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ANNUAL EVALUATION REVIEW 2004

Overview of the Commission's evaluation

findings and activities



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INTRODUCTION

The present Annual Evaluation Review is the result of the combined work of the different evaluation functions of the Commission through their contributions to this collection exercise. It aims at providing a general overview of the evaluation system of the European Commission, regarding both the information produced by the system and its actual functioning.

The Review is divided in two parts plus two annexes, one about the evaluation projects completed in 2004 and another with those ongoing by December 2004.

Since the first objective of this document lies in providing summary information to the budget authority and other stakeholders on the results, findings and recommendations from the evaluation of EU policies, the First Part of the Review provides an introduction to lessons learned and use in the decision-making process of the information resulting from the evaluation. This is followed, for each Policy Area, by a listing of the evaluation projects completed in 2004 as related to the ABB activities concerned. More detailed information about each individual project may be found in the fact sheets in Annex I. The users of the electronic version of this document will be able to refer themselves directly to the corresponding fact sheet by clicking on the name of the evaluation in Part I. It is equally possible for those users to follow the links to have access to the evaluation reports, whenever they are available on-line.

The Second Part of the document is of a more technical nature. It provides information on the work carried out in the different evaluation functions in the Commission, as well as some overall information about the evaluation system as a whole. Readers interested in having more details about specific aspects of the evaluation system or a part of it, are requested to address themselves to the competent units.

In order to facilitate the use of this document, please notice that:

- In chapter 2 of Part I, the ABB¹ Activity headings are listed per Policy Area in order to show clearly what activities have been focussed by evaluation in 2004. Activity headings with no budget line attached are also included.
- In the case of evaluation projects that covered two or more activities, they are mentioned for each of the corresponding activities.
- In the annexes, the reports are listed by policy area, then by activity heading and finally, by completion date.

¹ Activity Based Budgeting (see http://europa.eu.int/comm/budget/abb/index_en.htm).

PART I. EVALUATION RESULTS AND FINDINGS IN THE COMMISSION IN 2004

1. CROSS-CUTTING RESULTS AND FINDINGS OF POTENTIAL INTEREST TO SEVERAL SERVICES

The following are some of the most recurrent fields of information from a cross-cutting point of view. This does not mean in any case that other aspects deserve less attention or are less attentively dealt with in the evaluations.

Some of these issues, such as efficiency or effectiveness of individual interventions, even though they are of a general character, are often not directly comparable from one activity to another.

Other frequent issues, on the contrary, have a more cross-cutting nature and recommendations are sufficiently general, or sufficiently management-oriented, as to be of interest to policy-makers, managers and evaluators in other programmes or policy areas.

Efficiency and effectiveness

As it is to be expected, most messages from the evaluation projects are related to these concepts. The specific interpretation of efficiency, effectiveness, relevance, utility and other general evaluation concepts varies from one intervention to another. Findings and recommendations in one area are hardly transposable to another without a previous 'translation work'. Results in these fields are mainly positive.

Regarding effectiveness, the overall recommendations are:

- a) to increase the focus of (some) interventions, by concentrating scarce budgets on priority targets and/or a smaller number of larger interventions;
- b) to ensure maximum co-ordination and synergies with other public interventions (at EU or national level); and
- c) to ensure balance between the objectives pursued and the resources needed to attain them. In various instances, evaluators pointed out that budgets had been inadequate in the light of the EU's objectives. Although most of these messages are measure-specific, some findings can possibly be of interest to several services regarding the different ways to ensure the adequate means for the Commission's ends.

As for efficiency (i.e. the relationship between "outputs" and "inputs"), many evaluators stressed the difficulty of obtaining accurate information on the cost – in particular human-resource related costs – incurred during the implementation of EU activities (i.e. at Commission level, but also at other levels of implementation, where appropriate). That being said, most evaluators concluded that the EU interventions in question had been reasonably efficient. However, frequent criticism was made of excessive administrative burdens and complex financial rules.

In general, it would be conducive to a better understanding of effectiveness and efficiency aspects that some work be made on providing comparable approaches to these issues and its measurement, as regards for instance the elusive concept of cost-effectiveness. Moreover this is one of the recommendations of the cross-cutting *Strategic Evaluation of the Management methods of Programmes*.

Community added value

The evaluators' assessment of Community added value was, in general, very positive. The elements of Community added value that were mentioned most frequently included: the successful promotion of European-wide networking, co-operation and partnerships; the promotion of exchange of information, know how and best practice; the contribution to increased coherence of European agendas (e.g. in the field of research); the EU acting as a catalyst for subsequent action by the national public and private sectors (leveraging resources and triggering off additional activities); the existence of "additionality" in the sense that the funding of worthwhile activities would not have been available elsewhere; positive scale effects where critical mass could only be reached at the European level, etc.

Relevance

Relevance issues (i.e., the appropriateness of the specific objectives of an intervention, with regard to the socio-economic problems the intervention is meant to solve) are also frequently found in the evaluations carried out in 2004. Not only ex ante evaluations but also extended impact assessments address this subject.

The increasing development of the latter exercise, in particular, seems to have had an influence on the growing importance given to these matters.

Management issues

Another area where evaluation messages abound is expectedly the field of management. The impact of management practices on efficiency and effectiveness, the way to improve those practice or how to adapt the delivery mechanisms to the different beneficiaries and objectives, are some of the issues that have been repeatedly considered in the evaluations during the last year. This is also in line with the cross-cutting recommendations of the above-mentioned *Strategic Evaluation of the Management methods of Programmes*. According to this evaluation, the programmes should set out the reasons for the choice of the management method as part of the process of setting up the programme. Moreover the evaluation of the implementation design should be systematically included in the evaluation of programmes. Although this seems to be the case more and more frequently, the criteria used for this assessment are not homogeneous and a regular exchange of information and good practices between policy areas is still missing.

Strategic approach

The importance of an adequate strategy, a well-structured definition of objectives and an appropriate planning of activities is highlighted by a high number of evaluation studies. This was due to the success deriving from their existence in certain cases, or to the negative effects resulting from the lack thereof in others. Once again, this is not a surprising message, but it stresses the validity of the strategic approach adopted by the Commission during the last few years. As in the case of management issues, even though findings and recommendations are mostly constrained to the individual evaluation subjects, this is a field where learning could possibly be applied to comparable interventions across policy areas.

Monitoring mechanisms and indicators

Another field where findings can be of use to actors working in different areas or programmes relates to monitoring. The positive contribution of a well-functioning monitoring system both for management and evaluation has been often underlined, as well as the negative consequences of badly designed monitoring instruments or indicators. The essential role of relevant, available, reliable information for an effective and efficient implementation of the Commission policies is the message common to all evaluations dealing with this issue. According to the *Strategic evaluation of the management methods of programmes*, monitoring efforts should also include performance measurement system for the management of programmes.

2. LESSONS LEARNED AND USE OF EVALUATION FINDINGS PER POLICY AREA

2.1. Strategic and cross-cutting evaluations

According to the Communication on Strategic Evaluation, this kind of evaluations, decided in the framework of the Annual Policy Strategy, cover cross-cutting issues that are of interest to several Commission services. Two strategic evaluations were completed this year:

- [Strategic evaluation of the management methods of programmes](#)
- [Strategic evaluation of approaches to integrating sustainability into Community policies](#)

Some other studies covered several policy areas. However, horizontal evaluation projects are still quite an exception in the Commission's evaluation system.

2.2. Economic and Financial Affairs

Lessons learned and use of evaluation findings in decision-making

The external evaluation of the "euro-one currency for Europe", reported in the Annual Evaluation Review 2003, produced some 58 recommendations, of which 20 are strategic in nature and 38 focus on general management issues. At the time of the Communication on the New Campaign on the Euro and EMU (COM(2004)552 final of 11.08.2004), one quarter of the recommendations were in application and a similar proportion were considered to be of low priority or unrealistic. Implementation of the outstanding recommendations is dependant either on decisions taken at the level of the Commission (11

recommendations) or have to be discussed with the Member States with a view to including them in future partnership agreements with the Commission as these are established (18 recommendations).

The SME Guarantee Facility (SMEG), European Technology Facility Start-up Facility (ETF SU) and Seed Capital Action (SCA) were the subject of an external evaluation in 2004, in the context of an evaluation of the MAP (Multi-Annual Programme for Enterprise and Entrepreneurship 2001-2005), launched by DG Enterprise.

In general, the evaluation is very positive concerning the financial instruments. It concludes that SMEG Facility and ETF SU have made a major contribution to improving the financial environment for business as instruments of a public policy supporting access to finance for SMEs. The evaluators consider that the financial instruments are efficiently implemented through the "chain" consisting of DG Enterprise-DG Economic and Financial Affairs-European Investment Fund (EIF). The report confirms that the "no-one-size-fits-all" approach taken is appropriate: both the venture capital and the guarantee instruments can be easily adapted to different and evolving market conditions and are in general coherent with national and regional schemes. Both instruments demonstrate clear European added value which is both quantitative and qualitative:

- quantitative: they have allowed financial intermediaries to take more risk though investing (ETF-SU) and guaranteeing (SMEG) larger volumes;
- qualitative: MAP support and EIF signature have given "legitimacy" to funds supported and to some extent to SME final beneficiaries (ETF-SU), and helped micro-enterprises to become "bankable" (SMEG Micro-credit)

The evaluation judged that the Joint European Ventures programme (JEV) did not contribute to the objective of improving the financial environment for business and recommended that it should be closed (the instrument was terminated for new applications at the end of 2004).

The main recommendations for the current MAP concern the issue of visibility of the Community support. It is felt that there is a need to promote the "MAP brand" (alongside that of the EIF) with financial intermediaries, national financial and business organisations in order to enhance the visibility of these Community financial instruments. It is also recommended to keep the Seed Capital Action in any successor programme, but to further open its scope to venture capital funds in which the European Investment Fund has not invested.

The evaluators also recommend the closing of a few sub-programmes (ICT, business incubator) for which there has been little demand. The evaluators recognise that such a closing requires changes to the legal base (Council Decision), and therefore recommend implementing this in the context of a possible MAP successor programme.

Evaluation projects completed in 2004

ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
01 02	Economic and monetary Union	
01 03	International economic and financial questions	
01 04	Financial operations and instruments	• Final evaluation of the Multi-annual programme for enterprise and entrepreneurship, and in particular for small and medium-sized enterprises (SMEs) (2001-2005) (MAP) • Ex-ante evaluation/Impact Assessment of the Support Programme for Competitiveness and Entrepreneurship (PACE)

2.3. Enterprise

Lessons learned and use of evaluation findings in decision-making

The evaluations completed in 2004 confirm the relevance and value of some of DG Enterprise's activities. The final evaluation of the *Multi-annual programme for enterprise and entrepreneurship, and in particular for small and medium-sized enterprises* confirmed that it was effective and had notably facilitated the access to financial resources for over 160,000 European SMEs. This evaluation was also designed from the outset to be forward looking, and has provided useful input into the design of the proposed *Competitiveness and Innovation Programme*. The final Evaluation of the *IDAII programme* very clearly confirmed this programmes added value - finding that it is partly due to this programme that Europe's performance in terms of interchange of data has improved considerably over the past ten years; especially in the area of economically efficient data interchange - this is a significant endorsement of such a programme. The evaluation of the *Trans-Atlantic Business Dialogue (TABD)* demonstrated that the newly refurbished TABD has incorporated the best bits of the old one while updating the structural characteristics that hindered its earlier years. Enterprise's 2004 evaluations have also clearly resulted in policy orientations. The MAP evaluations contribution to its far more wide-ranging proposed successor has already been mentioned, but there are many other examples.

The evaluation of the application of the *Lifts directive* has provided wide ranging input on further policy orientations in this area – such as the borderline between modernisation of a lift and the installation of a new lift, and of the status of fire and safety equipment – and especially in regard to the considerations around the need for amending the directive. The evaluation of the *Communication on the State of the Competitiveness of the forest-based and related industries in the EU* (the first Commission evaluation of the impact of a Communication) found that while it put the sectors “on the map” it could have been more effective if it had been better focused, and came up with many suggestions of how this more effectively via a new Communication, if one is proposed.

The findings and recommendations of the evaluations were robust and were often aimed at improving the way they are operated and managed, which will certainly result in an increased efficiency. In addition to those examples already mentioned that include recommendations in this field it is worth highlighting the evaluation of the *European Observatory for SMEs*. This showed that the quality of its output leaves noticeable room for improvement and its impact and cost effectiveness are unsatisfactory, and therefore came up with many ways to improve the situation.

Evaluation projects completed in 2004

ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
02 02	Encouraging entrepreneurship	• Interim evaluation of the European Observatory for SMEs • Final evaluation of the Multi-annual programme for enterprise and entrepreneurship, and in particular for small and medium-sized enterprises (SMEs) (2001-2005) (MAP) • Final Evaluation of the IDAII programme • Ex-ante evaluation/Impact Assessment of the Support Programme for Competitiveness and Entrepreneurship (PACE)
02 03	Research - Promoting innovation and change	

02 04	Getting still more from the internal market	• Extended Impact Assessment to support a Commission proposal for a European Parliament and Council Regulation on Medicinal Products for Paediatric Use • Ex-post evaluation of the Lifts Directive (95/16) • Ex post evaluation of the Communication on the State of the Competitiveness of the Forest-based and Related Industries in the EU (COM (1999) 457 FINAL) • Ex-ante evaluation of the new legal basis for Standardisation policy • Extended impact assessment for the review of the Directives 75/106/EEC and 80/232/EEC (Making-up by Weight or by Volume of Certain Pre-packaged Products)
02 05	Competitiveness and sustainable development	• Interim evaluation of the dialogue with Third Country administrations and industries (TABD)

2.4. Competition

Lessons learned and use of evaluation findings in decision-making

Policy reviews and legislative projects in DG COMP are regularly subject to far-reaching consultations with MS and other stakeholders, as well as internal “check and balance” procedures. The extended impact assessment regarding the rescue and restructuring guidelines which was imposed at a relatively late stage brought therefore only little value added to the review process. This experience confirms DG COMP’s practice to select evaluation projects carefully to ensure they create real value added in the decision making process.

Evaluation projects completed in 2004

ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
	Control of State aid	• Extended impact assessment of the Revision of the Community guidelines on State aid for rescuing and restructuring firms in difficulty
03 02	International Cooperation	
03 03	Mergers, Antitrust and Market Liberalisation and Cartels	

2.5. Employment and Social Affairs

Lessons learned and use of evaluation findings in decision-making

a) Employment and ESF

The results of the *Ex post evaluation of ESF operations 1994-1999 and the Employment and Adapt Community Initiatives* show a real impact on the conditions for access to employment of priority target groups and sectors, in improvements in the capacity to establish and develop long-term partnerships and projects, in monitoring systems and in the emergence of an evaluation culture. The Community Initiatives have generated a whole series of key innovations by involving new players and partners. The measures have had

a positive net impact on those groups experiencing the greatest difficulties on the labour market, in particular by promoting equal opportunities and mobilising partners' resources.

In future, procedures should be made less complex. Measures could have had a greater impact if the financial resources had been more efficiently concentrated on the target groups for each objective. The contribution to the transnational dissemination of know-how was rather modest.

The Horizontal Evaluation of the Development of Local Employment identified a number of factors of relevance to the programming and implementation of future employment projects at local level. Community action in this field is borne out by the growing interest in local employment policies. The variety of mechanisms employed (political framework, programmes) demonstrates the substantial support they provide to measures at local level. Expanding local employment policies spawn new responsibilities for the players involved, in particular new decentralised forms of cooperation. Recommendations were made to local players, the Member States and the Commission. The evaluation reveals that, if greater attention had been paid to the circumstances of the activity and the human environment at local level, the main advantage would have been the simplification of the eligibility criteria and above all the elimination of discrimination between the regions, bearing in mind the status of the latter with regard to the Structural Funds. In addition, the evaluation reports on local employment have shed light on the fact that the absence of evaluation instruments at this level is an obstacle to improving the approach to local employment development. The Commission departments would like a more in-depth evaluation of this type of programme, and this would mean, among other things, that improvements should be made to the monitoring and compilation of statistics at local level.

The first interim report on the evaluation of IC EQUAL acknowledged the validity of the programme strategy. The conclusions and recommendations available at this stage highlight the importance of making an accurate diagnosis as a key factor for a lasting impact and, for the purposes of innovation, the need to pay greater attention to the quality of and access to employment and to better targeting of activities. The shared understanding of the principles underlying EQUAL could be deepened, particularly as regards participation, decision-making, access to rights, innovation (experimentation, evaluation and monitoring processes), mainstreaming and closer links between thematic groups at national and Community level. The conclusion of transnational cooperation agreements has sometimes been delayed by the lack of synchronised progress in the programmes. A lesson to be drawn from the IC EMPLOI, ADAPT and EQUAL evaluations and borne out by other evaluations of local partnerships, is that longer periods should be set so as to establish the partnership agreements on a sound footing and to develop the strategies. Opinions differ on the appropriate length of these periods.

The projects 'Adaptation to the new economy in the framework of the Social Dialogue' (2001) have supported a wide variety of innovative activities at local and regional level and significant efforts were made to include stakeholders in project activities. Despite the local mobilisation, the evaluators conclude that the mainstreaming impact for the programme at national level has been limited for two reasons: the call's broad scope (five priority areas) has led to a lack of 'critical mass' and small scale projects find it difficult to feed their work into national level processes (vertical mainstreaming).

Main recommendations were on

- i) a need for improved information flows to support mainstreaming of project results;
- ii) a narrower scope for innovative actions in order to increase potential impact;
- iii) improvement of project quality;
- iv) project promoters should pay more attention to dissemination activities and the involvement of stakeholders.

b) Organisation and working conditions

Evaluation of the transposal into national law of the practical measures taken to implement the Health and Safety Directives (Directives 89/391, 89/654, 89/655, 89/656, 90/269 and 90/270).

The results of the evaluation stressed the need for a greater commitment to remedy shortcomings noted, an approach that would bring about changes likely to improve the transposal, implementation and application of the directives on health and safety. The changes proposed by this Communication will help to give more tangible meaning to health and safety at work for all workers and to increase firms' productivity. This measure

will be the focal point of the priorities for the consolidation of the Community acquis, as provided for in the Social Policy Agenda for the coming years.

c) Promotion of an inclusive society

Programmes to further an inclusive society and to combat discrimination have encouraged the development of increasingly integrated approaches, not only at the different Community levels but also beyond the borders of the Union. The programme appears as a framework for legislations to tackle the various types of discrimination. Thus it appears that the programme could have been much more effective and had greater impact if it had been better synchronised with the cycles for transposing the relevant directives.

The interim results of the evaluation of the four DG Employment programmes in the social field have contributed to the ex-ante evaluation of the new PROGRESS programme.

d) Promotion of equal opportunities

Evaluation of the Community action programme relating to the Community Framework Strategy on Gender Equality (2001-2005), launched in 2002 and due to expire in 2006, has produced an interim report, the findings of which have been submitted to the other institutions: SEC(2004) 1047 "Interim evaluation Report from the Commission to the Council, the European Parliament, the European Economic and Social Committee and the Committee of the Regions on the Programme relating to the Community Framework Strategy on Gender Equality 2001-2005".

The programme has been extended until 2006, when it will be incorporated into the PROGRESS programme.

Also in the field of gender equality, an ex ante evaluation in 2004 of the proposal to set up a Gender Institute concluded that it was worth establishing such a body.

Evaluation projects completed in 2004

ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
04 02	Employment and European Social Fund	• Evaluation of the Art. 6 Social Dialogue • Ex post evaluation 1994-1999 of ESF operations under Objectives 1, 3, 4 and under the Community Initiatives Employment and Adapt • Horizontal evaluation of Local Employment Development • Evaluation of the Preparatory Measures for Local Commitment for Employment 2001
04 03	Work organisations and working conditions	
04 04	Promoting an inclusive society	• Evaluation of the European Year of People with Disabilities
04 05	Equal opportunities for women and men	• Ex-ante evaluation of the gender institute
Cross-cutting for all activities in the policy area 'Employment and Social Affairs		• Ex-ante evaluation of the Community Programme for Employment and Social Solidarity (PROGRESS)

2.6. Agriculture and Rural Development

Lessons learned and use of evaluation findings in decision-making

Rural development

As for 2003, the most important results for 2004 have been achieved in the field of rural development policy. Related evaluation studies were planned in view of providing information in time to the debate on rural development policies for the next programming period (2007-2013).

The work carried out in 2004 covered particularly two main points:

- Could the LEADER method be mainstreamed and, if yes, how?
- What are the lessons from the current programming period?

The main results of these studies were:

- The governance mode of LEADER has a real value added, increasing the effectiveness of actions. The LEADER approach can be applied in all contexts and with all measures. In view of mainstreaming of LEADER, a wider and more flexible approach in EU legislation has to be pursued. The EU and the Member States have to provide for the necessary support structure (observatory, networks) and incentives for rural actors.
- The range of supported Rural Development measures is all in all wide and flexible enough to meet Member States' needs. RD programmes have had a positive impact with respect to a variety of economic, environmental and social objectives. However, effects are more visible at the micro level than at the macro level, partly due to the limited budgetary size of programmes.
- In a number of cases, the effectiveness of programmes could have been improved by better programming and more precise targeting of individual measures to beneficiaries. A number of national evaluations suggest giving RD policy a wider rural focus by including more non-agricultural actors and beneficiaries. Moreover, there is clear potential to increase the effectiveness of programmes by simplification and streamlining administrative provisions.

Along the same line, the main conclusions of the Extended Impact Assessment (EIA) were that the future rural development policy should focus on thematic priorities, namely the "competitiveness of the agricultural sector", "environmental preservation and land management", and "wider rural development". A second element that came out of the EIA was the need for improving the instruments for the delivery of policies with an increased co-operation between European, national, regional, and local authorities and an increased interaction of public partners. A clearer target setting and well defined strategies linking objectives and means should help to better achieving the objectives at the EU, national and regional level.

It was seen necessary to improve the assessment of policy outcomes and the accounting for the money spent on rural development policies. Furthermore, the EIA called for a simplification of policy implementation, by moving towards a single funding and programming system, and establishing a more clear demarcation of responsibilities between Member States and the Commission.

The EIA examined 3 policy options for achieving the objectives and the Commission finally opted for a more strategic approach, based on the above-mentioned three thematic priorities and the mainstreaming of LEADER as a 4th methodological priority.

Market policies

- In the field of market policy, the decision making process had identified urgent information needs for the considered reform of the wine sector. In this respect, an evaluation study was finished in December 2004; the main results can be summarized as follows: There is still a structural surplus of supply in the wine sector, also in years with normal harvests.
- The increase of the surplus after 1995 follows a reduced use of the premium for permanent abandonment and allocation of new planting rights.
- The planting rights measures and the various distillation measures are considered as ineffective in the presence of a structural surplus since they provide income support and thus maintain production capacity in the sector. Furthermore distillation is not a cost-effective instrument, since calculations show that

“proactive” measures like prohibition of new plantings and aid for abandonment of vineyards are more cost-effective than “reactive” instruments.

- Measures relating to external trade contributed in particular to support the low-price market segments by supporting internal prices. Aid to private storage is judged as an effective instrument to stabilise markets in situations of abundant supply in the short term.
- Regulatory measures (oenological practices, quality wine regime, labelling rules) have positive impacts in guaranteeing standards and thus protecting consumers. But more flexibility is needed for adapting the standards in order to face increased competition from third country wines and changes in demand patterns.

Recommendations are focused to a radical reform of the CMO. Direct income support is mentioned in this context, but the evaluation does not address the implications of applying it in the context of a complex sector, such as wine, where only a part of the production is directly supported by the CMO measures.

The “green harvest” measure in years of abundant harvests is proposed to replace distillation; however more in depth analysis is needed to demonstrate its practicability.

Evaluation projects completed in 2004

ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
05 02	Plant products	• Evaluation of the Common Market Organisation (CMO) for wine
05 03	Animal products	
05 04	Rural development	• Evaluation of the methods for and success of Mainstreaming Leader Innovations into Rural development Programmes • Extended impact assessment of rural development policy post 2006 • Impact Assessment of the rural development programs in view of post 2006 rural development policy
05 05	Special Accession Programme for Agriculture and Rural Development	
05 06	External Relations	
05 07	Audit of Agricultural expenditure	
05 08	Policy strategy and coordination of policy area 'Agriculture'	• Experience acquired from the statistical survey on plantations of certain species of fruit trees

2.7. Energy and Transport

Lessons learned and use of evaluation findings in decision-making

Recurrent findings

In general, in all 12 completed evaluations, the recurrent findings are about the very high relevance, effectiveness, utility and community added value of DG TREN interventions.

This is why the successors of the ongoing programmes have been highly recommended, i.e. Marco Polo II, Intelligent Energy for Europe II, COSCAP.

