisfy)*

To analyse the impacts, relevance, efficiency and effectiveness of Community action foreseen on Health, on Consumer protection and on areas of common interest (joint actions health and consumer protection) where synergies could be achieved.

#### **Summary of findings and conclusions** *(main impacts identified, conclusions and recommendations regarding the different policy options and, where appropriate, the cost-effectiveness analysis carried out)*

The impact assessment concluded that there are important economies of scale and synergies to be achieved by bringing together under the same framework Community action on Health and on Consumer protection. This will lead to synergies in terms of objectives and actions and will enhance policy coherence. A common framework will lead to more effective and efficient Community action, by streamlining administrative procedures (with a common set of tools and a unified budget) and generating economies of scale. It will also increase the visibility of policy actions vis-à-vis European citizens and within the EU institutions. It was concluded that health and consumer protection share a number of common goals and that therefore the programme should develop the following common objectives: to protect citizens from risks and threats which are beyond the control of individuals; to increase the ability of citizens to take better decisions about their health and consumer interests; and to mainstream health concerns and consumer interests across EU policies.

In the health area, in the light of consultations, requests by the Member States, growing citizens' expectations and emerging cross border health challenges, it was concluded that the Community could not fully meet its Treaty obligations under article 152 without a substantial increase in the budget.

The budget increase would be used to develop three new action strands to respond to areas where there is a need for Community action: a new strand to address cross border health threats such as avian flu in an effective and co-ordinated manner; a second new strand on health systems cooperation to help Member States co-operate in addressing common challenges; and a third new strand to help prevent specific major diseases. In addition, the budget increase would enable the Community to consolidate and expand health action under the current Public Health Programme as relates to gathering and analysing health information, monitoring threats, and tackling health determinants. Health action under the joint health and consumer programme proposed would also contribute to reducing the major differences between Member States in terms of life expectancy, health status and health systems capability.

In the consumer area, priority areas remain broadly comparable to the ones of the Consumer Policy Strategy 2002-2006. Now that several pilot actions tested under the Strategy have proven their interest, it is time to amplify this effort.

The new budget allocation will provide means to put a clear emphasis on 3 major areas/objectives, namely: Knowledge base (“a better understanding of consumers and markets”); Enforcement (“better enforcement, monitoring and redress”); Empowerment of consumers (“better informed and educated consumers”). These will receive the large majority of funds under the operational budget. Better added value will also be reached with the leverage effect made possible by the future Consumer Institute.



## Freedom, Security and Justice

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### Impact Assessment: Counterfeiting and Product Piracy

#### Purpose of the evaluation

To evaluate the present factual and legal situation in the Member States and at European level in order to assess the needs for EU action.

#### Summary of findings and conclusions

The Impact assessment stresses the need for a harmonisation of the penal legislation, a closer police cooperation and a strengthening of the sanctions regarding counterfeiting and product piracy. Such crimes are often carried out by crime organisation sometimes linked to terrorism. They represent a risk for the economy and the innovation but also for health and safety. This justifies reinforced police cooperation, tougher penal sanctions and the possibility of confiscation of the assets related to the crime. The IA concludes that a legislative initiative at the EU level is the most appropriate instrument to do so.

### Impact Assessment: Framework Decision on Mutual Recognition of Non-custodial Pre-trial Supervision Measures

#### Purpose of the evaluation

The aim of the study was to collect and analyse statistical data relating to the number of persons that would be affected by a new framework decision on mutual recognition of non-custodial pre-trial supervision measures. It should assess the different policy options, including the question of the scope of the new instrument and the possibility of returning an uncooperative suspected person by force to the trial-State and cost aspects of a new instrument. It should finally draw a catalogue of existing non-custodial pre-trial supervision measures in the 10 new Member States.

#### Summary of findings and conclusions

During a year as many as 8,000 EU non-resident pre-trial detainees could be subjected to an alternative pre-trial non-custodial measure (in their Member State of normal residence). The introduction of a framework decision on mutual recognition of non-custodial pre-trial supervision measures would therefore save costs (by reducing the costs for pre-trial detention) in the European Union seen as a whole. As regards the policy options, it was concluded that the new instrument also should cover less serious offences, i.e. below the threshold of one year in the framework decision on the European arrest warrant, and contain a specific mechanism of returning, if necessary, an uncooperative suspected person to the trial-State by the use of force (with shorter time limits than under the framework decision on the European arrest warrant).

A catalogue of existing non-custodial pre-trial supervision measures in the 10 new Member States was established.

## **Impact Assessment: Framework Programme on Fundamental Rights and Justice**

### **Purpose of the evaluation**

The purpose of this impact assessment was to determine the best policy option for take forward in the Framework Programme on fundamental rights and justice for the period 2007-2012. The main objectives of this Programme are to promote the development of a European society based on the European Union citizenship and respectful of the fundamental rights as enshrined in the Charter of Fundamental Rights; to fight against anti-semitism, racism and xenophobia and to strengthen civil society in the field of fundamental rights; to promote judicial cooperation with the aim of contributing to the creation of a genuine European area of justice in civil and criminal matters; to contribute to the setting up of an area of freedom, security and justice by combating violence and by informing on and preventing drug use.

### **Summary of findings and conclusions**

A number of policy options were examined: (1) no EU intervention (2) No policy change (3) funding programme (3) Cooperation with financial incentives (4) A funding programme. A cost-effectiveness analysis of the chosen options has taken place, on the basis of available statistics as well as those provided from a questionnaire sent to national administrations. Added-value of EU intervention was also analysed. From this the following conclusions were drawn:

1. No EU intervention: negative impacts would outweigh potential savings for the EU budget and letting go of existing interventions could be seen as a step backwards in terms of European integration. It would hamper further integration in the relevant policy fields and national interventions would not be supported in a common direction, creating divergence between Member States.
2. No policy change: Negative impacts would include no adaptation to the evolving context and evolving demand; no simplification and rationalisation, hence less visibility and transparency for the citizens, financial support would be incoherent with recent policy developments which would decrease its effectiveness. Stakeholders will be affected by these policy changes, with no appropriate mechanism to support them. Finally, available instruments do not allow for enough flexibility to adapt to new legal and political situations.
3. Cooperation without financial incentives: Cooperation mechanisms already exist in the area under consideration (Eurojust, European Judicial Network) and are operating successfully but EU policy response cannot solely rely on this type of instrument. Cooperation between member States is necessary but should be accompanied by incentives at European level.
4. Funding programme: this option would create additional cost for the EU budget but does respond to the objectives of simplification and rationalisation, as well as showing sufficient flexibility to adapt to an ever evolving political context. The funding programme would foster the development of a European dimension in fundamental rights, which is lacking in existing instruments. Increased demands from civil society will be met in terms of sheer volumes of action and funding, but also through a higher involvement of relevant stakeholders and direct support to European organisations. It is hoped that the programme will have a direct impact on citizens, businesses and authorities, inter alia through enhanced knowledge and awareness on the issues covered by the funding programme.

## **Impact Assessment: General Programme Security and Safeguarding Liberties**

### **Purpose of the evaluation**

The purpose of this impact assessment was to determine the best policy option to take forward in the General Programme on security and safeguarding liberties for the period 2007-2012. The main objective of this Framework Programme is to contribute to the aim of creating an area of freedom, security and justice by combating crime, especially organised crime, including trafficking in people, drugs and arms, corruption and fraud, with special emphasis on cross border crime, and by protecting citizens and society against terrorist attacks and limiting the consequences of such attacks should they occur.

### **Summary of findings and conclusions**

A number of options were looked at, including (1) no policy change, (2) legislative instruments, (3) the promotion of cooperation between Member States, with no financial incentive, and (4) funding in support of legislation and cooperation mechanisms. After cost effective analysis of the chosen options on the basis of available statistics as well as those provided from a questionnaire sent to national administrations and analysing the added-value of EU intervention the following conclusions were drawn:

1. No policy change: If no further action taken, it is likely that organised crime would increasingly infiltrate EU societies and the threat of terrorist attack would grow. Without greater cooperation between Member States at EU level the scale of cross border crime is only likely to increase. Action is necessary to ensure that criminals and terrorists have no safe havens in the EU.
2. Legislative instruments are necessary to strengthen cooperation between law enforcement authorities and those combating the threat of terrorism. However instruments alone will not be sufficient to meet the objectives and the implementation of EU policy needs to be supported by accompanying measures to improve co operation, coordination and exchange of information between Member States.
3. Promote cooperation between member States with no financial incentive: this is necessary to achieve the objectives of this programme. However such cooperation needs to be accompanied by concrete action to ensure effective exchange of information between national authorities, to help develop technologies to support data security, to create and index databases etc.
4. Funding in support of legislation and cooperation mechanisms: it was evident from the study that financial support is necessary at EU level, to achieve objectives in this area. Support will be aimed at law enforcement, crime prevention and criminology, and protection of witnesses and victims and will fund projects at EU level, transnational projects between organisations in at least two member States, national projects in Member States, operating grants to non governmental organisation pursuing objectives on a European level on a non-profit basis.

## **Impact Assessment: General Programme Solidarity and Management of Migration Flows**

### **Purpose of the evaluation**

Assess the impact and the available policy options for EU financial intervention in the area of borders, asylum and immigration in the period 2007-2013.

### **Summary of findings and conclusions**

How to implement the principle of solidarity in managing people flows by ensuring a fair share of responsibilities between Member States as concerns the burden arising from the implementation of common policies on asylum and immigration and on the management of the external borders? General objectives were set out, involving external borders, asylum, integration and return, and for each of these policies several scenarios for EU intervention were analysed, and their impacts discussed.

A cost-effectiveness analysis of the chosen options has taken place, on the basis of available statistics as well as those provided from a questionnaire sent to national administrations.

The added-value of EU intervention was also analysed: the various strands of the Solidarity programme have in common the pursue of EU interests in the different areas concerned while simultaneously sharing the cost involved more equitably between Member States. More specifically, financial support for external border controls is intended to ensure both that entry into the EU is effectively and efficiently regulated, including in countries which may lack the resources to put in place the controls required, and that the necessary funding is more equitably shared between all Member States. Member States, therefore, gain collectively in terms of being able to enjoy greater security, a reduced incidence of illegal entry and a facilitation of the freedom of movement across internal borders, as compared with a situation in which each individually is left to determine – and fund – the controls which they implement.

In the same way, financial support for the management of asylum systems is designed both to improve the procedures and arrangements in operation across Member States as well as to increase cooperation in the form of exchange of information and best practice. Integrated return management is intended to realise the same kinds of benefit through supporting coordinated and collective action in relation to the return of those found to be residing illegally in EU Member States.

Specifically, therefore, there are common gains to be made by Member States from sharing information about the countries to which those not entitled to live in the EU need to return, from organising joint travel arrangements and from exchanging experience on the measures taken in respect of return procedures. Financial support for integration complements the above three funding instruments. In an area without internal borders where people are de facto free to move from one country to another without hindrance, the effective integration of migrants should be a common concern of all Member States, irrespective of how many they have living within their borders. This is not only because of the need to ensure that the fundamental rights of migrants as well as EU citizens are fully respected. It is also because there is a collective EU interest in a high level of social cohesion being achieved across the Union.

## Impact Assessment: Implementation of the Principle of Availability

### Purpose of the evaluation

This Impact Assessment aims at estimating the potential impact of various options for the implementation of the principle of availability. In that context, operational/law enforcement aspects, legal/organisational constraints, social/political and economic/financial effects will be taken into account. Furthermore, the consequences of inaction (i.e. not introducing legislative proposals nor other initiatives to establish information exchange on the basis of the principle of availability) will be assessed from a political (as the Commission was invited to do by European Council of 4 and 5 November 2004) and operational (as the law enforcement community is obliged to work with existing instruments) point of view. Among the legal constraints, data protection issues will be considered, including the proportionality of the access to larger and better targeted quantities of information, as well as issues relating to their storage and use.

### Summary of findings and conclusions

The IA allowed analysing legislative options available when aiming at improvement of information exchange between law enforcement authorities in the pre-trial phase.

- No new or additional legislation: which was unacceptable since it would continue the current situation that does not fully meet topical security challenges.
- Application of the principle of equivalent access: that subjects information exchange to the conditions in the requested country, obliging MS to cater for a wide variety of different conditions. Although this principle recognises, contrary to the previous option, the common responsibility for security, it does not remedy inherent flaws: lengthy response times, unpredictable outcomes of information requests, absence of an obligation to answer, and difficulties to manage the requests in view of different conditions to comply with.
- Principle of mutual recognition mitigated by a condition of equivalent access in conjunction a mechanism to appraise the equivalence of the authorities that are competent to obtain information:
- This option includes national treatment of requests originating in other Member States, and alleviates some of the management difficulties by making the execution of a request mandatory, on the condition that equivalence has been formally established between the authority that may obtain the information in the Member State that controls it, and the authority in the other Member State that needs this information to carry out its lawful tasks.
- Principle of mutual recognition mitigated by a condition of equivalent access, in conjunction with a mechanism to appraise the equivalence of the authorities that are competent to obtain information, and an index system to identify information that is not online available. This is the optimum solution since it builds on the previous ones and removes drawbacks that hinder access to available information, by obliging Member States to make agreed types of information accessible for equivalent competent authorities of other Member States via the same modalities as for their national authorities.

**Impact Assessment: Proposal for a Council Decision on the Establishment of a Mutual Information Procedure Concerning Member States' Measures in the Areas of Asylum and Immigration (COM [2005] 480)**

**Purpose of the evaluation**

To evaluate the need for a mutual information system. If the evaluation showed that such a system was needed, then it should also propose alternatives for the establishment of such a system.

**Summary of findings and conclusions**

The preferred option is a system which makes compulsory the sharing of information on planned national measures in the areas of asylum and immigration from the moment they are made public (close to option 3 of the 4 which were presented in section 3 of the impact assessment).

Concerning the structure of the information procedure, it is proposed to set up a two-step mechanism: the first step concerns the transmission of the information on planned national measures through a web-based network run by the Commission. In order to lessen administrative burden for the Member States, this web-based network will be used as well for the transmission to the Commission of the information required under any directive containing an obligation to inform the Commission of national measures taken in a particular area related to asylum and immigration. It is important to note that the web-based system will not serve as a documentation centre, as this role is to be played by other structures, like the European Migration Network database.

The second step concerns the holding of an exchange of views, requested by at least one Member State or the Commission, on a particular national measure. The purpose of such an exchange of views is to facilitate the mutual exchange of information and the identification of problems of common interest; therefore, discussions will not lead to any voting nor will they result in any kind of recommendations to the Member State concerned.

Such a two-step mechanism has the advantage of keeping Member States informed of what other Member States do while avoiding holding a large number of meetings (as it is expected that most measures transmitted through the web-based system will not necessarily lead to an exchange of views). At the same time, it provides for the possibility of personal contacts between Member States representatives when necessary and of ad-hoc presentations of the measures to other Member States representatives, which will complete the information transmitted through the web.

It is proposed that the system covers not only general legislative measures, but also certain judicial and administrative decisions which may be relevant in the area of asylum and immigration. For all the measures to be communicated, the requirement of them being 'susceptible of having an impact on other Member States or on the Community as a whole' is the element which determines whether they must be communicated or not. Without such a requirement, the system would very quickly become bogged down.

**Impact Assessment: Proposal for a Council Framework Decision on the Protection of Personal Data Processed in the Framework of Police and Judicial Cooperation in Criminal Matters**

**Purpose of the evaluation**

The identification of problems regarding data protection in the third pillar and of the need for a legislative proposal from the Commission, as well as the best possible option to address the problem in the light of an analysis of the impact of different possible options

**Summary of findings and conclusions**

The Commission considered six different options in order to provide for an appropriate legal regime for data processing and protection in the course of police and judicial cooperation in criminal matters. The Commission assessed the impact of these options on public security, fundamental rights, in particular the right to data protection, the consistency of the Union's data protection policy and costs.

The Commission recommends option 5: to draft a Framework Decision on common standards for the processing and protection of personal data in the course of activities provided for by Title VI of the Treaty on European Union. The rationale was its positive impacts in the assessed areas and the need to implement by January 2008 the principle of availability while maintaining a high level of data protection.

**Impact Assessment: Proposal for a Directive on the Retention of Data Processed in Connection with the Provision of Public Electronic Communication Services and Amending Directive 2002/58/EC**

**Purpose of the evaluation**

To evaluate the effects of the main policy options available in order to reach the objective of give law enforcement authorities access to data which is necessary and proportionate in order to fight organised crime and terrorism.

**Summary of findings and conclusions**

Only one viable option to achieve the objectives was identified, namely to make a proposal for a directive under article 95 EC in order to, as far as necessary and proportionate, harmonise data retention obligations bearing on providers of publicly available electronic communications. The positive impacts of this option mainly consist in a better availability of certain data for law enforcement purposes and the creation of a level-playing field for the electronic communication industry. The negative effects consist of the intrusion upon the privacy of citizens and the burden on electronic communications operators and eventually on Member States.

**Impact Assessment: Proposal for a Regulation on Jurisdiction, Applicable Law, Recognition and Enforcement of Decisions and Cooperation in Respect of Maintenance Obligations**

**Purpose of the evaluation**

Many maintenance creditors in the European Union do not receive maintenance money, due to the lack of effective enforcement mechanisms and to other factors such as time delays and administrative inefficiencies. One of the main issues is the number of stages a claim has to go through to be enforced. The current situation for maintenance creditors in many Member States represents a complex and prolonged challenge to getting a judgement enforced, which may represent a disincentive to creditors to pursue a claim.

The main objective of the Community intervention is to accelerate and simplify enforcement of decisions, in order to guarantee effective recovery of maintenance.

**Summary of findings and conclusions**

Four options were envisaged:

1. maintaining the status quo;
2. a non-legislative action aiming at improving cooperation between the competent authorities within each Member State and enable creditors more effective access to justice through the provision of advice and legal aid;
3. a legislative action aiming at developing a full set of conflict-of-laws rules, covering the scope of all maintenance claims within the EU;
4. a more ambitious legislative action combining options 2 and 3 and comprising additional actions on recognition and enforcement of maintenance claims.

The policy option 4 is the preferred option to achieve the policy objectives and address the problems identified. It is in effect the most ambitious iteration of the other three policy options and so therefore represents the furthest development of the four in terms of the issues that it is designed to address. This option seems to be the most relevant for the population concerned: vulnerable lone parent families which are at high risk for economic poverty and social insecurity.

The development of policy in this area would seem also particularly timely, particularly in the context of a growing European Union and the concomitant rise in migration within the EU. Furthermore, the most recent figures on the level of migration within the EU suggest that a significant extent of future migration will be from New Member States. This policy option would therefore effectively create the possibility of successful perusal of cross border maintenance claims for the first time.

**Impact Assessment and Ex Ante Evaluation: Establishment of the European Union Agency for Fundamental Rights**

**Purpose of the evaluation**

The representatives of the Member States meeting within the European Council in Brussels on 12 and 13 December 2003 decided to extend the remit of the European Monitoring Centre on Racism



and Xenophobia<sup>1</sup> (EUMC) in order to convert it into a Fundamental Rights Agency.

The Commission announced in 2004 that it would present the necessary legislative proposal in response to the decision of the representatives of the Member States. Before making its proposal, the Commission needed to carefully assess the impacts of possible Union measures under different policy options.

### **Summary of findings and conclusions**

The European Council had explicitly set the objectives of collecting and analysing data to help to define Union's policy on fundamental rights, and reform the existing European Monitoring Centre on Racism and Xenophobia and enhancing the coherence and consistency of the Union's human rights policy.

The impact assessment studied five possible policy options to achieve the policy objectives. It found that the 'Status quo' option would fail to give the due importance to the Charter and would not address the problems of the current situation, which are explained in detail in the assessment report.

Two options included only observation functions: a 'Focused Observation Agency' would collect information on fundamental rights in a limited number of thematic areas having strongest links to EU policies. The remit would be 'technical assistance'. A 'General Observation Agency' would be broadly similar but would cover more thematic areas. These options would address the problems in the current situation but only to a limited extent. In the first one, the impact on improving data quality would be marginal. The second would be inefficient and face the risk of spreading resources too thinly. It would duplicate the work of other international, European and national organisations. The opinions expressed in the public consultation were divided on the effectiveness of these options. The focus on racism and xenophobia could be diluted in the second case.

In the 'Widest Possible Observation and Assessment Agency' option, the Agency would observe fundamental rights both within and outside the Union policy framework, also for the purposes of Article 7 TEU. It would be a very effective option as a means of achieving policy objectives. However, the legal limits of Community powers must be taken into account. Second, the option would entail a very heavy financial commitment. It would also risk being overburdened with work because of its wide scope and would duplicate the work of other institutions. The focus on racism and xenophobia could be diluted. In the light of the public consultation such a mandate could cause friction between the EU and the Member States and international organisations.

These considerations point to the 'Focused Observation and Assessment Agency on Union policies' option as the preferred way to achieve the policy objectives and address the problems identified. It is an effective option as a means of achieving the objectives but it entails only a medium financial cost and has a considerable degree of political acceptability. Under this option, the Agency's mandate would be open to collecting and analysing data on fundamental rights with reference to, in principle, all rights listed in the Charter, but the thematic areas within the scope of Union law would periodically be defined for the Agency's actions.

## Trade

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### **Sustainability Impact Assessment of Proposed WTO Negotiations – Overall Final Report for Sectoral Studies Relating to Agriculture, Forestry, and Distribution Services**

#### **Purpose of the evaluation**

Continues the work of Phase 3 of the programme for sustainability impact assessment of proposed WTO negotiations.

The SIA method is intended to assist negotiators and other interested stakeholders in the post-Doha WTO trade negotiations. As such, it is designed to help those involved in identifying the likely economic, social and environmental consequences for their region or country, of one negotiated set of outcomes compared to another.

The purpose of Phase 3 is to develop a series of detailed sectoral analyses that can extend, deepen and supplement the results obtained in global studies developed in previous phases. This summary covers both the overall project report submitted by the evaluators, and the individual reports relating to specific sectors (agriculture, forestry, and distribution services).

#### **Summary of findings and conclusions**

In EU, economic impacts are overall beneficial for all three sectors. Other rich developed countries exhibit similar predicted impacts, but major net food importers gain more from a future liberalisation of agricultural trade. The greatest social impacts for all such countries arise in respect of agriculture, but these are localised and manageable during the period of adjustment. Environmental impacts are small and generally beneficial.

For developing countries, economic impacts are mixed, with economic gains for most countries in all three sectors; but with modest gains for some countries, and welfare losses for others. The countries which lose out most are those that will see their existing trade preferences in agricultural exports eroded. Social impacts are mixed in the short to medium term, but potentially positive over longer timeframe; of those adversely affected, women are frequently among the most vulnerable. Environmental impacts are broadly negative in all three sectors examined, and environmental regulation tends to be insufficiently strong to counter effectively the anticipated adverse effects.

At a global level, all three sectoral studies indicate an overall adverse impact on climate change, arising primarily through increased transport and greenhouse gas emissions; and also on global biodiversity, due mainly to pressures for increased agricultural production in biologically sensitive areas.

## Sustainability impact assessment of the EU-ACP Economic Partnership Agreements (EPAs): Phase Two

### **Purpose of the evaluation** *(describe the needs the Community intervention aims to satisfy)*

To assess the potential economic, social and environmental impacts of an EPA upon the agro-industry sector in ACP countries of West Africa, upon tourism services in ACP countries of the Caribbean, and upon fisheries in ACP countries of the Pacific.

### **Summary of findings and conclusions**

(N.B. The West African study focuses on the markets for: fruit and vegetables for export; fruit and vegetables for the regional market; cereals; beef and poultry; and cotton lint.)

For West Africa, the economic impacts of the central EPA scenario (i.e., asymmetric tariff reductions plus negotiations on a range of other trade-related topics) are modest, but can help cement an economic regime that will promote growth in the medium and longer term. Social impacts are predicted to be either neutral, or else slightly positive. The benefits in the cotton sector may be significant, because a well designed and policed EPA can serve to revive the regional textile industry and encourage job creation in rural areas. Environmental impacts include: the risk of increased land cultivation for fruit and vegetables, with in some cases larger plantations and in others, increased numbers of producers; higher use of agro-chemicals, increased demand for water, and insufficient crop rotation in the case of larger scale production; potentially positive impacts in the case of the cotton market, where increasing price stability will enable farmers to increase use of fertilisers, the effects of which should be beneficial given the degraded condition of land in the baseline scenario.

For the Caribbean, with or without an EPA, the tourism sector is expected to continue to grow. EPA negotiations can promote regional integration and strengthen the element of sustainability in growth scenarios. With an EPA, trade flows between the Caribbean and the EU through commercial presence, temporary movement of tourism service providers, cross-border supply of tourism services, and tourist arrivals are expected to increase. But liberalisation of trade in tourism services is not sufficient to ensure positive economic impacts and a sustainable development of tourism. Without improvements in air and maritime transportation, only the best equipped and served countries will benefit from an EPA, at the expense of more isolated and/or less developed destinations. Social impacts of an EPA are expected to be greater than those predicted for the baseline scenario of growth in tourism. The benefits will be felt not only directly in the tourism sector, but in other sectors strongly linked to tourism. Effects may be particularly beneficial for women, given the high level of female employment in tourism and related services. An EPA is not expected to slow or reverse the already negative environmental impacts of tourism, without appropriate mitigating policies – both those that concern trade, and others to be taken at national or regional level by the countries concerned.

Tuna fishing is very important for Pacific ACP countries, which rely on this sector, together with tourism, for their economic development. Predicted economic impacts of an EPA include: increased exports to Europe of frozen fish and processed fish; gains in government revenues from taxation of profits on increased exports and from parallel development in related sectors, which may be wiped out by other fiscal concessions (notably the creation of a regional FTA including Australia and New Zealand which would eliminate the high MFN tariffs currently applied by Pacific ACP countries on fish and fish products). Social impacts should be positive with respect to employment, through development of the fisheries sector and of related infrastructure.

Women stand to benefit disproportionately, given the high level of female employment in the fish processing sector. Significant negative environmental impacts occur. Any increase in the number of vessels fishing tuna will lead to unsustainable pressure on species, some of which are already over-fished or endangered. Development of fish processing activities (waste water and solid waste) and of the related infrastructure (construction of harbours, roads, etc.) may damage coastal areas, in particular the mangrove forests that often border inshore waters, providing habitat for the juvenile of many important food fish. Replacing old and unsustainable fishing vessels with newer ones that practise sustainable fishing can reduce negative impacts (pollution, by-catch) and help eradicate destructive fishing practices such as poisoning.

## **Development and Relations with African, Caribbean and Pacific (ACP) States**

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### **Impact Assessment: Regulation of the European Parliament and of the Council Establishing Accompanying Measures for Sugar Protocol Countries Affected by the Reform of the EU Sugar Regime**

#### **Purpose of the evaluation**

The reform of the EU Common Market Organisation for sugar will alter the market conditions under which the ACP countries signatories to the Sugar Protocol export sugar to the EU. The impact of the reform on the ACP has been analysed and, as a consequence, the Commission recognises the need to support them in the necessary adaptation process, and tabled a proposal for an assistance scheme.

#### **Summary of findings and conclusions**

On the basis of the impact assessment above, it seems clear that accompanying measures are needed for Sugar Protocol countries, to help them adapt to the new context created by the sugar reform. Trade measures are a valid option, but are being pursued by the Commission through other instruments, and need to be complemented by development assistance, tailored to the specificities of each country, and to be implemented as soon as possible.

### **Impact Assessment: Joint Declaration by the Council, the European Parliament and the Commission on the EU Development Policy**

The purpose of the evaluation was to consider and assess the viability of three possible policy options:

*a) Review and update the previous Development Policy Statement, keeping its focus on European Community aid only.*

This option was based on the recognition that a policy should not be changed too frequently and that the 2000 DPS has worked reasonably well. Possible changes could therefore have been limited, including, inter alia, a more open definition of focal sectors and a clear statement on the need to apply the revised DPS to all developing countries. This first option was considered too timid. It didn't address key limitations of the 2000 DPS: among them, its EC-only focus and the failure to mainstream cross-cutting issues. To address these limitations, there was a need to issue a more authoritative, broader statement that would have supported and promoted a stronger

EU role in international development. An updated DPS would have done too little in this direction.

*b) Launch a common policy platform for all EU Member States and the Commission defining*

*common objectives, principles and broad guidelines for the design and implementation of EU aid.*

This second option would have entailed replacing each Member State's development policy statement with a new EU joint statement spelling out objectives, principles, values, roles and priorities of EU aid. This option was unrealistic. The public consultation has shown little support for leaping towards a unification of EU aid. Member states aid structures are also extremely diverse and it would have been very difficult to provide meaningful implementation guidelines for all 25 of them plus the Commission. Besides, it could have been wrongly interpreted as an attempt to undermine the spirit of the shared competences of the Treaty.

*c) Follow a two-pronged approach with a policy offering a common platform for EU and MS aid on objectives and principles (the so-called "European Consensus") but keeping an EC focus for implementation guidelines.*

This option was considered a middle point between the first two. It recognized as both feasible and important to agree on common objectives and principles, aligned to international commitments already made by all EU Member States, and to provide more effective guidelines on priorities, aid modalities and respective roles only for EC aid. This option, the one chosen, is politically ambitious but also realistic on operationalisation. It translates into policy a "European consensus" that already exists in practice, confirmed by international commitments made by all Member States (like the Millennium Declaration). This consensus is on objectives, principles and a vision for the future. At the same time there is the need to better define the role of the Commission vis-à-vis Member States and to provide the Community with sufficiently flexible priorities to take into account the different needs of partner countries, including middle-income countries.

### **Summary of findings and conclusions**

The impact assessment has shown that, if applied consistently by Member States and the Commission across partner countries, the new DPS should have positive economic, social and environmental impact through:

- a stronger EU voice in the international development arena through the explicit recognition of a "European consensus" shared by all EU Member States. This consensus makes coordination among Member States easier, thus improving the overall effectiveness and impact of EU aid
- improved ownership by partner countries thanks to the increased flexibility in applying
- EU priorities and the recognition of the importance of all stakeholders, including non state actors;
- enhanced differentiation that allow the EC to respond efficiently and coherently to the heterogeneity of partners and challenges;
- greater attention to the social and environmental dimension of sustainable development through their "promotion" from cross-cutting themes to be mainstreamed to explicit objectives of EU aid mirrored by detailed thematic priorities for EC aid;
- preservation of the principle of concentration, combined with a clear recognition of the validity of the DPS for all developing countries rather than only for a subset, leading to greater consistency of EC aid across regions;
- greater coherence among EU policies affecting EU development cooperation.

In particular, developing countries will benefit because they will receive more effective and sustainable EU aid. This aid will be more relevant as it will be more flexible in terms of priorities and modalities, thus building much needed ownership among all stakeholders.

A more closely coordinated EU policy and a more flexible concentration of EC aid based on the

needs of the partner countries, the Commission's expertise and experience and its increased role as a political actor will also contribute to the achievement of shared objectives in a more efficient and effective way.

Strengthened policy coherence for development will translate into economic gains for developing countries, improved environmental sustainability and mitigation of climate change, increased human and state security, better work conditions, improved access to services such as transport and energy.

The stronger EU voice in the international development arena will contribute to a stronger EU role in international affairs and promote EU values worldwide. EU citizens will also benefit because EU aid will produce more public goods, by helping to prevent conflicts, reduce the spread of diseases and protect our global environment.

As part of this analysis, an in-depth consultation process was conducted with the key stakeholders. 529 contributions were received throughout the consultation, from January to April 2005. Twenty-five elements of consensus, summarised in the text of the Impact Assessment, have emerged from the public consultation. Most of these elements have been taken into account in the new DPS.

**Impact Assessment: Communication from the Commission "Accelerating progress towards achieving the Millennium Development Goals: Financing for Development and Aid Effectiveness"**

**Purpose of the evaluation**

Comply with the request of the Council (European Council of December 2004 and GAERC of November 2004) to provide concrete proposals for new EU targets for the volume of Official Development Assistance (ODA) to be achieved by 2009/2010. The position of the new Member States had to be taken into account. The Council also decided to "explore innovative ways of financing" and had asked the Commission to submit relevant proposals with a view to the UN Millennium Review Summit of September 2005. Moreover, the Council asked the EU to reconsider, among other things, long-term solutions to the debt burden.

**Summary of findings and conclusions**

The overall impact pertained to the establishment of concrete proposals for further joint EU actions and commitments on financing for development and aid effectiveness. The Council, on the basis of the Communication and Staff Working Papers, agreed on a comprehensive new set of commitments on financing for development and aid effectiveness, in the context of the Conclusions on progress towards achieving the Millennium Development Goals (Council Document 9266/05 of 24 May 2005). These new commitments laid the basis for the G8 Summit commitments of July 2005 with regard to ODA and debt relief to poor countries.

**Impact Assessment: Communication from the Commission "Accelerating progress towards achieving the Millennium Development Goals: The EU contribution"**

**Purpose of the evaluation**

Prepare EU contribution to UN 2005 HLE on Millennium Development Goals (MDGs), notably in areas of financing for development, policy coherence for development and focus on Africa.

**Summary of findings and conclusions**

The anticipated impact of the proposed actions would be (1) to enhance the quantity and quality of EU development cooperation in support to the MDGs, (2) to strengthen the contribution made by non-aid policies to development objectives in support to MDGs, notably (3) in relation to the countries of sub-Saharan Africa.

**Impact Assessment: Communication from the Commission "EU Strategy for Africa"**

**Purpose of the evaluation**

The overarching objective of this EU action is to make a substantial contribution to the achievement of the MDGs in Africa. In the context of this Community action (The EU Strategy for Africa), the EU will seek to achieve this general objective by strengthening its political, economic and developmental support in the areas considered prerequisites for attaining the MDGs (peace and security and good governance), areas that create the economic environment for achieving the MDGs (economic growth, trade and interconnection) and areas directly targeting the MDGs (social cohesion and environment).

**Summary of findings and conclusions**

In its Impact Assessment the Commission identified three possible options for action: (1) a "no policy change" scenario, (2) a centralised EU Africa policy, and (3) a balanced approach between a complete merging of aid policies and the absence of strategic coordination. For reasons of effectiveness, efficiency and consistency, the Commission prefers the third option, in the form of an EU Strategy for Africa.

In line with the new Impact Assessment Guidelines, the criteria used to evaluate these three "policy options" were effectiveness (the extent to which options can be expected to achieve the objectives of the proposal), efficiency (the extent to which objectives can be achieved with a given level of resources/at least cost), and consistency (the extent to which options are likely to limit trade-offs between the economic, social and environmental domains).

While each of these alternative policy lines has its advantages and disadvantages, the Commission prefers the third option, which steers a middle course between the non-regulatory "no policy change" scenario and the centralised approach of option two. Given the wide scope of the proposed EU action, the Commission believes that this option – in the form of an EU Strategy for Africa – is the best way to address Africa's development challenges.



## Commission's Administration

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### Ex-ante evaluation of the future well-being policy of the European Commission

#### Purpose of the evaluation

In follow-up to the Reform of the Commission's staff policy, DG ADMIN formulated a "well-being policy" for Commission staff. This new policy should include all aspects of working life, including moral, social welfare, but also medical aspects, ergonomics, security and health. The specific objectives of this evaluation were the following:

- To carry out an ex-ante evaluation of "well-being of Commission staff" based on desk-research, interviews, benchmarking and possibly an expert-panel, to provide policy support to DG ADMIN
- To provide practical recommendations and identify policy options for the development and formulation of an internal "well-being" policy for Commission staff.

#### *Concept of Well Being*

The justification for a Commission staff 'well-being' policy is essentially twofold – consolidating the Reform process insofar as it relates to human resources management and ensuring that the Commission reflects developments and modern practices in the European labour market generally.

The concept of 'well being' is holistic and combines a number of different factors aimed at ensuring a balance between professional and private life. A basic principle is that work should be healthy and should leave time and energy to pursue other interests and commitments. Promoting the well-being of employees is not only desirable in its own right. There is also strong evidence to support the link between the well-being of the workforce and the performance of organisations with regard to team working, productivity and other factors that are critical to successful operations.

#### Summary of findings and conclusions

Overall, the assessment of the current situation in the Commission with regard to well-being indicates that:

- It is clear that increasing work pressures mean that it probably more difficult now than before for Commission staff to achieve an acceptable work-life balance;
- The Reform process has led to a number of improvements in staff well-being which are generally welcomed but there are still shortcomings in existing practices/policies which need to be addressed;

- Many of the factors determining well-being are systemic - although there is scope for individuals to take action to promote well-being, there is also a need for the management culture, work practices and procedures in the Commission as a whole to change.

There are many factors that contribute to a feeling of well-being. The evaluation shows that ‘job-content’, ‘reconciliation of professional and private life’ and ‘salary and individual entitlements’ are the three most important factors for staff well-being. However, ensuring that staff is satisfied with their job content is - along with salary, individual entitlements, and career development – essentially management issues falling outside the scope of a well-being policy. These factors either are or have been being addressed by separate initiatives, e.g. the evaluation on strategic alignment of human resource management, evaluation of the CDR system and the annual staff satisfaction surveys.

During the evaluation a number of key issues were identified that should be covered by a well-being policy. These issues, addressed in the report in order of importance to Commission staff, fall under the following headings:

- The balance between professional and private life;
- A healthy workplace including physical and mental well-being;
- Tackling problems that are linked to multiculturalism and expatriation.

As part of the evaluation a 31-point action plan was established to address staff well-being issues.

The follow-up was provided in the draft Communication “Towards a strategy for well-being at work in the European Commission (2006-2009)”. An action plan accompanies this Communication. This communication is part of a package that is foreseen to be adopted by the Commission in January 2006.

## **Strategic alignment of Human Resource Management in the European Commission**

### **Purpose of the evaluation**

This evaluation study was to investigate ways in which the strategic alignment of Human Resource Management at the Commission could be further improved.

People have been recognised as the Commission’s most important asset and an important part of Commission budgets are spent on human resources, salaries, benefits, training, etc. Therefore it is important that HR can demonstrate its value to the organisation.

Until recently, the role of HR was to ensure compliance with Staff Regulations and procedures. Although this is still, and will always be, a key role, the ultimate ambition for HR is to become a strategic partner, to actively support the organisation in reaching its strategic goals. Without attracting and retaining the right people, in the right jobs, with the right skills and training, an organisation cannot succeed.

Such a shift is stimulated because of the following factors:

- the impetus for creation of a modern HR management system at the heart of the Reform;

- the pressing needs of the services for the right Human Resources – and the right HRM system – to deliver on the Commission’s agenda;
- the continued critical tone of staff opinions on the HR service provided and the continued perceived disconnect between DG ADMIN and the services, as evidenced by surveys and interviews;

As HR becomes strategic, the focus will change from compliance toward results and customer orientation, thereby improving confidence in the HR organisation. More specifically, it would strengthen DG ADMIN’s role in governance and add considerable value to the organisational performance. This change is also aligned with the increasing focus of public organisations on results and accountability, the underlying objective being a better service to the citizens.

The evaluation study details how - in addition to all current administrative work - these abovementioned strategic ambitions can be reached within the Commission with the same number of HR Professionals and at the same cost.

The objective of this study was to provide a clear set of recommendations on how to enable HR to become a strategic partner within the Commission, and more specifically:

- How to improve the integration of existing HR policies and practices, and
- How to redefine and enhance DG ADMIN's role within the Commission's HR Model.

### **Summary of findings and conclusions**

From the analysis the following was concluded on where the Commission is today:

#### *As regards the customer orientation of HR in the Commission*

- The concept of internal client is not well understood and implemented
- HR delivery is not consistent across DGs & Services
- DG ADMIN perceived as not close enough to its internal customers (Local HR)
- DG ADMIN perceived as a control- and compliance-focused entity

#### *As regards the HR roles and responsibilities in the Commission:*

- HR organisation is large and complex: no “front and back-office concept”
- HR roles & responsibilities are not well understood either by HR Professionals or HR Customers
- Middle Management’s involvement is inconsistent in the HR delivery
- The HR model is not proactively managed

#### *As regards the HR professionalism in the Commission:*

- HR demonstrates a higher level of expertise in HR administration and Staff Regulations, than on process, customer orientation, change and project management
- There is no developed HR Community or HR career
- HR competences are not always proactively developed and well deployed throughout the Commission: some non-HR experts performing HR roles

#### *As regards the HR processes in the Commission:*

- Most HR processes are complex, with some duplication/overlap, and with sub-optimal outputs in terms of consistency, quality, lead time, etc.
- Monitoring of HR performance is not a widespread practice and standardised

- Still fragmented IT systems for HR: heavy query and reporting functionalities; key personal data such as skills, knowledge, etc. are not readily available

The role of HR within the Commission has evolved and expanded over the years. However, despite the fact that HR, and especially DG Administration & Personnel, has become more professional over the years staff and HR staff still perceive HR as a control- and compliance-focused organisation, and in terms of maturity HR is not yet at the stage of Expert or a Professional HR organisation. The establishment and reinforcement of the Expert or Professional role is however required prior to being able to play the role of Strategic Partner.

The medium term HR vision is to becoming an HR Professional organisation and in the longer term to become a strategic partner. The key drivers for the medium term are: customer and service orientation, simplification and result-orientation. The incremental implementation of strategic HR processes should follow the same drivers as the medium term vision but require the development of a new HR Function set-up around a strategic tiered HR Service Delivery Model. DG ADMIN and the local HR units have to work in close cooperation but there can be different business model orientations that, for example, privilege either service provision to HR units or to individual staff (“Business to Business” or “Business to Client”). In the longer term the feasibility of a single entry point (“one stop shop”) for all customers of HR regardless of the subsequent processes could be put in place to satisfy the expressed need.

Twelve recommendations, with for each of them several proposed measures that could be envisaged in the medium term, were detailed in the report. The evaluation on the strategic alignment of HRM therefore provided ideas on how to develop HRM further in the Commission. The vision and recommendations were discussed with senior management and during an away-day of the RRH network. HR implementation groups were established to work on an appropriate follow-up.

## **ANNEX IV – UPCOMING EVALUATION RESULTS**

With the objective of providing readers with a first view of the evaluation findings that will be produced in the next few months, this Annex covers the ongoing evaluations and impact assessments per policy area by the end of December 2005. A separate, summary fact sheet is available for each evaluation.