However, some specific findings and various recommendations on how to improve the current policies and programmes have been considered. These recommendations have particularly been the following:

- Programme (procedures) simplification:

For some programmes managed by DG TREN “there is a strong need to simplify the whole programme in order to be able to manage it” (Recommendation from “Mid-term Review of the ITS Deployment Programme”). Or a need to “update and streamline the programme and project management, including more flexibility in administrative management” has been expressed (Recommendation from “Mid-term evaluation of TEN-Energy”). The Cost-Benefit of the external assessment of the externalisation of the management of the TEN has shown the added value of setting-up a TEN agency if the TEN budget is automatically increased in 2007-2013.

- Objectives and priorities

The need for a clear setting of the programme objectives and the link to the policy goal has been mentioned in some evaluations.

- Monitoring and reporting

Specific monitoring indicators are often lacking in the reporting.

- Best management practices

The need to compile and organise a “collection” of best management practices applied by Task Managers in their work of coordination and follow-up of projects, to be distributed to all the DG TREN Officers.

- Insufficient update of databases

Weaknesses in the continuous updating of the projects database, especially as regards the completed projects, cause difficulties in monitoring and evaluation.

- Communications and disseminations of results

There is room for improvement in access to the results and communication of results/activities across all projects.

Follow-up

Some actions have been taken to ensure the follow-up of the recommendations expressed in the evaluations. For example: the minimum size of projects (in order to avoid the projects of too small scale); some better defined and clearer calls for proposals (in which objectives and monitoring indicators are part of the applications); an improved dissemination of results through all available means (INTERNET, specialised press etc.); reduction of 15% of the budget planned for CIS road projects in the multi-annual indicative programme for TEN.

Further actions are to be taken to ensure the update of databases.

Role in decision-making

In 2004, some evaluations have played a key role in decision making, above all in the framework of the new financial perspective 2007-2013.

Thanks to the contributions provided by the ex ante evaluations for *MARCO POLO II* and for the *Intelligent Energy for Europe II* (the last one not yet approved), a better definition of the new programmes has been possible.

Furthermore, the evaluation of the COSCAP programme has made it possible to pursue or to reorient similar initiatives in other countries.

The results of the evaluation now condition the decision to continue or stop a specific activity.

The operational services are now attentive to their need to get results of evaluations in time to be used for the decision-making.

The Internal Network is now a bridge between the evaluation function and the operational services downstream to assure the communication and to inform the services of the evaluation tool at their disposal.

Evaluation projects completed in 2004

ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
06 01	Administrative expenditure of policy area 'Energy and Transport'	• Evaluation of the information and communication activities of the European Commission's Directorate-General for Energy and Transport
06 02	Inland, air and maritime transport	• Ex post and mid-term evaluation of cooperative development of operational safety and continuing airworthiness programme (COSCAP) • Ex post evaluation of some actions funded under the sustainable mobility policy • Ex post evaluation of some actions funded under the transport safety policy • Ex ante evaluation of Marco Polo II (2007-2013)
06 03	Trans-European networks	• Mid-term review of the ITS (Intelligent Transport System) Deployment programme (TEMPO) within the multi-annual indicative programme • Mid term evaluation for the revision of the Multi-annual Indicative Programme of the Transeuropean Transport Network (Phase I) • Mid-term evaluation of the Transeuropean Network for Energy Projects • Cost-Benefit Assessment of the Externalisation of the Management of Community Financial Support to the TEN-T Networks (2007-2016)
06 04	Conventional and renewable energies	• Evaluation of the Campaign for Take-off of rational use of energy (CTO Assessment) • Impact assessment of Altener projects • Ex ante evaluation of Intelligent Energy for Europe II (2007-2013)
06 05	Nuclear Energy	
06 06	Research related to energy and transport	

06 07	Safety and protection of energy and transport users	
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2.8. Environment

Lessons learned and use of evaluation findings in decision-making

The revised internal evaluation policy aims to improve the use of evaluation recommendations in the decision-making process and to reinforce the evaluation culture within the DG. Timely planning ensures that the results are available in plenty of time for decision-makers to incorporate findings into the policy process.

DG Environment is moving to a more systematic evaluation of policies. This was reflected in the 2004 evaluation plan. The following evaluations were deemed useful for future orientation, but were not required by legislation:

- Evaluation of the role of EMAS and Eco-Label in fostering sustainable production and consumption
- Evaluation of the IMPEL network
- Value for Money Evaluation of the Wildlife Trade Support Service Contract

Moving away from conducting programme evaluations to a broader policy focus meant that a more thorough inventory of policy evaluation needs had to be made. A snap-shot of evaluation requirements in environmental legislation was prepared in mid-2004.

Evaluation projects completed in 2004

ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
07 01	Administrative Expenditure of policy area 'Environment'	• Evaluation of the "Wildlife Trade Support Service" provided by UNEP-WCMC to the European Commission
07 02	Global environmental affairs	
07 03	Environmental programmes and projects	• Mid-Term Evaluation on the Implementation of the Framework for Cooperation in the field of Accidental or Deliberate Marine Pollution
07 04	Implementation of environment policy	• Impact Assessment: Integration of environment into standardisation • Impact Assessment: Financing Natura 2000 • Impact Assessment: Environment & Health • Impact Assessment: INSPIRE • Impact Assessment: Thematic Strategy on the Sustainable Use of Pesticides • Impact Assessment: Mercury Strategy
07 05	Development of new policy initiatives	

2.9. Research

Lessons learned and use of evaluation findings in decision-making

The breadth of evaluation activity and reports makes it difficult to single out one study or set of findings. However three highlights from the year are the Five-Year Assessment (1999-2003), the evaluation of the effectiveness of the new instruments under the 6th Framework Programme and the 2003 Monitoring exercise.

The main conclusion of the Five Year Assessment, in terms of the assessment of previous activities, was that the EU Research Framework Programmes have played an important role in developing the European knowledge base over the period of the review; have corrected some of the deficiencies in the European RTD landscape and have contributed significantly to bridging the gap between RTD and innovation. The report noted examples of areas in which Community research had been instrumental in strengthening European capabilities. It also emphasized the strong interest from industry, universities and research organisations. Furthermore, it was noted that the Framework Programmes have played an important part in the generation and diffusion of new knowledge and the formation and reinforcement of inter-organisational networks, both amongst European players and including players in Associated States. The panel noted that every evaluation report reviewed in the course of its work, whether at Community or Member State level, had consistently emphasised the significant additionality and European added value for the Framework Programmes. The Five-Year Assessment Panel argued that the EU and the Member States together must take coordinated actions to meet four key challenges: attract and reward the best talent; create a high-potential environment for business and industrial RTD; mobilise resources for innovation and sustainable growth; build trust in science and technology. A series of specific recommendations to achieve this was proposed.

The Marimon Report on the effectiveness of the new instruments under the 6th Framework Programme produced main findings and recommendations as follows: the new Instruments' objectives are valid, in particular regarding the objective of contributing to the achievement of the European Research Area; there is a need for continuity in terms of the set of instruments available for implementing the thematic priority areas; and there is a need to simplify and improve the implementation modalities of instruments, in particular the administrative and financial rules and procedures.

Following the 2003 Monitoring, the Panel concluded that the Commission had achieved notable results in terms of efficient handling of the transition from FP5 to FP6; launching a large number of calls that successfully attracted a huge number of proposals; executing these proposals in a faster time than the first year of FP5; maintaining a high standard of evaluation. The Monitoring panel recommended that DGs involved with Framework Programmes should revise their objective/ indicator systems to support evidence-based reporting of programme management and 'light touch' monitoring; an analysis should be prepared for future monitoring exercises showing proposal-related workflows per activity area; the focus of monitoring should shift from efficiency towards effectiveness as FP6 progresses; and that the dissemination of research results to different communities should be improved.

Major importance is attached to the processes of following-up and where appropriate acting on the recommendations made in evaluation exercises.

During 2004, this was in particular illustrated by the formal Commission response that was given to the evaluation of the effectiveness of new instruments under the 6th Framework Programme, the corrective measures taken following the panel recommendations and the subsequent written follow-up or monitoring of corrective measures. The formal Commission response to this year's Five-Year Assessment (1999-2003) is expected after the presentation of the proposals for the 7th Framework Programme. In addition, a rigorous process of reply and follow-up at Commission services level is used for the Monitoring exercise including this year a link with the follow up of the Marimon Report, the Action plan on Rationalisation and Acceleration of the implementation of the 6th Framework Programme adopted in November and the preparation of the Annual Management Plan 2005.

The ongoing ex ante Impact Assessment of the proposals for the next framework programme has by its very nature provided a major input to the preparation of these proposals. It has taken into account substantial contributions from services including around a dozen individual reports or studies. Major input to the Impact Assessment exercise has also been provided by the Five-Year Assessment (1999-2003) and its associated studies and analyses.

At a more general level and with the aim of improving the visibility and accessibility of evaluation findings, work has been progressing on a database of evaluation reports and other related information sourced both from within the Commission and from Member States. An early version of this information system was used to create the database of reports and documents used for the Five-Year Assessment. The system is expected to be fully operational in 2005.

Evaluation projects completed in 2004

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	• Environmental impacts of RTD. Contribution to the Extended Impact Assessment of FP7
08 07	Citizens and governance in a knowledge-based society	• Mid-term assessment of Foresight activities (implemented by EU indirect actions under FP5 and FP6) • Social impact of RTD Contribution to the Extended Impact Assessment of FP7
08 08	Specific measures covering a wider field of research	
08 09	Strengthening the foundations of the European Research Area	• Mid-term assessment of Foresight activities (implemented by EU indirect actions under FP5 and FP6) • Evaluation of the effectiveness of the 6th Framework Programme New Instruments
08 10	Structuring the European Research Area	
08 11	Research and training actions pursuant to the Euratom Treaty	
08 12	Completion of previous framework programmes and other activities	• Impact evaluation of the control of infectious diseases Key Action in the Fifth Framework Programme of Research • Assessment of the impact of the actions completed under the 3rd and 4th Community Framework Programmes for Research; survey for the Five Year Assessment of Community research activities (1999-2003) • Analysis of genomic research funded in FP5

08 81	Policy strategy and coordination for DG RTD	• Assessment of the implementation and achievements of Community research activities (1999-2003) – Five-Year Assessment • Impact Assessment of the S&T agreement concluded between the European Community and the Government of the People's Republic of China
Cross-cutting for all activities in the policy area 'Research'		• Assessment of the implementation and achievements of Community research activities (1999-2003) – Five-Year Assessment • Annual Monitoring of the Implementation of the 4th, 5th and 6th EC and EURATOM Framework Programmes in 2003

2.10. Information Society

Lessons learned and use of evaluation findings in decision-making

The 5-year assessment of IST-RTD has combined evidence-based evaluation, a high-level Panel's reflections and wide consultation with all stakeholders in new ways. The extensive consultation with stakeholders, notably those in the Member States associated with programme management has strengthened the ownership of findings and recommendations by all those that will be involved in decision-making on the 7th Framework Programme. We believe this will increase the impact of the evaluation and facilitate decision-making.

Particular attention has been focused on the effectiveness of the Open Method of Co-Ordination in Implementation of the eEurope 2005 Action Plan. The final evaluation of the support programme (PROMISE) was carried out in 2003, and the findings were communicated to the Council and Parliament in 2004². The findings were reflected into the implementation of the MODINIS follow-up. This evaluation has been complemented by a study of the effectiveness of the different elements within the Open Method of Co-ordination. The study concluded with a consultative conference in December 2004 and the findings will be published in early 2005. This will allow the follow-up to the eEurope Action Plan to be more effectively implemented.

An extended Impact Assessment of options for mid-term re-orientation of the eEurope 2005 Action Plan was carried out in 2004, and accompanied the Commission's proposal for modest re-focusing of the Action Plan.

Evaluation projects completed in 2004

ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
09 02	Electronic Communications Policy	
09 03	eEurope	• The Intermediate Evaluation of the eTEN (formerly TEN-Telecom) Programme
09 04	Research and technological development on information society policy	• RTD in Information Society Technologies – Five-Year Assessment: 1999-2003

² Communication to be adopted in June 2005.

2.11. Direct research

Lessons learned from evaluation and use of evaluation findings in decision-making

Besides the main conclusions of the 5YA, there was one key lesson that was drawn as a result of other activities in support of evaluation or evaluations at Actions level (which are by definition excluded from the forms to be filled for the evaluation review 2004):

The JRC operates in an arena that is different from other Commission services in many regards:

- There are no standard cost-benefit model that could be applied to the operation and the evaluation of the JRC's activities.
- The JRC implements its work programme with roughly one hundred Actions, which in turn support Commission policies
- The impact area of the JRC's work is at the level of policy makers in a European context, not European society at large.

As a conclusion, the basic rules of evaluation, i.e. the assessment of results, effectiveness, efficiency, side-effects, sustainability etc. has to be translated into the specific JRC context. As a first step this involves the assessment of the various Actions. In order to assess the overall output of the JRC, the individual contributions have to be integrated. While measuring the output of a scientific organisation is already a challenge as such, the added dimension of measuring the impact on first policy makers and then the policies they devise represents an additional level of complexity.

The basic lesson that has emerged over the past two years is that activities have to be designed in such a way as to make them subject to meaningful evaluation. After having invested enormous efforts in the design of its indicator system allowing a better appreciation of the output of its Actions, the JRC will now take the next steps in evaluating the more remote impact areas.

Evaluation projects completed in 2004

ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
10 02	Directly financed research operating appropriations — Sixth framework programme (2002 to 2006) — EC	• Five-year assessment
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	

2.12. Fisheries

Lessons learned and use of evaluation findings in decision-making

The evaluations launched in the field of *Structural Policy and Enlargement* were used as a tool to improve the quality of the policy development process.

The findings of the “Synthesis of the mid-term evaluations of the Financial Instrument for Fisheries Guidance (FIFG) over the period 2000-2006” were also used for the reprogramming exercise and the allocation of the Performance Reserve Funds among the Member States. The conclusions of this “Synthesis” and the conclusions of the “Ex post evaluation of the FIFG for the period 1994-1999” were taken into account when drafting the ‘Proposal for the Council Regulation on a European Fisheries Fund for the period 2007-2013’ and in the framework of the Fund’s allocation exercise, thus enabling informed political judgements to be made about the new Fund.

The results of the evaluations and impact analysis carried out on current and future Fisheries (Partnership) Agreements between the European Community and Third Countries are used within the framework of the negotiation and monitoring of the agreements.

They provide useful information on the general background and fisheries of the Third Country, as well as the economic impact of an agreement on the European fleet and sector.

They also identify the possible scenarios or options and their economic, environmental and social impact, by taking into account the concerns of all interested parties.

These evaluations are carried out on the basis of Commission standards and involve a large number of Commission services involved directly or indirectly in the negotiation and management of fisheries agreements. The Commission prepares its decision on the possible renewal or conclusion of a Fisheries (Partnership) Agreement on the basis of the evaluation results it has approved.

Moreover, the lessons learned from completed evaluations might be used to facilitate future evaluation projects and could also facilitate the coherence between the Common Fisheries Policy and other Community policies (e.g. environment and development) by identifying areas of interventions and critical initiatives to be taken in order to ensure the viability of the sector.

Evaluation projects completed in 2004

ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
11 02	Fisheries markets	

11 03	International fisheries	• Ex-ante evaluation of the proposal for the negotiation and conclusion of a new Fishery Protocol to the EC/Madagascar Fishery Agreement (2004/06) and of a new Fishery Protocol to the EC/Mauritius Fishery Agreement (2004/07) • Interim/ex post evaluation of the current Protocol to the Fisheries Agreement between the European Community and Angola, and analysis of the impact of the future Protocol on Sustainability, including ex ante evaluation • Interim/ex post evaluation of the current Protocol to the Fisheries Agreement between the European Community and the Republic of Cape Verde, and analysis of the impact of the future Protocol on Sustainability, including ex ante evaluation • Interim/ex post evaluation of the current Protocol to the Fisheries Agreement between the European Community and the Republic of Ivory Coast, and analysis of the impact of the future Protocol on Sustainability, including ex ante evaluation • Interim/Ex post Evaluation of the Current Protocol to the Fisheries Agreement between the European Community and the Republic of Saõ Tomé and Príncipe, and Analysis of the Impact of the Future Protocol on Sustainability, Including Ex Ante Evaluation • Ex-post evaluation of the Protocol to the EC/Seychelles Fishery Agreement and impact assessment of the future Protocol on Sustainability, including an ex ante evaluation • Ex-post evaluation of the Protocol to the EC/Comoros Fishery Agreement and impact assessment of the future Protocol on Sustainability, including an ex ante evaluation • Impact Assessment/Ex-ante Evaluation of possible Fisheries Agreements between the European Community and Solomon Islands, Federated States of Micronesia and Cook Islands
11 04	Governance of the Common Fisheries Policy	
11 05	Fisheries research	

11 06	Structural interventions for fisheries	• Synthesis of the mid-term evaluations of the Financial Instrument for Fisheries Guidance (FIFG) over the period 2000-2006 • Ex post evaluation of the Financial Instrument for Fisheries Guidance (FIFG) for the period 1994 - 1999 • Extended impact assessment and ex ante evaluation of the Proposal for a Council Regulation on a European Fisheries Fund for the period 2007-2013" (COM (2004) 497 final)
11 07	Fisheries conservation, control and enforcement	• Study on the impact and feasibility of the setting up of a Joint Inspection Structure based on a Community Fisheries Control Agency

2.13. Internal Market

Lessons learned and use of evaluation findings in decision-making

The increasing number of evaluation activities as well as the growing interest in the reports and not least the striving for higher quality require better (resource) planning in this area in the future. To make the evaluation process as efficient as possible the exercises need to be well-defined (purpose, objective, scope, etc.). Such a clear outline of the individual evaluation should not result in narrowing the focus of the evaluation but rather in ensuring that all possible impacts/effects are being considered. To this aim open, pro-active discussions should be conducted already in the preparatory phase.

EIA reports prove increasingly fruitful in substantiating the discussion of proposals with stakeholders, the Council and the European Parliament. The presentation of however limited data in the EIA seems to encourage stakeholders to intensify their efforts to substantiate their own position with data. This reaction should be seen as a positive development as it contributes to a more objective, fact-based discussion away from "opinion-based" discussions.

Evaluation projects completed in 2004

ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
12 02	Policy strategy and coordination for the Directorate-General for the Internal Market	• Impact assessment of an e-procurement action plan
12 03	Internal market for goods and services	• Impact assessment of a Proposal for a Capital Requirements Directive • Extended impact assessment of the proposal for a Directive of the European Parliament and of the Council amending Directive 98/71/EC on the Legal Protection of Designs
Cross-cutting for all activities of policy area 'Internal market'		

2.14. Regional Policy

Lessons learned and use of evaluation findings in decision-making

The main lessons from the ex-post evaluations of Interreg II and RIS/RISI will be used in the design of programmes in the new round of Structural Funds 2007-2013. Recommendations and lessons learned from Interreg II will be used for the future objective "European Territorial Cooperation", and RIS/RISI for "Regional competitiveness and employment".

With a view to improving the implementation of the Cohesion Fund and building capacity, especially among the new Member States, the evaluation of the sample of Cohesion Fund projects will be publicised. The Commission will encourage exchange of experience across all Cohesion Fund Member States. In order to launch a debate on the detailed recommendations and implementation, the report was presented to all Member States concerned in November and this process will continue into 2005.

The mid term evaluations were used mainly by managing authorities, monitoring committees and implementing bodies in the Member States. They generally had a strong impact in improving implementation systems, particularly the further development of systems of indicators, implementing horizontal priorities and improving project selection criteria. An update of the mid term evaluation is required by the end of 2005 and the Commission has recently produced guidance on the content of the update. The guidance takes account to the greatest extent possible of the strengths and weaknesses of the mid term evaluation identified in the meta evaluation.

Evaluation projects completed in 2004

ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
13 02	Policy strategy and coordination	
13 03	European Regional Development Fund and other regional interventions	• Ex post evaluation of the Interreg II Community Initiative (1994-1999) • Ex post evaluation of innovative actions RIS/RISI • Meta-evaluation of the mid-term evaluations and reviews of Objective 1 & 2 programmes
13 04	Cohesion Fund	• Ex post evaluation of a sample of projects co-financed by the Cohesion Fund
13 05	Pre-accession interventions related to the structural policies	
13 06	Solidarity Fund – Management	

2.15. Taxation and Customs Union

Lessons learned and use of evaluation findings in decision-making

Evaluations have been published on the DG's website and some have been the subject of a press conference.

The main conclusions from the evaluations conducted spell out the various benefits of better coordination between Member States on tax matters.

- A lack of tax policy coordination causes business groups with bases in different Member States substantial administrative costs.
- The VAT exemptions, allowed by the Sixth Directive in exceptional cases, apply on more than 30% of the tax base.
- A number of highly political criteria must be taken into account when any proposal to create a Community tax is put forward.

The recommendations and conclusions from the evaluations carried out by the DG have provided arguments in support of legislative proposals. However, given the politically highly sensitive nature of the results of evaluations, they have yet to justify substantial changes in Community legislation in the tax field where decisions require unanimity.

Evaluation projects completed in 2004

ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
14 02	Policy strategy and coordination for Directorate-General 'Taxation and Customs Union'	• Tax-based EU own resources: An assessment
14 03	International aspects of taxation and customs	
14 04	Customs policy	
14 05	Taxation policy	• VAT indicators • European Tax Survey

2.16. Education and Culture

Lessons learned and use of evaluation findings in decision-making

Lessons learned

The following lessons have been learnt from the outcome of recent evaluations and have been applied in 2004 or taken into account for the conduct of evaluation activities in 2005:

- *Planning—the earlier and the more far-reaching, the better:* A more rigorous, participatory and ambitious approach to multi-annual evaluation planning was adopted in 2004, compared to previous years. The planning horizon was extended to 2010, the start of the planning exercise moved forward to the middle of the year, and an exhaustive analysis performed, in collaboration with the evaluation network, of the DG's legal obligations, work-programme and strategic needs. The main strands of the 2005 plan were approved by top management at an early stage, with subsequent approval of the priority to be accorded to each evaluation after taking into account resource constraints, legal requirements, political importance, and main uses foreseen.
- *Objectives and indicators must be systematically formulated and backed up by an appropriate monitoring system:* In 2003, the evaluation sector noted the difficulties experienced in evaluating programmes with over-general or vague objectives, weak indicators, and a minimal monitoring system. Based on this experience, the impact assessment reports on the new, post-2006 major programmes, completed in 2004, contain better formulated objectives, each systematically accompanied by one or more verifiable indicators. The proposed indicators have been well received, in general terms, during initial discussions with the Member States, and work will continue in 2005 on refining the choice of indicators and ensuring that the monitoring system for the new programmes is able to provide the data required.

- *Tendering needs to be streamlined:* Although the quality of tenders received for evaluations launched in 2004 has been high, and despite the use of standard terms of reference, the tendering process places a heavy burden on the departments concerned. With this in mind, and as the mid-term evaluation requirements for the DG can be predicted with reasonable certainty, work began on preparing a framework contract to cover the ex post evaluations of the current major programmes (to take place in 2007) and the intermediate evaluations (in 2010) of the proposed successor programmes.
- *Quality control must be exerted at each stage of an evaluation by everyone involved to help ensure the quality of the final report:* The more effort put into ensuring that terms of reference are of high quality, that contractors are selected on the basis of significant evaluation experience and expertise, that steering group meetings are focused, and that inception and interim reports are well-argued and evidence-based, the greater the likelihood that the final report will be of good quality and contain useful and practical recommendations. As well as taking this step-wise approach to quality assurance throughout the year, the evaluation sector has encouraged all concerned to be more sceptical at tender evaluation stage, to pay closer attention to methodological questions at the outset of an evaluation, and to be more demanding, in their dealings with contractors, when it comes to assessing the quality of evaluation reports.

Use of evaluation in decision-making

As described in section 2.15 of Part II, a structured process of monitoring the take-up of evaluation findings and recommendations has been followed, since late 2003, for intermediate and ex post evaluations. By the end of 2004, a dozen action plans had been approved and two progress reports produced. The system will be reviewed in the first half of 2005, and will take into account the findings of a Commission-wide study on the use made of evaluations.

2004 witnessed the adoption in July of proposals for new programmes, after 2006, in the fields of lifelong learning, the audiovisual sector, culture and youth. The proposals drew on the findings of a slate of intermediate and ex post evaluations, studies and consultations, consolidated in the form of impact assessment / ex ante evaluation reports.