## Economic and Financial Affairs

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### Evaluation of the economic research activities of DG ECFIN

ABB activities concerned	01 02: Economic and monetary union
Purpose	
<p>The overall objective of the DG's economic research activities is to support the achievement of DG's policy objectives, primarily with respect to its core activities in the areas of economic and monetary union and international economic and financial affairs. In this context, research activities are conducted in order to understand the developments taking place in the field of economics and their relevance for policymaking. They provide a bridge between economic policy analysis and policy-oriented research within the DG and research taking place outside the Commission, with a view to ensure that the analytical capacities of the DG remain at the frontier of knowledge in the field. On the other hand, it is important to note that the DG does not undertake or commission basic research.</p> <p>The emphasis of this evaluation is on supporting organisational learning and improving the future functioning of the DG's ongoing activities in the area of economic research. In this context, evaluation results will be primarily used by the services responsible for implementing the activities. The evaluation will also be used in the context of the European Commission's Activity-Based Management/Strategic Programming and Planning and Budgetary cycles.</p>	
Estimated date of completion	August 2006

### Ex-post evaluation of MFA operations in Armenia

ABB activities concerned	01 03: International economic and financial affairs
Purpose	
<p>The objective of Macro-Financial Assistance (MFA) in Armenia is to support the country's economic reform efforts and transition towards a market economy by complementing financing of the International Financial Institutions (IFIs) in the context of IMF supported economic programmes.</p> <p>The major objective of the ex-post evaluation of MFA is to learn key lessons, which can be applied to future MFA interventions and/or the possible need for a reorientation of the present approach.</p> <p>The evaluation will assess the effects of the MFA operations carried out in Armenia in the period 1998-2003. The evaluation will not be merely backward looking in nature, but also forward looking to enable us to draw key lessons for the future.</p>	
Estimated date of completion	May 2006

### Ex-post evaluation of MFA operations in fYRoM

ABB activities concerned	01 03: International economic and financial affairs
Purpose	
<p>The objective of Macro-Financial Assistance (MFA) in the former Yugoslav Republic of Macedonia is to support the country's economic reform efforts and transition towards a market economy by complementing financing the international financial institutions in the context of IMF supported economic programmes. In the Council decision for Macro Financial Assistance to fYR of Macedonia the Council also mentions the "very large costs as a direct consequence of the conflict in Kosovo" as one of the aspects taken into consideration in the decision.</p>	

<p>The major objective of the ex-post evaluation of (MFA) is to learn key lessons, which can be applied to future interventions and/or the possible need for a reorientation of the present approach. In our view the evaluation will not be merely backward looking in nature, but also forward looking to enable us draw key lessons for the future..</p>	
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Estimated date of completion	May 2006
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<b>Ex-post evaluation of MFA operations in Romania</b>	
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ABB activities concerned	01 03: International economic and financial affairs
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<p>Purpose</p> <p>The objective of Macro-Financial Assistance (MFA) in Romania is to support the country's economic reform efforts and transition towards a market economy by complementing financing of the International Financial Institutions (IFIs) in the context of IMF supported economic programmes.</p> <p>The major objective of the ex-post evaluation of MFA is to learn key lessons, which can be applied to future MFA interventions and/or the possible need for a reorientation of the present approach.</p> <p>The evaluation will assess the effects of the last MFA operation in Romania from 2000 to 2005. In our view the evaluation will not be merely backward looking in nature, but also forward looking to enable us to draw key lessons for the future.</p>	
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Estimated date of completion	May 2006
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## Enterprise

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### Evaluation of DG Enterprise and Industry Strategic Training Activities

ABB activities concerned	02 01: Administrative expenditure of Enterprise policy area
<p>Purpose</p> <p>The evaluation will assess the relevance, effectiveness and utility of DG Enterprise and Industry Training Strategy with the aim inter alia to take stock of training activities and to identify potential areas of improvement.</p> <p>The evaluation will mainly focus on the effectiveness of DG Enterprise and Industry Training Strategy in fulfilling its objectives. It will assess the impact of the training activities available to DG staff. The approach will be focused on training programmes available to a member of staff with regards to the needs of the DG, rather than an analysis of the catalogue of training courses.</p> <p>To do so, the evaluation will assess the skills gap in priority areas and then evaluate the effectiveness of the Training Strategy in filling this gap. It will analyse the training content and will be an innovative method to evaluate the training area.</p> <p>The evaluation will therefore:</p> <ol style="list-style-type: none"><li>1. Assess the relevance, effectiveness and utility of its training programmes with the aim inter alia to identify potential areas of improvement.</li><li>2. Draw conclusions on their impact with respect to their specific objectives as well as to the objectives expressed in the Annual Management Plan.</li><li>3. Formulate recommendations on how the effectiveness of the Training Strategy may be improved.</li></ol>	
Estimated date of completion	July 2006

### Ex-post evaluation of the 2004 review of the inventory and documentation of operational procedures in DG Enterprise and Industry

ABB activities concerned	02 01: Administrative expenditure of Enterprise policy area
<p>Purpose</p> <p>The purpose of the evaluation is to assess the results achieved by the 2004 review of the inventory and documentation of operational procedures in DG ENTR and its actual impact on the work of the DG. Given the relatively low level of improvement recorded in the review's final report, the evaluator will evaluate the relevance, effectiveness and utility of both the review itself and of the recommendations made in its final report. If necessary the evaluator will provide recommendations designed to improve the way that with inventorying and documenting procedures are dealt with internally in such a specific environment. It will also make any necessary recommendations regarding to methodology used in the review and the organisation of further action in the field.</p>	
Estimated date of completion	June 2006



**Ex-post evaluation of the Open Method of Coordination activities coordinated by DG Enterprise and Industry**

ABB activities concerned	02 02: Encouraging entrepreneurship
<p>Purpose</p> <p>The Barroso Commission has clearly stated that the Lisbon objectives of more growth, more competitiveness and more employment are among its key objectives. DG Enterprise and Industry has a particularly important role to play in this effort, as a key player in the Commission's push to enhance competitiveness and growth in the EU economy.</p> <p>Relevant policy is to a large extent put into place by the Member States, and most of the co-ordination is done via the Open Method of Coordination. The OMC is clearly functioning, but some overall shortcomings (and strengths) have already been identified. At the same time the Lisbon goals are still further away, so five years after Lisbon – and thus mid-way through the period set then – DG Enterprise and Industry feels it is time to evaluate the impact of the OMC activities it co-ordinates.</p> <p>This evaluation will therefore aim to evaluate the effectiveness, efficiency, utility and sustainability of the OMC activities and, if necessary, provide realistic and operational recommendations on how they can be improved with regard to these criteria.</p> <p>The overarching objective of the study will be to evaluate the effectiveness of the OMC approach in the delivery of the goals of the Lisbon agenda. Specifically the study will:</p> <ol style="list-style-type: none"> <li>1. identify and test methodologies for evaluating the impact and effectiveness of the OMC benchmarking and exchange of good practice in place under the auspices of DG ENTR;</li> <li>2. provide recommendations on the nature of measures for which benchmarking and actions to support exchange of best practices would be optimal;</li> <li>3. Examine how OMC could be applied and adapted to better support the Lisbon goals and in particular more coherent policy and programme development across all DG ENTR initiatives.</li> </ol> <p>The specific tasks of the evaluator are to collect, analyse, judge and present primary and secondary data that address the main evaluation tasks and answer the key evaluation questions, as well as to formulate recommendations in relations to the purpose of the evaluation exercise.</p>	
Estimated date of completion	October 2006

**Interim evaluation of IDABC Programme**

ABB activities concerned	02 02: Encouraging entrepreneurship
<p>Purpose</p> <p>Decision 2004/387/EC of the European Parliament and of the Council of 21 April 2004 establishes a programme on the interoperable delivery of pan-European eGovernment services to European public administrations, Community institutions and to businesses and citizens (the IDABC programme) for the period 2005-2009. The IDABC programme entered into force on 1 January 2005 and is a follow-on programme to the IDA II programme.</p> <p>The purpose of the evaluation is a legal requirement laid down in the legal base (Article 13.2 to 13.4 of Decision 2004/387/EC): "...the Commission shall, in coordination with the Member States, carry out an evaluation of the implementation of this Decision by mid-2006 at the latest. This evaluation shall also assess, inter alia, the effectiveness and efficiency of the IDABC activities as well as include a qualitative and quantitative evaluation of performance against the work programme."</p> <p>The evaluation shall examine all activities relating to the implementation of the IDABC programme, including any that have been carried forward from the previous IDA II programme. As the evaluation is</p>	

<p>conducted at an early stage in the lifecycle of the programme, it shall be backward looking as well as forward looking serving also as baseline for future monitoring and evaluations.</p> <p>The IDABC evaluation will focus on the impact of the programme through a thorough analysis of the following issues:</p> <ul style="list-style-type: none"> <li>– Relevance – to what extent is the IDABC programme's objectives and actions pertinent in relation to the evolving needs and priorities at both national and EU level, first and foremost the needs and priorities crystallizing in the ongoing discussions relating to i2010 (see above)?</li> <li>– Efficiency – how economically are the various inputs and actions being converted into outputs and results?</li> <li>– Effectiveness – how far are the IDABC programme's results and impacts in the process of achieving its specific and general objectives?</li> <li>– Utility – how do the IDABC programme's actions, results and impacts, achieved and anticipated, compare with the needs of the target populations?</li> <li>– Intervention logic – how does the implementation of the programme lead to attaining the objectives set?</li> <li>– Coherence – to what extent do the actions form part of a “holistic” approach within the framework of the programme and how well are synergies achieved between programme actions and other Community activities in the area of pan-European eGovernment and infrastructure services?</li> </ul>	
Estimated date of completion	June 2006

**Interim Evaluation of the Pilot Scheme CREA Concerning Support for Venture Capital Companies Financing SMEs in the Seed and Start-up Phase**

ABB activities concerned	02 02: Encouraging entrepreneurship
<p>Purpose</p> <p>In 1998 the Commission decided to begin implementation of a pilot scheme known as CREA (Venture capital for business start-ups). This contributed to the creation of 19 seed capital and start-up funds (call for proposals 98/C 363/09). The beneficiaries of the pilot scheme are recently created seed-capital funds and via these funds entrepreneurs and business start-ups. Since it is a pilot scheme, in accordance with the Commission Communication it must be assessed twice – midway, and at the end of the full ten-year term. This is the mid-term evaluation.</p> <p>The objectives of the mid-term evaluation are to:</p> <ul style="list-style-type: none"> <li>– outline the problem of access to funding for SMEs in the seed and start-up phases;</li> <li>– summarise the development of the seed capital market in the last five years;</li> <li>– and assess the CREA pilot scheme in terms of relevance, effectiveness, efficiency, utility and sustainability.</li> </ul>	
Estimated date of completion	January 2006

**Evaluation of the Internal Market and competitiveness effects of Council Directive 89/106/EEC (Construction Products Directive, CPD)**

ABB activities concerned	02 04: Getting still more from the internal market
<p>Purpose</p> <p>The aim of the study is to compile, assess and present the information on the strengths and weaknesses of Council Directive 89/106/EEC in its current form, and the feasible potential for improvement of its</p>	

provisions, with regard to its specific objectives.	
The study will	
a) Undertake a comprehensive and structured analysis of the provisions of the Directive, and of their implementation.	
b) Appraise the effect of the Directive, and its added value.	
c) Identify, investigate and describe the potential for improvement of the Directive.	
d) Analyse, describe, assess and present improvements.	
Estimated date of completion	February 2006

**Impact Assessment for a Commission Proposal for a Directive Consolidating and Strengthening Elements Common to all 'New Approach' Directives**

ABB activities concerned	02 04: Getting still more from the internal market
<p>Purpose</p> <p>After 20 years of experience with the legislative technique of the New Approach and the adoption of 25 directives, certain weaknesses concerning horizontal elements common to all directives have been identified. These elements need to be improved and adapted to developments on the market place. With a view to the general objectives of Better regulation, the overall purpose of this IA is to view the policy options for enhancing the quality and efficiency of the New Approach system and ensuring more consistency in the application of the sectoral New Approach directives, while simplifying the management and implementation of these directives.</p> <p>The assessment is supported by a consultation with a targeted group of stakeholders (Accreditation organisations, conformity assessment bodies, industry, consumer organisations, employees' organisations, environmental organisations) and will be continued by a public consultation.</p> <p>The ongoing study will also serve as a basis for the conference on the 20th anniversary of the New Approach and the conference on market surveillance (10-11 March 2005, Brussels) organised by DG SANCO and DG ENTR.</p>	
Estimated date of completion	August 2006

**Impact Assessment for a Potential Amendment of the Low Voltage Directive (LVD) 73/23/EEC**

ABB activities concerned	02 04: Getting still more from the internal market
<p>Purpose</p> <p>Having been adopted in 1973 long before the introduction of the New Approach on Community Legislation, some important aspects of New Approach principles are still missing in the Low Voltage Directive. Within the framework of the "Better Regulation" principles, the decision by the Directorate-General Enterprise and Industry for a potential amendment of the Low Voltage Directive (LVD) 73/23/EEC will be based on an extended Impact Assessment (exIA) of the economic, social and environmental impacts.</p> <p>The impact assessment will consist of three parts:</p> <ol style="list-style-type: none"> <li>1. (External) study on the economic impacts of various identified policy options for a potential amendment of the LVD;</li> <li>2. Public consultation on the possible impacts of various identified policy options for a potential amendment of the LVD;</li> </ol>	

3. 3. Internal assessment of various policy options by the Commission services.	
Estimated date of completion	February 2006

**Interim evaluation of the functioning of Regulation (EC) No 2679/98 in the Member States-FRAISE**

ABB activities concerned	02 04: Getting still more from the internal market
<p>Purpose</p> <p>The overarching objective of the study will be to evaluate the effectiveness of Regulation (EC) No 2679/98 as a means to ensure the continuity of the free movement of goods within the internal market.</p> <p>The evaluation therefore has two objectives:</p> <p>The first objective is to complete and analyse information regarding the legal means put in place available to Member States in the event of serious disruptions to the free movement of goods within the European Community as a result of the acts of, or demonstrations by, natural persons (for example, intentional blockading or unlawful use of motorways or railways; disruption of infrastructure or services enabling the free movement of goods; violent or non-violent offences committed in the course of strikes or demonstrations, such as the interception and possibly the destruction of goods, etc.).</p> <p>The second objective is to evaluate the relevance, effectiveness and usefulness of Regulation (EC) No 2679/98.</p>	
Estimated date of completion	February 2006

**Interim evaluation Standardisation Consultants and Translation System**

ABB activities concerned	02 04: Getting still more from the internal market
<p>Purpose</p> <p>Five hundred new Harmonised Standards (HS) are produced annually by the European Standards Organisations (ESOs), CEN and CENELEC on request of the European Commission, according to the provisions laid down in Directive 98/34/EC and in the 30 “New Approach” (or similar) harmonisation directives in relation to some 20 industrial sectors.</p> <p>The main purpose of this evaluation is to assess the New Approach in Standardisation System. The study will be the first in a series and will focus on the quality of Harmonised Standards regarding the translation system and external experts.</p> <p>The overarching objective of the evaluation is to assess the results of the actions of the Commission in terms of financial support (grant) allocated to the ESOs (CEN and CENELEC), to check the quality of Harmonised standards and to proceed to translations of European Standards into Community languages. It also aims at evaluating whether the current financing scheme is optimised to reach the objectives of the actions.</p>	
Estimated date of completion	February 2006

**Evaluation of the Communication on Promoting sustainable development in the EU non-energy extractive industry**

ABB activities concerned	02 05: Competitiveness and sustainable development
<p>Purpose</p> <p>The project will evaluate actions taken by stakeholders to achieve more sustainable development within the non-energy extractive industry, following publication of the Communication “Promoting sustainable development in the EU non-energy extractive industry” (COM (2000)265 final). It will also assess whether the policy objectives identified by the Communication remain valid and provide</p>	

recommendations to improve the relevance, effectiveness, efficiency, utility and sustainability of the actions and, if necessary, further actions or initiatives in this area.

More specifically, the objectives of the evaluation are:

- to identify actions that have been undertaken in the areas defined by the Communication, and those that have not;
- to assess the success or otherwise of actions identified in the Communication;
- to determine the extent to which the priority issues identified in the Communication remain relevant;
- (to report on the findings and provide recommendations on the need or otherwise to take further initiatives in this area, either in the form of a new Communication or via alternative means.

Estimated date of completion	April 2006
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## Competition

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### Antitrust Remedies Review

ABB activities concerned	03 03: Mergers, antitrust and Market liberalisation and cartels
Purpose	As part of the basic preparatory work concerning a future Commission Notice on remedies in the field of antitrust, DG COMP has started an internal review of past cases. DG COMP has also studied experiences in other organisations and all relevant literature in this respect.
Estimated date of completion	June 2006

### Ex-post review of merger control decisions

ABB activities concerned	03 03: Mergers, antitrust and Market liberalisation and cartels
Purpose	The European Commission's Directorate-General for Competition has commissioned a study on the ex-post review of Commission decisions in the field of merger control. The purpose of the study is to provide the Commission with (i) a methodological approach for the conduct of ex-post review of Commission decisions in the field of merger control, following review of the relevant literature and experiences of other authorities; and (ii) the conduct of an ex-post review of the Commission decision to approve the merger of Pirelli and BICC (M.1882) on 19.07.2000.
Estimated date of completion	June 2006

### Leniency Notice

ABB activities concerned	03 03: Mergers, antitrust and Market liberalisation and cartels
Purpose	To enhance the effectiveness of the Commission's "Notice on Immunity from Fines and reduction of Fines in Cartel Cases" in detecting and sanctioning hardcore cartels.
Estimated date of completion	December 2006

### Study on the Enforcement of State aid law at national level

ABB activities concerned	03 03: Mergers, antitrust and Market liberalisation and cartels
Purpose	Improving the State aid recovery practice on the basis of the findings of the study
Estimated date of completion	March 2006

## Employment and Social Affairs

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### **Evaluation of the practical implementation of the national legislation transposing the health and safety directives in the construction sector (directives 92/57 and 92/58)**

ABB activities concerned	04 03: Work organisations and Working Conditions
The main findings of the external evaluation will be analysed and used, together with the internal evaluation, as a basis for the establishment of the Communication from the Commission on the practical application of the national legislation transposing directives 92/57 and 92/58.	
Estimated date of completion	December 2006

### **Evaluation of the practical implementation of the national legislation transposing the health and safety directives in the extractive industries (directives 92/91 and 92/104)**

ABB activities concerned	04 03: Work organisations and Working Conditions
Purpose The main findings of the external evaluation will be analysed and used, together with the internal evaluation, as a basis for the establishment of the Communication from the Commission on the practical application of the national legislation transposing directives 92/91 and 92/104. The external evaluation will constitute the background, together with the internal input of DG EMPL/D/4 for the preparation of the Commission's Communication.	
Estimated date of completion	December 2006

### **Evaluation of the practical implementation of the national legislation transposing the health and safety directives in the maritime sector (directives 92/29 and 93/103)**

ABB activities concerned	04 03: Work organisations and Working Conditions
Purpose To review the results achieved so far with the directives and to identify the difficulties encountered in the practical application. The external evaluation gives input to the establishment of the Commission Communication addressed to the other institutions the practical application of the national legislation transposing Directives 92/29 and 93/103.	
Estimated date of completion	December 2006

### **Evaluation of the Social Exclusion programme 2002-2006**

ABB activities concerned	04 04: Promoting an inclusive society
Purpose The evaluation should cover the Community added value, the capacity for transfer and mainstreaming created by the programme and the capacity for disseminating the projects financed by the programme. There are four levels to be considered in the evaluation: the contribution of the programme to the European strategy to combat social exclusion, evaluation of the programme itself, evaluation of the activities implemented under the programme, and the evaluation of the 2000 and 2001 preparatory measures. The evaluation should be conducted in a way that enables the results to be used to improve policy decision-making and action taken in the future.	
Estimated date of completion	October 2006

**Evaluation of the practical implementation of the national legislation transposing the biological directive and carcinogens directive (00/54 and 04/37)**

ABB activities concerned	04 03: Work organisations and Working Conditions
<p>Purpose</p> <p>To review the results achieved so far with the directives and to identify the difficulties encountered in the practical application. The external evaluation gives input to the establishment of the Commission Communication addressed to the other institutions on the practical application of the national legislation transposing Directives 00/54 and 04/37.</p>	
Estimated date of completion	December 2007

**Evaluation of innovative approach to management of change**

ABB activities concerned	04 02: Employment and European Social Fund
<p>Purpose</p> <p>The general aim is to assess the achievements of the Article 6 call "Innovative approaches to the management of Change".</p>	
Estimated date of completion	October 2009

**Evaluation of innovative measures under article 6 of the ESF Regulation in the field of: "Local Employment Strategies and Innovation"**

ABB activities concerned	04 02: Employment and European Social Fund
<p>Purpose</p> <p>The general aim is to assess the achievements and effects of innovative measures launched in 2002 and 2003 under article 6 of the European Social Fund in the field of "Local Employment Strategies and Innovation.</p>	
Estimated date of completion	August 2006

**Evaluation of the Community Action Programme to Combat Discrimination (2001-2006)**

ABB activities concerned	04 04: Promoting an inclusive society
<p>Purpose</p> <p>The ongoing external evaluation aims at assessing the results and impacts of the Action Programme to Combat Discrimination, as compared to its intervention logic and its target levels.</p> <p>The conclusions from this evaluation will be an operational tool in order to identify shortcomings that should be corrected in order to improve the monitoring and implementation of the programme, during the second implementation period.</p> <p>They will also provide guidelines for the preparation of the new generation of programmes. The evaluation addresses the Community added value and the effectiveness of the Community strategy, the transfer and mainstreaming capacity produced by the programme, as well as the dissemination capacity of projects financed by the programme.</p>	
Estimated date of completion	June 2006