Evaluation projects completed in 2004

ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
15 02	Education	• Ex post (Erasmus, 1987-1994, and Socrates I Erasmus, 1995-2000) and intermediate (Socrates II Erasmus, 2000-2006) evaluation of the institutional and national impact of Erasmus • Interim evaluation of the Comenius Networks (2001–2002) (Comenius III) within the Socrates II programme (2000–2006) • Intermediate evaluation of the Grundtvig action (2000-2002) of the Socrates II programme (2000-2006) • Evaluation ex post/interim of the extent to which the programmes Socrates (Socrates I, 1995-1999, and first phase of Socrates II, 2000-2006) and Leonardo da Vinci (Leonardo I, 1995-1999, and first phase of Leonardo II, 2000-2006) have achieved their linguistic objectives • Extended impact assessment, integrating ex ante evaluation requirements, of a proposal for a Decision of the European Parliament and of the Council for an Integrated Action Programme in the field of Lifelong Learning (2007-2013) • Extended impact assessment, integrating ex ante

		evaluation requirements, of a proposal for a Decision of the European Parliament and of the Council for an Integrated Action Programme in the field of Lifelong Learning (2007-2013)
15 03	Vocational training	• Evaluation ex post/interim of the extent to which the programmes Socrates (Socrates I, 1995-1999, and first phase of Socrates II, 2000-2006) and Leonardo da Vinci (Leonardo I, 1995-1999, and first phase of Leonardo II, 2000-2006) have achieved their linguistic objectives • Extended impact assessment, integrating ex ante evaluation requirements, of a proposal for a Decision of the European Parliament and of the Council for an Integrated Action Programme in the field of Lifelong Learning (2007-2013) • Intermediate evaluation of the Euroguidance Network (National Resource Centres for Vocational Guidance) (1998-2003)
15 04	Culture and language	• Ex post evaluation of activities in the field of regional and minority languages (1998-2002) • Extended impact assessment, integrating ex ante evaluation requirements, of a proposal for a Decision of the European Parliament and of the Council on a New Cultural Programme (2007-2013)
15 05	Audiovisual politics and sports	• Extended impact assessment, integrating ex ante evaluation requirements, of a proposal for a Decision of the European Parliament and of the Council for a programme of support for the European audiovisual sector (MEDIA 2007)
15 06	Dialogue with the citizens	• Ex post evaluation of the financial support granted to associations and federations of European interest (year 2000) (former line A-3024)
15 07	Youth	• Extended impact assessment, integrating ex ante evaluation requirements, of a proposal for a Decision of the European Parliament and of the Council for a "Youth in Action" Programme (2007-2013) • Evaluation of the partnership covenant on training in youth work between the European Commission and the Council of Europe (2000-2002) • Evaluation of the Euro-Mediterranean Youth Programme (EuroMed)

2.17. Press and Communication

Lessons learned and use of evaluation findings in decision-making

The evaluations carried out in 2004 were useful and were widely applied in the decision-making process.

Although evaluation in DG PRESS is still something recent (only a year's experience), the interest stimulated at all levels of management during this period by means of training programmes attuned to DG PRESS

appears to have had the effect of making people aware of its usefulness, in particular with regard to designing projects.

Accordingly, DG PRESS will put its main emphasis during 2005 on the development of indicators and benchmarks likely to help define its activities and evaluate their impact.

Evaluation projects completed in 2004

ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
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)	• Evaluation of Conventions and co-financing projects with Euronews in the period 1993-2003
16 05	Coordination of information relays and networks in the European Union	• Decentralisation of the Prince campaigns in the Representations in 2003 • Evaluation of the major information centres

2.18. Health and Consumer Protection

Lessons learned and use of evaluation findings in decision-making

- In SANCO the participatory approach, supported by the decentralised evaluation model, has provided ownership to the operational units of the evaluation process and results. The active involvement by operational management in the planning, preparation and follow-up ensures the usefulness of the evaluation results.
- Evaluations should be based on clearly specified information needs and clear expectations of the results, whereby the information is “pulled out” rather than “pushed out” from the evaluation.
- It is important to develop a medium term (~5 years) evaluation strategy and a multi-annual plan to ensure a proper timing and coverage of the evaluation needs and requirements.
- The dissemination of the results is closely linked to the aim of the evaluation, and it is useful to identify already at the planning of the evaluation who is going to use the results and how, and what information do the users (or target group) need.
- The planning and execution of ex-ante Evaluations and ex-ante Impact Assessments (of the same subjects) should be integrated as appropriate.
- It should be ensured that the required financial and human resources are available when planning an evaluation.
- It should be recognised that the evaluation process starts with the preparation of the evaluation and ends with the follow-up of the results, and the quality of the evaluation needs to be ensured from the start to the end of this process.
- It is beneficial to have a close co-operation between the DGs, by exchange of good practice and working together in evaluation Steering Groups.

Evaluation projects completed in 2004

ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
17 02	Consumer policy	• Ex-post evaluation of the consumer policy action plan 1999-2001 • Evaluation of article 2(c) of the legal base Decision no. 283/1999/EC call for projects • Evaluation of the Euroguichets – European Consumer Centres (ECCs) • Evaluation of the Food Safety Campaign • Evaluation of the EEJ-net pilot & possible merger of the EEJ-net and the Euroguichets
17 03	Public health	• The eight action programmes on Public Health (1996-2002)
17 04	Food safety, animal health, animal welfare and plant health	• Impact assessment: Control of avian influenza
17 05	Food and Veterinary Office	• Evaluation of the methodology for the prioritisation of FVO inspections on national authority performance in delivering EU standards in the food safety, animal health animal welfare and plant health sectors

2.19. Freedom, Security and Justice

Lessons learned and use of evaluation findings in decision-making

Evaluation on the EU Drugs Strategy and action plan on drugs

The future EU Drugs Strategy should contain clear and precise objectives and priorities that can be translated into operational indicators and actions in the future Action Plans, with responsibility and deadlines for their implementation clearly defined. Information systems and evaluation tools should be taken into consideration when setting these objectives and priorities.

Continued progress should be made in the availability, quality and comparability of information on monitoring the drugs situation.

Evaluation projects completed in 2004

ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
18 02	External borders, visa policy and free movement of people	• Extended Impact Assessment for the Visa Information System (VIS)
18 03	Common immigration and asylum policies	
18 04	Citizenship and fundamental rights	

18 05	Law enforcement cooperation and prevention of and fight against general and organised crime	
18 06	Establishing a genuine European area of justice in criminal and civil matters	
18 07	Coordination in the field of drugs	• Final evaluation of the EU Drugs Strategy and Action Plan on Drugs 2000-2004
18 81	Policy strategy and coordination	• Study on Evaluation of Policies and Legislation: Application of the analytical framework developed in the preliminary phase

2.20. External Relations, Development and Relations with ACP States

Lessons learned and use of evaluation findings in decision-making

Geographical Level Evaluations

The strategies are broadly consistent with Commission policy as stated in EU treaties, EU agreements and policy documents. But very often, the strategies are too much ambitious ignoring the limitations of specific instruments, the capacity of absorption of the partner countries and the limitations of the delegation to deal with new themes and additional responsibilities. The relevance of the Commission's strategy to the needs and policy framework of the partner country is generally good.

For **Lesotho, Ethiopia and Benin**, the evaluations show positive impacts in the main sectors of co-operation but with less good result in the cross-cutting issues. Co-ordination with Member States and other donors has improved and it is recommended that the Commission plays a more positive role.

For **Honduras**, the performance with regard to the realisation of objectives and the impact of co-operation was limited. Some innovative projects were very promising but the limited duration or the premature completion of several big projects threaten the sustainability of the results.

For **Mercosur**, EC assistance has invigorated and facilitated trade within Mercosur although not sufficiently to tighten commercial links between both blocs. The projects have had a positive impact both on progress in the negotiations (in particular increased Mercosur negotiating skills and technical knowledge of regional institutions) and in the effective preparation of a timetable and agenda for the Mercosur integration process.

CARDS remains highly relevant for Western Balkans countries and entities, ensures an effective linkage with the stabilisation process. Over-centralisation of CARDS could become an obstacle to programme effectiveness. Partnership in programming and in project design is a condition for assuring ownership and sustainability. In certain areas and in particular in the regional programme, lack of stakeholder involvement and lack of strategic guidance have weakened project and programme design.

The weakest part of the Commission's co-operation is the efficiency because continuous introduction of additional rules and increasing rigidity in their interpretation are making EC project support increasingly difficult to manage and increase the delay of implementation. However, evaluations report also first indications of a reverse of this trend due to the devolution process. Regular monitoring is not properly done.

Sectoral Evaluations

EC **Population** policy is internally consistent but due to the fact that cross-cutting themes and linkages between sectors are not explored or taken into account, it has failed to systematically integrate population and development issues into country strategies thus missing opportunities to enhance poverty-reduction impact.

For **Transport**, close partnerships between the Commission and government, as demonstrated in some ACP countries, enhanced the relevance of interventions and coherence with national priorities. However, even in

ACP countries, the commitment of partner governments to implementing reforms conducive to sustainable transport development has been uneven. Outside the ACP region, the Commission's lack of continuous and systematic dialogue on transport policy issues put the sustainability of its intervention at risk. The involvement of non-governmental stakeholders in the development and implementation of transport policy and projects remains limited. Few attempts have been made to develop local capacity in the sector and thereby increase employment opportunities.

The Commission **Trade Related Assistance** (TRA) has contributed to increased export performance and improved productivity of local enterprises; The sustainability of these effects are however at risk as the projects/programmes have been implemented without taking into account the existing business environment and without attempting to affect the general conditions for trade. However, recent TRA programmes targeted to the productive sector development are more sensitive to the trade-related institutional environment and increasingly include elements to address institutional issues.

The Commission has been effective in strengthening regional organisations and promoting regional arrangements, in particular in the ACP region. The Commission also takes a more proactive approach to integrate trade into the programming process at the regional level than at the national level. There are indications that the Devolution process has already induced closer and more frequent contacts with the local partners improving the consultation process, and improving the Commission's ability to react swiftly to changes.

The added value of the **Food Aid and Food Security** Regulation encompasses its strong focus on poverty reduction, the high flexibility between its components, its acknowledged role in the Linking Relief, Rehabilitation and Development (LRRD) approach, the multi actors-partnership and its various levels of interventions (policy and project). The results achieved so far are positive and may be reinforced by the deconcentration process as well as the increased focus put on the coherence, co-ordination and complementarity (3 Cs), especially at the country level.

Environment and tropical forests: Both regulations place much emphasis on addressing cross-cutting issues of development, which are appropriately reflected in successive Strategic Orientations. However, a certain discrepancy exists between the Regulations' prescriptions and Strategic Orientations, on the one hand, and practical implementation on the other. Mainstreaming of cross-cutting issues has not yet been consistently achieved and justifies renewed efforts, particularly with regard to African countries. Given their good performance, projects have a high probability of contributing to the Regulations' stated objectives. However, some weaknesses with regard to project performance persist. Unless special care is taken to ensure transparency, co-funding by other donors tends to obscure the EC's role as a major donor. Despite the Regulations' emphasis on innovation through pilot interventions, the lack of mechanisms and arrangements for feeding projects into geographical programming lessens or inhibits impact and sustainability of pilot measures. The Commission Services at HQ level coordinate their activities internally, as well as vis-à-vis EC Member States and other donors. However, the latter do not benefit from experience and lessons learnt from these projects, partly because coordination and reporting measures focus on administrative and procedural aspects instead of on subject-matter information.

Evaluation projects completed in 2004

POLICY AREA: EXTERNAL RELATIONS		
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	• Evaluation of the network of EU Centres in the United States, Canada, Australia and new Zealand • Evaluation of the Executive Training Programme and the Gateway to Japan Campaign
19 06	Relations with the eastern Europe, the Caucasus and central Asian republics	
19 07	Relations with the western Balkans	• Evaluation of the assistance to Western Balkan countries under Regulation 2666/2000 (CARDS) • Evaluation of the European Agency for Reconstruction (EAR) (Regulation 2667/2000)
19 08	Relations with the Middle East and southern Mediterranean	
19 09	Relations with Latin America	• Evaluation of the EC Country Strategy for Honduras • Evaluation of the EC Support to MERCOSUR
19 10	Relations with Asia	
19 11	Policy strategy and coordination for policy area 'External relations'	
Cross-cutting for activities of policy area 'External Relations'		• Thematic evaluation of Population and Development oriented programmes in EC external cooperation • Evaluation of the European Commission Interventions in the Transport Sector in Third Countries • Evaluation of Trade-Related Assistance by the European Commission in Third Countries
POLICY AREA - DEVELOPMENT AND RELATIONS WITH AFRICAN, CARIBBEAN AND PACIFIC (ACP) STATES (DGs: AIDCO / DEV)		
ACTIVITY N°	ACTIVITY NAME	EVALUATION BY YEAR
21 02	Development cooperation policy and sectoral strategies	• Thematic Evaluation of Food-Aid Policy and Food-Aid management and Special operations in Support of Food Security • Evaluation of Environment (2493/2000) and Tropical Forests (2494) regulations
21 03	Relations with sub-Saharan Africa, the Caribbean, Pacific and Indian Ocean and overseas countries and territories	• Evaluation of the EC Country Strategy for Ethiopia • Evaluation of the EC Country Strategy for Lesotho • Evaluation of the EC Country Strategy for Benin

21 04	Policy strategy and coordination for policy area 'Development'	
	Cross-cutting for activities of policy area 'Development and Relations with African, Caribbean and Pacific States'	• Thematic evaluation of Population and Development oriented programmes in EC external cooperation • Evaluation of the European Commission Interventions in the Transport Sector in Third Countries • Evaluation of Trade-Related Assistance by the European Commission in Third Countries

2.21. Trade

Lessons learned and use of evaluation findings in decision-making

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

Since 2003, DG Trade has pursued a policy of publishing a position paper following acceptance of each SIA final report. The position papers summarises the main findings of each SIA; the consolidated comments of Commission services to the findings of the report; the intended responses of Commission services, or else a reminder of how existing Commission activities respond to the concerns identified; and the reactions to the findings received from civil society.

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

Evaluation projects completed in 2004

ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
20 02	Trade policy	• Qualified Preliminary EU-ACP Sustainability Impact Assessment (SIA) of the Economic Partnership Agreements (Phase One) • Sustainability Impact Assessment (SIA) of the negotiations of the trade agreement between the European Community and the Countries of the Co-operation Council for the Arab States of the Gulf (GCC)

2.22. Enlargement

Lessons learned and use of evaluation findings in decision-making

Ex ante evaluation

The general lessons of the ex ante evaluation of programming mechanisms for Phare in 2004 and beyond demonstrated the need for a more strategic programming approach, the increase of resources for project design and the introduction of a more systematic quality control. Those findings were translated into a set of 29 recommendations aimed at improving the decision-making process at programming stage. As a result, multi-annual programming was introduced for Romania, Bulgaria and Turkey, and the standard project fiche as well as the explanation on the application of the Logframe was improved in the Phare Programming Guide; a proposal for establishing a Quality Support Group for Phare/Turkey programming, similar to the RELEX one, was discussed.

Interim evaluation

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

In addition, the findings and recommendations of thematic and consolidated reports contributed to the reflections on the design of the future European Neighbourhood and Partnerships Instruments (ENPI) and Instrument for Pre-Accession Assistance (IPA).

The Cross-Border Cooperation component of the ENPI builds on the experience of promoting CBC within Phare programmes inter alia. The reflection leading to the proposed regulation drew heavily upon the lessons learnt from these programmes.

As recommended by the evaluation results on Phare Economic and Social Cohesion, the IPA components were designed "to follow the Structural [...] Funds' rules including their institutional framework (e.g. Comitology) as closely as possible" (explanatory memorandum of the proposal for a Council Regulation establishing the IPA). "Candidate Countries will thus be given the opportunity to "practise" the Community's [...] cohesion policies by applying rules as closely as possible to the Structural [...] Funds before accession". Moreover, the proposed IPA regulation is building on the main lessons learned in the context of the current pre-accession process, in particular through "further enhancing emphasis on institution building".

Finally, the findings and recommendations of the evaluation reports will be most useful at a latter stage, when the Commission will prepare the implementing rules for the proposed financial instruments.

Intermediate evaluation

The experience of the implementation of the Communication Strategy on Enlargement offers important lessons for future EU communications activities. It shed light on the nature and needs of some of the most needy and elusive target audiences – the vulnerable and sensitive groups in society. The process threw up a number of new pointers for EU communications approaches, e.g. about targets and how to reach them. As a practical output, a basic general template of a successful communications strategy for EC Representations and Delegations emerges. The good practices identified, decentralisation, the relative user-friendliness of the regime enjoyed by Delegations and the effectiveness of their InfoCentres could all be usefully explored for the benefit of future programmes.

Evaluation projects completed in 2004

ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
22 02	Pre-accession assistance instruments	• Ex ante evaluation of programming mechanisms for Phare in 2004 and beyond • Interim evaluation of Phare support to Candidates Countries • Interim evaluation of pre-accession aid programme for Malta
22 03	Transition facility for institution-building measures after accession	
22 04	Information and communication strategy	• Global Assessment on the Implementation of the Communication Strategy on Enlargement

2.23. Humanitarian Aid***Lessons learned and use of evaluation findings in decision-making***

The evaluations of ECHO's operations confirm that ECHO respects its core mandate in that the operations ECHO finances are relevant and pertinent.

However, the evaluations have noted a certain lack of technical capacity on the part of ECHO's partners. Therefore, ECHO is launching, inter alia, reviews of water and sanitation, drug supply quality, cross-cutting issues, etc in order to produce model guidelines for use as reference points by ECHO and its partners.

ECHO ensures the follow up of evaluations by:

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

Evaluation projects completed in 2004

ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
23 02	Humanitarian aid	• Evaluation of ECHO's actions in the Democratic Republic of Congo • Review of ECHO's approach to HIV/AIDS

2.24. Administration***Lessons learned and use of evaluation findings in decision-making***

DG ADMIN

The role of evaluation in DG ADMIN has been emphasised since 2003 as a policy support tool. It has therefore experienced a move towards more ex-ante evaluation, thereby reinforcing its link to policy design and strategic planning. The ex-ante evaluations are also used as a change management tool, which provides for new roles for evaluation.

In 2004 and in previous years, a recurrent theme is the balance between central and local management and responsibilities for personnel and administration activities. The different evaluations seem to indicate that there is a tension between equal treatment of staff and uniformity while leaving enough flexibility at the local level. More central support and services seem to be useful as well as promoting best practices and more intense co-ordination to secure uniform best practice.

This year it was confirmed the importance of having the Evaluation Function close to the strategic planning and programming processes, because these reveal at times specific needs for evaluation. Another lesson drawn from the evaluation work is that new roles for evaluation are emerging, partly due to it being an integral part of ABM. The move towards performance management brings with it that some evaluation work will be focussed on service level improvement, organisational development and quality management approaches.

A separate issue, which was also mentioned in the reviews of 2002 and 2003, is the absence of a specific budget line for evaluation. Due to the fact that evaluation is an integral part of the ABM approach, many activities without specific budget lines have been, are and will have to be, evaluated or appraised. At the moment, DG ADMIN and the Offices have to use the studies budget to finance these activities, but this budget is subject to competing demands for different study projects.

DGT

Until mid 2004 the evaluation function was limited to one official (part-time) responsible mainly for participating in the Commission's evaluation network, reporting on evaluation activities, issuing internal methodological guidelines and maintaining the internal evaluation website.

Following the reorganisation of DG Translation in July 2004, the evaluation function was enhanced. It is now composed of two full time officials (the second one to be recruited in early 2005) and is located in the new unit "Evaluation and analysis" which is also in charge of DGT statistics, quality management and evaluation of contracts. The unit is part of the Directorate "Translation strategy".

The evaluation function besides its abovementioned tasks is now closely involved in the coordination of evaluation activities in the DG, being associated in external and internal evaluations and carrying out internal evaluations and evaluation-related projects. There is no DGT internal network, but ad hoc steering groups for each project.

Evaluation projects completed in 2004

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	• Study on optimising cooperation between EU institutions in the translation field
26 01 09	Administrative support of Publications Office	
26 01 10	Consolidation of Community law	
26 01 11	Official Journal (L and C)	

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	• Evaluation of the career guidance support in the Commission • Staff Opinion Survey on the Commission as a workplace and the satisfaction with the services rendered by DG ADMIN, PMO, OIB and OIL • Evaluation of the future racial and ethnic diversity policy in the European Commission • Evaluation of internal middle and senior management training & development in the Commission organised by DG ADMIN • Evaluation of the new language training format in Luxembourg
26 01 51	Infrastructure policy and management	• Staff Opinion Survey on the Commission as a workplace and the satisfaction with the services rendered by DG ADMIN, PMO, OIB and OIL
26 01 52	Information technology management and coordination	• Evaluation of the Commission's telephone service, centrally managed by the Directorate General for Information Technology (DIGIT)
26 02	Multimedia production	

2.25. Commission's policy coordination and legal advice

Evaluation projects completed in 2004

ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
25 02	Relations with civil society, openness and information	
25 03	Governance and institutional development	• Evaluation of the impact and operational features of the Spring Day in Europe initiative
25 04	Preparatory action to encourage account to be taken of demographic change in European and national politics	

2.26. Statistics

Lessons learned and use of evaluation findings in decision-making

Rolling Reviews are the centrepiece of the Eurostat evaluation methodology. A Rolling Review is a thorough review of user satisfaction, partner satisfaction, and costs for Eurostat and for Member States. The focus of the Rolling Review exercise is on finding possible ways to improve the functioning of a statistical area.

During 2004, previous Rolling Reviews have been analysed, and a number of potential improvements have been identified:

- a broadening of the information base (increasing the self evaluation element by incorporating more input directly from the operational unit concerned)
- streamlining of the information gathering process (through a combination of electronic surveys and in depth interviews) to maintain representativity after enlargement
- a closer involvement of the operational unit concerned (achieved through application of the Eurostat Project Management Methodology)
- introduction of a peer review element through involvement of in house or Member State expertise in the Rolling Review project team
- stricter criteria for the Rolling Review recommendations (in terms of operational unit involvement, concreteness and possibility to assess implementation)
- these findings have motivated the formulation of Rolling Review Project Management Guidelines (see Section [2.26](#) of Part II).

Evaluation projects completed in 2004

ACTIVITY N°	ACTIVITY NAME	EVALUATION PROJECTS
29 02	Production of statistical information	▪ Mid-term report on the implementation of EDICOM II programme ▪ Final report on the work undertaken by Eurostat and the Member States concerning the implementation of Council Decision 1999/297 EC of 26 April 1999 ▪ Experience acquired from the statistical survey on plantations of certain species of fruit trees ▪ Mid-term Evaluation of the EU Pre-Accession Instrument PHARE in relation to Statistics

PART II. THE EVALUATION SYSTEM OF THE COMMISSION IN 2004

1. OVERALL DEVELOPMENTS

1.1. Cross-cutting issues

From the contributions of the different services as well as from the work of the Commission's internal Evaluation Network, it has been possible to identify some cross-cutting aspects that have been relevant to several evaluation functions in the Commission during the implementation of last year's annual evaluation plan. In this context, three of these issues have been selected for presentation here.

Several evaluation functions have noticed the benefits deriving from an adequate evaluation planning and a timely integration with the decision-making process. This integration is increasingly seen less as a formal obligation than as an efficient way of work. In fact, there seems to be an overall trend in this direction, as requested in the Communication on Evaluation of 2000. In this regard, the traditional distinction between ex ante and interim evaluations becomes less clear, since the evaluation exercises tend to combine both retrospective judgement and prospective decision-making elements.

Some functions have also identified a direct relation between this integration and the usefulness of evaluation as perceived by the stakeholders in the Commission. This improved perception has a direct impact on the internalisation of an evaluation culture.

Secondly, some evaluation managers have perceived increasing problems to recruit external contractors for their evaluation work. In some cases, increased administrative requirements to candidates have resulted in some societies deciding not to tender. For these potential tenderers, the uncertain possibility of being selected does not make up for the substantial time and resource investment needed in the preparation of the tender.

On the other hand, the difficulties for selecting contractors are not linked exclusively to the administrative burden imposed by the Commission, but often derive from an inadequate understanding of the Commission's needs on the side of the potential contractors. This results in unsatisfactory, badly-focused proposals. Evaluation capacity-building for Commission policies is still a pending issue.

Both problems have led in some cases to the cancellation of the tendering procedure and an unexpected delay in the evaluation planning. The issue has been raised several times within the framework of the Evaluation Network.

Finally, there is a tendency to merge the exercises of ex ante evaluation and extended impact assessment. This is done either de facto or as a formally established practice. This is a practical way of avoiding unnecessary duplications, provided that the requirements for ex ante evaluation defined in article 21(1) of the Implementing Rules of the Financial Regulation are effectively fulfilled.

1.2. Statistical overview of the Commission's evaluation projects in 2004

The purpose of this section is to give an overall picture of the nature and volume of the Commission's evaluation projects. The analysis covers the data available concerning the evaluation activities of the year 2004 and compares them with those of the whole period since 1996.

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

For the reasons mentioned above, the statistical presentation underestimates to some extent the work done in evaluation. It should also be noted that methodological developments carried out to support evaluation, the feedback and follow-up of evaluation reports are not reflected in this short statistical overview.

The statistical description of the evaluation activities follows broadly the main headings of the Financial Perspectives, as a practical way of classifying the information available. A direct comparison, if intended, between these main headings needs much care. One should have in mind that volume and characteristics of

the evaluation activities largely reflect the very distinct nature of Community actions in different policy areas. As far as possible, comments are made to avoid misleading interpretation of the statistics.

Number of evaluation projects

Since 1996, the Commission services have launched around 850 evaluation projects on expenditure programmes, policies or other activities, of which 772 have been completed up to December 2004. In the first years after the start of a systematic evaluation policy, the number of evaluation projects increased regularly and then stabilised for several years at about 80-90 projects completed each year.

2003 was marked by a huge increase and in 2004 the number of completed evaluation projects has increased even further. With 143 completed evaluations, it is by far the biggest so far. One reason for the rise can be found in the higher number of evaluations in the Internal Policies (from 63 in 2003 to 97 in 2004).

Also, as far as the different types of evaluation are concerned, year 2004 saw a spectacular rise in the number of ex ante evaluations (from 9 in 2003 to 58 in 2004).

As Table 1 indicates, the numbers of evaluations completed in 2004 are in most headings of the Financial Perspectives higher than last year. The biggest increase in absolute terms concerns the heading "Internal Policies". Apart from the fact that this heading is characterised by a large number of separate expenditure programmes, many of these programmes are synchronised with the expiry date of the current Financial Perspectives. As most of them will have a succession after 2006, services have already started to prepare corresponding proposals. One of the first steps in the preparatory work is to launch and carry out interim and final evaluations of the currently running programme generation so that they can be used as part of the ex ante assessment of proposals that will be made in the near future for the next generation. In several Commission services, specific ex ante evaluations were already launched in this perspective.

A second element contributing to an explanation for the strong increase of evaluation projects in 2004 relates to the heading "Structural Operations". In fact, evaluation activities in this heading concentrate mostly on specific years due to the common start and end date of the programming. Last year has seen not only many ex post evaluations of the different measures financed in the period 1994-99 but also was the beginning of evaluation activities concerning the mid-term review of the 2000-2006 programming period.

Table 1 - Completed and on-going evaluation projects, 1996-2004

Heading ³	Evaluation projects completed in							On-going evaluation projects by December 2004
	1996-98	1999	2000	2001	2002	2003	2004	
Agriculture ⁴	11	10	4	5	5	2	1	8
Structural Operations	15	6	8	2	5	6	12	3
Internal Policies	87	39	33	36	36	63	93	47
External Actions ⁵	84	25	37	34	22	26	28	29
Administration	1	1	-	1	2	7	7	7
Other ⁶	-	-	-	10	7	13	2	7
Total	198	81	82	82	77	117	143	101

³ The term 'Heading' corresponds to the main headings of the Financial Perspectives plus the category "Other", in which evaluation projects without direct link to specific budget lines are classified.

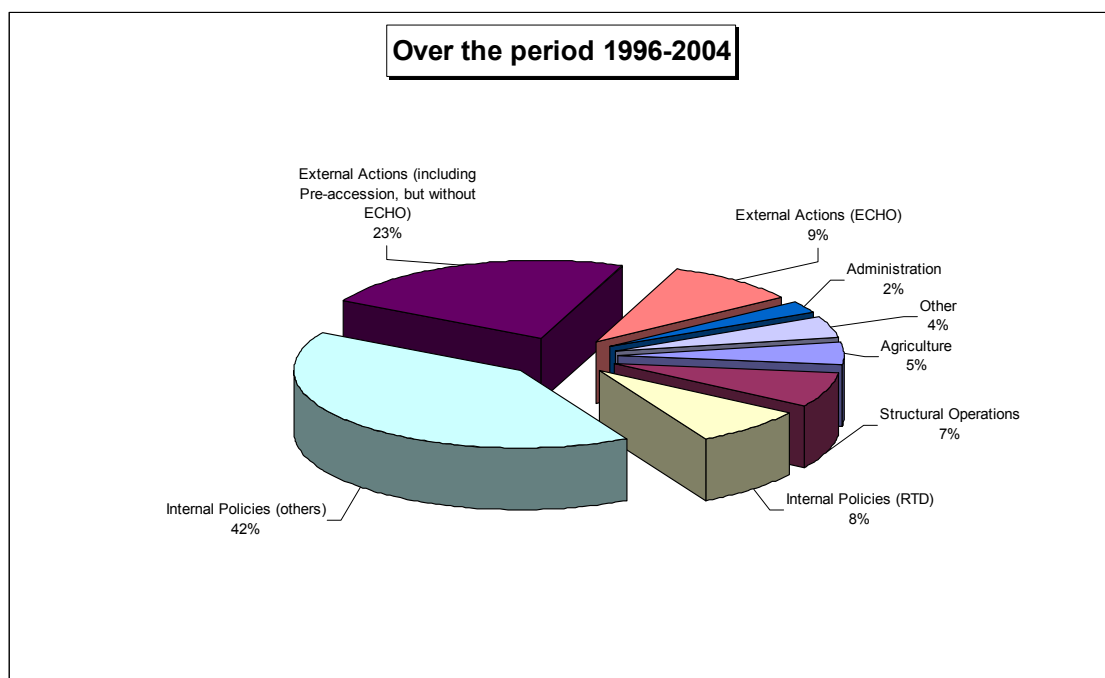
⁴ The number of evaluation projects in the area of Agriculture for the years 1996-1998 includes some small evaluations in the field of promotion of agricultural products that were excluded later on.

⁵ Including Pre-accession aid (Heading 7)

⁶ Evaluation projects on activities without direct link to specific ABB activities.

As shown in Graph 1, since 1996 evaluation projects have been particularly numerous in the field of "Internal Policies" and "External Actions", representing respectively 50 % and 33 % of all evaluations. These figures reflect the fact that in these two areas Community policies are carried out through a large number of separate expenditure programmes. This is in particular true for the "Internal Policies", under which many DGs are operating a large number of relatively small programmes. Consequently, most evaluation projects in this area focus on relatively limited interventions compared to other policy areas. On the other hand, there are some DGs where the evaluation activities cover big expenditure interventions, or a whole policy or sector (such as DG AGRI or REGIO). In addition, in 'Structural Operations', evaluation is a shared competence with the Member States and ex ante and mid-term evaluations are carried out on a decentralised basis by the Member States and regions. Therefore, policy areas or DGs should not be compared on the basis of these numbers.

Graph 1 - Distribution of the number of evaluation projects



Type of evaluation

Most of the evaluation projects managed by the Commission departments are carried out by external experts: 83.6% of the 772 reports completed since 1999 were of this type (see Table 2a).⁷ The number of evaluations carried out internally by the Commission services is rather limited (16.4%), but increasing (from 22 in 2003 to 35 in 2004). However, account must be taken of the fact that some evaluations combine external studies with internal work.

⁷ For figures prior to 1999, please refer to the Annual Evaluation Reviews 2001 and 2002.

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

Heading	Number of completed reports											
	Internal						External					
	1999	2000	2001	2002	2003	2004	1999	2000	2001	2002	2003	2004
Agriculture	4	-	1	-	-	-	6	4	4	5	2	1
Structural Operations	-	-	-	-	-	3	6	8	2	5	6	9
Internal Policies	8	4	6	8	12	28	31	29	30	28	51	68
External Actions	-	-	-	-	1	3	25	37	34	22	25	26
Administration	-	-	-	-	-	1	1	-	1	2	7	7
Other	-	-	7	7	9	-	-	-	3	-	4	2
Total	12	4	14	15	22	35	69	78	74	62	95	119

The rise in the number of internal evaluations can be explained by the parallel rise in the number of ex ante evaluations. As a matter of fact, of the 35 internal evaluations carried out in 2004, 19 were pure ex ante evaluations, while 4 other internal evaluations also had some ex ante elements.

It is worth emphasising that the Commission services can choose the way they organise their evaluations. The externalisation is in most cases the best practical solution taken into account the scarcity of human resources or specialist skills in evaluation. In many cases, there is also the wish to get an outside and, hence, possibly more independent view on the evaluated activity.

Over the whole period 1996-2004, ex ante evaluations account for 13.5%, interim evaluations for 46.8% and ex post evaluations for 39.7% of all evaluation projects completed. In 2004, while the number of interim evaluations rose only slightly, there was a strong increase in the case of ex ante and ex post evaluations (see Table 2b).

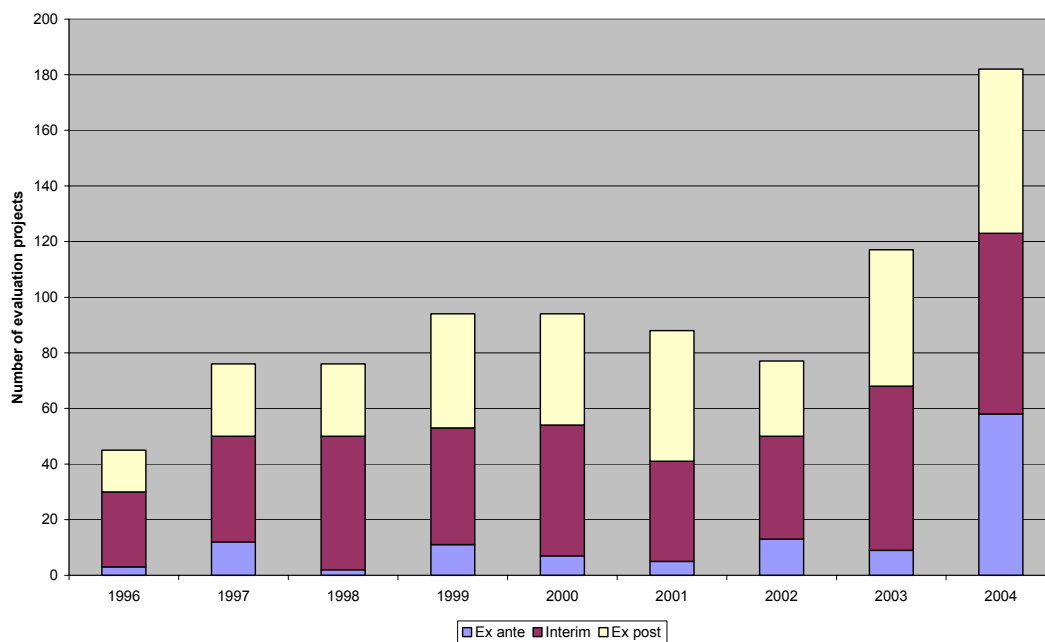
Table 2b - Type of evaluation by heading: ex ante/interim/ex post

Heading	Number of completed evaluation reports																	
	Ex ante						Interim						Ex post					
	99	00	01	02	03	04	99	00	01	02	03	04	99	00	01	02	03	04
Agriculture	4	-	-	1	-	-	6	4	3	4	1	-	-	-	2	-	1	1
Structural Operations	-	1	-	1	-	2	1	6	-	2	-	3	5	1	2	2	6	6
Internal Policies	5	5	4	5	5	36	21	15	16	20	37	38	17	16	16	11	21	37
External Actions	2	1	-	2	2	11	13	22	14	8	11	16	19	23	20	12	13	11
Administration	-	-	-	-	-	7	1	-	1	1	3	4	-	-	-	1	4	4
Other	-	-	1	4	2	2	-	-	2	2	7	2	-	-	7	1	4	-
Total	11	7	5	13	9	58	42	47	36	37	59	65	41	40	47	27	49	59

While the above table makes a distinction between ex ante, interim and ex post evaluations, this distinction is sometimes artificial. If the subject of the proposals is the renewal of an already existing programme, interim and ex post evaluations carried out for previous periods are in general used to support this proposal. For example, the five-year assessment carried out during the 5th RTD Framework Programme (FP) comprised an ex post evaluation of actions completed under the 4th FP and was used for the conception of the 6th FP. It can therefore be regarded at the same time as interim, ex post and ex ante evaluation.

For the purpose of this statistical exercise, the evaluation projects were classified according to their predominant type. However, in some cases, both prospective and retrospective elements have been adopted for the classification.

Graph 2 - Evolution of the distribution by type of evaluation



Cost of the evaluations

Only the direct costs of the evaluations carried out by external experts are known and included in this study. For the year 2004, the distribution by size classes (in €) and broad headings of the Financial Perspectives is summarised in Table 3, and Table 4 presents the evolution by size classes (in €) since 1996.

In total, € 22.88 million was spent on external evaluations in the year 2004, compared to € 30.97 million in 2003 and € 19.09 million in 2002.

Compared to 2003, the decrease in 2004 in the total costs can be explained by the fact that several exceptionally large and very costly evaluation projects were carried out in the context of pre-accession during 2003.

Table 3 - Cost of external evaluations completed in 2004 by heading

Heading	Number of completed evaluation reports by size class (in €)					
	< 12 000	12 000 – 46 000	46 000 – 100 000	100 000 – 200 000	200 000 – 500 000	>500 000
Agriculture	-	-	-	-	1	-
Structural Operations	-	-	2	2	2	3
Internal Policies	-	9	25	21	9	3
External Actions	-	2	6	7	10	3
Administration	-	5	1	1	-	-
Other	-	-	-	2	-	-
Total	0	16	34	33	22	9

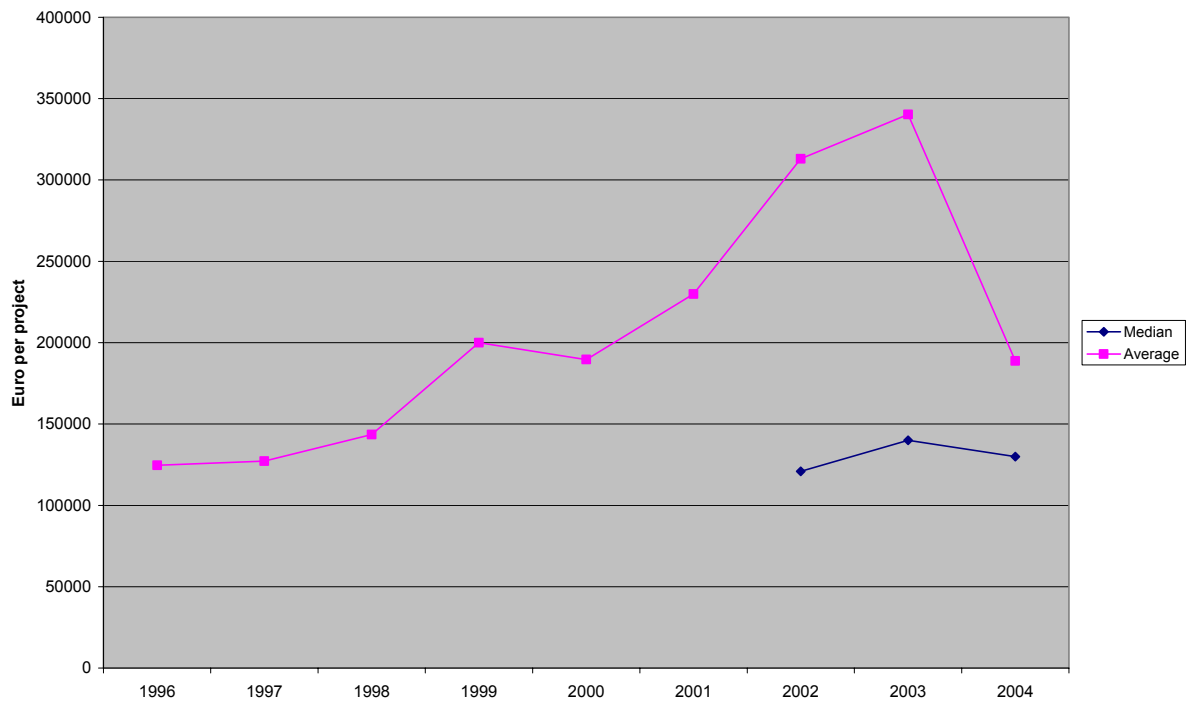
Table 4 - Evolution of project costs since 1996

Year	Number of completed evaluation reports by size class (in €)					
	< 12 000	12 000 – 46 000	46 000 – 100 000	100 000 – 200 000	200 000 – 500 000	> 500 000
1996	-	6	22	8	5	1
1997	4	15	18	15	7	2
1998	5	13	13	17	14	3
1999	-	16	19	13	13	7
2000	-	15	17	23	16	3
2001	-	4	26	23	12	6
2002	1	13	13	14	17	4
2003	1	7	23	29	20	11
2004	0	16	34	33	22	9
Total	11	105	185	175	126	46

The average costs of the evaluation projects undertaken over the period 1996-2003 increased until 1999 before stabilising in 2000. In 2001, 2002 and 2003 the average cost raised markedly due to the development of projects with unusually high budgets. Due to these high costs the median cost provides a better perception of the situation. During the peak years of the 2002 and 2003, half of the evaluation projects carried out had a cost below €120000 in 2002 and €140000 in 2003, which is similar to the median cost in 2004 (€ 130000). Therefore, it can be said that the cost has remained basically stable as a rule since the year 1999.

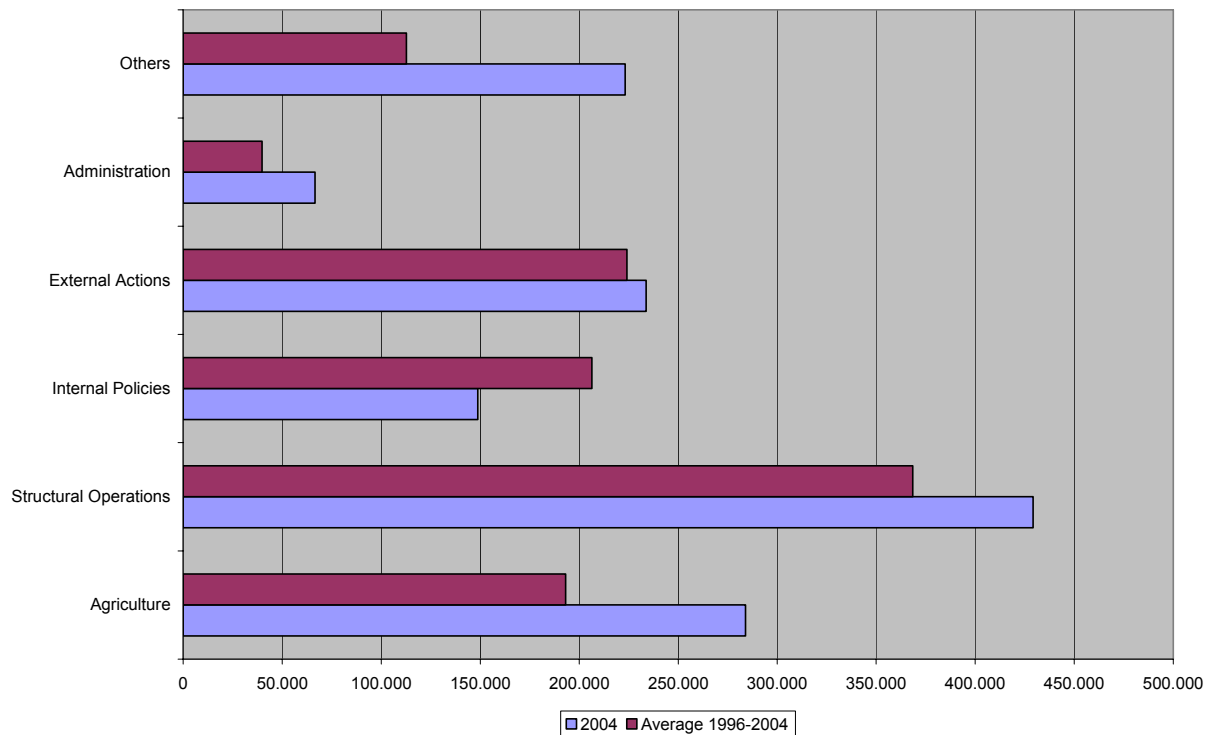
In 2004, the average cost has returned to the previous situation with an average cost of about € 188000.

Graph 3 - Evolution of costs



Graph 4 has been reproduced to give a rough idea on the scale by main headings of the Financial Perspectives.

Graph 4 - Average costs by policy area



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

Organisation and duration of the projects

Recourse to steering groups for the management of the evaluations has become a standard practice over the last 9 years. In 2004, around 79% of all completed evaluation projects were conducted under the guidance of a steering group, either internal or external. The number of evaluations without steering groups has declined in recent years, but in 2004 it rose (see Table 5). This increase can be explained by a strong increase in the number of ex ante evaluations, some of which are done without any formal steering groups.

Compared to the number of internal steering groups, the number of steering groups with participation of external people is still rather limited and shows unsystematic fluctuations over the years so that it is impossible to conclude on a tendency. In most cases, evaluations accompanied by external steering groups were carried out in the field of "Internal Policies".

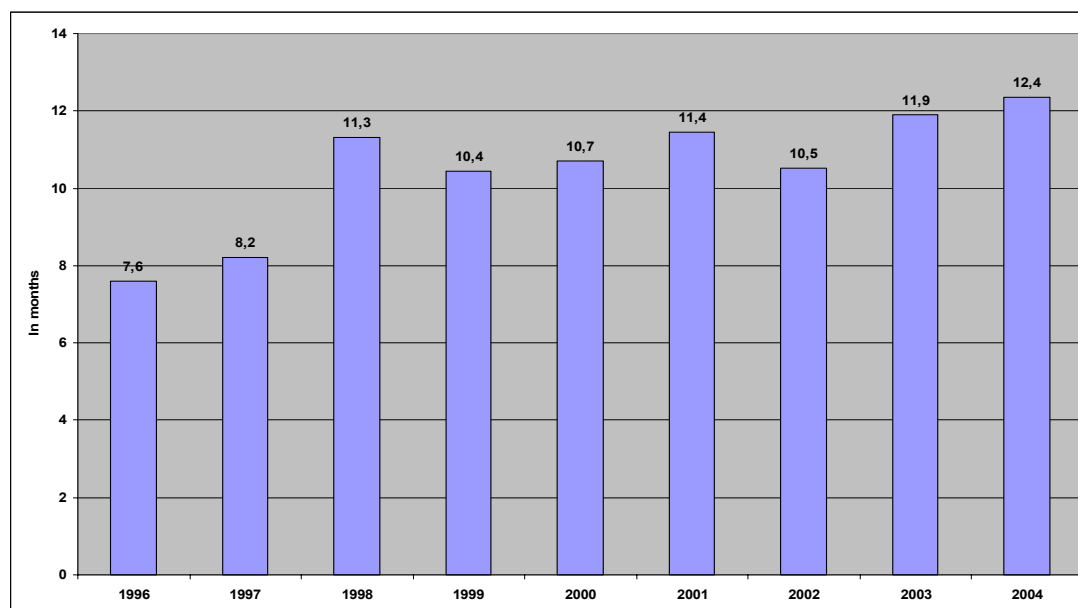
Table 5 – Steering of the evaluation projects by heading

Heading	Number of completed reports according to their organisation																	
	Internal steering groups						External steering groups						Without steering group					
	99	00	01	02	03	04	99	00	01	02	03	04	99	00	01	02	03	04
Agriculture	10	4	5	5	1	1	-	-	-	-	1	-	-	-	-	-	-	-
Structural Operations	3	5	-	4	6	8	3	2	-	-	-	3	-	1	2	1	-	2
Internal Policies	15	3	17	14	38	56	4	14	8	7	9	9	20	16	11	15	16	24
External Actions	13	15	25	21	22	22	2	1	1	1	3	3	10	21	8	-	1	4
Administration	1	-	1	-	6	7	-	-	-	-	-	-	-	-	-	2	1	-
Other	-	-	1	2	8	2	-	-	2	-	2	1	-	-	7	5	3	-
Total	42	27	49	46	81	96	9	17	11	8	15	16	30	38	28	23	21	30

The duration of the evaluation projects is also an indicator that can be used to characterise the evaluation activities of the Commission. The average duration of all the evaluation projects was 12 months in 2004, calculated from the actual start of the work until the submission of the final report.⁸ This is similar to the figures in past years (see Graph 5). For an accurate interpretation, it has again to be taken into account that very often large evaluations, lasting more than one year, are concentrated within a few specific years.