<b>Evaluation of the financial instruments in support of the European Social Dialogue</b>	
ABB activities concerned	04 03: Work organisations and Working Conditions
Purpose To analyse and assess the impact of Community budget support (3 budget lines 04030301 /02 /03) to European Social Dialogue (years 2000-2004); provide recommendations for improving the effectiveness of the support. The results of the evaluation will be used to adapt the support to social partners in the context of an enlarged Europe; to identify ways to enhance the impact of the support provided; to improve the implementation and management of the budget lines.	
Estimated date of completion	June 2006
<b>Evaluation of the Open Method of Coordination for Social Protection and Social Inclusion</b>	
ABB activities concerned	04 04: Promoting an inclusive society
Purpose The aim is to analyse the function of the OMC, prior to the launch of a new framework ("streamlining") for carrying it on in the future. It is based on contributions made by Member States and interested policy actors to a questionnaire, published in February 2005, in which they were invited to comment on the effectiveness and efficiency of the different components of the OMC and its working methods as it has been applied in the fields of fighting poverty and social exclusion and in relation to adequate and sustainable pensions. The aim is to help prepare the basis for proposals from the Commission in December 2005 on a new framework for the process.	
Estimated date of completion	April 2006
<b>Impact assessment accompanying the Communication of the Commission on a Roadmap for equality between women and men 2006-2010</b>	
ABB activities concerned	04 05: Equal opportunities for women and men
Purpose To assess the situation on gender equality and to support the orientations of the future gender equality roadmap.	
Estimated date of completion	February 2006
<b>Impact Assessment for the Preparation of the Communication on Social and Health Services of General Interest</b>	
ABB activities concerned	04 04: Promoting an inclusive society
Purpose Identification of the main elements for the Communication on Social and Health Services of General Interest through a questionnaire sent to the Member States.	
Estimated date of completion	February 2006

<b>Evaluation of the Community Action Programme relating to the Framework Strategy on Gender Equality (2001-2005)</b>	
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ABB activities concerned	04 05: Equal opportunities for women and men
<p>Purpose</p> <p>The on-going (2003-2006) external evaluation looks at analysing the Community added value, the capacity for transfer and mainstreaming created by the Programme and the capacity for disseminating the projects financed by the programme.</p> <p>The external evaluation addresses three levels: the evaluation of the Framework Strategy on gender equality, the Action Programme and its objectives, all the actions financed under the Action Programme.</p>	
Estimated date of completion	June 2006

<b>Evaluation of the EURES Activities</b>	
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ABB activities concerned	04 02: Employment and European Social Fund
<p>Purpose</p> <p>The purpose of the evaluation was to examine to what extent the objectives in the Regulation (EEC) 1612/68 and the Decision 93/569/EEC have been achieved for the period 2000-2003 and to assess the first experiences for 2004-2007 taking into account the requirement in the Decision 2003/8/EC. The evaluation results will be used for development of the new Guidelines 2007-2010.</p>	
Estimated date of completion	February 2006

<b>Evaluation of the ESF contribution to employment, inclusion and education &amp; training policies through the support to systems and structures</b>	
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ABB activities concerned	04 02: Employment and European Social Fund
<p>Purpose</p> <p>Evaluation of the contribution of the European Social Fund (ESF) support to structures and systems to implementing employment, inclusion and education and training policies in the Member States. Analyse how effective this support has been during the current programming period and derive the factors that condition an effective contribution to the implementation of the policies that are mentioned above. It should provide guidance to ESF programming for 2007 to 2013.</p>	
Estimated date of completion	July 2006

<b>Evaluation of the ESF support to management of economic change and restructuring</b>	
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ABB activities concerned	04 02: Employment and European Social Fund
<p>Purpose</p> <p>Evaluation of ESF intervention for support of economic change in order to inform the next programming of ESF.</p>	
Estimated date of completion	March 2006

<b>Evaluation of the ESF support to capacity building</b>	
ABB activities concerned	04 02: Employment and European Social Fund
Purpose This evaluation should contribute to better preparation of the Operational Programmes (Ops) in the Structural Funds new programming period. It will give guidance to the Commission services on which capacity building interventions will be most effective and will have lasting impact on the administrative environment, and thus on social and economic development, so they could be included in the new OPs.	
Estimated date of completion	May 2006
<b>Evaluation of the Community Initiative EQUAL (2000-2006)</b>	
ABB activities concerned	04 02: Employment and European Social Fund
Purpose The EU-wide evaluation of the Community Initiative EQUAL has <b>three main objectives</b> : <ol style="list-style-type: none"> <li>1. To assess the rationale, the potential and initial <b>impact of EQUAL</b> 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.</li> <li>2. To identify and assess the <b>added value</b> of EQUAL to existing labour market policies and practice at national and EU level.</li> <li>3. To <b>identify good and innovative practice in delivering employment policy</b>, 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.</li> </ol> <p>Initially, the EU-wide evaluation would be focused on the 1<sup>st</sup> round and would be completed at the end of December 2005. However, the evaluation contract has been extended to July 2006 so that evaluation can also cover the beginning of the second round, in which New Member States participate as well.</p> <p>The Mid-term evaluation was immediately used to inform the European Commission guidance to Member States in preparation for the second call for EQUAL. It also provided input for the review of the ESF programmes at the beginning of 2004.</p> <p>The 2<sup>nd</sup> interim evaluation is being used to inform the next programming period (2007-2013). With a view to contributing to the finalisation of the new ESF (which foresees the mainstreaming of at least some of the EQUAL principles) the Evaluation Unit has produced and disseminated within DG EMPL a synthesis note and has organised a workshop for the ESF operational units. A second workshop will be organised for other policy units within but also external to DG EMPL in order to influence decisions related to other programmes in the next period.</p> <p>The final 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.</p> <p>The evaluation will provide information and experience which can contribute to the further development of the European Employment guidelines and the Social Inclusion Process.</p>	
Estimated date of completion	July 2006

<b>Ex-post evaluation of the Employment Guidelines 2003</b>	
ABB activities concerned	04 02: Employment and European Social Fund
Purpose	Evaluation of the impact of the Employment Guidelines 2003 and the effectiveness of key policies of the European Employment Strategy (like active labour market policies, life-long learning, etc.).
Estimated date of completion	March 2006
<b>Evaluation of the EIM Programme – Community Incentive Measures in the Field of Employment (2002-2006)</b>	
ABB activities concerned	04 02: Employment and European Social Fund
Purpose	<p>The purpose of the contract is the independent evaluation in the third year (mid-term) and early during the last year (ex-post) of the Community Incentive Measures in the Field of Employment (2002-2006). It relates in particular to the effectiveness and the impact of the entire programme and measures financed under it. The evaluation is to improve the implementation of the current programme and possibly contribute to the design of a new programme.</p> <p>First mid-term report used in the preparation of the Commission's report to the European Parliament, the Committee of the Regions and the Economic and Social Committee. Intermediary results presented to the representatives of the Member States in the EIM Committee in October 2005.</p>
Estimated date of completion	March 2007

## Agriculture and rural development

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### Evaluation of the Fruit and Vegetable Sector: Evaluation of Measures regarding Fresh and Processed Peaches, Nectarines and Pears

ABB activities concerned	05 02: Plant products
<b>Purpose</b> This evaluation project forms part of the DG AGRI evaluation programme for all agricultural measures based on requirements of the Financial Regulation. The Implementation Rules of the latter state that all measures causing budgetary expenditure shall have their results evaluated in a cycle of six years (Council Regulation 1605/2002). The evaluation will review the results achieved so far (requested by AGRI units); it will cover the measures for the fresh and processed peaches, nectarines, and pears and analyse the effectiveness, efficiency, consistency, relevance and usefulness of the measures implemented in this sector. This retrospective evaluation will provide inputs into the preparation of the reform of the CMO for fruits and vegetables and the related Impact Assessment.	
Estimated date of completion	December 2006

### Evaluation of the Fruit and Vegetable Sector: Evaluation of Measures regarding Processed Tomatoes

ABB activities concerned	05 02: Plant products
<b>Purpose</b> This evaluation project forms part of the DG AGRI evaluation programme for all agricultural measures based on requirements of the Financial Regulation. The Implementation Rules of the latter state that all measures causing budgetary expenditure shall have their results evaluated in a cycle of six years (Council Regulation 1605/2002). The evaluation will review the results achieved so far (requested by AGRI units); it will cover the measures for the processed tomatoes sub-sector and analyse the effectiveness, efficiency, consistency, relevance and usefulness of the measures implemented in this sector. This retrospective evaluation will provide inputs into the preparation of the reform of the CMO for fruits and vegetables and the related Impact Assessment.	
Estimated date of completion	December 2006

### Evaluation of the Fruit and Vegetable Sector: Measures regarding Fresh and Processed Citrus Fruits.

ABB activities concerned	05 02: Plant products
<b>Purpose</b> This evaluation project forms part of the DG AGRI evaluation programme for all agricultural measures based on requirements of the Financial Regulation. The Implementation Rules of the latter state that all measures causing budgetary expenditure shall have their results evaluated in a cycle of six years (Council Regulation 1605/2002). The evaluation will review the results achieved so far (requested by AGRI units); it will cover the measures for fresh and processed citrus fruits and analyse the effectiveness, efficiency, consistency,	

relevance and usefulness of the measures implemented in this sector.	
This retrospective evaluation will provide inputs into the preparation of the reform of the CMO for fruits and vegetables and the related Impact Assessment.	
Estimated date of completion	December 2006

<b>Impact Assessment on the Reform of the Common Market Organisation for Bananas</b>	
ABB activities concerned	05 02: Plant products
Purpose To provide an assessment of the impact of various possible options for the reform of the Bananas CMO.	
Estimated date of completion	June 2006

<b>Impact Assessment on the Reform of the Common Market Organisation for the Fruit and Vegetables Sector</b>	
ABB activities concerned	05 02: Plant products
Purpose The purpose of the impact assessment is to provide an analysis of the impact of various possible options for the reform of the fruits and vegetables CMO.	
Estimated date of completion	October 2006

<b>Impact Assessment on the Reform of the Common Market Organisation for the Wine Sector</b>	
ABB activities concerned	05 02: Plant products
Purpose The purpose of the evaluation is to provide a detailed assessment on a wide range of impacts linked to the possible options for the reform of the wine market organisation.	
Estimated date of completion	May 2006

<b>Study on Implementing the Energy Crops CAP Measures and Bio-Energy Market</b>	
ABB activities concerned	05 02: Plant products
Purpose This evaluation project forms part of the DG AGRI evaluation programme for all agricultural measures based on requirements of the Financial Regulation. The Implementation Rules of the latter state that all measures causing budgetary expenditure shall have their results evaluated in a cycle of six years (Council Regulation 1605/2002). The study combines two targets: an evaluation of the implementation of the energy crops CAP measures and an analysis of the market for energy gained from biomass (including an assessment of production costs) with an outlook for future market developments. As concerns the evaluation part, the study will cover direct aid measures (decoupling, energy crops premium, set aside regime) and rural development measures (investment in agricultural holdings, processing and marketing of agricultural products, non-industrial processing and marketing of forestry products/afforestation, adaptation of rural areas). It will examine the effectiveness, the coherence, the synergy effects and the unintended effects of the measures.	
Estimated date of completion	December 2006

<b>Study on the Impact of Export Support Measures and Food Aid on Food Security</b>	
ABB activities concerned	05 02: Plant products 05 03: Animal products
<p>Purpose</p> <p>In 2001 the European Parliament “calls for an evaluation of all export refund schemes and their impact on world hunger, as well as corresponding increase in food aid”. This study represents the commitment taken by the Commission to carry out this study.</p> <p>This evaluation project forms part of the DG AGRI evaluation programme for all agricultural measures based on requirements of the Financial Regulation. The Implementation Rules of the latter state that all measures causing budgetary expenditure shall have their results evaluated in a cycle of six years (Council Regulation 1605/2002).</p> <p>This study aims at analysing how EU export refunds and other export support measures by third countries on the one hand, and food aid on the other hand, impact food security in destination countries or regions.</p>	
Estimated date of completion	December 2006
<b>Evaluation of the Effectiveness of the Beef Extensification Payment</b>	
ABB activities concerned	05 03: Animal products
<p>Purpose</p> <p>This specific evaluation follows a recommendation to the Commission by the Court of Auditors, made in the special report on extensification premium in 2002, to assess the effectiveness of this measure.</p> <p>This evaluation project forms part of the DG AGRI evaluation programme for all agricultural measures based on requirements of the Financial Regulation. The Implementation Rules of the latter state that all measures causing budgetary expenditure shall have their results evaluated in a cycle of six years (Council Regulation 1605/2002).</p> <p>The evaluation of the extensification premium will focus on extensification effects, whereas the income and environmental effects will be looked at in the more comprehensible evaluation studies related to all beef measures to be carried out latter.</p>	
Estimated date of completion	December 2006
<b>Evaluation of the LFA (Less Favoured Areas) Measures</b>	
ABB activities concerned	05 04: Rural development
<p>Purpose</p> <p>The European Parliament (budget discharge of 2002 ) and the Court of Auditors (special report No 4 of 2003 and its report of 1990 ) both ask for a report relating to their comments on LFA measures. A new proposal concerning LFA measures has to be provided by the Commission in 2008 where the results of this evaluation might feed in.</p> <p>This evaluation project forms part of the DG AGRI evaluation programme for all agricultural measures based on requirements of the Financial Regulation. The Implementation Rules of the latter state that all measures causing budgetary expenditure shall have their results evaluated in a cycle of six years (Council Regulation 1605/2002).</p> <p>The evaluation focuses on examining the efficiency, effectiveness and relevance of the LFA measures.</p>	
Estimated date of completion	December 2006

**Synthesis of Leader Plus Mid-term Evaluations**

ABB activities concerned	05 04: Rural development
<b>Purpose</b> This evaluation project forms part of the DG AGRI evaluation programme for all agricultural measures based on requirements of the Financial Regulation. The Implementation Rules of the latter state that all measures causing budgetary expenditure shall have their results evaluated in a cycle of six years (Council Regulation 1605/2002). The evaluation will assess the relevance, coherence, effectiveness and efficiency of LEADER+ programmes at the mid term stage and will provide conclusions and recommendations for the implementation of the LEADER+ method and conditions for the success of LEADER+ programmes in Rural Development policy.	
Estimated date of completion	December 2006

**Evaluation of the CAP Information Policy**

ABB activities concerned	05 08: Policy strategy and coordination of Agriculture policy area
<b>Purpose</b> This evaluation project is part of the DG AGRI evaluation programme for all agricultural measures based on requirements of the Financial Regulation. The Implementation Rules of the latter state that all measures causing budgetary expenditure shall have their results evaluated in a cycle of six years (Council Regulation 1605/2002). The evaluation project concerns the information policy on the CAP that was established by Council Regulation 814/2000 of 17 April 2000. The evaluation study will provide an input into a report concerning the implementation of the information policy which Regulation 814/2000 requires the Commission to present to the European Parliament and the Council.	
Estimated date of completion	September 2005



## Energy and Transport

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### Evaluation Package: White Paper “European transport policy for 2010: time to decide” 2005 - Mid Term review

ABB activities concerned	06 02: Inland, air and maritime transport
Purpose	
<p>In 2005 the White Paper should undergo an overall assessment concerning the implementation of the measures it proposes and to check whether its targets - for example, on modal split or road safety - and objectives are being attained or whether adjustments are needed. The effects of enlargement as well as economic and other developments since its adoption make an assessment of the Transport White Paper necessary in the middle of its life (2001-2010).</p>	
Estimated date of completion	March 2006

### Ex post evaluation of all completed actions funded under the Sustainable Mobility Programme during the period 1997-2004

ABB activities concerned	06 02: Inland, air and maritime transport
Purpose	
<p>2005 ends the first half of the period considered by the White Paper "European Transport policy for 2010: time to decide" for the implementation of the Common Transport Policy and specifically for the Sustainable Mobility policy objectives.</p> <p>The actions are co-financed under the Sustainable Mobility programme in accordance with Articles 71, 80, 154, 155 and 156 of the Treaty establishing the European Community giving to the Commission a specific competence in these fields. According to the Financial Regulation, actions funded on an annual basis must be subject of an evaluation every six years.</p> <p>The aim of this evaluation is to provide the European Commission with the results so far of its interventions in this policy since 1997, as well as an overview of their overall effects in order to orient future interventions.</p> <p>The assessment of the funded projects is done to determine their respective value in terms of:</p> <ul style="list-style-type: none"><li>– Effectiveness of the projects.</li><li>– Efficiency (or cost-effectiveness) of the projects, including value for money findings.</li><li>– Utility of funding these projects</li><li>– Impact of the projects and community added value of the programme</li><li>– Sustainability of these interventions.</li><li>– Suitable indicators for the monitoring and evaluation of current and future interventions.</li><li>– Consistency among different objectives in the different policies.</li></ul>	
Estimated date of completion	March 2006

<b>Impact Assessment on a Directive of the European Parliament and of the Council on Airport Charges</b>	
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ABB activities concerned	06 02: Inland, air and maritime transport
<p>Purpose</p> <p>Airport charges are an important link in the air transport value chain and a Community framework is needed to ensure that fair and equitable market conditions apply. The core activity of airports is to ensure the handling of aircraft and air passengers so as to enable the air carriers to operate their services. For this purpose, airports offer a number of facilities and services related to the operation of aircraft and the processing of passengers, the cost of which they recover through airport charges. Air carriers have an interest in the establishment of a common framework regarding the common framework regulating the main features of airport charges and the way they are set, as the absence of such framework leads to disparate charging systems being applied throughout the Community.</p> <p>The legislative proposal may contain a number of basic principles to be applied when the airport charges are being established e.g. transparency, the minimum costs to be covered, the non-discriminatory principle and the possibility to modulate the charges in conformity with the environmental performance of aircraft. The impact assessment looks into the effects these principles and their application may have on, inter alia, the cost basis of air carriers using airport facilities and services, on the revenues and business models of airport operators, on the environment and on passenger and cargo numbers.</p>	
Estimated date of completion	January 2006

<b>Impact Assessment of the Introduction of a Community Licence for Air Traffic Safety Engineering Personnel</b>	
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ABB activities concerned	06 02: Inland, air and maritime transport
<p>Purpose</p> <p>The European Parliament, in its first reading on the proposal for a Directive on a Community air traffic controller licence, requested ‘a Commission initiative with the aim to regulating the licensing schemes and qualifications for all professions involved in the safety chain in the context of air navigation services’. This impact assessment should allow the Commission to judge on the opportunity of such possible legislative initiative.</p>	
Estimated date of completion	March 2006

<b>Impact Assessment on the Levying of Charges for the Use of Ports Infrastructure</b>	
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ABB activities concerned	06 02: Inland, air and maritime transport
<p>Purpose</p> <p>To obtain expertise on and to analyse the economic and other impacts of a possible proposal establishing a common scheme for the levying of charges for the use of ports infrastructure.</p>	
Estimated date of completion	January 2006

**Impact Assessment on the Proposal for a Regulation of the European Parliament and of the Council on Common Rules for the Operation of Air Services in the European Community (repealing regulations (EEC) 2407/92, 2408/92 and 2409/92)**

ABB activities concerned	06 02: Inland, air and maritime transport
<p>Purpose</p> <p>The impact assessment prepares a revision of the third package on the internal aviation market in order to increase market efficiency, to improve the safety of air services and to improve passenger protection. More specifically, the revision aims at ensuring a more homogeneous application of Community legislation in the Member States such as to:</p> <ul style="list-style-type: none"> <li>– Ensure the sound overall financial health of the Community air carriers;</li> <li>– Avoid competition distortions;</li> <li>– Avoid social dumping;</li> <li>– Enhance price competition and price transparency;</li> <li>– Ensure the coherence between the internal aviation market and its external aspects.</li> <li>– Avoid discrimination of EU carriers on the basis of nationality.</li> </ul>	
Estimated date of completion	January 2006

**Impact Assessment on a Revision of Council Directive 96/67/EC on Access to the Ground Handling Market at Community Airports**

ABB activities concerned	06 02: Inland, air and maritime transport
<p>Purpose</p> <p>Council Directive 96/67/EC on access to the ground handling market at Community airports was a first step towards the gradual opening-up of access to the ground handling market which aimed at reducing operating cost of airline companies and improving the quality of ground handling services. Nearly a decade after its adoption and considering the great strides it has taken towards an overall improvement of the ground handling market and the provision of services, further liberalisation of the market is called for. The objectives of the revision of the ground handling Directive are to increase effective competition in the ground handling market at Community airports, to improve the quality and reduce the costs of ground handling services at EU airports, to clarify and simplify a number of provisions of the Directive and to regulate new issues which are not part of the present text of the Directive.</p>	
Estimated date of completion	January 2006

**Impact Assessment on a Revision of State Aid Guidelines for Railway Companies**

ABB activities concerned	06 02: Inland, air and maritime transport
<p>Purpose</p> <p>The results of the evaluation will contribute to the drafting of the Guidelines for the railway sector which will establish clear rules as regard public contributions to this mode of transport. It is necessary from both a legal and a political point of view that national authorities, companies and individuals are made aware, in a clear and transparent way, of the rules applicable to the railway sector in a new more competitive environment. This initiative will significantly increase transparency and legal certainty.</p>	
Estimated date of completion	February 2006

**Impact Assessment on Secondary Slot Trading.**

ABB activities concerned	06 02: Inland, air and maritime transport
<p>Purpose</p> <p>The revision of Council Regulation (EEC) 95/93 on the allocation of airport slots at Community airports, as amended by Regulation (EC) 2004/793 is about to enter its second phase with the preparation of the legislative proposal that should include a market mechanism for the allocation of slots.</p> <p>Market mechanisms have the potential to address inefficiencies that may exist in the present system of administrative slot allocation as such mechanisms address these inefficiencies by confronting air carriers with the cost of occupying scarce airport capacity. Two options can be identified: (1) under primary trading mechanisms, such as auctions or higher posted prices, air carriers have to pay for their slots. Both mechanisms aim to ensure that slots are allocated to the air carriers that value them most and can thus be expected to make the best use of them; (2) under secondary trading, air carriers are able to buy and sell slots. Although existing slot holders do not have to pay for their slots, they face an ‘opportunity cost’ in the form of the revenues they forego if they continue using a slot that could be sold instead to another air carrier.</p> <p>The impact assessment provides an assessment of the effects of secondary trading as well as a combination of secondary trading and some forms of limited primary trading (e.g. auctioning of newly available and withdrawn slots) and when set off against a number of alternatives that include commercial slot allocation mechanisms different from secondary trading.</p>	
Estimated date of completion	January 2006

**Ex Ante Evaluation of the deployment programme for Intelligent Transport Services (2007-2013) following the MIP TEMPO programme 2001-2006**

ABB activities concerned	06 03: Trans-European networks
<p>Purpose</p> <p>On the basis of the deployment achieved so far within the context of the current TEMPO programme, an assessment is undertaken of the further deployment needs and the best combination of roles for the European Commission, Member States and other agencies responsible for ensuring a high level of service on the Trans European Transport Network in particular and on linking services where these have an effect on the provision and quality of service on the Trans European Transport Network. The ex ante evaluation should analyse available options and their different impacts, measure and compare potential impacts with relevant and credible indicators, assess the risk and uncertainty of the assumptions and provide a cost-opportunity analysis of the Community financial intervention in order to demonstrate its added values. Options should also include a preliminary one that considers whether ITS Deployment should be continued.</p>	
Estimated date of completion	January 2006

**Midterm Evaluation of the GALILEO project for the period 2002-2004**

ABB activities concerned	06 03: Trans-European networks
<p>Purpose</p> <p>The evaluation concerns the years 2002-04 of the development phase of GALILEO and covers the Community budget dedicated to this phase under the trans-European network budget line as included in the Multi-Annual Indicative Programme (MIP).</p>	

<p>The objective of the mid-term evaluation is to analyse the achievements of the first years, to give an informed, objective view on the Commission's part in the project in order to improve the implementation of the project and, if necessary, to redirect it in the current as well as the subsequent phase of the project, to assess the financial management of the project, the quality of its monitoring and to demonstrate how and whether the original intentions have been properly carried out.</p> <p>The results of the mid-term evaluation have an important role to play in producing feedback into the implementation process and thus will help to improve the quality of ongoing activities and to make suggestions for improvement in the next phase.</p>	
Estimated date of completion	February 2006

<b>Midterm/Final Evaluation of the Trans-European Network (TEN) Risk Capital Facility</b>	
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ABB activities concerned	06 03: Trans-European networks
<p>Purpose</p> <p>The Community contribution to the funding of TEN-T projects has so far almost solely been based on grants. In view of strong budgetary restrictions at both the European and the national levels and of the increasing number of privately co-financed and managed projects, article 4 of the TEN financial regulation (2236/95 as amended by 1655/99) foresees a range of private sector oriented forms of aid.</p> <p>The evaluation has both a formative and a summative purpose, however, the evaluation will have its main focus on the formative part in order to have a solid basis for making decisions concerning future financial instruments, funding arrangements and strategies. The summative part will focus on achievements so far, management procedures in use, etc.</p>	
Estimated date of completion	June 2006

<b>Impact Assessment on Post-2010 Targets for Renewable Energy</b>	
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ABB activities concerned	06 04: Conventional and renewable energies
<p>Purpose</p> <p>The purpose of the study is to assess the broader impacts with regard to competitiveness, security of supply, climate change and other environmental concerns of a 20% target for renewable energy in 2020.</p>	
Estimated date of completion	January 2006

<b>Mid Term Evaluation of the Multiannual Programme for Action in the Field of Energy "Intelligent Energy - Europe, 2003-2006"</b>	
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ABB activities concerned	06 04: Conventional and renewable energies
<p>Purpose</p> <p>The Decision establishing the Intelligent Energy - Europe Programme (1230 2003/EC), art. 9(2), requires the Commission to arrange an external evaluation by independent experts of the overall implementation of the Community actions carried out under this programme.</p> <p>The evaluation should provide the following:</p> <ul style="list-style-type: none"> <li>- To draw conclusions on the programme relevance, effectiveness and efficiency, including on its management, and to be in a position to integrate indicators into the monitoring of current and future actions.</li> <li>- To allow the Commission to judge the suitability of renewing and extending similar activities.</li> </ul>	

– To recommend action, if necessary, to improve the programme management, architecture and the specific means of intervention, including those related to funding.	
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Estimated date of completion	January 2006
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<b>Ex Post Evaluation of EXTRA, Funded under FP4 as Part of the "Transport Programme" and Mid Term Evaluation of EXTRAWEB Funded under FP5</b>	
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ABB activities concerned	06 06: Research related to energy and transport
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Purpose

To contribute to the

1. design of Extra-web II interventions, including input for setting priorities, assisting in an efficient allocation of resources, improving quality of the intervention and reporting on the achievements of the intervention (i.e. accountability);
2. input for the ex post evaluation of DG TREN projects financed under FP5, which is scheduled for 2006;
3. and to provide guidance for dissemination activities under FP7.

Estimated date of completion	February 2006
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## Environment

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### Impact Assessment to accompany the Patient Capital Initiative

ABB activities concerned	07 02: Global environmental affairs
<p>Purpose</p> <p>The main policy objectives are to</p> <ol style="list-style-type: none"><li>1. create affordable "patient" risk capital so as to increase access to risk capital for renewable energy entrepreneurs and project developers active in developing countries,</li><li>2. increase engagement of private sector experts and investors, and</li><li>3. increase the leverage of public sector funds.</li></ol> <p>A feasibility study was conducted by financial, legal and technical experts and finalized in November 2004. The recommendations were positive and now need to be tested against the market.</p> <p>Following the conclusion of the feasibility study, the creation of a special purpose instrument is recommended instead of the use of traditional grant-based instruments to better accommodate the partnering of public and private donors and investors and to ensure the principles of sound financial management. External professional financial managers will be hired to implement the recommendations of the feasibility study and to establish a public – private investment vehicle together with interested co-investors. At this stage it is assumed that no new regulatory instrument will be required.</p>	
Estimated date of completion	March 2006

### Evaluation of Integrated Coastal Zone Management in Europe

ABB activities concerned	07 04: Implementation of environment policy
<p>Purpose</p> <p>The EU Integrated Coastal Zone Management (ICZM) Recommendation was adopted on 30 May 2002, following a Europe-wide demonstration programme. The lessons learned from this demonstration programme and its policy conclusions were drawn in the Communication from the Commission "On Integrated Coastal Zone Management: a Strategy for Europe"</p> <p>The EU ICZM Recommendation is the main policy instrument to promote wide-spread implementation of ICZM in Europe. The Recommendation sets out common strategic issues facing Europe's coastal zones and provides a set of 8 principles, defining the essential characteristics of ICZM. Based on these elements, coastal Member States are invited to draw up by the end of February 2006 national strategies to implement ICZM, following a stock-take process.</p> <p>The Commission Communication set out the policy framework covering the ICZM Recommendation and accompanying actions at EU level, especially referencing relevant EU policies and legislation.</p> <p>The EU ICZM Recommendation stipulates in Chapter VI.3 that the Commission should review the Recommendation by the end of 2006 and submit an evaluation report to the European Parliament and Council, accompanied if appropriate by a proposal for further Community action.</p> <p>The main objective of the contract is to provide an evaluation report on the implementation of and the prospects for Integrated Coastal Zone Management in the EU, and in particular</p> <ul style="list-style-type: none"><li>– To evaluate the implementation of the EU ICZM Recommendation;</li></ul>	

<ul style="list-style-type: none"> <li>– To evaluate the added-value of ICZM in the context of existing and evolving Community policies/legislation;</li> <li>– To identify where a need for further action exists as regards coastal zone policy and to provide recommendations for further relevant action at Community level.</li> </ul>	
Estimated date of completion	December 2006

**Evaluation of the Integrated Pollution Prevention Control Directive**

ABB activities concerned	07 04: Implementation of environment policy
<p>Purpose</p> <p>The Directive on Integrated Pollution Prevention and Control (IPPC) is key legislation regulating the permitting of emissions from around 50.000 large industrial installations in the EU. The Directive applies to new or substantially changed installations since October 1999. All existing installations have to fully comply with the Directive by October 2007.</p> <p>Based on the assessment of the actual implementation of the Directive, the main purpose of this mid-term evaluation is to prepare a review of the Directive based on the policy developments foreseen in several environmental Thematic Strategies and three key strategic areas to improve the regulation of industrial installations:</p> <ol style="list-style-type: none"> <li>1. clarification and technical review of the Directive;</li> <li>2. streamlining of existing legislation on industrial emissions including a possible Framework Directive on Industrial Emissions;</li> <li>3. assessment of the development of incentives to encourage operators to go beyond regulatory requirements and to support innovative environmental technologies.</li> </ol> <p>The possible outcome of this evaluation is the preparation of a Proposal to amend the IPPC Directive and possibly other legislation on industrial emissions.</p>	
Estimated date of completion	December 2006

**Evaluation of the Role of EMAS and Eco-Label in fostering sustainable production and consumption**

ABB activities concerned	07 04: Implementation of environment policy
<p>Purpose</p> <ul style="list-style-type: none"> <li>– To assess the contribution of voluntary approaches to changing production and consumption patterns.</li> <li>– To identify drivers and barriers to their effectiveness.</li> <li>– To define their role and targets in the sustainable development and competitiveness frameworks.</li> </ul>	
Estimated date of completion	January 2006

**Impact Assessment to accompany the Communication on the review of the Community Strategy to reduce CO2 emissions from cars**

ABB activities concerned	07 04: Implementation of environment policy
<p>Purpose</p> <p>The economic, social and environmental impacts of reaching the Community objective of an average new car fleet emission of 120 g CO2/km are being examined, with specific attention being paid to the likely impacts on the automotive sector:</p>	



<ul style="list-style-type: none"> <li>– Effects on transport costs and demand</li> <li>– Effect on vehicle stock and new car sales</li> <li>– Effect on fuel consumption, GHG and pollutant emissions</li> <li>– Macro-economic effects (GDP, employment, external trade, impact on public finance)</li> <li>– Impact on the automotive sector in the EU (changes in location, in supply chain, business structure)</li> </ul> <p>Moreover, the options selected may have additional distributional and price and demand impacts, as well as impacts on technological developments regarding fuel efficient powertrains. The net climate change effects, as well as potential synergies with other policies (security of energy supply) will be explored.</p>	
Estimated date of completion	June 2006

<b>Mid-Term Review of the 6<sup>th</sup> Environment Action Programme</b>	
ABB activities concerned	07 04: Implementation of environment policy
<p>Purpose</p> <p>To assess the progress of the 6th EAP actions and their relevance and effectiveness alongside associated environment trends and prospects.</p>	
Estimated date of completion	December 2006

<b>Revision of Directive 2001/81/EC of the European Parliament and of the Council of 23 October 2001 on national emissions ceilings (NEC) for certain atmospheric pollutants</b>	
ABB activities concerned	07 04: Implementation of environment policy
<p>Purpose</p> <p>The evaluation will support the preparation and adoption by the College of a legislative proposal to revise Directive 2001/81/EC so as to introduce new caps on Member States' emissions of certain atmospheric pollutants that are consistent with the interim health and environmental objectives of the Thematic Strategy on Air Pollution (COM(2005) 446, SEC(2005) 1132).</p>	
Estimated date of completion	December 2006

<b>Impact Assessment to accompany the Communication on Biodiversity</b>	
ABB activities concerned	07 05: Development of new policy initiatives
<p>Purpose</p> <p>The EU Heads of State and Government made the commitment at the Gothenburg Spring Council (2001) 'to halt the decline of biodiversity by 2010, as specified in the Sixth Environmental Action Programme'. They also joined world leaders in 2002 in making a commitment 'to significantly reduce the rate of loss of biodiversity (worldwide) by 2010.'</p> <p>If the EU is to achieve the 2010 commitment within the EU, and best contribute to achievement of the global 2010 commitment, there is an urgent need to focus limited resources on a clear set of priorities agreed by key stakeholders (EC, MS, civil society).</p> <p>There are broadly three policy options. The first would be a full revision of the biodiversity strategy. This is not supported by stakeholders. The second is to update the biodiversity action plans, but this option is not much favoured because the plans cover only certain sectors, address a very wide range of actions within these sectors, and convey little sense of priority. The third option is to prepare a Road Map to 2010 (and beyond) taking a more prioritised and outcome-oriented approach.</p>	

<p>This is the option which is regarded as most responsive to the 2010 commitment, to Council calls for accelerated action, and to the 'Message from Malahide' (the outcome of the 2004 Malahide conference which achieved broad consensus on priority actions).</p> <p>Actions are most likely to be required in relation to priority sites and species, within key sectors such as agriculture, fisheries, forestry and water management, and in response to key pressures such as alien species and climate change and the development of transport and urban infrastructure. In respect of external relations, actions are likely to address economic and development cooperation, trade and international governance.</p> <p>Considerable information and data have already been gathered and analysed in the 2003-2004 biodiversity policy review. A public internet consultation and parallel expert consultation will be undertaken.</p>	
Estimated date of completion	February 2006

**Impact Assessment to accompany the modification of Directive 2003/87/EC in order to include aviation in the EU Emissions Trading Scheme**

ABB activities concerned	07 05: Development of new policy initiatives
<p>Purpose</p> <p>An Impact Assessment will be prepared relating to the inclusion of aviation within the Emissions Trading Scheme. Analysis will be carried out both internally and externally with the exact analysis done reflecting, amongst other things, the views of stakeholders raised in the European Climate Change Programme Aviation Working Group. It is envisaged that any legislative proposal would then be made towards the end of 2006.</p>	
Estimated date of completion	November 2006

**Impact Assessment accompanying the Soil Thematic Strategy**

ABB activities concerned	07 05: Development of new policy initiatives
<p>Purpose</p> <p>Soil is an extremely complex, variable and living medium. It has a role as a habitat and gene pool, serves as a platform for human activities, landscape and heritage and acts as a provider of raw materials. Soil is subject to a number of degradation processes or threats in the EU. In an earlier communication "Towards a Thematic Strategy for Soil Protection", the Commission identified eight threats to soil, namely: erosion, decline in organic matter, local and diffuse contamination, sealing, compaction, decline in biodiversity, salinisation and landslides.</p> <p>As stipulated in the 6th Environment Action Programme, the European Union has decided to adopt a Thematic Strategy on Soil Protection as part of its aim of protection and preservation of natural resources. The Impact Assessment, including analysis of specific measures, will support the decision making process of this Thematic Strategy by the Commission, the Council and the European Parliament.</p>	
Estimated date of completion	January 2006

**Impact Assessment accompanying the Thematic Strategy on the Sustainable Use of Pesticides**

ABB activities concerned	07 05: Development of new policy initiatives
<p>Purpose</p> <p>To support the preparation of the Thematic Strategy, introduced in the 6EAP.</p>	

The Impact Assessment will contain a detailed description of the current situation regarding pesticides and related areas, both at Community and Member State level, and identify and analyse a number of objectives and possible solutions:

- Minimising the hazards and risks to health and environment from the use of pesticides through national plans for reduction of hazards, risks and dependence on chemical control; best practices in river basin management, specific protection of sensitive areas, general ban of aerial spraying, ...
- Improved controls on the use and distribution of pesticides : statistics of production, import/export and use (logbooks), control of spraying equipment, packaging waste, compulsory training of users, ...
- Encouraging low-input or pesticide-free crop farming : Integrated Pest Management (IPM), potential of genetically modified organisms (GMO), Good Farming Practices/financial support (CAP)/penalties (compliance), special levies on PPPs, harmonised VAT rate for PPPs ...
- Feed-back, indicators to evaluate progress: report by MS on risk reduction programmes, quantitative targets, OECD work on harmonisation of indicators.

Estimated date of completion	June 2006
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## Research

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### **“EVIMP-2”: Evaluation of the results and of the anticipated socio-economic impact of finished projects from the Competitive and Sustainable Growth programme**

ABB activities concerned	08 03: Nanotechnologies, intelligent materials, new production processes and devices 08 04: Aeronautics and space 08 06: Sustainable development, global change and ecosystems
Purpose	Collect detailed information on the background, performance, achievements and (anticipated) impacts of 700 completed projects of the Competitive and Sustainable Growth programme. Identify the reasons for success or failure. Identify possible support measures. 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 publishable documents to support programme evaluation and to inform the Programme Committee and the general public. Deliver on that basis a contribution to programme evaluation, with conclusions and recommendations. Draw lessons for future activities (identify strong and weak areas; assess the adequacy of instruments and the effectiveness of support measures; management issues including project selection criteria and procedures).
Estimated date of completion	October 2006

### **Monitoring Progress towards gender equality in the 6<sup>th</sup> Framework Programme**

ABB activities concerned	08 08: Specific measures covering a wider field of research
Purpose	To generate options for SME specific measures in future Community programmes and assess their potential impact. The specific objective of the evaluation is to: obtain more evidence on the impact of the SMEs schemes for future policy formulation, policy elaboration and for the whole decision-making process; identify the relevance of the strategy and objectives for the SME measures proposed in FP7 and whether the expected impacts are realistic; identify ways to improve the SMEs schemes in the future.
Estimated date of completion	March 2006

### **Monitoring Progress towards gender equality in the 6<sup>th</sup> Framework Programme**

ABB activities concerned	08 81: Policy strategy and coordination for DG RTD
Purpose	This series of studies (five lots each covering several activity areas, plus a coordination contract) is designed to monitor and evaluate progress towards gender equality and gender relevance awareness in FP6. The studies will examine both the participation of women in FP6 activities and the gender dimension of the research content, the aim being to assess the success of current gender mainstreaming strategies and to provide recommendations for future activities in this field. On the basis of the studies' findings and conclusions, a report will be published with specific recommendations, which will be used for improving the gender mainstreaming in FP7.
Estimated date of completion	December 2007

## Information Society

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### eEurope 2005 Final Evaluation

ABB activities concerned	09 03: eEurope
<b>Purpose</b> The principal objectives of the evaluation of eEurope and MODINIS will be to assess the relevance, effectiveness and impact, efficiency and utility. An overarching aim of the evaluation is to assess the EU added Value of these initiatives; their impacts at national level and draw lessons that may inform work-programme development of i2010. In contributing to better understanding of impact, the evaluation is expected to offer explanatory and where possible causal linkages. The evaluation will take account of, assess and build on such analyses already undertaken of progress and impacts of eEurope 2005 and MODINIS.	
Estimated date of completion	December 2006

### Ex-ante evaluation of options for development of a competitive, dynamic and sustainable knowledge society: 2006-2013

ABB activities concerned	09 04: Research and technological development on information society policy
<b>Purpose</b> The objective of the study is to provide an evidence-base and a coherent methodology for ex-ante evaluation and extended Impact assessments of options for accelerated deployment of an information society, building on research and technology development, and in the light of the review of the Lisbon Strategy at the Spring Council in March 2005.	
Estimated date of completion	February 2006

### IST Evaluation and Monitoring

ABB activities concerned	09 04: Research and technological development on information society policy
<b>Purpose</b> The main objectives of the study are: <ul style="list-style-type: none"><li>– To support self-assessments of IST R&amp;D implementation, including the collection and reporting of indicators, in relation to the annual monitoring of the 6th FP; and</li><li>– To assist the Commission in development of a simple, coherent and effective evaluation strategy including for selection of R&amp;D proposals in 2006, with a view to re-formulation of procedures and criteria for the 7th FP.</li></ul>	
Estimated date of completion	December 2006

<b>Networks of innovation in Information society development and deployment in Europe</b>	
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ABB activities concerned	09 04: Research and technological development on information society policy
<p>Purpose</p> <p>This study will take forward network analyses from RTD collaboration to the links between RTD and innovation, with the objective of better understanding the effectiveness of innovation systems based on Information Society RTD and deployment activities carried out at the regional, national and EU levels</p> <p>The objectives of the study are:</p> <ul style="list-style-type: none"><li>– Assessment of the effectiveness of network collaboration and knowledge transfers between IST-RTD, innovation and deployment of the Information Society.</li><li>– Identification of where and how the links between IST-RTD, innovation and deployment could be strengthened at the EU level.</li></ul>	
Estimated date of completion	December 2006

## Fisheries

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### **Ex post Evaluation of the Fisheries Agreement with Greenland and Ex ante Evaluation and Impact Assessment of a New Protocol**

ABB activities concerned	11 03: International fisheries
Purpose Analysis to be used within the framework of the preparation of the negotiation of a new agreement and protocol, and in their subsequent management.	
Estimated date of completion	January 2006