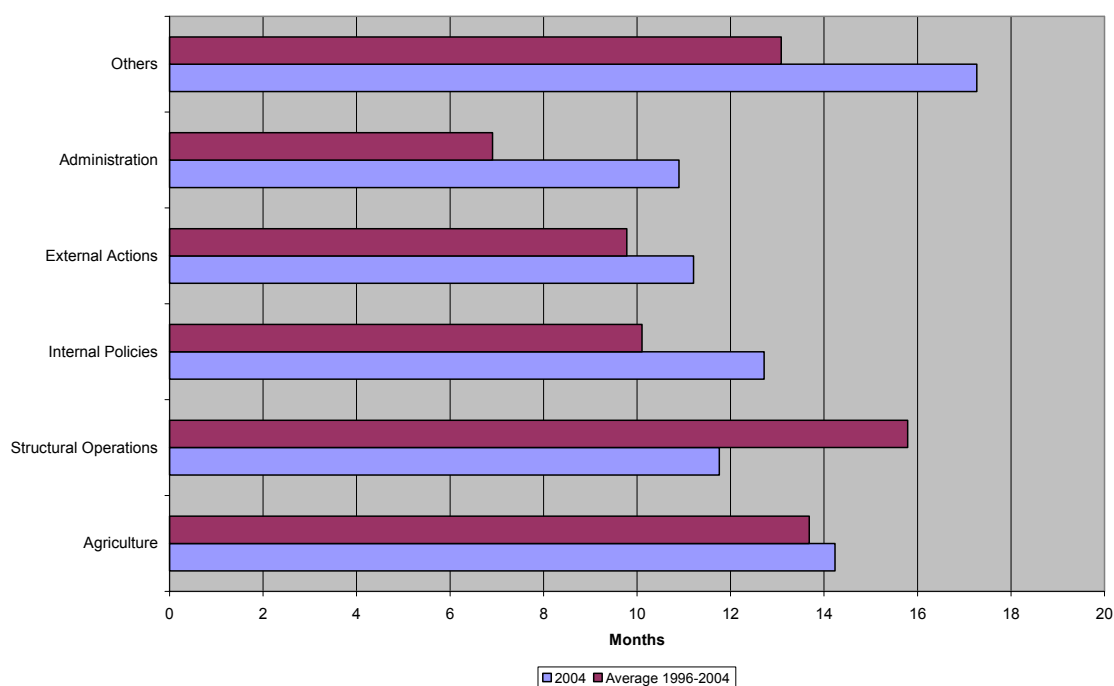
⁸ It should be noted that the time span between the start of the evaluation work as such and the submission of the final report is not the total time necessary to finish an evaluation project. The preparatory work before an evaluation contract is signed generally takes several months. The same is true for the validation and dissemination of a report after its submission.

Graph 5- Average duration of the evaluation projects since 1996



In 2004, 66.7% of the evaluation projects were completed within 12 months. However, evaluation projects lasting for more than two years are common in all headings in the Financial Perspectives, but not at all if the different policy areas are considered. So, for example, evaluations in the field of humanitarian aid are in almost all cases completed within 12 months, in many cases even within half a year. Nevertheless, the amount of time needed for preparing, launching and finishing an evaluation, including publication and diffusion of the results, emphasis the importance of timely forward planning of evaluation activities - and this is valid for all policy areas.

Graph 6- Average duration per heading



Methods used in the Commission's evaluations

In 2004, evaluation carried out by the Commission used heavily various techniques related to the *data collection*. Accordingly, in 66 % of the cases desk research had been employed, and also interviews (44 % of the cases) and surveys (28 % of the cases) were strongly present in the Commission's evaluations.

As far as the methods related to *data analysis* are concerned, case studies were used in 26 % of cases. Also, statistical analysis ranks high with a 25 % share.

Methods related to the *structuring phase* were also relatively widely used in 2004. Accordingly, logical framework approach was used in 24 % of the cases, and the SWOT (Strengths, Weaknesses, Opportunities and Threats) analysis was used in 13 % of the cases.

Finally, the use of methods related to the *judgement of the effects* is fairly balanced between cost-effectiveness analysis (in 17 % of the cases), multi-criteria analysis (which are reported to have been used in 15 % of the cases), as well as cost-benefit analysis and benchmarking (both in 13 % of the cases).

2. THE EVALUATION FUNCTION IN THE DIFFERENT POLICY AREAS

2.1. Economic and Financial Affairs

2004 saw a small reorganisation of the unit in which the evaluation function of the DG for Economic and Financial Affairs is situated (in particular, the unit is now also responsible for monitoring the implementation of audit recommendations) and the launch of the DG's multi-annual evaluation programme after extensive consultations with units directly concerned by the evaluation of their activities. The programme, covering six years, was made public on the DG's website and presented at an open seminar of possible contractors in April, prior to the first call for tenders.

Activities other than evaluation projects

The main operational lesson learnt from evaluation activities in DG ECFIN in 2004 is that tendering evaluations of economic policy instruments requiring the assembly of an evaluation team that is both multi-disciplinary and multinational in nature is not straightforward. The tendering by open procedure of the evaluation of the Broad Economic Policy Guidelines was unsuccessful and feedback was subsequently sought from organisations that had requested a copy of the tender document but had not made a proposal. Around 50% responded to the survey, indicating that the main reasons for their decision not to respond to the call was insufficient time and staff to develop the tender bid and insufficient access to, and availability of, appropriate expertise to implement what was considered as an exacting project.

Outside the DG, the evaluation function continued to be involved in the capacity-enhancing initiatives of DG Budget and the Secretariat-General, as well as participating in steering groups of evaluations conducted by other DGs, in particular the evaluation of the Multi-annual Programme for Enterprises and Entrepreneurship, in particular for SMEs (2001-2005).

2.2. Enterprise

The Evaluation Function in DG Enterprise is situated in Directorate R (Management and resources), unit R5 (Strategic Planning and Management). This means that the evaluation team works in close collaboration with the SPP/ABM, ex-post control teams which are also in this unit, whose mission is to promote activity based management and to generally enhance the effectiveness of management in the Directorate General.

In organisational terms evaluation in DG Enterprise is "de-centralised"; i.e. the operational units are responsible for preparing and managing all evaluations that are not horizontal. The role of the Evaluation Function and of the Operational Units is laid down in detail in the Enterprise DG Evaluation Charter which was endorsed by the Director General in June 2003. The role of the Evaluation Function has been defined in the Charter in conformity with the Evaluation Standards and Good Practices. This is backed up by the internal evaluation guidelines that were adopted in May 2003, which are also in conformity to the Evaluation Standards and Good Practices.

2.3. Competition

In 2004, the evaluation was coordinated by the Directorate 'Strategic planning and Resources' but carried out by operational Directorates. At the end of the year this organisation has been slightly modified, as the role of coordination was transferred to the Directorate 'Policy and Strategic Support' for evaluation projects regarding the activities 'antitrust, mergers, liberalisation and cartels' and 'international co-operation', and to the Directorate 'State aid policy and strategic co-ordination' for evaluation projects regarding the activity 'state aid control'. The responsibility for the specific evaluation projects is however retained by operational Directorates.

Activities other than evaluation projects

An annual evaluation on trends in the overall level of State aid in MS is published through the State aid scoreboard. This tool monitors the steps taken by MS to reduce the overall aid levels and to reorient aid towards horizontal objectives in accordance with the Lisbon, Stockholm and Barcelona Councils. Following the adoption of Commission Regulation 794/2004 of 21 April 2004 ("State Aid Implementing Regulation"), the freshness of data can be improved by six months. In 2005, the Commission will therefore publish two updates, with the spring scoreboard covering data including 2003, and the autumn scoreboard covering data including 2004.

Furthermore, DG COMP continued the evaluation of the transposition of the Community "acquis" in the area of state aid for the new Member States (up to May), as well as for Romania and Bulgaria, as described in last year evaluation review. This work is still ongoing as regards Romania and Bulgaria.

2.4. Employment and Social Affairs

The Evaluation unit of the DG for Employment and Social Affairs (DG EMPL) was established in 1995. Since 2001 it makes part of Directorate G (Horizontal and International Affairs). The unit identifies the evaluation needs in cooperation with the hierarchy of DG EMPL and the strategic and operational units. Since, 2001, and within the framework of the Annual Management Plan, the Programming Committee analyses and approves the Multi-annual Evaluation Programme.

First adopted in 2001, the internal evaluation charter of DG EMPL defines the scope of the evaluation activities. It sets as well the mission and the role of the evaluation and operational units within the process of policy-making and communication of evaluation results. It specifies also the financial resources available.

The complementarity between the evaluation unit and the operational units has been clarified and improved throughout the years, in order to integrate the consequences of the enlargement and ease the evaluation process. This complementarity aims as well at better responding to the challenges deriving from the preparation of the new Social Policy Agenda, particularly as regards the European Social Fund (ESF) and the Lisbon Strategy.

Activities other than evaluation projects

In the context of the preparation of the implementation of the Social Agenda 2005 – 2010, preparatory works will be finalised in July 2005 to optimize its evaluation system.

Considering the ESF, the DG EMPL unit is working with DG REGIO on guidance for the development of evaluation capacity in MS. Regular meetings with evaluators and evaluation function in the administration have taken place in 2004 including discussions on evaluation guidance papers (relation between EES – ESF, Evaluation capacity building, indicators, etc).

The Evaluation Unit is also involved in other evaluation activities at Commission level, such as the *strategic evaluations* managed by DG BUDG and the Secretary General. It contributes also to the *methodological work* at Commission level (such guidelines for the impact assessment of DG EMPL proposals and social aspects of impact assessments for proposals from other Commission services).

2.5. Agriculture and Rural Development

The evaluation unit of the Agriculture DG (DG AGRI) was established in 1998 to carry out evaluations of measures applied within the Common Agricultural Policy (CAP).

The evaluation unit G4 is situated in Directorate G (Economic analysis and evaluation) of the DG, which supports the policy-making process of the DG with macro and micro-economic analyses, socio-economic and political studies, preparation of medium and long-term market perspectives and evaluations. The work of the evaluation unit was mainly devoted to ex-post evaluations, while extended impact assessments and other analytical work was carried out by G1 "Studies and Overall Approach" and F.3 "Consistency of Rural Development". In 2004, F.1 carried out an extended impact assessment of Rural Development policies, in close co-operation with other units, including the evaluation unit.

The evaluation work contributes to the preparation of policy proposals and to the management of policy instruments by operational units. Finalised reports are submitted to the European Parliament and the Court of Auditors and they are published on the Internet. Moreover, the results are discussed in the Management and Advisory Committees for the sectors and measures concerned by the evaluation.

The guide on "Current Evaluation Practice" lays down the approach pursued by the evaluation unit and is available on the site: http://europa.eu.int/comm/agriculture/eval/guide/cmo_en.pdf

Activities other than evaluation projects

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

- The evaluation unit provided an important contribution to the conception of the Monitoring and Evaluation System for the Rural Development scheme for 2007-2013 as part of the Commission proposal for rural development policies currently discussed in the Council.

Two studies were launched in 2004, in order to provide the tools needed to implement such a new monitoring and evaluation system: A study on "Indicators for the evaluation of the EU's rural development programmes" and a study on "Baseline and impact indicators for rural development programming 2007-2013". The results will be available mid 2005 and will provide an input for establishing monitoring and evaluation guidelines.

- Evaluations works carried out by other DGs: The evaluation unit of DG AGRI participates in the steering groups for which it has been requested in particular for the strategic evaluations and evaluations related to the Structural Funds.

2.6. Energy and Transport

Following the Communication for the Commission from the President and Mrs Schreyer C(2002)5267 of December 2002 on "Evaluation standards and good practice", DG TREN undertook a range of measures to strengthen the evaluation function. These measures contributed to a significant evolution of the evaluation function in the period under review.

In particular, the evaluation function, after its implementation in 2002, has enhanced the coordination role in DG TREN during the last two years even if evaluation is still decentralised to the Operational Units.

This coordination role consists in contributing to the terms of reference of the evaluations, participating to the existing Steering Groups, as well as making sure that the reports are up to quality standards and that the evaluations results are used.

The evaluation coordination team now counts three full-time members of the Budget and Evaluation Cell within the Financial Resources and Activity-Based Management Unit.

This team is also in charge of the annual and multi-annual evaluation plan, of co-ordinating its implementation and of centralising the reports to be transmitted to the hierarchy and to the other stakeholders.

The enhancement of the evaluation function in DG TREN is shown by the considerable increase of evaluations in 2004 (26 evaluations planned, 3 ongoing and 12 completed) compared to the figures for 2002 (7 evaluations planned, 1 completed).

Now, all the main activities managed by DG TREN have been subjected to evaluation.

The major achievements performed by the evaluation function during this year have been:

- The completion of the award and signing procedures for the “Framework contract for evaluations and impact analysis”: signed in February 2004, it offers a flexible instrument to carry out punctual high quality evaluations in DG TREN at a reasonable cost.
- The Evaluation Charter defines the tasks, roles and procedures relative to evaluation in DG TREN and is to be published on the Intranet and Internet evaluation website.
- The internal procedures, as defined in the evaluation charter, have been included in the general procedures for managing contracts and grants of DG TREN (Manuel des Procedures). They clearly identify the objectives, actors, roles, responsibilities and procedures relative to evaluations.
- An internal evaluation network, including representatives for each programme/budget line/directorate has been constituted. Its role is to act as a structure of proposal and validation. It allows for the diffusion of a stronger internal culture regarding the purposes of evaluation.
- The specific guidelines (“*Fiches Pratiques*”) have been completed and distributed to the DG TREN internal evaluation network.
- A judgement tool for the evaluation reports has been set up by the DG Budget and adopted in DG TREN: it is a grid named “Quality Assessment Framework” used to assess the quality of evaluation reports. This grid provides a critical assessment by the Commission services of the global quality of the final report and a verification of the extent to which the evaluation followed the evaluation standards of DG BUDG and the Terms of Reference.
- The follow-up: for each evaluation, the unit in charge is requested to fill in an electronic table with its comments on the status of the follow-up of recommendations. Thus, a systematic follow-up of the evaluations in DG TREN will be assured. This table will also serve as a key tool for reporting matters.
- The internal and external evaluation INTRANET and INTERNET websites have been created.

2.7. Environment

In DG Environment the *evaluation function* is integrated in the Strategic Planning and Evaluation Unit (ENV.1), reporting directly to the Director-General.

DG Environment has no established network of evaluation correspondents; however, the seven Directors review evaluation quarterly at the regular DG/Directors meeting and internal policy requires a steering group to be set up for all evaluations.

Until end-October 2004 the evaluation function was composed of two A officials (one 70% and one 40% on evaluation), and a B official (40% on evaluation) under the supervision of the Head of Unit (10% on evaluation).

However, for 2005, the configuration will change due to mobility, and will compose of one A official (40%) and two B officials (one 50% on evaluation and one 80%).

An assessment of the implementation of the 39 evaluation standards carried out in December 2003, in March 2004 and in June 2004 showed an improved level of compliance of the evaluation function and activities with the baseline requirements, ensured by incorporating the standards within the evaluation policy procedures for the DG.

Activities other than evaluation projects

Evaluation Policy and Guidance Documents

Until March 2004, the existing procedures were not systematically applied and needed improvement, in particular, in the fields of presentation, dissemination and follow-up of evaluation recommendations. There was also the need to clarify the responsibilities of various actors in the evaluation process and update the DG's evaluation policy to integrate the evaluation standards introduced in July 2003.

A policy document clearly outlining the rules as defined by the Commission Communication of July 2000 and the procedures (incorporating the standards) to be followed within DG Environment was approved by the hierarchy and made available to all in the DG, along with a practical guide available on the intranet to assist desk officers managing evaluation projects.

In addition, model documents for the Evaluation Mandate, the Terms of Reference, Quality Assessment and Follow-up Action Plan have been made available on the intranet.

Snapshot of evaluation requirements in environmental legislation

A comprehensive overview of evaluation requirements in environmental legislation was compiled by the evaluation function with the cooperation of all the units, in order to improve planning and as a support for the DG multi-annual evaluation plan.

As a result, awareness of the evaluation function activities has been raised, the evaluation culture in the DG has been increased and improved planning and timing of evaluations in the SPP cycle has been achieved. The Snapshot has also been a useful support document in the preparation of the evaluation plan 2005.

Studies carried out in relation to evaluation activities

In the framework of the Clean Air for Europe (Café) Programme and in preparation of the Air Thematic strategy, DG Environment has reviewed the effectiveness of existing legislation. The following studies of an evaluation character have been conducted:

- Cost-Benefit Analysis of the CAFE Programme
- Review Health effects by WHO
- Assessment of the Effectiveness of European Air Quality Policies and Measures
- "Ex-post" Evaluation of Short-term and Local Measures in the CAFE Context

In addition, studies of appropriate methodologies/modelling have also been undertaken:

- Development of a Baseline Scenario and an Integrated Assessment Model
- Further development and application of the TREMOVE transport model
- Review of the Rains Integrated Assessment Model

2.8. Research

Research evaluation in DG RTD is managed both strategically and through activities carried out at operational level.

At the strategic level there are two separate evaluation Units, both located within the Directorate for Coordination of Community Activities. Overall coordination of evaluation, planning and system design, as well as the execution of horizontal and strategic level ex post and interim evaluations, is carried out by the Unit for 'Planning, Programming and Evaluation'. This is responsible for both evaluation and planning and programming activities and thereby reflects the linkage foreseen in the Commission reform, notably with the Commission's programming cycle SPP/ABM. Following a re-organisation at the start of 2004, the coordination of ex ante evaluation, specifically the preparation of an ex ante Impact Assessment of proposals for the next framework programme, is carried out by the Unit 'Analysis of the impact of Community Actions'.

At the operational level, specific evaluations are designed and implemented by the relevant programme management units. Some major exercises, such as the Five-Year Assessment, annual Monitoring and recently the preparation of the ex ante Impact Assessment involve joint working between services.

An interservices network run by the Unit for 'Planning, Programming and Evaluation' supports the co-ordination of evaluation activities and the sharing and discussion of evaluation related information. This has a membership that includes DG RTD Directorates, as well as those who have an active involvement or interest in research evaluation from DG INFSO, DG TREN, DG ENTR, DG FISH, JRC and DG BUDG.

Activities other than evaluation projects

Three areas of activity deserve mention: the development of proposals for a new system of research evaluation; the work of the European RTD Evaluation network and the development of international links at a wider level.

During the year a strategy for the future evaluation of Community-funded research was developed, presented and discussed with services both within DG RTD and other Directorates General. The proposed strategy has been submitted to the preparation of the ex ante Impact Assessment of proposals for the next framework programme. The need for change is underlined by major developments such as the Lisbon strategy; the development of the European Research Area; enlargement of the Union; new objectives and priorities of the new Commission; new means for strategic planning by the Commission; the introduction of ex ante Impact Assessment; the development of a new framework programme with new instruments and new goals; and the requirement for greater transparency and accountability.

The European RTD Evaluation Network has supported the exchange of information and the discussion of evaluation tools and techniques, including best practice. Composed of evaluation experts, and/or representatives of RTD evaluation or policy systems from Member States and Associated States, the Network is managed by the DG RTD Unit for 'Planning, Programming and Evaluation'. Biannual meetings are held, usually hosted by the country holding the EU Presidency, with this year meetings taking place in Galway (IRL) in May and Maastricht (NL) in October. In the case of the latter, the event was linked to an external conference on 'Evaluations in the European Research Area' which was attended by around 70 European policy makers and evaluation experts.

Also important have been the efforts made to strengthen links with other international evaluation networks and contacts in the field. In particular, in June an evaluation conference was jointly hosted between the evaluation units in DG RTD and INFSO and the Washington Research Evaluation Network (WREN). There were more than 100 attendees at the event which has laid the basis for development of a worldwide research evaluation network. Follow-on activities have included first, a WREN conference in Washington in September to which DG RTD contributed. Second, a major symposium on research evaluation has now been jointly planned between DG Research and colleagues in the US and will be held at the annual meeting of the American Association for the Advancement of Science (AAAS) in February 2005.

2.9. Information Society

Evaluation of information policies and programmes is co-ordinated by a specific unit (G3) in the Directorate for eEurope and IST Policies. Evaluations are carried out by this Unit in close collaboration with the operational Units and with external expertise. Terms of Reference are specified by the Evaluation unit in consultation with the Programme Managers.

Activities other than evaluation projects

The evaluation of research and technology development has been complemented by two major studies; firstly to develop a coherent set of indicators for future monitoring that will better link the research outcomes to the policy objectives of the Union⁹; and secondly, to map the networks of collaboration in information society research; to assess how these have evolved and fit in with other European collaboration networks, and to develop a capability to assess the value of these networks in terms of innovation and inclusion of SMEs and new Member States¹⁰. These studies provide a basis and capability to better assess the European added-value of research in this area.

DG-Information Society manages a complementary set of research, regulatory and information society deployment initiatives – the latter centred on the eEurope 2005 Action Plan. A further transversal study has looked at how all these activities fit together; how they complement each other, and how they contribute to

⁹ http://www.europa.eu.int/comm/dgs/information_society/evaluation/ist_rtd/monitoring/S2003/index_en.htm

¹⁰ http://www.europa.eu.int/comm/dgs/information_society/evaluation/non_rtd/promise/index_en.htm;
http://europa.eu.int/comm/dgs/information_society/evaluation/index_en.htm

the Lisbon Strategy. This is providing a sound evidence-base on which the DG will be able to strengthen synergy between its activities beyond 2006.

2.10. Direct Research

The JRC Evaluation Unit (B5) belongs to the Directorate for Programme and Resource Management and has a staff of three. The JRC runs an internal evaluation network, with representatives of all its institutes. The network holds several meetings/video-conferences per year. In addition, there are continuous bilateral contacts between the staff in Brussels and in the JRC institutes.

Evaluation related matters are regularly on the agenda of the JRC's Directors'- (compliance with Internal Control Standard 23) and Board of Governors' meetings. The work programme definition, its monitoring and evaluation are seen as an integral cycle within the JRC. Hence, the development of indicators and databases enabling more quantitative and more efficient monitoring and evaluations are developed together by the three units in charge of these activities (B4, B5, and B6) and with the help of the JRC Internal Evaluation network.

Evaluation reports are being discussed at the level of the JRC Internal Evaluation Network, the institutes and with JRC Management. Action Plans devised by the evaluation function together with the internal network serve to initiate follow-up activities in the wake of an evaluation.

Activities other than evaluation projects.

The following three bullets summarize evaluation activities carried out by the JRC in 2004, for which no evaluation sheet is provided for the evaluation review 2004. Moreover, there are further evaluation related activities which will be described below.

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

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

- ***Periodic Action Reviews***

Building on the experience of an 'Internal Evaluation Exercise' in 2003, the JRC developed and implemented its Periodic Action Review (PAR) analysing the output of the JRC Actions in 2003. PAR has multiple objectives:

- It evaluates JRC Actions according to a defined methodology
- It supports work programme planning for the coming year
- It leads to a comprehensive data base supporting various reporting obligations
- It builds a semi-quantitative data base for the benefit of future JRC evaluations.
- It allows deriving corporate level indicators from various lower levels including the Action level.

PAR will be further developed and run on an annual basis.

- ***Staff Satisfaction Survey***

In 2004, the JRC has carried out its third corporate staff satisfaction survey. This bi-annual exercise is implemented by an external contractor according to international standards; its results are benchmarked with those of comparable research organisations. The overall staff satisfaction is one of the JRC's corporate key performance indicators.

- ***Contribution to the Extended Impact for 7th Research Framework Programme***

In fall 2004, all Research DGs carried out an Extended Impact Assessment for Research Framework Programme 7. The contributions from the various Research DGs will be incorporated into one Impact Assessment for the entire FP7 proposal. The JRC contributed to this exercise by analysing the expected outcomes and impacts of its work under various scenarios.

- ***Total Quality Management***

The JRC runs a Total Quality Management Programme. In 2004, most of its institutes carried out a second self-assessment exercise. Moreover, the JRC- evaluation function, -internal audit unit and –Total Quality Management group exchange a lot of information concerning methodologies, experience with surveys, definition of indicators etc.

In addition to the activities implemented by the evaluation function, several laboratories of the JRC have been ISO certified. This involves regular inspections and controls by external auditors.

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

Moreover, the JRC is involved in the Commission inter-service groups on Extended Impact Assessment and the follow-up of the Göteborg strategy and participated in the Commission's Working Group on the Evaluation of EU Agencies.

2.11. Fisheries

In view of the general requirement to evaluate regularly Commission policies, programmes and other community activities, DG Fisheries and Maritime Affairs (DG FISH) established an "evaluation function" in April 2001. The sector "Evaluation" of unit Fish-1, now staffed with a Head of Unit who is also responsible for internal audit and one B-official, is reporting directly to the Director General.

Taking into account the size and nature of the activities of DG FISH on the one hand and the available human resources on the other hand, the DG has opted for a decentralised evaluation system in which the "evaluation function" includes all actors involved in evaluation and impact assessment: the operational units, unit Fish-1-Evaluation, the financial unit, the "Strategic Planning and Programming function of DG FISH" and the Director General.

Each of these units and functions are represented in the "Internal Evaluation Network of DG Fisheries" set up in October 2003. Their respective responsibilities in the field of evaluation and impact assessment are defined in an "Evaluation Charter", approved by the Director General in February 2004.

The main responsibility for the preparation, management and follow-up of the evaluations and impact assessments lies within the operational units. Unit Fish-1-Evaluation takes on a role as coordinator, adviser and trainer.

Impact assessments are coordinated by the "Strategic Planning and Programming function of DG FISH" while unit Fish-1-Evaluation provides assistance to the desk officers undertaking the impact assessments.

2.12. Internal Market

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

Given the absence of big spending programmes in the DG, it has been decided to "merge" the two instruments extended impact assessment (EIA) and ex-ante evaluation. The DG concentrates on the extended impact assessment but, in case that it applies to a proposal that has significant impact on the EU budget, this tool will be widened so that also the specific aspects of an ex ante evaluation are also covered as required by the Financial Regulation.

Since the beginning of the year 2004 a framework contract for evaluation and impact assessment in the field of the Internal Market is in place as well as an AMI list to the same end. These two instruments allow services easier access to external expertise.

2.13. Regional Policy

In the Directorate General for Regional Policy, evaluation is the responsibility of the Unit for Evaluation and Additionality. The unit co-ordinates evaluation activities within the DG and promotes evaluation and the building of evaluation capacity in Member States in the context of the design and implementation of Structural and Cohesion Fund programmes. The unit comprises 16 Members of staff. It meets all the requirements of the Commission's Evaluation Standards and Good Practices which were adopted in July 2003.

Activities other than evaluation projects

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

In 2004, increased provision of guidance and promotion of evaluation efforts focused on the new entrants, as the Structural Funds interventions were launched across all ten new Member States.

Events Promoting Evaluation

During 2004, three main Evaluation promoting events were organised by DG REGIO. These were a Capacity Building Seminar for the new Member States in May, a Technical Group on Evaluation meeting in July, and a Seminar on the Mid-Term Evaluation in October.

Although each of the meetings had a different specific purpose, their common denominator was evaluation capacity building at all levels of administration involved in implementation of Structural Funds in regions and in Member States' ministries.

The Capacity Building Seminar in May aimed mainly at reviewing the evaluation state of play in the new Member States and identifying their current and future needs. A special emphasis was placed on the issue of monitoring and appropriate systems of indicators, developing evaluation capacity and cost-benefit analysis of large projects. The new web-based Guide to the Evaluation of Socio-Economic Development was presented to participants.

The Technical Group on Evaluation meeting in July was the first session of the Group following enlargement. Two most important needs were identified at the meeting: the need for continued methodological guidance and building of an evaluation network, which would serve as an experience exchange forum.

The Seminar on the Mid-Term Evaluation in October discussed the draft meta evaluation of the Mid-Term Evaluations of Objective 1 and 2 regions. The seminar confirmed the analysis in the report and provided an opportunity for discussion with the Member States on challenges for the future in building evaluation capacity.

Performance Reserve

The Performance Reserve was an innovation for the 2000-2006 period whereby 4% of appropriations were withheld at programming stage for allocation at Mid-Term to successful programmes. The allocation of the Performance Reserve was successfully completed in March 2004. A report by the Evaluation Unit of DG REGIO on the experience of the performance reserve is available on the evaluation pages of the DG REGIO website.

The major strength of the Performance Reserve was its ability to act as an incentive for capacity building in good management practices. The fact that targets and deadlines were involved meant that regions and Member States took action to ensure that:

- Resources were spent;
- Evaluations were produced on time;

- Monitoring systems were put in place;
- Financial control systems were implemented; and
- Project selection was increasingly transparent.

A second conclusion is that there was great diversity in the detail of the methods used for assessing performance and making allocations. While this is to be expected for the first implementation of an innovative instrument, any future such instrument would benefit from more clarity in its definition at the outset.

Mid Term Evaluation Update

The Structural Funds regulation 1260/1999 requires an update of the mid term evaluation for all programmes, for which the mid term Evaluation was carried out by the end of 2005. In 2004, following consultations with the Member States, DG REGIO published a Working Paper providing guidance and spelling out the issues to be covered in the update.

Methodological Guidance

During 2004, DG REGIO undertook a number of projects to provide evaluation guidance. The main project was the new Guide to the Evaluation of Socio-Economic Development, which was completed in May 2004, and is now available via the DG REGIO website, or directly at <http://www.evaled.info>. The Guide was built on the experience of the MEANS programme and it is intended to update it regularly. DG REGIO will explore the possibility of developing an interactive element of the website which could promote the exchange of experience and good practice among evaluators and those that commission evaluations.

On the basis of feedback received from actors involved in the administration and implementation and evaluation of Structural Funds and in the light of the forthcoming new programming period, it has been concluded that more guidance is needed on the issue of indicators. To respond to this need DG REGIO, in the second semester of 2004, initiated revision and updating of Working Paper No. 3 on Indicators. The revised Working Paper will be finalised during 2005 in consultation with the Member States.

As a follow up to the seminar in May, DG REGIO provided further guidance on cost benefit analysis, in a series of seminars in the new Member States over the June to October 2004 period.

2.14. Taxation and Customs Union

In DG TAXUD, evaluation is mainly the responsibility of Unit B/2, "*Strategy, political and economic forward studies, evaluation*". Owing to staff shortages, B/2 has to rely on auxiliary staff and work on priorities only, e.g. evaluation of the Fiscalis and Customs programmes, for which it liaises with the relevant managing departments.

Policy evaluations are carried out by other units, with or without the evaluation unit's assistance.

2.15. Education and Culture

The management of evaluations in the Directorate-General for Education and Culture is largely decentralised. The overall coordination of evaluation activities is the responsibility of a central team, the evaluation sector, working within the unit "Inter-institutional Relations, Coordination and Evaluation", which reports directly to the Director-General. The actual preparation and execution of evaluations is carried out by the departments responsible for managing programmes, policy-making and other forms of activity.

This set-up, in place since 2000, was supported in 2004 by a revitalised network of evaluation correspondents, established at the beginning of the year. Chaired by the evaluation sector, the network is composed of a representative from each policy area (audiovisual¹¹, civil society, culture, education, languages, sport, training, youth), plus a representative of the strategic planning and programming team.

¹¹ The audiovisual policy domain was transferred to the Directorate-General for the Information Society on 1/1/2005.

Meetings take place quarterly and deal with planning, reporting, training and methodological issues. The prime aim of the network is to raise the level of evaluation management skills in the DG.

During 2004 the evaluation sector was composed of 2 full-time A-grade officials and 1 full-time C grade official, compared to 2.75 full-time equivalent A-grade officials and 1 full-time C-grade official in 2003. The sector is responsible for coordinating the DG's evaluation planning and reporting activities and for ensuring the application of the Commission's "Evaluation Standards and Good Practices". It is closely involved with each step of every evaluation, including the drafting of terms of reference by the department concerned, the selection of a contractor for external evaluations, the carrying out of the evaluation, meetings of the steering committee, the quality of the contractor's inception, interim and final reports, and the contents of the action plan (see below) prepared by the department in response to an evaluation's findings. In the interests of quality control and the maintenance of evaluation standards, the evaluation sector must formally approve all terms of reference, final evaluation reports and action plans.

2004 saw the consolidation of new procedures set up in late 2003 for following up and monitoring the use made of evaluation reports. The follow-up procedure obliges each department that has carried out an evaluation, on the basis of the evaluation's findings and recommendations, to prepare an action plan and timetable for the implementation of corrective or other measures, and to report on progress made at six-month intervals. The effectiveness and efficiency of this system, following a first set of modifications mid-way through the year, will be assessed in the first quarter of 2005.

In the early part of the year, the evaluation sector introduced new model terms of reference for the use of the DG's departments, based on an analysis of weaknesses detected in the conduct and outcome of evaluations during 2002 and 2003. Although other factors may be involved, calls for tender based on this new model have been associated with the receipt of a higher number of good-quality tenders, compared to earlier years. In addition, the evaluation sector developed an internal quality assessment grid for final evaluation reports (to be applied to evaluations launched in 2004), and a work-flow monitoring system for tracking the conception, implementation, execution, follow-up and dissemination of evaluations and their findings. Work also began on a database of recommendations stemming from all evaluations and internal and external audits: the aim here is to be able to detect trends and patterns across the DG's many programmes and activities.

2004 also saw a number of measures undertaken to ensure the wider dissemination and availability of evaluation results:

- compared with an estimated 45% availability at the beginning of 2004, all evaluation reports from 1999 onwards are now available on a single page on the World-Wide Web — http://europa.eu.int/comm/dgs/education_culture/evalreports/index_en.htm;
- evaluations were systematically covered in the DG's annual activity report for 2003 and in the activity statements accompanying its contribution to the 2005 preliminary draft budget;
- the DG's evaluation intranet, accessible by other parts of the Commission, was refurbished;
- terms of reference systematically included provisions for contractors to present evaluation findings to programme committees and analogous governance bodies.

Overall, and as a result of the activities outlined above, 2004 represents something of a turning point in the implementation of the DG's evaluation function. While the decentralised approach—entirely appropriate, given the large number of evaluations undertaken and the wish to reinforce the DG's evaluation capacity—was maintained, much more central support and coordination was provided, quality control was reinforced, and feedback to decision-making was undertaken in a more structured and systematic manner.

2.16. Press and Communication

The evaluation function was officially set up on December 19, 2003, when its charter was signed by the Director-General, Mr Jorge de Oliveira e Sousa. The "evaluation cell", composed of one A and one B, is directly answerable to the Director-General with whom it holds a weekly meeting. The "evaluation cell" is responsible for coordinating and supporting evaluation activities within the DG, including the Representations in the Member States.

2.17. Health and Consumer Protection

DG SANCO has a de-centralised Evaluation Model consisting of:

- A central evaluation section, being a part of SANCO Unit 01 (Audit and Evaluation), and reporting directly to the Director General. The central section consists of one A, one B staff, and part of secretarial resources. The section co-ordinates the evaluation activities of SANCO, develops and maintains the evaluation procedures, and provides advice through the participation in all evaluation steering groups;
- An internal Evaluation Network representing the Directorates of SANCO, and co-ordinating evaluations within the Directorates. Consists currently of 11 members;
- The operational Units and Directorates, who are responsible for the planning, organisation and follow-up of evaluations;
- An internal evaluation Handbook providing the rules and guidelines for organising and managing evaluations, and focusing on the key decision points of the overall evaluation process;
- A system for monitoring of progress and reporting of evaluations, and follow-up of recommendations from evaluations.
- A SANCO evaluation framework contract, under preparation, which is planned to be starting up at the beginning of 2005.

2.18. Freedom, Security and Justice

Relatively to 2003, little has changed as regards the organisation of the Evaluation Function in DG JLS. However, one change should be mentioned relating to the new organisation chart which entered into force on 1 January 2004. Beside the reorganisation of the Directorates, the title of the policy strategy unit A1 was modified and includes now an explicit reference to evaluation so as to give more visibility to the central evaluation function¹². The central Evaluation Function is located in Unit A1 in order to ensure close links between evaluation, monitoring and policy planning.

In terms of human resources, in normal times the central function consisted of one A-grade post within the Unit responsible for "Strategic Policy, Evaluation and Institutional Affairs"; however because of maternity leave of the person occupying this post from June 2004, the work on evaluation and impact assessment has been taken over by two colleagues (respectively evaluation and impact assessments) in addition to their assigned tasks. Bearing in mind the increase of evaluations and impact assessments, the available human resources in this area is an important aspect to take into account and a challenge for the years to come.

The central function is supported by a *network of correspondents* composed of the central evaluation function and of evaluation correspondents from each operational unit; this network has met once in June and will meet either at the end of this year or in January 2005 has met again in March 2005.

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

Activities other than evaluation projects

DG JLS commissioned a guidance document on Fundamental Rights Impact Assessment in 2004. This action is a follow up of the JAI aspects (Fundamental Rights) in the framework of the general cross-sectoral Impact Assessment method applied in the Commission. Furthermore, it is an attempt to elaborate a tool for assessing the compliance of legislative proposals with the Charter of Fundamental Rights, as decided by the Commission in the Communication on the application of the Charter of the Fundamental Rights in 2002 (ref. SEC(2001)380). The guidance document provides tools and concepts to enable the identification of when

¹² Unit A1 « Strategic policy, evaluation and institutional affairs »

fundamental rights are likely to be impacted by the Community policies and legislative measures and to outline how these impacts can be taken into account.

Concerning the Framework Programme on judicial cooperation in civil matters, it has to be underlined that according to the regulation: "The Commission shall report [...] on the implementation of this general framework, including the results of the control, the reports and the monitoring of the activities." After detailed analysis of the text we came to the conclusion that such a report that is almost finalised does not correspond to a mid term evaluation. This is also shown by the second paragraph of article 15 of the above mentioned regulation which explicitly refers to the submission of an evaluation report to be available in time for a possible renewal of the general framework or by 31 December 2005 at the latest.

The Implementation of the Tampere programme in the area of Freedom, Justice and Security has been monitored by the bi-annual Scoreboards. After the five years period referred to in the Amsterdam Treaty and the multi annual programme of Tampere ending on 1 May 2004, the results and activities in this context were assessed in three Communications adopted in June 2004. In the context of The Hague programme it has been decided to present a scoreboard again, the first being planned for the end of 2005. In this field, a *Study on the evaluation of policies and legislation* has been carried out, as the second phase to a first structuring study developed in 2003.

2.19. External Relations, Development and Relations with ACP States

The evaluation unit in the EuropeAid Co-operation Office (AIDCO) is a common unit for several DGs, i.e. Development (DG DEV), External Relations (DG RELEX) and EuropeAid (AIDCO) (with the participations of DGs TRADE, ECFIN and ECHO in specific evaluations) and reports directly to the Board of EuropeAid, which formally adopts every year the evaluation programme.

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

Activities other than evaluation projects

Improvement of the methodology

2004 has been the second year of a 3 years' programme to improve the methodology of the evaluation. It has included the drafting of guidelines for the geographical evaluations and for the sectoral evaluations, based on the recent experiences and practices within the evaluation unit. These guidelines will be published in paper copies and in a website document in 2005.

Moreover, 11 evaluation tools (individual interview, group interview, questionnaire survey, case study, problem diagram, objective diagram, decision diagram, costs/effectiveness analysis, multi-criteria analysis, SWOT, expert panel) have been described and will be available on the website in 2005. During this period, an analysis of 3 sectors (human rights, education and water and sanitation) has been finalised to allow a better evaluative structuring of the logic and the coherence of the activities of the European Commission. This work will be published in 2005 together with the 3 other sectors under scrutiny (health, rural development and transport).

Dissemination and feedback mechanisms

The Evaluation Unit of AIDCO has applied the guidelines published in 2003. Several seminars have been organised when possible in the countries or the region evaluated: Ethiopia, Benin and Mercosur. For CARDS and European Agency for Reconstruction, several presentations have been done to the Member States in various committees. Two major seminars were held in Brussels for Transport and Food Aid and Food Security respectively. Wide diffusion of the evaluations has been made and all of them are published on the website accompanied by a two pages summary, a quality grid and a 'fiche contradictoire'.

In 2004, for the first time, the third column of a "fiche contradictoire" for an evaluation project was completed (South Africa). The first column of this 'fiche contradictoire' contains the recommendations of the evaluation,

the second column specifies the position of the Commission services in relation with the recommendations, and the third one indicates the actions taken one year after publication of the evaluation report.

2.20. Trade

The organisational arrangements for the evaluation function at DG Trade were introduced during 2003. A substantial justification for their introduction was, of course, the entry into force of Commission-wide standards for evaluation.

The most important features of these arrangements are as follows:

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

Activities other than evaluation projects

Partly in response to the weaknesses mentioned in section [2.20](#) or Part I, DG Trade has been working during 2004 to develop a manual setting performance guidelines for the whole of the SIA process. And the Internal Audit and Evaluation unit is currently working on a manual for the evaluation process within the DG.

2.21. Enlargement

The evaluation function of DG Enlargement is organised as a unit, E4, within the directorate responsible for general matters and resources. The unit was created in January 2002 by detaching it from the directorate responsible for negotiations and pre-accession coordination, financial instruments, and implementation and contracts. It is staffed of 4 A-posts, 2 national seconded experts, one B-post and 2 secretaries.

The principal division of tasks is based on the main stages of the evaluation cycle –ex ante, interim and ex post– and also takes into account horizontal activities related to evaluation. An internal/external network of relevant stakeholders is organised for each evaluation exercise. The reporting arrangements to the hierarchy include systematic reporting at special debriefing meetings as well as at formal sectoral and joint monitoring committee meetings.

Activities other than evaluation projects

In the beginning of 2004, the evaluation unit prepared the smooth functioning of the decentralised monitoring and interim evaluation system in the new Member States, by issuing a revised Joint Monitoring Committee mandate including the requirements for the new Implementation Status Report.

The unit successfully organised the last plenary meeting of the Evaluation Advisory Group (EAG) of Member State and Candidate Country representatives. The EAG had been being set up as a forum for discussing and proposing ways of translating Chapter 28 (Financial Control) *acquis* requirements and EDIS guidelines into best-practice monitoring and evaluation models and local capacity-building strategies. A final report and a guide to good practice for evaluation capacity building were issued as end-outputs.

The unit provided advisory support to the EDIS (extended decentralised implementation system) accreditation process of new MS, through examination of their Action Plans on Decentralisation of Monitoring and Evaluation on the basis of ad-hoc prepared check-lists.

The unit also carried out regular quality checks of all draft project fiches and attached Logframes with a view to improving the quality of projects at the design stage of the programming cycle.

2.22. Humanitarian Aid

The Evaluation function of the Directorate-General for Humanitarian Aid – ECHO is an autonomous sector within ECHO 4 (the Unit responsible for general policy affairs, planning co-ordination and support, and general support for major crises, among other matters) and comprises four officials.

Activities other than evaluation projects

ECHO-4 Evaluation is a member of the Active Learning Network for Accountability and Performance in Humanitarian Action, ALNAP. ALNAP is a humanitarian sector membership network dedicated to improving the accountability and quality of humanitarian action by sharing lessons, identifying common problems and, where appropriate, building consensus on approaches.

2.23. Administration

DG ADMIN

The Evaluation Function of DG ADMIN operates as a sector within the unit "Strategic planning and evaluation; relations with the Institutions and the Offices – ADMIN.D.2" and is situated in the Resource Directorate of the Personnel and Administration DG (DG ADMIN). The Evaluation Function of DG ADMIN was established at the end of the year 2001 and it is since the establishment of the Office in 2003 also responsible for evaluation of the activities by the Pay-Master Office (PMO), the Office for Infrastructure and Logistics in Brussels (OIB) and the Office for Infrastructure and Logistics in Luxembourg (OIL). Since the reorganisation in 2004, whereby the Directorate of Informatics of DG ADMIN was transformed into the Directorate General for Information Technology (DIGIT) the Evaluation Function also provides assistance for evaluation projects in DIGIT.

The roles of the Evaluation Function, its basic principles and procedures, have been clearly defined in a specific mandate, which was authorised by the Office Directors and the Director General of DG ADMIN on 1 July 2003. The Evaluation Guide for DG ADMIN and the Offices reflects the current organisational setting as well as the planning and follow-up procedures for evaluation. The Director General of DG ADMIN communicated and confirmed by note on two occasions, to the Office Directors and the Directors of DG ADMIN during 2004, the procedure for the planning and approval of staff consultations via surveys, evaluations or studies. This procedure is coordinated by the Evaluation Function and the Internal Communication unit of DG ADMIN. The Evaluation Function fully complies with the Commission's evaluation standards and its activities are subject to internal review or audit.

The Court of Auditors started with the audit of the evaluation framework in the Commission this year. It also includes in-depth testing at DG level. DG ADMIN was chosen within the sample of DGs that the Court examines more closely.

The majority of evaluation projects are outsourced to specialised external evaluation experts, but the Evaluation Function itself is also responsible for a number of internal evaluation projects. The Evaluation Function contributes, in addition to managing evaluation projects, to the process of objective and indicator setting, strategic planning and the preparation of the Annual Management Plan (AMP) in the context of Activity Based Management (ABM). The follow-up of evaluation results and recommendations is based on a follow-up document per evaluation project, agreed upon by the steering group for each evaluation. The implementation of the follow-up is monitored via the work-programme of the Annual Management Plan and the internal data-base called "Suite à Donner".

DG ADMIN's annual evaluation plan is annually decided upon as part of the Annual Management Plan(s). The annual planning is derived from the multi-annual evaluation programme, which is updated on an annual basis. The planning includes projects related to the activities of DG ADMIN, PMO, OIB, OIL and DIGIT. Evaluations are scheduled according to the requirements of the Financial Regulation (regular evaluation of activities occasioning significant spending, ex ante evaluation or proposals for renewal or new programmes), legal requirements and political priorities of the Commission. As the activities of DG ADMIN and the administrative Offices are mostly of permanent nature, evaluations often follow an "omnibus" approach, combining ex-ante, interim and ex-post approaches into one single exercise.

The unit "Strategic planning and evaluation; relations with the Institutions and the Offices" of DG ADMIN follows a practice of full transparency and publishes all relevant documents related to planning, review and evaluation on the local Intranet of DG ADMIN. It published all evaluation reports and follow-up on its "evaluation site"¹³, accessible to all Commission staff. The site is kept up-to-date during the year.

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

In addition, The Evaluation Function of DG ADMIN is involved in the Eco-Management and Audit Scheme (EMAS). DG ADMIN has the responsibility to implement the decision taken by the College on 7 September 2001 for the EMAS pilot project. The Evaluation Function will provide assistance in the review or eco-audit of DG ADMIN and OIB concerning EMAS compliance.

DGT

DG Translation evaluation related activities

The internal survey of linguistic job descriptions was finalised in December 2004. The analysis of the answers given shows a very high average satisfaction rate of 76.4%, whereas most comments concern the information related to the job environment and to the competences required for the specific jobs which are contained in job descriptions.

The external "Integration study" launched in 2003 in order to identify solutions for the integration of DGT applications was completed in March 2004. The financial impact of the integration project is estimated in excess of 1.2 million €. The incurred costs should be offset in the long-run by lower application maintenance costs and improved evolutive maintenance operations.

The external "Business analysis of the translation workflow", launched in 2004, which aims at defining detailed models of the translation process, is expected to be completed by April 2005.

The DGT "Evaluation and Analysis" unit publishes all evaluations completed or in progress on its intranet site, which is continually kept up-to-date.

The evaluation guide will be updated in 2005 so as to reflect the new structure and tasks of the evaluation function following the recent reorganisation.

Translation Centre (CdT) evaluation related activities

Among the various quality management activities of the CdT, the following evaluation related ones could be mentioned:

A report analysing the internal translation process was completed in February 2004. It identifies risks and ways of addressing them.

In February 2004 a survey was published on the use of linguistic tools at the Translation Centre. Translators were asked to evaluate the features and user-friendliness of the translation-related software tools at their disposal. The general trend is to have a single tool for each core activity.

Finally, in September 2004, CdT launched a user satisfaction survey among its clients. The results will be used in the self-assessment exercise to be carried out in 2005.

OPOCE

The evaluation function was set up on 1 August 2003. It is implemented by an official directly attached to the Director General. The mission of the evaluation function lies in coordinating and ensuring the realisation of the evaluations in accordance with the objectives and activities of the Office, in compliance the Commission's Evaluation Standards and Good Practices. Moreover, it is charged with developing an evaluation culture in the OPOCE.

¹³ http://www.cc.cec/dgintranet/admin/policy/planning/evaluation_en.html

In 2004, the evaluation activities focused notably on difficulties encountered in the implementation of financial circuits relating to activities managed by interinstitutional Offices on behalf of the different institutions. The revision of the Financial Regulation currently in progress should integrate this aspect more clearly.

2.24. Budget

The evaluation function of the Budget DG (DG BUDG) exists since 1996. Before October 2000, it was integrated into the unit 'Budgetary synthesis and evaluation' but became then independent and is now an own-standing unit within Directorate B 'Own Resources, evaluation and financial programming'. At present, it is composed of 7 A-level staff and two secretaries.