### **Ex post Evaluation of the Fisheries Agreement with Madagascar and Ex ante Evaluation and Impact Assessment of a New Protocol**

ABB activities concerned	11 03: International fisheries
Purpose Analysis to be used within the framework of the preparation of the negotiation of a new agreement and protocol, and in their subsequent management.	
Estimated date of completion	August 2006

### **Ex post Evaluation of the Fisheries Agreement with Mauritius and Ex ante Evaluation and Impact Assessment of a New Protocol**

ABB activities concerned	11 03: International fisheries
Purpose Analysis to be used within the framework of the preparation of the negotiation of a new agreement and protocol, and in their subsequent management.	
Estimated date of completion	August 2006

## Internal Market

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### Evaluation: Citizen Signpost Service

ABB activities concerned	12 01: Administrative expenditure of Internal market policy area
Purpose The objective of this evaluation is to decide on future orientations and possible improvements of the work of the Citizen Signpost Service. The specific objectives include relevance, effectiveness, efficiency and coherence of the Service.	
Estimated date of completion	April 2006

### Evaluation of the Application of Regulation 2560/2001 on Cross-Border Payments in Euro

ABB activities concerned	12 02: Policy strategy and coordination for the Directorate-General for the Internal market
Purpose The evaluation focuses on the application of the Regulation 2560 with specific attention to the changes in cross-border payment systems infrastructure, the advisability of improving consumer services by strengthening the condition of competition in the provision of cross-border payment services, the impact of the application of this Regulation on charges levied for payments made within Member States and the advisability of increasing the threshold from €12500 to €50000 as from January 2006 taking into account any consequences for undertakings.	
Estimated date of completion	September 2006

### Evaluation: 2<sup>nd</sup> Money laundering Directive

ABB activities concerned	12 02: Policy strategy and coordination for the Directorate-General for the Internal market
Purpose According to the 2 <sup>nd</sup> Money Laundering Directive, the Commission must evaluate the impact of this Directive on lawyers and other independent legal profession.	
Estimated date of completion	October 2006

### Impact Assessment: White Paper on Investment Fund Market

ABB activities concerned	12 02: Policy strategy and coordination for the Directorate-General for the Internal market
Purpose To analyse how the efficiency of the EU market for investment funds could be increased while assuring a high level of protection to investors. On the basis of the IA, it will be decided if and what kind of action is needed at EU level.	
Estimated date of completion	July 2006



<b>Impact Assessment: White Paper on Mortgage Credit</b>	
ABB activities concerned	12 02: Policy strategy and coordination for the Directorate-General for the Internal market
Purpose To develop a strategy to promote the integration of the EU mortgage credit market in order to make it more efficient and competitive for the benefit of all, provided that the benefits of such a strategy can outweigh the costs. On the basis of the IA, it will be decided if and what kind of action is needed at EU level.	
Estimated date of completion	June 2006
<b>Impact Assessment: Business-Related Services Action Plan</b>	
ABB activities concerned	12 03: Internal market for goods and services
Purpose The IA should contribute to the definition and design of an Action Plan for business-related services.	
Estimated date of completion	May 2006
<b>Impact Assessment of a Proposal for a New Postal Services Directive</b>	
ABB activities concerned	12 03: Internal market for goods and services
Purpose The Postal Directive (Dir 2002/39/EC) requires the Commission “to assess, for each member state, the impact of liberalisation on universal service of full market opening in 2009” by the end of 2006. Based on the conclusions of the IA, the Commission will submit a proposal confirming, if appropriate, the date of 2009 for the full accomplishment of the postal internal market or determining any other step in the light of the IA’s conclusions.	
Estimated date of completion	October 2006
<b>Evaluation: Public Procurement Directives 1993 to 2002</b>	
ABB activities concerned	12 AWBL <sup>16</sup> 02: Public procurement
Purpose The objective is to measure the economic impact of the public procurement directives during the period 1993 to 2002, in terms of the relative distribution of the costs and benefits which have resulted from the application of the provisions of the Directives.	
Estimated date of completion	August 2006
<b>Interpretative Communication on the Application of Article 296 EC to Defence Procurement</b>	
ABB activities concerned	12 AWBL 02: Public procurement
Purpose According to EU law, defence contracts fall under the public procurement Directives of the Internal Market. Therefore, Directive 2004/18/EC for public procurement of goods, works and services also applies to public contracts awarded in the area of defence. However, for the procurement of “arms,	

<sup>16</sup> AWBL: Activity Without Budget Line.

<p>ammunitions and war material” Article 296 TEC allows Member States under certain conditions to derogate from community rules.</p> <p>The primary objective of any action in the area of defence procurement is to reduce or even abolish the fragmentation of the market, especially in the “grey” area of warlike items, which do not concern essential security interests. This should allow both companies and the general public to take full advantage of the positive effects of transparency and competitive tendering.</p> <p>The content of this interpretative communication would be determined by the problem analysis in the impact assessment. However, in principal, the communication could clarify the existing law and in particular the principles governing the use of the derogation in Article 296 TEC.</p> <p>As a non-legislative measure, the communication would not develop the Treaty nor change the Community law. The interpretative communication would focus on providing administrative guidelines on how to use Article 296 TEC. The aim would be to agree on commonly applied rules and to achieve a common interpretation. The interpretative communication would intend to provide increased legal certainty on the application of the derogation.</p>	
Estimated date of completion	July 2006

### **Impact Assessment: Public Private Partnership – Concessions**

ABB activities concerned	12 AWBL 02: Public procurement
<p>Purpose</p> <p>The IA has the following aims:</p> <ol style="list-style-type: none"> <li>1. to consider a range of options in relation to the award of concessions and the selection of private partners for Institutionalised PPPs and</li> <li>2. to assess the potential impacts of a Community initiative designed to regulate the procedure for the award of concessions.</li> </ol>	
Estimated date of completion	Mid-2007

### **Impact Assessment: Remedies in Public Procurement**

ABB activities concerned	12 AWBL 02: Public procurement
<p>Purpose</p> <p>The general objective is to ensure that the Remedies legislation is efficient and effective, providing a deterrent to non-compliant behaviour, and thereby leading contracting authorities to comply better with the Public Procurement Directives. The IA should therefore identify the most effective way of doing this.</p>	
Estimated date of completion	April 2006

### **Evaluation: E-money Directive**

ABB activities concerned	12 AWBL 03: Financial services and capital markets
<p>Purpose</p> <p>The evaluation of the Electronic money directive should provide independent evidence of the state of the E-Money market in the EU, including impacts of national rules influencing the implementation and the extent to which the original objectives of the Directive have been met. On the basis of the evaluation the Commission will decide if action is needed. Results will feed into current work on payment systems.</p>	
Estimated date of completion	October 2006

<b>Evaluation: Financial Collateral Directive</b>	
ABB activities concerned	12 AWBL 03: Financial services and capital markets
Purpose	The evaluation will focus on the implementation and application of the Financial Collateral Directive. Its objectives are to evaluate the application of the Directive and to analyze to what extent it has contributed to the integration, cost- efficiency and stability of the financial markets. The evaluation should identify areas where revision is necessary.
Estimated date of completion	November 2006
<b>Evaluation: Financial Services Action Plan. Part 1: Process and Implementation</b>	
ABB activities concerned	12 AWBL 03: Financial services and capital markets
Purpose	Now that the final deadline for the completion of the FSAP has been reached, it is important for reasons of political accountability, to evaluate objectively the degree of achievement of the FSAP measures and to draw lessons for the future.  This evaluation report marks the first necessary step in responding to the call for an exhaustive ex-post evaluation analysis by the Commission services of the impact of the Action Plan. This “FSAP Evaluation” will be carried out in two parts. In this first report, the manner in which the various measures, legislative and non-legislative, were adopted, is analysed. This text therefore examines the procedures, framework and working methods used in the Action Plan.
Estimated date of completion	April 2006
<b>Evaluation: Supervision of Financial Conglomerates</b>	
ABB activities concerned	12 AWBL 03: Financial services and capital markets
Purpose	This is a partial evaluation of Directive 2002/87 in response to developments in the sectoral (banking and insurance) rules and other issues that have arisen during its transposition. The objective is to analyze whether the Directive is still capable of achieving its objectives. The results will be used to improve the implementation of the Directive by Member States, and if necessary to propose a revision of the Directive.
Estimated date of completion	June 2006
<b>Impact Assessment: Clearing and Settlement Activities</b>	
ABB activities concerned	12 AWBL 03: Financial services and capital markets
Purpose	The overarching objective is to guarantee that EU Securities clearing and settlement systems are efficient and safe and ensure a level playing field among the different providers of clearing and settlement services. On the basis of the IA it will be decided if and what kind of action at EU level is needed.
Estimated date of completion	March 2006
<b>Impact Assessment: Art. 16 Consolidated Banking Directive</b>	
ABB activities concerned	12 AWBL 03: Financial services and capital markets

Purpose

The IA should investigate whether a revision of Article 16 of the Banking Directive could achieve the three objectives of firstly safeguarding the rights of banks to operate on a cross-border basis and to acquire shareholdings in other institutions within and across the EU; secondly ensuring that the rights and obligations of credit institutions and supervisory authorities are correctly applied in all Member States; and thirdly addressing unjustifiable restrictions or abuses of those rights. On the basis of the IA it will be decided if a revision would be advisable.

Estimated date of completion	July 2006
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<b>Impact Assessment: Solvency II</b>	
ABB activities concerned	12 AWBL 03: Financial services and capital markets
Purpose The IA should investigate if a system that better protects policyholders could be constructed. The system should furthermore aim at better reflecting the real risks that insurance and reinsurance entities are faced with. It should be compatible with regulatory and reporting developments in the Basle Committee, International Accounting Standards Board (IASB), International Association of Insurance Supervisors (IAIS), and other international organisations. On the basis of the IA it will be decided if action at EU level is needed.	
Estimated date of completion	July 2007
<b>Evaluation: Directive on Copyright and Related Rights in the Information Society</b>	
ABB activities concerned	12 AWBL 04: Knowledge-based economy
Purpose The evaluation focuses on the implementation of Directive 2001/29. Its objectives are to evaluate the implementation of the directive and the interaction of the directive with the other specific directives in the field. It should result in an assessment of the role the directive plays in fostering copyright in the information society, especially in the digital markets. Thereby it should provide input for the recast of the European copyright acquis.	
Estimated date of completion	October 2006
<b>Impact Assessment: Co-Written Musical Works</b>	
ABB activities concerned	12 AWBL 04: Knowledge-based economy
Purpose The purpose is to assess whether there is a need to harmonise disparities in protection within EU to assure legal certainty, especially in the cross-border environment; and whether this would improve legal certainty for musical works so that they can circulate within the EU and be licensed abroad on clear terms.	
Estimated date of completion	November 2006
<b>Impact Assessment: Recommendation on Copyright Levies in the Information Society</b>	
ABB activities concerned	12 AWBL 04: Knowledge-based economy
Purpose Copyright levies were first introduced for analogue equipment and media used to copy copyright works. However, copyright levies are now increasingly applied to digital equipment and media as a form of compensation for rightholders whose works are subject to private copying. The Commission is concerned that copyright levies are being applied to digital equipment and media without due account being given to the impact on new technologies and equipment especially the availability and use of so called "digital rights management" technologies which can provide alternative ways of compensating right-holders. Furthermore, there is a lack of transparency about the application, collection and distribution of the copyright levies to right-holders. Unless this problem is addressed, it will hamper the move to a knowledge based economy and the fulfilment of the Lisbon Agenda goals.	

The purpose of the IA is to assess whether action is needed in order to address the above concerns. If action should be needed the IA should allow policy-makers to base their decision on a sound analysis of the likely impacts of potential actions.	
Estimated date of completion	September 2006

<b>Impact Assessment: Term of Protection for Related Rights</b>	
ABB activities concerned	12 AWBL 04: Knowledge-based economy
<p>Purpose</p> <p>The Impact Assessment should analyse whether the difference in term of protection between EU and US (50 and 95 years respectively) is a handicap for the competitiveness of the European creative industries. The objective would be to ensure that European creative industries benefit from protection which will maximise their development both artistically and economically whilst promoting European cultural diversity and access to legitimate works. The IA would be used analyse if action at EU level is needed and if so, which form it should take.</p>	
Estimated date of completion	November 2006

## Regional Policy

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### Ex Ante Evaluation of a Council Regulation concerning Community Financial Contributions to the International Fund for Ireland (2007-2008)

ABB activities concerned	13 03: European Regional Development Fund and other regional interventions
<b>Purpose</b> According to Article 5 of Council Regulation 177 2005 of 24 January 2005, by 31 March 2006, the Commission shall submit a report to the Budgetary Authority, assessing the results of the activities of the Fund and the need for continuing contributions beyond 2006, taking into account developments in the peace process in Northern Ireland. That report shall incorporate, inter alia, the following: <ul style="list-style-type: none"><li>a) a survey of the Fund's activities;</li><li>b) a list of projects which have received aid;</li><li>c) an assessment of the nature and impact of the Fund's activities, notably in relation to its objectives and the criteria laid down in Articles 2 and 7;</li><li>d) an assessment of action taken by the Fund to ensure cooperation and coordination with Structural Funds interventions, taking account, in particular, of obligations under Articles 3 and 4;</li><li>e) an annex setting out the results of the verifications and controls carried out by the Commission pursuant to the undertaking referred to in Article 6.</li></ul>	
Estimated date of completion	March 2006

### Strategic evaluation on Innovation based economy in relation to the Structural and Cohesion Funds, for the programming period 2007-2013

ABB activities concerned	13 03: European Regional Development Fund and other regional interventions
<b>Purpose</b> This evaluation is meant to: <ul style="list-style-type: none"><li>– Provide an analysis of the current situation in the field of innovation and the knowledge-based economy in the 25 current Member States plus Romania and Bulgaria;</li><li>– Draw lessons from the current experience in terms of ideas and strategic approaches to innovation;</li><li>– Identify main needs and potential for innovation in the eligible regions;</li><li>– Make recommendations on main investment priorities for structural funds over the programming period 2007-2013 and their implications for regional development.</li></ul> This strategic evaluation will be used: <ul style="list-style-type: none"><li>– To prepare the forthcoming negotiations with the Member States for the next programming period (2007-2013);</li><li>– To prepare the next operational programmes;</li><li>– To provide input into the 4<sup>th</sup> Economic and Social Cohesion Report (2007)</li></ul>	
Estimated date of completion	July 2006

**Strategic evaluation on Environment and Risk prevention under structural and cohesion funds, 2007-2013**

ABB activities concerned	13 03: European Regional Development Fund and other regional interventions 13 04: Cohesion Fund
<p>Purpose</p> <p>The objective of the evaluation is</p> <ul style="list-style-type: none"> <li>– To provide an analysis of the situation in selected fields relevant to environment across 15 Member States,</li> <li>– To analyse the financial allocations during the current programming period 2000-2006 and draw lessons from the experience to date,</li> <li>– To identify and evaluate needs in the selected fields and identify investment priorities for the structural and cohesion funds for the programming period 2007-2013 (core objective).</li> </ul>	
Estimated date of completion	July 2006

**Study on Strategic Evaluation on Transport Investment Priorities under Structural and Cohesion funds for the Programming Period 2007-2013**

ABB activities concerned	13 04: Cohesion Fund
<p>Purpose</p> <p>The objectives of this evaluation are:</p> <ul style="list-style-type: none"> <li>– To provide an analysis of the situation in selected fields relevant to transport using key structural indicators across Member States, plus Romania and Bulgaria;</li> <li>– To assess the contribution of structural and cohesion funds relative to the current and previous programming periods and draw lessons of relevance for the purpose of the study in terms of the identification of potential shortcomings in the development of transport priority projects that might have hampered the utilisation of those funds or their expected benefits;</li> <li>– To identify and evaluate needs in the selected fields and identify potential investment priorities of structural and cohesion funds for the programming period 2007-2013.</li> <li>– The thematic evaluation will serve: <ul style="list-style-type: none"> <li>– To prepare the upcoming negotiations with the Member States plus Bulgaria and Romania for the next programming period (2007-2013);</li> <li>– To prepare the next operational programmes;</li> <li>– To prepare the fourth report on Economic and Social Cohesion (2007).</li> </ul> </li> </ul>	
Estimated date of completion	June 2006



**Commission Communication on Community Strategic Guidelines on Cohesion, 2007-2013**

ABB activities concerned	Policy strategy and coordination
<b>Purpose</b> Work for preparing the CSG was started, building on the analyses carried out for the preparation of the Third Cohesion Report and of the draft legislative package for cohesion policy, whose impact assessment holds true for the CSG, which are the natural continuation of the process of reform of cohesion policy. A more up-to-date impact assessment was carried out and adopted by the Commission on 5 July 2005. A public consultation was carried out from 6 July – 30 September 2005 and results were published on the web. The formal proposal for adoption by the Council is expected to be adopted by the Commission within 3 months of the approval of the Structural Funds regulations, 2007-2013. The monitoring and evaluation aspects of the process related to the Community Strategic Guidelines will be carried out during the programming phase of the operational programmes on the basis of discussions with the Member States and national authorities.	
Estimated date of completion	September 2006

## Taxation and Customs Union

e-mail address for information:

### Impact Assessment: Proposal for a Decision on the Customs 2013 Programme

ABB activities concerned	14 03: International aspects of taxation and customs 14 04: Customs policy
Purpose The Impact Assessment aims to propose a renewal of the Customs 2007 programme from 2008 onwards. The relevance of the proposed objectives is evaluated as well as the necessity to increase the budget in order to face the forthcoming challenges in the EU Customs operational work (maintenance and development of IT systems mainly).	
Estimated date of completion	February 2006

### Impact Assessment: Proposal for a Decision on the Fiscalis 2013 Programme

ABB activities concerned	14 03: International aspects of taxation and customs 14 05: Taxation policy
Purpose The IA aims to propose a renewal of the Fiscalis 2007 programme from 2008 onwards. The relevance of the proposed objectives is evaluated as well as the necessity to increase the budget in order to face the forthcoming challenges in the EU taxation operational work (maintenance and development of IT systems mainly).	
Estimated date of completion	February 2006

## Education and Culture

e-mail address for information:

### Evaluation of Activities Undertaken by the Directorate-General for Education and Culture in Support of the European Union's Equal Opportunities Policies

ABB activities concerned	15 01 – Administrative expenditure of Education and culture policy area 15 02 – Education 15 03 – Vocational training 15 04 – Culture and language 15 05 – Sports 15 06 – Dialogue with citizens 15 07 – Youth
Purpose The overall objective of the evaluation is to help improve the ability of DG Education and Culture to support the achievement of the EU's equal opportunities policies. The evaluation project aims at carrying out a comprehensive assessment of the current approach within DG EAC main programmes. The evaluation results will be used to detect the optimal methods to support gender equality and equal opportunities for the disabled in the new generation of programmes post 2006.	
Estimated date of completion	July 2006

### Evaluation of mechanisms for dissemination and exploitation of the results arising from programmes and initiatives managed by DG EAC

ABB activities concerned	15 02 – Education 15 03 – Vocational training 15 04 – Culture and language 15 05 – Sports 15 06 – Dialogue with citizens
Purpose The overall objective of the evaluation is to help improve the Directorate-General's ability to ensure the effective dissemination and exploitation of results stemming from the programmes and initiatives for which it is responsible. The findings, conclusions and recommendations of the evaluation will feed into the development of a broad strategy and practical tools for the dissemination and exploitation of the results of all of the DG's programmes and initiatives.	
Estimated date of completion	January 2006

**Erasmus (Socrates II 2000-2006): Impact of Mobility on Students' Access to Employment and Career Development and on Teachers' Career Development**

ABB activities concerned	15 02 – Education
<p>Purpose</p> <p>The evaluation project makes part of the Socrates evaluation framework which was adopted by the Socrates Committee in early 2001 (ref. COC/COM/01/08). The purpose of this evaluation is to assess the impact of Erasmus mobility on the career and employment prospects of students and teachers, and to assess the relevance, effectiveness, impact and durability of the action. The findings of this evaluation will be taken into account in the implementation of the last phase of the current Erasmus action and in preparing the implementation of the Erasmus sectoral programme within the new programme (2007-2013) in the field of lifelong learning, the proposal for which was adopted by the Commission on 14/7 2004 (COM (2004) 474). It will also contribute to the ex post evaluation, in 2007, of the second phase of the Socrates programme.</p>	
Estimated date of completion	March 2006

**Evaluation of Actions 6.1.2 / 6.2 of the Socrates Programme**

ABB activities concerned	15 02 – Education
<p>Purpose</p> <p>The evaluation project makes part of the Socrates evaluation framework which was adopted by the Socrates Committee in early 2001 (ref. COC/COM/01/08)</p> <p>The purpose of this evaluation lies in the effective contribution it will be able to make to the implementation strategy for the new integrated programme proposed for the period 2007-2013.</p> <p>The overall objectives which the evaluation will address are as follows:</p> <ul style="list-style-type: none"> <li>– to identify improvements where appropriate to the implementation of the action in the course of the call and selection procedure</li> <li>– to strengthen the effectiveness of project management</li> <li>– to identify issues for promoting and supporting quality in projects subject to cofinancing by the Commission;</li> <li>– to develop the profile of results from the action.</li> </ul>	
Estimated date of completion	July 2006

**Evaluation of the "R3L initiative": European network to promote the local and regional dimension of lifelong learning**