The unit has continued to develop its tasks as defined in the Commission's Communication on Evaluation from July 2000 (SEC (1051) 2000). These include in particular:

Support to SPP and budgetary processes

Within the context of the financial framework and budgetary procedures, the evaluation unit has continued to reinforce its involvement into the formulation of DG BUDG's replies to interservice consultations from other Commission DGs and services as well as into the budgetary 'hearings' in preparation of the Preliminary Draft Budget (PDB) 2004. The unit carried out a detailed analysis on how evaluation-related information is used by DGs and services within the context of Interservice Consultations. The evaluation unit of DG BUDGET also compiled the Commission Forward Evaluation Programme for 2004, and published an "evaluation highlights" paper with a view to informing the inter-institutional debate on the Annual Policy Strategy for 2005.

The evaluation unit of DG BUDGET also participated in the ad hoc working group set up by the Secretariat General to assess and improve the Commission's impact assessment process, including a revision of the IA guidelines.

Follow evaluation activities and studies directly carried out by the unit

Apart from general advice and guidance on evaluation within the Commission, the evaluation unit of DG BUDG also participates in particular projects of other services, e.g. as a member of the steering committee, if requested. Furthermore, it has been in charge of managing so-called 'strategic evaluations', i.e. evaluation with a cross-cutting character of policies that are run by, or mobilise the resources of several Commission services. As regards the strategic evaluations managed by DG BUDGET, apart from the [Evaluation of the Management Methods of Programmes](#), a global follow-up plan for the strategic evaluation on the financial assistance schemes to SMEs, completed in 2003, was drawn up and disseminated.

In addition to this, it carries out studies of its own on horizontal issues of particular interest from the point of view of evaluation, such as the ongoing study on the use of evaluation results in the European Commission.

Guidance and support

In terms of guidance, the unit produced an updated version of *Evaluating EU Activities – A practical guide for the Commission Services*. This document is available online at http://europa.eu.int/comm/budget/evaluation/Key_documents/evalguides_en.htm. Additional guidance was also provided to the Commission services concerning the procurement procedures and types of contracts available for evaluations in the Commission.

The evaluation unit of DG BUDGET launched a **call for expressions of interest** (appel à manifestations d'intérêt, AMI) in the field of evaluation in October, 2003. The aim was to draw up a list of potential candidates for carrying out a range of evaluation services described in the call. All the Commission's departments as well as the decentralised bodies of the European Union could make use of the experts' list drawn up following the publications of the calls. The current experts' list is valid until 31.8.2006.

To make the new list operational, seven selection panels were held in the course of 2004. The work of these selection panels has led to a list comprising already quite a significant number of experts, which is still growing.

All the main types of evaluation are well-covered on the list. Nearly all the accepted companies have indicated to be able to carry out interim AND ex post evaluations. In addition, also ex ante evaluation/impact assessment is strongly represented. As far as the scope is concerned, both programme and project

evaluations are strongly represented, while more than half of the evaluators have also indicated experience on policy and strategic level evaluations.

This procurement tool is available at:

http://europa.eu.int/comm/budget/evaluation/ami_files/procurement_en.htm

Capacity building is important to implement evaluation requirements. In this regard, since mid 2004, DG ADMIN in cooperation with B5 of DG Budget has been providing **training in evaluation**.

Three modules have been developed:

- Understanding the challenges of evaluation (one day)
- Managing an evaluation (two days)
- Evaluation methods and instruments (three days)

The first two have been operational in English and French in 2004. The third one will be available in April in 2005.

In addition, B 5 developed a special course to explain the integration of evaluation practices in the budgetary cycle, as well as in the ABM / SPP cycle.

In 2004, a total of 112 persons were trained in evaluation.

Moreover, 2 seminars were organised by the evaluation unit of DG Budget to exchange existing good evaluation practice within Commission in relation to the evaluation standards.

- The follow-up of evaluation results
- Exchange of good practice concerning evaluation planning

Also in the field of support to the evaluation functions, the **framework contract** for evaluation and evaluation-related services which aims at providing high quality, more speedy procurement of evaluation services, has continued to be largely used by the Commission services. It was extended for a third, last year in September 2004. Additional guidance was provided in the intranet site of DG BUDG concerning the types of contracts and procurement procedures available for evaluation projects.

Evaluation network

The internal evaluation network of the Commission has continued to play an important role as regards the exchange of ideas and the continuous improvement of the quality of the evaluation work. Moreover, the external evaluation network, assembling representatives from the evaluation function in the Member States, held its annual meeting on 20 December.

2.25. Statistics

In accordance with the Communication of the Commission on Evaluation Standards and Good Practice, the evaluation function of Eurostat was created in 2000. The evaluation function forms part of the Quality Cell, attached to the Director General. 2 A grade posts and ½ C grade post are allocated to the Quality Cell. Out of these, one A grade post is dedicated to evaluation.

Rolling Reviews

Rolling Reviews are the centrepiece of the Eurostat evaluation methodology. A Rolling Review is a thorough review of user satisfaction, partner satisfaction, and costs for Eurostat and for Member States. The focus of the Rolling Review exercise is on finding possible ways to improve the functioning of a statistical area.

Due to the findings described in Section 2.26 of Part I, the formulation of Rolling Review Project Management Guidelines (see below) has been given priority over the execution of individual Rolling Reviews. Consequently, the 2004 Eurostat Evaluation Plan has not been fulfilled, as the Rolling Reviews scheduled for 2004 have been postponed to 2005; they will commence once the project management guidelines have been finalised.

While general improvement of the Rolling Review methodology will be the main output of this activity, an important driver has also been the necessity of making the Rolling Reviews fully compliant with the 39 binding standards for evaluation activities as well as with the Eurostat Project Management Methodology.

ANNEX I – SUMMARY OF INDIVIDUAL EVALUATION RESULTS

Strategic evaluations

Strategic evaluation of the management methods of programmes

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim	07/03 – 06/04	E. García Martín-Romo (+32 2 2962081)	External

Purpose of evaluation

The strategic evaluation was decided in the framework of the Annual Policy Strategy 2003, in order to contribute to the formulation of the Commission's future policy orientations.

Its objectives were to analyse the advantages and disadvantages of the various management methods used by the Commission in the implementation of its programmes, from the point of view of their relevance/appropriateness, effectiveness and efficiency. Secondly, to identify factors that can reinforce these last three factors. Finally, to compare and, if possible, establish good practices between the different management methods.

The results should be used to help the Commission apply the principle of sound financial management, as defined in the Financial Regulation, to contribute to the design or modification of Community programmes and to help in the revision of the 2004-2006 financial perspectives for an enlarged Union.

Summary of findings and recommendations

The issues of *appropriateness or relevance* of the management methods are seldom explicitly considered during the establishment or evaluation of a programme. In this sense, the main factors driving the choice of method were: Policy area and objectives, type of beneficiary, history, "issues of scale" (budget, timescale, speed of implementation) and geographical/proximity factors. There seem to be no "preferred" methods, but traditions relating to policy area and type of programme, which is linked to the lack of a reference of good practice

The impact of the management method chosen on the *effectiveness* of the programme is often not addressed in evaluations, what makes difficult to assess "good practices" on the basis of existing information. In general terms, trade-offs are frequent at all levels between objectives set and administrative & institutional factors involved. According to the study, the adaptation process to the requirements of the new Financial Regulation has had a temporary impact on this field.

There is lack of homogeneous measurement of the *efficiency* (in terms of relation to programme objectives) of the implementation mechanisms throughout programmes, which results in an incomplete picture of this aspect. However, it can be said in general that management methods are often chosen as a result of resource availability and not according to the needs of the programmes. The level of effort from the Commission staff is not only under-reported financially, but also the level of personal commitment is also not adequately valued.

Recommendations

- Programmes should set out the reasons for the choice of the management method as part of the process of setting up of the programme. To this end, a centralised resource of programme management practices should be established, in order to Assist in the choice and improvement of management methods and facilitate benchmarking. Criteria could be set to assist in the judgement of management methods and decisions made explicit.
- The evaluation of the implementation design should be systematically included in the ex ante and interim evaluation of programmes.
- The Commission should adapt implementation methods to the programme environment and beneficiary type.

- Programmes should develop their processes for reviewing performance and ensure that the lessons learnt are fed back and used to review objectives and are included in strategies for service development.
- The Commission should make better use of the mechanisms that are in place and being developed for crosschecking project duplication.

There is need for a performance measurement system with a clear purpose, focusing on the core objectives and services areas and aligned with the objective setting and evaluation processes. The system should strike a balance between the cost of collecting the indicator, and the value of the information provided and be based on robust performance indicators, both quantitative and qualitative. The system should be regularly refined.

Main evaluation methods and data used

- Desk research
- Primary data from interviews, surveys
- Secondary data from monitoring system, literature/experts
- Case studies

Action taken / follow-up planned

As foreseen, the study arrived in time for the discussion on the new financial perspectives.

In order to contribute to the design, preparation and improvement of existing programmes, the study was sent to all services and presented to several high level networks of the Commission. An overall follow-up plan for the recommendations of the study, which goes beyond the level of evaluation, is being prepared.

Availability of the report

http://europa.eu.int/comm/budget/evaluation/Key_documents/evalguide_study_en.htm

Strategic evaluation of approaches to integrating sustainability into Community policies

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim/ex-ante	11/2002 – 10/2004	C. Robertson (+32 2 2964668)	External

Purpose of evaluation

The study aimed to identify problems most frequently encountered when incorporating the sustainability pillars into the formulations, objectives, implementation and monitoring of Community Policy with a view to identifying relevant recommendations for future action.

Summary of findings and recommendations

The main recommendation that emerges from the study is to develop more operational definitions of "critical sustainability criteria" in support of the EU Strategy for Sustainable Development (SDS). While the SDS does indeed point to 6 specific unsustainable trends (covering climate, public health, natural resource use, bio-diversity and poverty/social exclusion as well ageing) it does not provide more generic exclusive and operational criteria against which specific policies, strategies and initiatives can be reviewed. Such criteria can support a more generic and operational interpretation of the current definition, and thereby provide a more binding, or operational, SD framework.

Main evaluation methods and data used

- Case studies

Action taken / follow-up planned

The evaluation report was widely disseminated and made publicly available on the Commission's Sustainable Development Strategy website. The findings of the evaluation will be considered as part of the review of the Commission's Sustainable Development Strategy.

Availability of the report

http://europa.eu.int/comm/sustainable/docs/Report_Evaluation_of_Approaches.pdf

Enterprise

Interim evaluation of the European Observatory for SMEs

Activities concerned 02 02 Encouraging Entrepreneurship

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim / ex post	12/03 – 07/04	J. Angerer (+32 2 2955956) U. Mogensen (+32 2 2967031)	External

Purpose of evaluation

The current contract of the Observatory of European SMES expired in June 2004, and a decision will need to be made about its renewal adjustment or discontinuation. The evaluation of the relevance / effectiveness / impact of the activities of the European Observatory for SMEs will support this decision. The results will be used as an input to the contract for the 9th Observatory.

Summary of findings and recommendations

Many actors need statistical information and economic and policy analysis on issues involving SMEs in Europe, and the Observatory has contributed to fill the gap, so that a new edition of the Observatory would be justified. However, the quality of the information and analysis produced by the Observatory should be improved and better targeted. The impact on policy making and research on SMEs is improvable, also with regard to the high utilisation of financial resources. Without a clear restructuring, a new edition of the Observatory risks to be of limited effectiveness.

The evaluation confirms that the Observatory responds to a widespread need for information, but the quality of its output leaves large room for improvement and its impact and cost effectiveness are relatively weak. The activity could be usefully pursued by the Commission, if the architecture is visibly modified to make it more open, flexible, interactive and transparent. With a comparable budget, the tender procedure proposed would be more complex, but the follow up workload for the Commission would be reduced in terms of coordination, quality control and dissemination of results. Most importantly, the proposed new structure would probably improve the quality and usability of the outputs, increase the positive externalities for a wide audience of users and researchers as well as its impact on policy making at national and community levels.

Overall findings

The judgement on relevance is high (79% of its maximum score), that on quality is just satisfactory (60%), dissemination and impact are unsatisfactory (48%) and cost-effectiveness is also unsatisfactory (56%). Overall the judgement is slightly more than satisfactory.

Relevance: the evaluation confirms the need for statistical information on SMEs

The user survey shows a substantial information need on European SMEs, not only a comprehensive and integrated statistic set but also the interpretation and analysis of quantitative data. In this sense the Observatory cannot be considered as an alternative to sources such as Eurostat and the OECD, since its ambition is rather to produce information that will provide national experts on SMEs at various levels with a wealth of comparable information and interpretations on which to base their considerations and actions with regard to SME policy.

Quality: shortcomings in the quality of the Observatory's outputs

The quality of the Observatory's work is high in terms of suitability of presentation, relevance of addressed policy topics and comprehensive review of the main economic and policy issues concerning European SMEs. However, the quality of the Observatory products is clearly improvable in terms of value added of the economic and policy analysis, of impact on further research, of contribution to scientific knowledge on SMEs and of relevance for policy makers.

In particular, the evaluation points out that: the analysis of the results of the ENSR surveys and the policy analysis are too descriptive; some methodological approaches can be strongly criticised; the repeated cross-sectional survey is not exploited to compare some variables over time; the data is not fully exploited, and some survey results completely neglected; each report is too narrowly based on a specific section of the ENSR questionnaire; some reports do not adequately take into account insights from other Observatory reports.

Effectiveness: low impact on policy making

The Observatory is the only source of information of a general nature and a non specialist approach providing a quick overview of some fundamental issues for SMEs in Europe.

Given the low demonstrated dissemination and impact of the Observatory products outside of EU institutions, the efforts made to maintain such a structure, especially in financial terms, are difficult to justify. In particular, the national reference network does not produce a basic consensus that could give added value compared with alternative sources of information. The evaluation therefore recommends a restructuring of the Observatory.

Recommendations

According to the evaluation findings the Observatory should be either discontinued despite the information need identified in the user survey and the lack of alternative information sources, or its structure should be radically changed. It proposes 3 possible scenarios for the future:

- Scenario 1: Do Nothing: discontinuing the project;
- Scenario 2: Do Minimum: following the current project design, with minor changes
- Scenario 3: Radical Restructuring: evaluator's preferred option.

Scenario 3 is the preferred option recommended by the evaluation, i.e. continuing the activities of the Observatory for European SMEs but with considerable restructuring in order to improve the output quality and the cost-effectiveness. The evaluation concludes that there is indeed still space in coming years for an initiative of the European Commission in the field of information about the perceptions and performance of SMEs and there will continue to be a need for up-to-date data and analyses suited to the necessities of policy-making and to the debate surrounding it. Continuing the activities of the Observatory is therefore justified with a new project design and management model. Its objective would be to gather original and comparable data, over time and across countries, about the trends, economic attitudes and needs of SMEs that are of particular relevance to the Community priorities.

The evaluators recommend a more open structure, with different tasks being carried out by different actors. Indeed, gathering and harmonising the statistical data, conducting the survey and analysing the data requires different specialisations, which a single subject does not necessarily possess, even in the form of a consortium. They also feel that the complex structure of the network and the Reference Board was not effective. The evaluation therefore recommends the Commission to study the feasibility of an open and flexible structure, based on specialised tasks, and higher accountability. It proposes a structure that could be a basis for the discussion of the future of the Observatory, based on a tendering procedure broken down in lots, which could for instance have following coverage:

- 1) An Observatory Management Unit, in charge of
 - Scientific supervision, coordination, quality control
 - Production of an annual summary report
 - Dissemination with a dedicated website and other activities (comprehensive database available to all)
- 2) A Data Management Unit, responsible for
 - processing of statistical data to produce a comparable set of European SMEs Statistics
 - Business survey and data processing
- 3) A set of contributors of thematic reports to be selected for each theme by competitive procedures, either by the Commission or the Observatory Management Unit, in a transparent way.

Main evaluation methods and data used

- Desk research
- Field studies with interviews and surveys
- Primary data from interviews, surveys, etc.
- Secondary data from Internet search engines; identification of monthly visits to the Observatory website and of monthly downloads
- Comparison/Control groups
- Statistical analysis
- Benchmarking
- Cost-effectiveness analysis

Action taken / follow-up planned

The main finding that quality, dissemination/impact and cost-effectiveness should be improved substantially, will be taken into account in the next tendering process, which will be launched next year. The method to reach this target might however differ from the recommendations of the evaluation, since administrative and coordination costs have not been treated sufficiently by the evaluators.

Availability of the report

Electronic copy available on request from J. Angerer (+32 2 2955956), U. Mogensen (+32 2 2967031) or L. Rawoe (+32 2 2952737)

Final evaluation of the Multi-annual programme for enterprise and entrepreneurship, and in particular for small and medium-sized enterprises (SMEs) (2001-2005) (MAP)

Activities concerned 02 02 Encouraging Entrepreneurship

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim / ex post	11/03 – 09/04	M. Nyman (+32 2 2984371)	External

Purpose of evaluation

In line with provisions under Article 5 of Council Decision 2000/819/EC of 20 December 2000, and DG Enterprise's Evaluation Programme, an external evaluation is being carried out on the Multi-annual programme for enterprise and entrepreneurship, and in particular for small and medium-sized enterprises (SMEs) 2001-2005 (known as the MAP)

The evaluation is an interim/final evaluation and also, to the extent possible at this stage, ex-post, as the programme is due to finish in 2005. It is expected that the Commission will be able to draw on the evaluation to both improve the current MAP and also with a view to the development of any successor. The evaluator has therefore been asked to provide realistic recommendations (based on, and supported by, factual findings) on how the design and implementation of the MAP could be improved both in relation to its current modalities and in light of any future programme in an enlarged European Union.

Summary of findings and recommendations

The overall programme

The evaluation found that the MAP is generally effective and fairly efficient and expected to achieve its global objectives. MAP has been useful for those directly involved (national policy makers, EICs, financial intermediaries), who have benefited from new and complementary resources (information, knowledge, methods, dissemination material, events, products, additional funding). Through these intermediaries, general support for enterprises has been enhanced and/or increased in many European countries, so the overall business environment has been improved. The evaluation recommended that strategic links between the European Charter and MAP should be strengthened, that dissemination of MAP as an overall programme, emphasising its activities and results, should be widened in order to enhance visibility, and thereby raise awareness and understanding of the MAP, strengthening its take-up.

MAP Policy projects

MAP policy projects demonstrate added value while they fulfil complementary horizontal functions by adding a European dimension to national SME policies. Projects in which active exchanges are promoted (e.g. Best) are effective and demonstrate a high degree of utility for policy makers. Statistical research, databases, tools and one-off publications are sometimes ineffective and are not widely known or used. Effectiveness is limited by a lack of knowledge of projects and/or outcomes (policy recommendations) aggravated by poor dissemination. MAP policy development activities have led indirectly to some policy and regulatory changes in the participating countries. Most impacts have been on new or adapted legislation, or within framework programmes, but also on publications and awareness-raising activities.

The report recommends strengthening of dissemination activities directly (at European level, e.g. publications in all official languages, linking publications to events) and indirectly (fostering dissemination at national level, towards regional authorities and entities, and to businesses). Sufficient time should be allowed for projects to come to fruition and for the thorough elaboration of recommendations. In some cases different points of views (academic, policy-maker, business/private sector) should be reflected in the composition of expert and working groups.

The Euro Info Centre network

The added value of the EIC network in relation to other business support providers and networks is the active European-wide co-operation between EICs, coordinated by the European Commission and two technical assistance facilities, and the European dimension of the EICs which function as an interface and feedback channel between local businesses and the Commission Services.

The potential of the EIC network, both as an information & advice network for businesses and as an interface & communication channel used by the European Commission, has not yet been fully exploited. Therefore, a recommendation is made to improve the promotion of the EIC network and its potential, both to enterprises and in the European Commission, through awareness-raising measures. Finally, enhanced coordination and rationalisation with other Community Support Networks should also improve the EIC's efficiency and make them more visible and more accessible for final clients.

The Financial Instruments

The guarantee part of the financial instruments (SME Guarantee facility-SMEG and the Start-up Scheme of the European Technology Facility-ETF-SU) have made a major contribution to improving the financial environment for business as instruments of a public policy supporting access to finance for SMEs. Both are implemented efficiently through the "chain" (DG ENTR—DG ECFIN—EIF). They do not follow a "one-size-fits-all" approach so can be easily adapted to different and evolving market conditions, and are coherent with national and regional schemes. Both demonstrate clear European added value which is both quantitative: they have allowed financial intermediaries to take more risk though investing (ETF-SU) and guaranteeing (SMEG) larger volumes; and qualitative: MAP support and EIF signature have given "legitimacy" to supported funds (ETF-SU), and helped micro-enterprises to become "bankable" (SMEG Micro-credit). The low levels of knowledge of MAP Financial Instruments at potential financial intermediaries are a disadvantage, as is the complex administrative framework.

While ETF-SU has had a limited impact so far due to the Venture Capital market downturn, it is having a strong strategic impact. SMEG has a rather large quantitative impact (178,000 final beneficiaries in only 4-5 years) with a high leverage effect¹⁴ and an important strategic impact as it helps to overcome the "barrier" hindering SME access to finance. The level of satisfaction of financial intermediaries with both ETF-SU and SMEG is high. The Seed Capital Action (SCA) on the other hand is relatively unknown and of limited use, though an improved market situation could increase its level of effectiveness in the future. All 3 of these Financial Instruments are useful for the EU25.

The report recommends a better and wider disseminated information as well as support for networking/exchange of experience between financial intermediaries should be provided for. It is recommended to increase the budget in proportion to the EU enlargement (SMEG in particular), though it should be noted that this step was partially realised in 2004. There should be an effort to ensure wider co-operation with DG REGIO through a clear distribution of tasks: MAP focusing on the improvement of the financial fabric and access to finance for SMEs (market-oriented and best practices approach); DG REGIO providing initial equity to funds or guarantee schemes.

Main evaluation methods and data used

- Desk research
 - Field studies with interviews and surveys
 - Primary data from interviews, surveys, etc.
 - Secondary data from literature/experts
 - Case studies
 - Comparison/Control groups
 - Statistical analysis
-

- Cost-effectiveness analysis

Action taken / follow-up planned

All units within the DG involved in the implementation of the MAP have been informed about the evaluation report. Main stakeholder groups and the general public will have access to the evaluation report on the Enterprise Europe web site. The results of the evaluation have been taken into account when designing the successor programme.

Availability of the report

http://europa.eu.int/comm/enterprise/enterprise_policy/mult_entr_programme/programme_2001_2005.htm

Published in paper form: SEC (2004) 1460

Final Evaluation of the IDAll programme

Activities concerned 02 02 Encouraging Entrepreneurship

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim / ex post	12/03 – 10/04	V. Rüser (+32 2 2954816)	External

Purpose of evaluation

It will be the third evaluation of the IDA programme. The first evaluation of the IDA II programme was completed in 2000; the second in 2002. This evaluation is planned to be completed in the June 2004, final year of the IDA II programme, and shall therefore be a final evaluation. The purpose is twofold:

- **Accountability purpose:** According to the legal requirements for evaluation and stated in Decision No 1719/1999/EC and Decision No 1720/1999/EC, the purpose of the final evaluation should establish the progress and current **status of the projects** of common interest identified in the Annex of the Guidelines decision, and of the horizontal actions and measures provided for in the Interoperability decision; examine, in the light of the expenditure incurred by the Community, the **benefits yielded** by IDA networks and horizontal actions and measures to the Community for the advancement of common policies and institutional co-operation, to the Member States, enterprises and citizens; identify areas for **potential improvement** and verify synergy with other Community activities in the field of trans-European telecommunication networks.
- **Decision-making purpose:** As the IDA programme is foreseen to continue in a new programme as of 2005, the evaluation will play an important role in the ongoing development of the working method of this programme. It is therefore expected to be also looking at operational and organisational aspects and formulate recommendations that would help improving the performance in the implementation of the next programme.

Summary of findings and recommendations

Overall conclusions:

It is in a large part due to the IDA II programme that Europe's performance in terms of interchange of data has improved considerably over the past ten years; especially in the area of economically efficient data interchange. The focus for the IDABC programme on electronic service delivery to citizens and enterprises will further enhance the utility of the programme to its target populations, as would wider adoption of its generic tools and services. The programme is more efficient than its predecessor and is regarded as one of the most efficient of all technology programmes in the EC. However, there are opportunities for further gains: in particular, information is not generally available that enables projects to be monitored appropriately so monitoring tools, cost benefit analyses and impact assessments need to be put in place to ensure that projects are delivering what they set out to.

The evaluation found that IDA II plays an excellent co-ordination role, providing relevant integration of administrative systems across the EU – thus demonstrating clear added value as such integration of systems cannot be met by uncoordinated actions from individual Member States. However, the programme lacks a top-down strategy that focuses it on meeting its broad objectives. IDA II enjoys a high level of interaction with the Member States giving them the opportunity to provide solid input into the working of the programme, which increases its effectiveness. IDA II is also receiving a high level of attention in the new member states, which often have no alternative. But some efforts to improve its effectiveness could be made such as streamline the working of the TAC, delivering better co-ordination with other DGs, and enhancing the skills of the team with regard to technology and project and programme management.