ABB activities concerned	15 02 – Education
Purpose The purpose of the evaluation is <ul style="list-style-type: none"> <li>– To assess the results of the selected networks and to evaluate whether the objectives of the pilot initiative have been met;</li> <li>– To evaluate the impact of pilot initiative on the concept of lifelong learning and its contribution to the Lisbon strategy;</li> <li>– To develop recommendations as regards a possible future of such an initiative, e.g. whether, and if so how, such an initiative could be continued under the new Integrated Programme on Lifelong Learning (2007-2013).</li> </ul>	
Estimated date of completion	July 2006

**Impact Assessment (integrating ex ante evaluation requirements) Supporting the Proposal for a Council Regulation establishing the European Institute of Technology (EIT)**

ABB activities concerned	15 02 – Education
Purpose The IA report will support the proposal for a Council Regulation establishing the European Institute of Technology (EIT).	
Estimated date of completion	June 2006

**Impact Assessment Supporting the Proposal of a Recommendation for a EQF (European Qualifications Framework)**

ABB activities concerned	15 02 – Education
Purpose The IA report will support the proposal of a recommendation for a EQF (European Qualifications Framework)	
Estimated date of completion	August 2006

**Evaluation of the European Training Foundation**

ABB activities concerned	15 03 – Vocational training
<b>Purpose</b> The evaluation project has been launched according to the reporting cycle stipulated in the legal base (Council Regulation 1360/90, as amended by 1572/98). The overall purpose of the evaluation is: <ul style="list-style-type: none"><li>– an assessment of the extent to which the commitments made by the Foundation in its 2002, 2003 and 2004 Work Programmes and in the 2003 Action Plan<sup>17</sup> have been achieved;</li><li>– an assessment of the extent to which the commitments made by the Commission in its 2003 Communication have been achieved;</li><li>– the provision of useful lessons and recommendations for the challenges facing the Foundation in the programming phase 2006-2008.</li></ul>	
Estimated date of completion	March 2006

**Second Interim Evaluation of the Culture 2000 framework programme**

ABB activities concerned	15 04 – Culture and language
<b>Purpose</b> The evaluation project was launched according to the Decision No 626 2004/EC of the European Parliament and of the Council of 31 March 2004 ( published in OJ L 99 of 03.04.2004, p. 3) which in 2004 has extended the programme for a further two years until 2006. The evaluation will contribute to: <ul style="list-style-type: none"><li>- possible improvements in the implementation of the Culture 2000 programme;</li><li>- provide a detailed assessment report on the Culture 2000 programme in conformity with Decision 626 2004/EC;</li><li>- define the content and implementation of any future EU programmes in the field of culture.</li></ul>	
Estimated date of completion	February 2006

<b>Evaluation of the Community action programme to promote active European citizenship (civic participation)</b>	
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ABB activities concerned	15 06 – Dialogue with citizens
<p>Purpose</p> <p>The evaluation project has been launched according to art. 7 of the Decision No 100 2004/EC of the European Parliament and of the Council of 26 January 2004 establishing a Community action programme to promote active European citizenship. An external evaluation report must be available no later than the end of 2006 The evaluation results will support the Commission report to the European Parliament and the Council on the achievement of the programme's objectives to be submitted no later than 31 December 2007.</p> <p>The overall purpose of the evaluation is:</p> <ul style="list-style-type: none"> <li>– To improve the implementation of the current activities under the “Community action programme to support bodies working in the field of active European citizenship”;</li> <li>– to learn lessons for the implementation of a successor programme (2007-2013).</li> </ul>	
Estimated date of completion	July 2006

<b>Evaluation of the European Commission's Visits Service</b>	
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ABB activities concerned	15 06 – Dialogue with citizens
<p>Purpose</p> <p>The overall objective of this evaluation is to help improve the ability of the Visits Service to contribute to the execution of the European Commission's communication strategy. The evaluation project will be launched according to the provisions of the financial regulation (article 27) and its implementation rules (article 21) which establishes that activities financed on an annual basis shall have their results evaluated at least every six years. bute to the execution of the European Commission's communication strategy.</p>	
Estimated date of completion	July 2006

## Press and communication

e-mail address for information:

### Evaluation of the Newsletters of the EU Representations in the Member States

ABB activities concerned	16 03: Analysis of public opinion trends and development of general information for citizens
<b>Purpose</b> The purpose of the evaluation is to define the impact of the newsletters considering their effectiveness in relation to the cost, resources required and against the range of possible information products that could be used to inform the general public. An assessment will be needed to consider also the relevance of the different approaches currently in place and the need for greater coordination/ a stronger common identity.	
Estimated date of completion	March 2006



## Health and consumer protection

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### Evaluation of Financial Contributions 2000-2003 to European Consumer Organizations

ABB activities concerned	17 02: Consumer policy
Purpose To analyse the relevance, efficiency and effectiveness of the action with reference to the development and relevance of consumer policy at European level as well as the promotion and representation of consumer interests at the European level. The evaluators will especially examine the situation of the organisations with a view to analysing whether the scale of inputs from the community funds can be justified on the basis of outputs and performance. They will examine the kind of performance indicators which should be used to assess their performance and possible remedies to reduce their dependence on community financial support.	
Estimated date of completion	March 2006

### Interim Evaluation of the European Consumer Diary Project

ABB activities concerned	17 02: Consumer policy
Purpose To assess the relevance, efficiency and effectiveness of the Consumer Diary Project so as to make an informed decision on the conditions under which the action should or should not be continued.	
Estimated date of completion	March 2006

### Interim Evaluation of the Public Health Programme 2003-2008

ABB activities concerned	17 03: Public Health
Purpose As required in Public Health Programme Decision 1786/2002/EC of the European Parliament and of the Council of 23 September 2002, the Programme should be externally evaluated with regard to the implementation and achievements. The three first years need to be evaluated during the fourth year of programme. The results of the evaluation will be used to adjust or modify the programme's priorities and policies to better suit the programme's stakeholders and make the programme more efficient during the second half of its lifetime. The results will also be taken into account for the implementation of the next Public Health programme. The financial perspectives for 2007-2013 foresee a new political emphasis of the Commission's public health activities. The intended effects of future political priorities and the allocation of resources, both financial and human, should be compared to the results of the interim assessment. In this regard, the programme may also be updated in the general context of EU action in health and health related fields.	
Estimated date of completion	December 2006

**Evaluation of the Community Animal Health Policy (CAHP) 1995-2004 and possible policy options for the future**

ABB activities concerned	17 04: Food safety, animal health, animal welfare and plant health
<p>Purpose</p> <p>The first objective of the evaluation is to analyse, in an independent way, the results of the Community Animal Health Policy (CAHP) as compared to the acknowledged objectives. This evaluation will ensure transparency and accountability in reporting results of the CAHP activities and impacts to European citizens. The second objective of the CAHP evaluation is to establish if changes to the CAHP strategy are needed, including possible improvements to its structure and working practices. This evaluation will have a strong focus on recommendations for the design of the future policy.</p> <p>Following the evaluation, the Commission plans to design a new EU animal health strategy for an enlarged Europe. All interested parties, including the European Parliament, Council, Committee of the regions, and European Economic and social Committee will be invited to comment on the results of the evaluation and to support an overall strategy for the future, creating overarching guidelines to consolidate existing efforts and to foster the adoption and implementation of new key measures.</p>	
Estimated date of completion	October 2006

## Freedom, Security and Justice

e-mail address for information: [http://europa.eu.int/comm/justice\\_home/contact\\_us2\\_en.htm](http://europa.eu.int/comm/justice_home/contact_us2_en.htm)

### **Evaluation of the Transposition and Implementation by EU Member States of Council Directive 2003/9/EC Laying Down Minimum Standards on the Reception of Applicants for Asylum in Member States**

ABB activities concerned	18 03: Common immigration and asylum policies
Purpose To review the application of the directive in the Member States and propose the necessary amendments.	
Estimated date of completion	July 2006

### **Final Evaluation of the European Refugee Fund I and Common Indicators for the Evaluation of ERF II**

ABB activities concerned	18 03: Common immigration and asylum policies
Purpose The evaluation of the programme from 2000 to 2004 will also contribute to improve the implementation of the Programme (ERF II) from 2006-2007 and 2008-2013 (ERF III) against the background of the new Framework Programme on solidarity and management of migration flows	
Estimated date of completion	March 2006

### **Mid-term Evaluation of the ARGO Programme**

ABB activities concerned	18 03: Common immigration and asylum policies
Purpose Evaluation of the programme from 2002 to 2004; will also contribute to improve the implementation of the Programme in 2006 (last year) and reflect on how to better prepare transnational projects against the background of the new Framework Programme on solidarity and management of migration flows (from 2007).	
Estimated date of completion	July 2006

### **Mid-term Evaluation of Daphne II**

ABB activities concerned	18 04: Citizenship and fundamental rights
Purpose The purpose of this exercise is to evaluate the relevance, utility, sustainability, effectiveness and efficiency of the Daphne II Programme and its added value as a policy instrument.	
Estimated date of completion	June 2006

**Crime Proofing – Evaluation of crime risk implications of the European Commission's proposals covering a range of policy areas**

ABB activities concerned	18 05: Law enforcement cooperation and prevention of and fight against general and organised crime
<p>Purpose</p> <p>This pilot exercise aims at increasing the possibilities to crime proof upcoming Commission legislation. The idea of crime proofing is to identify proposals from the Commission's work programme which may inadvertently create opportunities for criminal activity, to assess the crime risk of such proposals and, where possible, to propose a mechanism to address that risk (without of course undermining the rationale for or purpose of the proposal).</p>	
Estimated date of completion	May 2006

**Evaluation Report on the Framework Programme for Judicial Cooperation in Civil Matters**

ABB activities concerned	18 06: Establishing a genuine European area of justice in criminal and civil matters
<p>Purpose</p> <p>Evaluation foreseen by article 15 of Council Regulation (EC) No 743/2002 of 25 April 2002 establishing a general Community framework of activities to facilitate the implementation of judicial cooperation in civil matters. This report will include an evaluation of cost-effectiveness and an assessment, based on performance indicators, of whether the objectives have been achieved.</p>	
Estimated date of completion	December 2006

**Evaluation of the Preparatory Actions for a Programme to Fight Drug Trafficking in 2001 and 2002**

ABB activities concerned	18 07: Coordination in the field of drugs
<p>Purpose</p> <p>To establish whether or not the the preparatory action achieved its goals. The objective of the evaluation is to ascertain the relevance, efficiency, effectiveness, cost-effectiveness and impact of the completed projects.</p> <p>The main goal of the preparatory actions was to prepare the specific elements aiming at combating drug trafficking in the consolidated justice and home affairs programme. At the same time the funds available were to be used to reinforce and give visibility to the fight against drug trafficking.</p>	
Estimated date of completion	February 2006

**Cost Benefit Analysis of Externalization of the Management of the Future JLS Programmes**

ABB activities concerned	18 08: Policy strategy and coordination
<p>Purpose</p> <p>The study aims at exploring the organisational and administrative impacts, feasibility and the cost-effectiveness of the management of the three framework programmes, related to the management of the community initiatives in view of the new financial perspectives (2007-2013).</p>	
Estimated date of completion	May 2006

## External Relations, Development and Relations with ACP States

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### Evaluation of EC Country Strategy for Armenia

ABB activities concerned	19 06: Relations with the eastern Europe, the Caucasus and Central Asian republics
Purpose The primary objective of this evaluation is to provide the Commission with key findings and lessons of experience from the Commission's past (1996-2003) and current (2003-2007) co-operation with Armenia. Taking account of Armenia's political, economic, social and environmental framework, it will present those findings and lessons, along with a set of detailed and operational recommendations, in a report designed primarily to provide the Commission's policy-makers and managers with a valuable aid to the implementation of the past and current strategies.	
Estimated date of completion	March 2006

### Evaluation of the TACIS Regulation

ABB activities concerned	19 06: Relations with the eastern Europe, the Caucasus and Central Asian republics
Purpose This evaluation focuses on the European Commission's co-operation strategy for the TACIS region, with a special focus on the impact (ex-post evaluation) of the Commission's programmes to date and on the relevance of the ongoing Indicative Programme. The main purpose of the study is to draw out key conclusions and lessons 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 strategy .	
Estimated date of completion	February 2006

### Evaluation of the Commission's Support to the Republic of INDIA (Country Level Evaluation)

ABB activities concerned	19 10: Relations with Asia
Purpose The scope of the evaluation is to evaluate the overall EC cooperation and partnership with India and in particular the Commission Country Strategies for the period from 1991. The evaluation should be forward looking, providing lessons and recommendations for the continued support to the partnership with India in particular as regards new approaches in the light of India's role as an emerging global player and major regional actor.	
Estimated date of completion	April 2006

### Thematic Evaluation of the EC Co-operation in the Field of Rural and Agricultural Development

ABB activities concerned	19 11: Policy strategy and coordination for External relations policy area 21 04: Policy strategy and coordination for Development policy area
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Purpose	
<p>This thematic evaluation aims at providing the Commission with results and lessons from its experience (1995-2004) on cooperation policy in the field of rural and agricultural development.</p> <p>Results and lessons, together with recommendations, will furnish the stakeholders and the Commission with assistance for implementing the rural and agricultural development strategy.</p>	
Estimated date of completion	July 2006

### **Evaluation of the EC Support for Statistics in Third Countries**

ABB activities concerned	<p>19 11: Policy strategy and coordination for External relations policy area</p> <p>21 04: Policy strategy and coordination for Development policy area</p>
Purpose	
<p>The purpose of the evaluation is to analyse the results obtained by the Statistics Projects/Programmes(SPP) compared to the objectives that were defined for it, and draw the key lessons in order to help improve relevance, impact, sustainability, effectiveness and efficiency of the current range of SPPs. In this way, the evaluation will contribute to the accountability of external cooperation programmes.</p> <p>The recommendations should focus on operational and programming purposes without overlooking individual projects. They can serve as inputs for a practical guide on statistics projects that ESTAT intends to finalize soon.</p> <p>The results should also generate results of interest to an audience that would include geographical desks and those responsible for intervention in other sectors as Budgetary Support</p>	
Estimated date of completion	September 2006

### **Evaluation of the Water and Sanitation sector**

ABB activities concerned	<p>19 11: Policy strategy and coordination for External relations policy area</p> <p>21 04: Policy strategy and coordination for Development policy area</p>
Purpose	
<p>The purpose of this evaluation is to provide the relevant external co-operation services of the European Commission and the wider public with an overall independent and accountable evaluation, in terms of:</p> <ul style="list-style-type: none"> <li>– the relevance, the impact, the effectiveness, the efficiency and the sustainability of the activities in WandS sector financed by the EC in the context of overall Community development co-operation;</li> <li>– consistency/internal coherence between EC-support to water and sanitation and other EU policies like, environment, agriculture, etc.;</li> <li>– coordination and complementarity of EC support actions and strategy to the WandS sector with policies / actions of Member States and other donors in the area..</li> </ul>	
Estimated date of completion	March 2006

<b>Joint Evaluation of Co-ordination of Trade Capacity Building in Partner Countries</b>	
ABB activities concerned	19 11: Policy strategy and coordination for External relations policy area 21 04: Policy strategy and coordination for Development policy area
<p>Purpose</p> <p>The objective of the evaluation of Coordination of Trade Capacity Building in partner countries is to provide the European Commission with an independent and reliable assessment of its assistance strategy and its coordination with MS in this area, as well as the evolution of this strategy within its wider political setting, both in the context of the Doha Round, the European Partnership Agreement preparation processes, and the changing situation in the partner countries themselves. The evaluation should thus place Trade capacity Building assistance in its policy and institutional context.</p> <p>In particular, the evaluation should contribute to improved EC and Member States approaches and programmes that will better meet the needs of the partner countries and regions to strengthen their trade capacities, including in meeting SPS requirements.</p>	
Estimated date of completion	January 2006
<b>Sectoral Evaluation of EC Support to Partner Countries in the Area of Energy</b>	
ABB activities concerned	19 11: Policy strategy and coordination for External relations policy area 21 04: Policy strategy and coordination for Development policy area
<p>Purpose</p> <p>The purpose of the present evaluation is to analyse the results obtained by EC supported actions and strategies in the energy sector compared with the general and specific objectives defined for the actions or programme, and draw the key lessons in order to help improve relevance, impact, sustainability, effectiveness and efficiency of the current range of actions in the energy sector. In this way the evaluation will contribute to the accountability of external cooperation programmes, as well as providing elements to improve current practices concerning programming, design and implementation of support to Actions in the Energy Sector (AES).</p> <p>It requires considering the various types of projects, including the completed ones, in various regions, over time.</p> <p>As part of its mission, the evaluation should end up to a general overall judgement based on well-founded conclusions regarding the past performance of EC support to SPP and the relevance of its (proposed) approach. In the analysis, it is necessary to assess performance of the technical assistance as well as of national and regional partner bodies.</p>	
Estimated date of completion	December 2006
<b>Thematic Evaluation of the European Assistance to Third Countries Supporting Good Governance</b>	
ABB activities concerned	19 11: Policy strategy and coordination for External relations policy area 21 04: Policy strategy and coordination for Development policy area
Purpose	

The purpose of the evaluation is to assess to what extent the Commission assistance (strategies, programmes/projects) has been relevant, efficient and effective in supporting sustainable impacts on good governance processes, and in encouraging and promoting good governance approaches and practices, in third countries.

The evaluation should be forward looking, providing lessons and recommendations for the continued support to good governance, in particular as regards: the use of dialogue in supporting good governance; the efficiency and effectiveness of capacity-building activities (including technical assistance and twinning); the potentials of supporting good governance through budget support and Sector Policy Support Programmes; the Commission as a change agent in the good governance process; the Commission's capacity to adapt its support and its approaches to different types of country situations

Estimated date of completion	March 2006
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<b>Evaluation of the EC Cooperation with Mauritius, Comores and Seychelles</b>	
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ABB activities concerned	21 03: Relations with sub-Saharan Africa, the Caribbean, Pacific and Indian Ocean and overseas countries and territories
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<p>Purpose</p> <p>The main objectives of the evaluation are:</p> <ul style="list-style-type: none"> <li>– to provide the Commission services and the general public with an overall, indendent assessment of the past and present cooperation between the Commission and Mauritius, Comores and Seychelles;</li> <li>– to draw lessons from this cooperation in order to improve the Commission's current and future strategies and programmes.</li> </ul>	
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Estimated date of completion	June 2006
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<b>Evaluation of the EC Cooperation with Rwanda</b>	
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ABB activities concerned	21 03: Relations with sub-Saharan Africa, the Caribbean, Pacific and Indian Ocean and overseas countries and territories
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<p>Purpose</p> <p>This evaluation aims at providing the Commission services and the general public with an overall, indendent assessment of the past and present cooperation between the Commission and Rwanda.</p> <p>The evaluation will provide recommendations on the basis of the findings and conclusions drawn, in order to improve the Commission's current and future strategies and programmes.</p>	
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Estimated date of completion	December 2006
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<b>Evaluation of the EC Support to the United Republic of Tanzania</b>	
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ABB activities concerned	21 03: Relations with sub-Saharan Africa, the Caribbean, Pacific and Indian Ocean and overseas countries and territories
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<p>Purpose</p> <p>The purpose of this evaluation is to provide the relevant external co-operation services of the European Commission and the wider public with an overall independent and accountable evaluation, with key findings and lessons of experience from the Commission's past and current assistance to Tanzania. Taking account of the regional, 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 and future Strategies.</p>	
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Estimated date of completion	February 2006
<b>Evaluation of the EC Regional Cooperation with Central Africa</b>	
ABB activities concerned	21 03: Relations with sub-Saharan Africa, the Caribbean, Pacific and Indian Ocean and overseas countries and territories
<p>Purpose</p> <p>This regional evaluation aims at providing the Commission with results and lessons from past (1996-2001) and present (2002-2007) experience concernint its cooperation policy in Central Africa.</p> <p>The evaluation will provide recommendations on the basis of the findings and conclusions drawn, in order to improve the Commission's current and future strategies and programmes.</p>	
Estimated date of completion	July 2006
<b>Joint Evaluation of the EC and French Cooperation with Mali</b>	
ABB activities concerned	21 03: Relations with sub-Saharan Africa, the Caribbean, Pacific and Indian Ocean and overseas countries and territories
<p>Purpose</p> <p>The evaluation aims at providing the Commission and France with key findings and lessons of experience from their past and current assistance to Mali. The evaluation also aims at an exchange of best practices between the two donors.</p>	
Estimated date of completion	June 2006
<b>Regional evaluation of the European Commission's cooperation with SADEC (Southern African Development Community )</b>	
ABB activities concerned	21 03: Relations with sub-Saharan Africa, the Caribbean, Pacific and Indian Ocean and overseas countries and territories
<p>Purpose</p> <p>The objective of this Regional Evaluation is to provide the Commission with key findings and lessons from the Commission's past and current co-operation with SADEC. Taking account of the political, economic, social and environmental issues of the region, the evaluation report will present findings and lessons, along with a set of detailed recommendations. This report is primarily designed to provide the Commission's policy-makers and managers with a valuable aid to the implementation of the current Regional Strategy.</p>	
Estimated date of completion	October 2006
<b>Evaluation of the Commission's support to the ACP Pacific region</b>	
ABB activities concerned	21 04: Policy strategy and coordination for Development policy area
<p>Purpose</p> <p>The main objectives of the evaluation are:</p> <ul style="list-style-type: none"> <li>– to provide the relevant external co-operation services of the EC and the wider public with an overall independent assessment of the Commission's past and current cooperation relations with the ACP Pacific region;</li> <li>– to identify key lessons from the Commission's past co-operation, and thus provide the Commission's policy-makers and managers with a valuable aid for the implementation of the current Strategy and Indicative Programmes and for future strategies and programming.</li> </ul>	

Estimated date of completion	November 2006
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**EC Support to Micro-projects financed under the European Development Fund in ACP countries**

ABB activities concerned	21 04: Policy strategy and coordination for Development policy area
<p>Purpose</p> <p>The primary purpose of the evaluation is to analyse the obtained results of Microprojects and Programmes(MPP) compared to the objectives that were defined for it. It will also draw the key lessons in order to help improve relevance, impact, sustainability, effectiveness and efficiency of current micro-projects and programmes. In this way, the evaluation will contribute to the accountability of external cooperation programmes.</p> <p>The results of the analysis should also facilitate decision making on possible further use or involvement of the MPP facilities within the Country Strategy Programmes, and their possible use under the Economic Partnership Agreements(EPA) which are under preparation.</p>	
Estimated date of completion	April 2006

**Joint Evaluation of General Budget Support: Mozambique, Rwanda, Nicaragua, Burkina Faso, Vietnam, Malawi and Uganda**

ABB activities concerned	21 04: Policy strategy and coordination for Development policy area
<p>Purpose</p> <p>The purpose of the evaluation is to evaluate to what extent, and under what circumstances (in what country contexts), GBS is relevant, efficient and effective for achieving sustainable impacts on poverty reduction and growth. The evaluation should be forward looking and focused on providing lessons learned while also addressing joint donor accountability at the country level. The evaluation is specifically focused on learning about different approaches to GBS and on the effectiveness of GBS in different country contexts.</p>	
Estimated date of completion	April 2006

## Trade

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### Evaluation of the Civil Society Dialogue (CSD)

ABB activities concerned	20 02: Trade policy
Purpose	
<ul style="list-style-type: none"><li>– To evaluate the extent to which the civil society dialogue process is satisfying the objectives that have been set for it, and delivering results;</li><li>– To ascertain how analogous processes operate elsewhere, and to look for examples of good/best practice;</li><li>– To make recommendations for developing and improving the DG Trade approach.</li></ul>	
Estimated date of completion	July 2006

### Evaluation of EC Trade Defence Instruments

ABB activities concerned	20 02: Trade policy
Purpose	
<ol style="list-style-type: none"><li>1. To provide broad descriptive accounts of the EU and US systems for, and approaches to, anti-dumping, anti-subsidy and safeguards investigations;</li><li>2. to identify and evaluate differences between EU and US legal provisions, and administrative procedure and practice;</li><li>3. to recommend improvements (as appropriate) in aspects of the EU approach, especially with respect to administrative procedure and practice.</li></ol>	
Estimated date of completion	February 2006

### Evaluation of the Export Helpdesk

ABB activities concerned	20 02: Trade policy
Purpose	
<ol style="list-style-type: none"><li>1. To evaluate the results and overall impact of the service, taking into account both internal and external sources of evidence;</li><li>2. to assess the extent to which the information provided by the Export Helpdesk is reliable, complete, practical, and useful, and the service user-friendly;</li><li>3. to consider whether changes are desirable or necessary, and if so, to make practical suggestions about how such changes might be implemented.</li></ol> <p>The findings will be used to guide further developments in the context of an ongoing process to enhance the service and expand its usage.</p>	
Estimated date of completion	September 2006

<b>Evaluation of the Market Access Database</b>	
ABB activities concerned	20 02: Trade policy
Purpose	
<ol style="list-style-type: none"> <li>1. To assess the extent to what the MADB fulfils the functions assigned to it in the context of the EU Market Access Strategy – including consideration of special cases such as those of small and medium sized enterprises and new Member States.</li> <li>2. To examine, in terms of management processes, what might be done in order to fulfil these functions in a better way.</li> <li>3. To provide useful and practical recommendations for measures that would enable the MADB to become an improved strategic tool for Directorate General for Trade.</li> </ol>	
Estimated date of completion	August 2006
<b>Sustainability Impact Assessment (SIA) of negotiations for a Partnership and Co-operation Agreement with China</b>	
ABB activities concerned	20 02: Trade policy
Purpose	
<ol style="list-style-type: none"> <li>1. To identify the economic, social and environmental impacts on sustainable development of the proposed partnership and co-operation agreement (PCA) with China;</li> <li>2. to suggest policy proposals for the negotiators that will mitigate negative impacts and enhance positive impacts;</li> <li>3. to create a basis for a rational and informed discussion with stakeholders on the sustainability implications of such an agreement, and on the most appropriate complementary measures required in order to achieve an optimal outcome.</li> </ol>	
Estimated date of completion	June 2009
<b>SIA of the negotiations of the EU-ACP Economic Partnership Agreements: supplementary sectoral studies</b>	
ABB activities concerned	20 02: Trade policy
Purpose	
<ul style="list-style-type: none"> <li>– To assess the sustainability impacts of current EU-ACP EPA negotiations, and to inform the negotiators of these impacts;</li> <li>– to identify flanking measures in order to mitigate negative impacts;</li> <li>– to build a structured dialogue with civil society and third countries to accompany the negotiations process;</li> <li>– to organise the consultation process in ACP countries.</li> </ul>	
Estimated date of completion	June 2007

<b>SIA of EU-Mercosur negotiations</b>	
ABB activities concerned	20 02: Trade policy
Purpose <ul style="list-style-type: none"> <li>– To assess the sustainability impacts of current EU-Mercosur trade negotiations and to inform the negotiators of these impacts;</li> <li>– to identify flanking measures in order to mitigate negative impacts;</li> <li>– to build a structured dialogue with civil society, with third countries and with their stakeholders to accompany the negotiations process;</li> <li>– to organise the consultation process in Mercosur countries.</li> </ul>	
Estimated date of completion	June 2007
<b>SIA of negotiations for a Trade and Economic Agreement with Ukraine</b>	
ABB activities concerned	20 02: Trade policy
Purpose <ol style="list-style-type: none"> <li>1. To identify the economic, social and environmental impacts on sustainable development of a proposed trade and economic agreement (TEA) with Ukraine;</li> <li>2. to suggest policy proposals for the negotiators that will mitigate negative impacts and enhance positive impacts;</li> <li>3. to create a basis for a rational and informed discussion with stakeholders on the sustainability implications of such an agreement, and on the most appropriate complementary measures required in order to achieve an optimal outcome.</li> </ol>	
Estimated date of completion	September 2007
<b>SIA of proposed WTO negotiations: supplementary sectoral studies, and preparation of final phase of SIA</b>	
ABB activities concerned	20 02: Trade policy
Purpose <ul style="list-style-type: none"> <li>– To assess the sustainability impacts of current WTO trade negotiations and to inform the negotiators of these impacts;</li> <li>– to identify flanking measures in order to mitigate negative impacts;</li> <li>– to build a structured dialogue with civil society, with third countries and with their stakeholders to accompany the negotiations process;</li> <li>– to review and strengthen the SIA method.</li> </ul>	
Estimated date of completion	June 2007

## Enlargement

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### Ex ante evaluation exercise of the Instrument for Pre-accession Assistance

ABB activities concerned	22 02: Pre-accession assistance instruments
Purpose	It will serve as an input into the preparation of the IPA Multi-annual Indicative Planning Documents.
Estimated date of completion	August 2006

### Ex post evaluation of Phare programmes

ABB activities concerned	22 02: Pre-accession assistance instruments
Purpose	It will serve not only an accountability purpose, but also as input for decision-making in current pre-accession assistance, as well as financial assistance to the Western Balkans.
Estimated date of completion	December 2006

### Interim evaluation of pre-accession aid programme for Turkey

ABB activities concerned	22 02: Pre-accession assistance instruments
Purpose	To provide stakeholders with independent assessments of the implementation and performance of on-going pre-accession programmes; to serve as a management tool and early-warning system for programme managers; to provide inputs for decision-making by senior management at the Joint Monitoring Committee meeting; to provide a basis for accountability in the use of pre-accession funds.
Estimated date of completion	December 2006

### Interim evaluation scheme for Phare pre-accession aid to Romania and Bulgaria

ABB activities concerned	22 02: Pre-accession assistance instruments
Purpose	To provide stakeholders with an independent assessment of the implementation and performance of on-going pre-accession programmes; to serve as a management tool and early-warning system for programme managers; to provide inputs for decision-making by senior management at the Joint Monitoring Committee meeting; to provide a basis for accountability in the use of pre-accession funds.
Estimated date of completion	September 2006

## Humanitarian Aid

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### Evaluation of DG ECHO's partnership with Médecins Sans Frontières (MSF) and the MSF operations funded by DG ECHO

ABB activities concerned	23 02: Humanitarian aid
Purpose	This evaluation is one of a series of evaluations of major partners of DG ECHO, undertaken in order to strengthen the partnership between the two parties; to have a better understanding of the capacities of certain members of the MSF Family; and to evaluate a sample of MSF family activities funded by ECHO over the period 2001 to 2003.
Estimated date of completion	March 2006

### Evaluation of the Directorate General for Humanitarian Aid

ABB activities concerned	23 02: Humanitarian aid
Purpose	Under this evaluation independent consultants are to complete an evaluation of DG ECHO's work over the period 2000 to 2005 on: the implementation of the findings, conclusions and recommendations of the article 20 evaluation of ECHO; the implementation of the requirements of the Commission's reform programme; the proposals contained in the European Commission's Financial Perspectives 2007-2013; DG ECHO's <u>implementation</u> of the Maastricht Treaty's requirement to respect Coordination, Complementarity and Coherence in its work (the 3 C's); and the consultants shall also consider DG ECHO's <u>implementation</u> of the Good Humanitarian Donorship initiative.
Estimated date of completion	January 2006

### Evaluation of the partnership between DG ECHO and the International Committee of the Red Cross (ICRC) and of ICRC Activities funded by DG ECHO.

ABB activities concerned	23 02: Humanitarian aid
Purpose	DG ECHO is a major donor to the ICRC in its work on behalf of prisoners and civilian protection and assistance, as well as a partner in response to emergencies and complex crises. The evaluation is justified for several purposes, among them being: to review the state of the DG ECHO-ICRC partnership and its progress during the period under evaluation; to evaluate the actual operations financed in a number of countries; and in particular to evaluate the lessons that can be learned from DG ECHO's funding of thematic activities at the ICRC.
Estimated date of completion	December 2006

**Evaluation of DG ECHO funded humanitarian actions in the Republic of YEMEN**

ABB activities concerned	23 02: Humanitarian aid
Purpose	<p>To obtain the necessary information to allow DG ECHO to concentrate its efforts and improve its results in the provision of humanitarian assistance in the Yemen. The assessment of DG ECHO's existing strategy and recommendations for a future strategy in the Yemen is of central importance for this evaluation. The evaluation will therefore contain conclusions and recommendations at both strategy and operational levels in order to assist DG ECHO and other EC services to define a coherent and viable framework for future intervention and the eventual phase down and phase out.</p>
Estimated date of completion	September 2006



## Commission's Administration

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### Evaluation of the activity of OPOCE in the production of the non-obligatory Community publications

ABB activities concerned	26 01 09: Administrative support of the Publications Office
<p>Purpose</p> <p>To have a systematic and structured description of activities, needs and medium-term prospects of various author services in all the different editing tasks from identification to paying or free distribution of publications</p> <p>To assess the layout of means of production and of adequate contractual tools as a means to satisfy the specific needs of originating author services, in particular in terms of new needs through an analysis of a variety of internal and external possible developments and of existing contracts, taking care to avoid or at least to reduce market captivity.</p>	
Estimated date of completion	September 2006

### Study of the distribution policy for publications handled by the Office

ABB activities concerned	26 01 09: Administrative support of the Publications Office
<p>Purpose</p> <p>Ensure in the most effective and efficient way one of the missions of the Office, namely the distribution of Community publications.</p> <p>Which strategy to adopt for the organisation of the distribution of publications? (state of existing, allocated resources, costs, strategy and alternatives, analysis of the distribution activities via the network of sales offices and via the licensing contracts concluded with the various specialised operators) (In-house workshop? regrouping of storage and of the conditioning of the publications? possible synergies?)</p> <p>Impact of new technologies and consequences for in-house data centre.</p>	
Estimated date of completion	September 2006

### Evaluation of the Functioning of the European Commission's Three Administrative Offices

ABB activities concerned	<p>26 01 21: Office for the Administration and Payment of Individual Entitlements</p> <p>26 01 22: Office for Infrastructure and Logistics (Brussels)</p> <p>26 01 23: Office for Infrastructure and Logistics (Luxembourg)</p> <p>26 01 50: Personnel policy and management</p>
<p>Purpose</p> <p>The global objectives of this evaluation are:</p> <ul style="list-style-type: none"> <li>– to assess whether the objectives of the establishment of PMO, OIB and OIL respectively have been achieved, as spelled out in the communications and decisions preparing and establishing the Offices;</li> <li>– to provide recommendations, where appropriate, to improve the functioning of the Offices and the realisation of the initial objectives with the creation of the Offices.</li> </ul>	

The specific objectives of this evaluation are therefore:	
<ol style="list-style-type: none"> <li>1. To describe, assess and provide recommendations to improve the relevance, effectiveness, efficiency and sustainability of the operations of the main activities in each of the administrative Offices;</li> <li>2. to assess, in each Office, to what extent the initial Decisions establishing the Offices have been implemented;</li> <li>3. to describe the functioning of the new administrative office structure model in each Office and provide a general assessment of this with regards to key parameters described in background documents, and provide recommendations to amend the Decisions establishing the Offices, where appropriate;</li> <li>4. to identify and assess alternative strategy options facing each Office on the basis of an analysis of Strengths, Weaknesses, Opportunities and Threats (SWOT) of the global operations of each Office.</li> </ol>	
Estimated date of completion	May 2006

**Evaluation of the central Internal Information and Communication Policy in the European Commission**

ABB activities concerned	26 01 50: Personnel policy and management
<p>Purpose</p> <p>In the follow up to recent administrative reform within the Commission, DG ADMIN has decided to undertake an evaluation of Internal Information and Communication Policy. This project needs to support the Internal Communication strategy of DG ADMIN, which was adopted on 31 May 2005. The general aim of this project is to support DG ADMIN's IC unit (D.5) with practical advice on how to further improve internal communication within the Commission.</p> <p>The specific objectives of this evaluation are the following:</p> <ul style="list-style-type: none"> <li>– To examine how can the approach and actions set out in the Internal Communication strategy of the Commission and DG ADMIN be further improved or fine-tuned to achieve the objectives detailed in this strategy. To indicate how to move from where we are to where we want to go;</li> <li>– to provide recommendations on how better to measure and fine-tune the indicators of the level of success of the Internal Communication strategy;</li> <li>– to examine how we better communicate within the Commission, with an emphasis on political internal communication? To suggest proposals on how the interaction between internal and external communication could be improved so as to exploit a coherent and "joined-up" approach;</li> <li>– to provide examples of good practise of IC, with particular emphasis on the role of IC in horizontal policy issues, in both the private and public sectors.</li> </ul>	
Estimated date of completion	October 2006

**Evaluation of the Commission's EUR10 selection and recruitment policies (EUR10 versus EUR15)**

ABB activities concerned	26 01 50: Personnel policy and management
<p>Purpose</p> <p>The aim of this project is to review the Commission's recruitment and selection policy in regard to candidates from the EUR10 (the new Member States) at all levels with a view to identifying the strengths and weaknesses of the current system and proposing, if and where appropriate, corrective measures.</p>	

The specific objectives are:	
<ul style="list-style-type: none"> <li>– To analyse whether the existing recruitment system selects the best candidates from the EUR10 countries;</li> <li>– to indicate how the Commission’s recruitment and selection policy as well as the recruitment needs assessment could be improved in regard to EUR10 candidates. Any corrective measures or appropriate option(s) to improve the Commission’s EUR10 recruitment policy should include indications of the resource implications (budget and personnel);</li> <li>– to provide recommendations for on how to improve the attainment of the EUR10 indicative recruitment targets;</li> <li>– to provide recommendations on how to handle the overall targets of the EUR10 member states and the relationship to the Institutional needs for interpretation.</li> </ul>	
Estimated date of completion	July 2006

<b>Evaluation of the European Schools at Culham, Mol, Bergen and Karlsruhe and options for the future)</b>
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ABB activities concerned	26 01 50: Personnel policy and management
<p>Purpose</p> <p>The objectives of this evaluation are the following:</p> <ul style="list-style-type: none"> <li>– To assess if the small European Schools still address the objectives for which they were established (relevance) and to provide an analysis of the efficiency, effectiveness, and sustainability of these four small European Schools (Culham, Mol, Bergen, Karlsruhe).</li> <li>– To provide practical and specific recommendations for further improvement of the financial viability and the functioning of the four small European Schools (Culham, Mol, Bergen, Karlsruhe).</li> <li>– To identify future options for the four small European Schools (Culham, Mol, Bergen, Karlsruhe).</li> <li>– Assess the impact of the issues raised for each of the four small European Schools, in case of a possible closure, the necessary transitional arrangements and the alternatives available to pupils and staff as well as any necessary social measures.</li> </ul> <p>The study and more particularly the options and the recommendations issued will be based on the existing “administrative and governing” framework of the European school system.</p>	
Estimated date of completion	July 2006

<b>Evaluation of the health and medical care policy of the Commission</b>
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ABB activities concerned	26 01 50: Personnel policy and management
<p>Purpose</p> <p>The aim of this project is to review the policy and activities of the existing Medical Services of the Commission (based in Brussels, Luxembourg and Ispra), in the context of the new well-being policy and the harmonised approach on health and safety in the Commission.</p> <p>The specific objectives are:</p> <ul style="list-style-type: none"> <li>– To identify and clarify the business processes in the medical services in Brussels, Luxembourg and Ispra;</li> <li>– clarify the organisation within, and coordination between, the medical services;</li> <li>– provide recommendations for alternative delivery systems and for efficiency gains in the</li> </ul>	

<p>organisation;</p> <ul style="list-style-type: none"> <li>– provide recommendations for the design of a future medical service policy, in terms of the policy logic, objectives, performance criteria and the services to be provided;</li> <li>– provide indications of the resource implications (budget and personnel) of the future medical service policy.</li> </ul>	
Estimated date of completion	September 2006

## Statistics

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### Assessment of dissemination and coordination of Structural Indicators

ABB activities concerned	29 02: Production of statistical information
Purpose The purpose of the evaluation was to see whether users are satisfied with the dissemination of the Structural indicators on the Eurostat website as well as with the coordination of work on Structural indicators by Eurostat. The main purpose is to find out areas where further improvements are necessary or new needs should be addressed.	
Estimated date of completion	February 2006

### Mid-Term Evaluation of the 5-Year Community Statistical Programme 2003-2007

ABB activities concerned	29 02: Production of statistical information
Purpose Decision 2367/2002/EC of the European Parliament and of the Council of 16/12 2005 on the Community Statistical Programme (5YP) foresees in its article 4 that in 2005 the Commission is to prepare an intermediate report showing the state of development. This report establishes for the 20 treaty titles the state of development of the statistical programme connected to them. Per statistical objective stated in the 5YP (61 in total) the state of development is assessed. The report is further complemented by an evaluation of some horizontal objectives.	
Estimated date of completion	February 2006

### Rolling Review of the Harmonised Index of Consumer Prices (HICP)

ABB activities concerned	29 02: Production of statistical information
Purpose A rolling review is a thorough review of user satisfaction, partner (national statistical institutes, central banks, customs....) satisfaction, and costs/merits for Eurostat, for Member States and for respondents where relevant. The focus of a rolling review is on finding possible ways to improve the functioning of a statistical area. Rolling reviews aim at suggesting concrete and realistic proposals for improvement.	
Estimated date of completion	April 2006

### Rolling Review of Short Term Business Cycle Statistics

ABB activities concerned	29 02: Production of statistical information
Purpose A rolling review is a thorough review of user satisfaction, partner (national statistical institutes, central banks, customs....) satisfaction, and costs/merits for Eurostat, for Member States and for respondents where relevant. The focus of a rolling review is on finding possible ways to improve the functioning of a statistical area. Rolling reviews aim at suggesting concrete and realistic proposals for improvement. As the short term business cycle statistics are secondary statistics, meaning that use is made solely of data that have been sent to Eurostat for other purposes (national accounts, consumer prices indices etc...) this particular rolling review will not carry out a partner survey.	
Estimated date of completion	April 2006

**Self Assessment Concerning the European Statistics Code of Practice**

ABB activities concerned	29 02: Production of statistical information
<p>Purpose</p> <p>In 2005 a Code of Practice was adopted for the national and community statistical authorities. It was promulgated in Commission Recommendation 2005(217) of 25 May 2005. This code contains 15 guiding principles on the independence, the integrity and the accountability of statistical authorities.</p> <p>At the end of 2005 a self assessment exercise was organised concerning the implementation of the Code of Practice in Members States' National Statistical Institutes and in Eurostat itself. Eurostat has a twofold role of coordinating the exercise and in the same time carrying out the self assessment itself. The results will be used to monitor the implementation status of the Code in the European Statistical System as stated in the Commission Recommendation mentioned above.</p>	
Estimated date of completion	April 2006