The evaluation provided detailed feedback to DG Enterprise and other stakeholders regarding the output of the IDA II programme. It reviewed the level of implementation of the recommendations of the previous evaluations and an analysis of their continued relevance, and made an overview of all projects and measures financed by the programme, as well as an in-depth case study of a sample of them. It looked at the functioning of the management committee (TAC - The Telematics for Administrations Committee) and the working and expert groups as well as its interaction with other sectoral committees as well as other commission services. It also looked at the internal and external organisation aspects of management of the programme.

Relevance

IDA II has extended its activities into new areas in order to meet and anticipate changing needs and requirements within the target populations for the programme, such as delivering e-services to businesses and citizens. However, the programme has lacked a top down strategy that focuses it on being continually relevant to the needs of the target populations.

Efficiency

The IDA II programme is more efficient in its working and the delivery of its outputs than the 1st IDA programme. It has a smaller budget than most EC technology organisations but delivers more concrete benefits than most, if not all of them. There are opportunities for further efficiencies - information is not generally available that enables projects to be appropriately monitored or managed.

Effectiveness

The IDA II programme's objectives have been laid out in a way that is difficult to measure and track. Possibly the most reliable measure is the adoption of HAM (Horizontal actions and measures) s within the rest of the EU; this is a mixed result, as few of the HAM s have seen widespread adoption in PCIs (Projects of Common Interest), let alone the rest of the EU. However, IDA II is receiving its highest attention in the new Member States post-enlargement, as they often have no home-grown alternative and as they have a high political drive to engage with and integrate with the EU.

The effectiveness of the programme could be further enhanced if there were improved working of the TAC, if there was better technology co-ordination across the EC and if the team had better training in terms of technology issues as well as project and programme management, and if there was a greater focus on the programme's objectives rather than on budget management.

Utility

IDA has initiated and facilitated the creation of infrastructure that provides significant utility to target populations in the EU. The objective that seems to be furthest along is the economically efficient interchange of information across the EC. Although certain solutions such as the Portal toolkit and CIRCA are available on an open source license, most solutions created within one of the projects are not available on a re-use / open source basis to any other part of the Commission.

Recommendations

- IDA should create a strategic framework.
- IDA should set up a communication platform.
- The re-use of technical solutions should be at or near the top of the IT efficiency agenda for the European Commission.
- It is recommended that the new focus on project sustainability should be maintained if not intensified to cover the sustainability of programme impacts.
- The strategic review that the evaluation has recommended for IDA should also take place across the relevant eGovernment programmes within the Commission so that strategic goals and objectives laid before each of the different programmes are coherent.
- The budget and strategic definitions should be synchronised so that priority can be given to those activities that will contribute most to achieving the programme's objectives and goals.

- The evaluation recommends that a review of the human resource requirements of the IDA unit be carried out in the light of the strategic definition recommendation.
- A review of Member State participation in IDA should be carried out.
- With regard to the new IDABC programme: In principle, the evaluator believes that the lessons learned from the IDA II programme should be applied to the forthcoming IDABC programme which commences in January 2005 when the IDA II programme ends.
- The need for a strategic overview of the IDABC programme is critical. The evaluator recommends the use of an analytical tool such as the logframe as part of the strategic review so that the needs of the target populations, the scope and nature of the interventions, and the resultant impacts are always kept in step with each other.
- Considering IDA's positive track record in back-office technologies, IDABC should focus on common services and cross-cutting electronic service delivery across multiple sectors.
- In order to address the gap in its information base on the technology market IDA should instigate one or more of the following initiatives:
 - An IDA Technology working group consisting of a panel of leading technology suppliers, IDA staff and Member State representatives.
 - An IDA Technology Observatory to monitor selected areas of technology relating to eGovernment, electronic services, interoperability and security, for example.
 - An IDA Technology conference/workshop where IDA invites leading suppliers and experts to present on technology subjects that it needs an update in.
 - A secondment programme for technology specialists on the lines operated in the UK government

Main evaluation methods and data used

- Logical Framework/Diagram
- SWOT Analysis
- Desk research
- Field studies with interviews, surveys, focus groups and direct observation
- Primary data from interviews, surveys, etc.
- Secondary data from literature/experts
- Case studies
- Comparison/control groups

Action taken / follow-up planned

The IDAII programme will end 31.12.2004, therefore it is mostly the recommendations concerning the new IDABC programme which will be acted on. In fact several of the recommendations are in line with those of IDA II Mid-term Evaluation, which have already been taken into consideration when the new IDABC legal decision was prepared. With regard to recommendations specific focusing on the practical implementation of the IDABC programme, such as the establishing of an overall strategic plan, several significant actions have already been initiated. These include carrying out a stakeholder survey and holding a conference in February 2005, both of which will focus on strategic issues in developing pan European eGovernment services. A project to work on a common European architecture for delivering of such services has also been started. The activities regarding use of Open Source Software have been strengthened. These actions will in particular address the strategy and the re-usability of code issues, and will help to focus on delivering common services and cross-cutting electronic service delivery across multiple sectors.

Availability of the report

<http://europa.eu.int/idabc/en/document/3536>

Ex-ante evaluation/Impact Assessment of the Support Programme for Competitiveness and Entrepreneurship (PACE)

Activities concerned 02 02 Encouraging Entrepreneurship

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	01/04 – Spring 2004	C. Berg (+32 2 2991922)	Internal

Purpose of evaluation

The proposal for PACE was built on a series of existing Community measures, some of which have been operational for many years, and which have been subject of a different evaluations, as well as considerable experience of administering and implementing the programmes within the Commission and the European Investment Fund, as well as within the Member States and other participating countries.

The proposal was been subject to an ex-ante evaluation and an extended impact assessment, the results of which are reported in a single document incorporating both. The work was carried out in the first half of 2004. It was coordinated by an interdepartmental steering group consisting of ten Directorate-Generals of the European Commission. The exercise used data from the final evaluation of the MAP (see elsewhere) and was also based in particular on:

- A public consultation on the scope and elements for the new programme, its potential impact and the assessment of what happened if it was stopped or simply continued in its present form. The consultation ran from March to May 2004 and produced more than 200 responses to an online survey. In addition, more than 120 detailed written contributions were received; many contributions included also reactions to an impact assessment questionnaire that has been developed for this purpose.
- A series of meetings with stakeholders was held. This included meetings of the Enterprise Policy Group, a body consisting of senior officials from the 25 Member States and of eminent representatives of the business world. There were also consultations with the members of the management committee operating under the current multi-annual programme and with representatives of many European business organisations.
- Two experts meeting regarding the purpose of and the modalities for the Community financial instruments for SMEs were held during the consultation phase. They brought together, among others, representatives from the EIF, from national promotional banks for SMEs and experts representing private investors such as business angels.

Summary of findings and recommendations

The results of the public consultation process can be summarized as follows:

- The overall structure and the objectives of the proposed programme received a positive judgment by a overwhelming majority of respondents and a wider basis for policy analyses, development and co-ordination including innovation and measures to help enterprises to face structural changes was particularly appreciated.
- There were diverging views whether the programme should give direct financial support to enterprises or involve them directly. This was a view expressed by many enterprises whereas other stakeholders and in particular national bodies preferred to focus on improving the framework conditions. By the same token, the application of the principle of subsidiarity was a concern for many respondents. Public administrations stressed that the programme must only address areas where the European added-value is clear and/or where there is a market problem. On the other hand, enterprises and business

associations stressed that commitment and co-operation by national governments is needed, in particular with regard to the improvement of the national regulatory and administrative environment for enterprises. The programme proposal addresses both views by cooperating with the participating countries in the field of policy analyses, development and coordination and by undertaking support actions aimed at enterprises (Community financial instruments and European business support services).

- The programme should strike a balance and improve the conditions for both, high tech or innovative enterprises, and the traditional ones, in particular SMEs. The proposed programme does so by offering a mix of targeted measures, in particular within the proposed Community financial instruments.
- There was a generally positive feed-back on the proposed implementation instruments, the open method of coordination between the Member States, the Community financial instruments for SMEs and the support to the Euro-Info Centres Network. However, some critical comments pointed to the limited effectiveness of the open method of coordination (it was seen as not coercive enough) if the individual Member States did not give follow-up to it. Under the new programme the management committee composed of governmental representatives should play a stronger role with a view to policy development and coordination. A number of programme support functions are proposed to be carried out directly by the Commission. In addition, a financing threshold is proposed with a view to avoid that the committee's role becomes hampered by too many administrative issues of little significance for the achievement of the committee's overall objectives.
- The Euro-Infocenters (EIC) network operating under the current programme to deliver European business support services for SMEs has been suggested to play a more transversal role in the implementation of the new programme, including the enhancement of the visibility for the financial instruments offered under the programme. The proposal took account of this.

Main evaluation methods and data used

- Desk research
- Field studies with interviews and surveys
- Primary data from interviews, surveys, etc.
- Secondary data from a monitoring system and literature/experts

Action taken / follow-up planned

On July 14 2004, in the framework of the financial perspectives package 2007-2013, the Commission decided that a far wider programme (The Framework Programme for Competitiveness and Innovation or FWCP) would, in part, succeed the MAP and also innovation and activities managed by INFOS, TREN and ENV. As the major elements of MAP and what would have been PACE will be incorporated into FWCI PACE IA/ex-ante evaluation and public consultation will nevertheless be used as input part for this.

Availability of the report

Not published.

Extended Impact Assessment to support a Commission proposal for a European Parliament and Council Regulation on Medicinal Products for Paediatric Use

Activities concerned 02 04 Getting still more from the Internal Market

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	10/03 – 05/04	P. Arlett (+32 2 2961268)	Internal / External

Purpose of evaluation

This study was part of an extended impact assessment (EIA) carried out to support a Commission proposal for a European Parliament and Council Regulation on Medicinal Products for Paediatric Use (hereafter referred to as the paediatric regulation). The paediatric regulation responds to the Council Resolution of 14 December 2000 which called on the Commission to make proposals in the form of incentives, regulatory measures or other supporting measures in respect of clinical research and development to ensure that new medicinal products for children and medicinal products already on the market are fully adapted to the specific needs of children.

Summary of findings and recommendations

Benefits

The improvements that the proposal will bring to the health of children should lead to a reduced number of hospitalisations of children, fewer child deaths, increased quality of life for children and therefore bring the economic benefits to our society associated with these savings and benefits. It should also be noted that research, development and authorisation of medicines in the EU will also benefit children outside the EU, including those in less developed countries.

Industry will also benefit from the draft paediatric regulation:

- the data generated to satisfy the EU requirements can be used to support marketing authorisation applications outside the EU;
- increased research and development on paediatric medicines in the EU could help generate high quality, skilled jobs, as well as, investment in the EU;
- New business opportunities will be created: through the PUMA (capitalisation of niche markets that are currently unexploited); through the need for clinical trials and support services and for consultancy services. All of these may particularly benefit small and medium-sized enterprises (SMEs) and could lead to the creation of new companies within the EU.

Costs

The requirements for phase III clinical trials in children will cost industry an average of four million Euros per product, representing a total across the entire industry of 160 – 360 million Euros after the first year. Other costs to the innovative industry include administrative costs incurred to meet the regulatory requirements, manufacturing costs if a specific child formulation is required and marketing costs.

Overall, the costs of clinical trials in children, if added to the costs of medicines would add less than 0.5% to the price of individual medicines. In addition, six-month extension of SPCs, leading to delayed generic entry onto the market, could add over time, between 0.06 and 0.25% to European expenditure on pharmaceuticals. However this is likely to be balanced by reduced healthcare costs from the supply of safer and more effective medicines for children.

Six-months SPC extension could also cost the generics sector a one-time loss of between 86 and 342 million Euros in lost-opportunity costs. This loss would not go at the expense of generic products already on the market. It would represent a decline in market opportunities.

It should be noted that these estimates are based a number of assumptions. It should also be noted that the first SPC extensions will not occur for many years (considering the time to entry into force of the draft paediatric regulation and the fact that the extension is at the end of the patent / SPC life). Finally, SPC extensions will occur gradually over time as the requirements in the draft paediatric regulation are met and subsequently rewarded.

The use of deferrals from the requirements in the proposal will prevent the requirements from delaying the authorisation of medicines for adults. In the first few years after coming into force, the proposal will lead to a significant increase in work for regulators (and this will need to be resourced) and put pressure on the currently limited EU resources for conducting clinical trials in children. This initial pressure in conducting clinical trials will be released through the increased capacity for paediatric research already available in the US. There are no significant environmental or sustainability impacts from the proposal.

The extended impact assessment is inherently unbalanced. This results from the fact that it is possible to make an estimate of the costs resulting from the proposal but robust data are not available to allow estimation of the value, both economic and social, of the lives of children that will be saved and the improvements in the quality of life of the children of Europe.

Main evaluation methods and data used

- Concept mapping
- Logical Framework/Diagram
- Desk research
- Field studies with focus groups and direct observation
- Primary data from interviews, surveys, etc.
- Secondary data from a monitoring system and literature/experts
- Expert panels
- Case studies
- Comparison/Control groups
- Statistical analysis
- Econometric models
- Benchmarking
- Multi-criteria analysis

Action taken / follow-up planned

The Commission adopted the proposal for a regulation of the Council and of the Parliament on medicinal products for paediatric use on 29 September 2004.

Follow up evaluation of the regulations is detailed in the Commission's Extended Impact Assessment.

Availability of the report

<http://pharmacos.eudra.org/F2/Paediatrics/docs/Extended%20Impact%20Assessment%20final%203%20September.pdf>

Paper or electronic copy available on request from peter.arlett@cec.eu.int

Ex-post evaluation of the Lifts Directive (95/16)

Activities concerned 02 04 Getting still more from the Internal Market

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim	07/03 – 06/04	I. Fraser (+32 2 2990741)	External

Purpose of evaluation

The aim of this evaluation is to evaluate application of the Lifts Directive 95/16/EC in order to contribute to the re-examination required by Article 16 of this directive.

The evaluation will collate findings, based upon quantitative and qualitative data, on the application of the Directive and formulate recommendations to the Commission for improving application of the Directive. This will enable the Commission to determine the measures necessary to improve application of the directive and, in particular, to decide whether it is necessary to propose amendments to the Directive.

The evaluation will supplement the reports supplied by the Member States according to Article 16 and the comments already made by stakeholders at European level.

Summary of findings and recommendations

Before this evaluation the reports and comments communicated to the Commission showed an incomplete picture of how the Lifts Directive is being applied for most of the Member States, and little quantitative data had been supplied. The aim of the evaluation was therefore to provide better information on the application of the Directive in order to contribute to the re-examination required in the legal text.

The results have been greeted with enthusiasm by stakeholders and recognised for their credibility, especially given the general level of endorsement by the wide stakeholder steering group. The findings are empirically supported by analytical and factual evidence, as shown by the use of the information derived from the country visits in order to underpin the conclusions. The conclusions themselves are relevant and appear unbiased. The recommendations are both realistic and useful; they are consistently linked to the results and conclusions of the study, and are formulated in a clear and practical manner. The evaluator's efforts to identify several alternative recommendations that could be achieved with a lower effort threshold than an amended directive were particularly appreciated.

The findings and conclusions of the evaluation will help the Commission to determine the measures necessary to improve the application of the Directive and, in particular, to decide whether it is necessary to propose an amendment. Such an amendment might the revising of the strict definition of 'a car' in the Lifts Directive; to revise it so that, when appropriate, a quality assurance system could be ensured to justify Annex XIII certification; to amend the text to address uncontrolled movement in both directions; and that 'fire resistant lift landing doors' be included in the Directive's safety component list. It is also recommended that the borderline issue between the Machinery and Lifts Directive be addressed by amending the Machinery as well as the Lift Directive.

Issues of Scope

Findings

The lack of a uniform understanding of new lifts and a modernised lift is a problem for the application of the Directive as modernised lifts fall under National regulations and are understood differently by Member States.

The borderline between the Machinery and Lifts Directive is a problem for the industry. The issue is the strict interpretation of the definition of 'a car' which can and has led to abuse. Some manufacturers use this to their advantage and apply the Machinery Directive to avoid the safety requirements of the Lift Directive.

Conformity Assessment Procedures

Findings

In general, there seems to be a respect of the conformity assessment procedures. However there is a lack of relevant quantitative data to support this perception which affects the Member States' ability to monitor the application of conformity assessment procedures and to oversee industry practices.

Stakeholders raised the problem of obtaining approval from Notified Bodies for local building deviations. A high number of non-compliance is reported to be due to problems of lift interface with the building.

There is a need for a quality assurance system for Assemblers and Manufacturers. Some stakeholders would like Assemblers and the Manufacturer to have the opportunity to get Annex XIII Certification when appropriate and applicable.

In addition concerns were raised related to documentation requirements and procedures for imported lifts. Many stakeholders pointed out various inconsistencies.

Interpretation and Application of Essential Safety Requirements

Findings

Recommendations

Consultations are currently being undertaken with Member States so that an agreement can be reached on the interpretation of new lifts. The Lifts Directive could be amended according to these consultations so that the distinction between new and modernised lifts can be more clearly defined.

The borderline between the Machinery and Lifts Directive is being addressed by an amendment to the Machinery Directive, which would also include the revising of the strict definition of 'a car' in the Lifts Directive.

Recommendations

To improve understanding of the lift market is developed via market surveillance. The Commission should remind MS of their obligations & play a role in facilitating a common approach to market assessment and the development of a co-ordinated structure in collecting lift data at a European level.

The co-ordination of Notified Bodies should be encouraged. Notified Bodies-Lift (a European Level forum) has already agreed upon and developed a coordination mechanism at the European level.

To revise the directive so that, when appropriate, a quality assurance system could be ensured to justify Annex XIII certification.

To align documentation requirements to business needs, by providing procedural guidelines on documentations for imported lifts, by seeking an agreement in the lifts working group between MS and stakeholders, & via the provision of supplemented guidelines provided by the Commission.

There is a problem of moving from physical refuge to technological innovation. In certain cases, Member States allow alternative means to free space or refuge in order to fulfil the obligation of preventing the risk of crushing when the lift car is in its extreme positions.

Uncontrolled upward movement of the Lift car was an issue raised by several stakeholders as movement in either direction can be hazardous, rather than just upward movement. Although the responsibility for the fire-resistance of lift landing doors fall under EU legislation, some stakeholders are not clear whether they fall under this or National legislation.

There is a lack of co-ordination between lift installers and those individuals responsible for the building. A classic example is the provision of two-way communication, and the problem of this being fitted in time for lift installation.

The Directive has several inconsistencies in definitions and errors in translation. There is a lack of clarification on the use of control circuits for lifts during fire, as MS impose national rules for the use of lifts during fire, thus making its uniform application difficult.

Performance and Co-ordination among Notified Bodies

Findings

Notified Bodies have an EU level forum (Notified Bodies-Lift) with a mandate to improve their co-ordination and co-operation; yet there seems to be ineffective co-ordination among Notified Bodies. There is a lack of harmonised interpretations of the Directive on the part of Notified Bodies at both EU & MS level.

The competence of some Notified Bodies was questioned by stakeholders as were problems of efficiency and effectiveness & inconsistencies in the accreditation processes at the MS level.

There are inconsistencies in adapting to the changing roles of Notified Bodies under full quality assurance from technical competences to competences in certifying quality assurance systems. Common operational procedures during final inspections are lacking, and this raises concerns about the thoroughness of final inspections and tests conducted by installers under approved quality assurance systems.

Market Surveillance

Findings

When new technology is developed, it should, provided it is safe and has been determined relevant and important to the industry, be incorporated into standards, and eventually also added to the Essential Safety Requirements.

To amend the Directive to address uncontrolled movement in both directions.

The Lifts Working Group has reached agreement on this, & publication of a harmonised standard should also improve the situation. It is further recommended that in the long-term 'fire resistant lift landing doors' be included in the Directive's safety component list.

Difficulties relating to the provision of two-way communication at the time of installation are not problems with the Directive, but rather between the lift installer and the people responsible for the building.

Inconsistencies would ideally be addressed through an amendment but linguistic problems could be dealt with by a Corrigendum. There is a need to examine the requirements of control circuits of lifts that may be used in the event of fire.

Recommendations

Guidelines could be developed to better co-ordinate the activities of Notified Bodies and to encourage MS to support the initiative. Notified Bodies-Lift is currently working on recommendations to harmonise the interpretation of the Directive across the EU.

Member States should offer a transparent and stringent accreditation process, and the Commission could play a supporting role in harmonising national approaches to accreditations at the European level.

MS should ensure correct competences of Notified Bodies, & make sure they can carry out the obligations in the Directive and New Approach. The Commission could play a supporting role in these activities. There is a need for the enforcement of thorough final inspection procedures. Notified Bodies-Lift has developed clear rules, but these are not followed by all parties. Notified Bodies could use of their power of undertaking 'random checks' more.

Recommendations

Market surveillance is often reactive, & stakeholders unaware of market activities in their countries. A number of other activities are often presented as a form of market surveillance, for example periodic inspections, but none of these fall within the definition provided by the New Approach.

There are inconsistencies in compliance when lifts are put into service. These include discrepancies between technical matters related to the lift installation and civil engineering matters related to the building. Essential Safety Requirements are not limited to technical features of the lift, but also cover aspects related to their installation.

Impact of the application of the Directive on health and safety for users, handicapped persons, and maintenance and inspection personnel.

Findings

Stakeholders consider that the application of the Lifts Directive has improved the situation, but there is a lack of harmonised requirements for unaccompanied handicapped persons.

There has been an increase in the number of lifts accessible to disabled persons & will further aggravate the borderline problems between the Machinery and Lifts Directives. Various MS have and continue to develop legislation to improve the situation.

Although the Directive has benefited inspection and maintenance personnel due to the introduction of shaft lighting, there is a debate within the industry regarding the possible hazards of new technologies, most notably machine room-less lifts.

Additional issues raised concerning the improvement of the application of the Directive

Findings

There is a lack of harmonised interpretation on national measures for initial inspections. Periodic inspections are not covered by provisions of the Lifts Directive. However, there is some concern regarding the interpretation of what national measures are permitted for initial inspection.

Stakeholders identified a lack of provisions for the modernisation of existing lifts installed under the Lifts Directive. This includes lifts that have been installed since the application of the Lifts Directive in 1997.

There is uncertainty about the requirement specifying that there be no other fittings in the lift shaft. This causes problems in situations where fire authorities require sprinkler systems to cover the lift shaft.

It is recommended that market surveillance be improved. Both the Guide to the New Approach and Article 7 of the Directive remind Member States of their obligations to carry out market surveillance aimed at the remediation of potential non-conformity. The Commission could communicate good-practices in market surveillance.

Compliance with essential safety requirements could be improved through market surveillance. In order to effectively ensure a high level of safety and the consolidation of the market, Member States should allocate the necessary resources and powers to perform effective market surveillance activities.

Recommendations

It is advisable that there is harmonised interpretation of requirements for handicapped persons. This includes insuring consistency between National regulations and the provisions of the Lifts Directive.

It is recommended that the borderline issue between the Machinery and Lifts Directive be addressed by amending the Machinery as well as the Lift Directive.

Developing standards to ensure the safety of maintenance and inspection personnel could be addressed by designed specifications to ensure the safety of maintenance and inspection operations, by recommendations may from Notified Bodies-Lift, and/or safe maintenance and inspection procedures could be written into instruction manuals.

Recommendations

The Commission should monitor national provisions for periodic inspections and, if required, provide guidance on interpretation. National provisions for periodic inspections of lifts should not overlap with the Directive's conformity assessment procedures.

Guidelines could be created to address the question of the upgrading lifts put into service under the Lifts Directive. This may become important in light of the development of state-of-the-art technology.

The use of the lift shaft for installations not connected to the operation or safety of the lift is forbidden by the Directive. There needs to be a discussion as to whether sprinkler systems in the lift shaft are fittings necessary to the safety of the lift.

Main evaluation methods and data used

- Desk research
- Field studies with interviews
- Primary data from interviews, surveys, etc.
- Expert panels
- Case studies

Availability of the report

http://europa.eu.int/comm/dgs/enterprise/pdf/lifts_evaluation_study_final_report.pdf

Ex post evaluation of the Communication on the State of the Competitiveness of the Forest-based and Related Industries in the EU (COM (1999) 457 FINAL)

Activities concerned 02 04 Getting still more from the Internal Market

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	11/03 – 11/04	P. Engelbrecht (+32 2 2992149)	External

Purpose of evaluation

The adhesion of Austria, Finland and Sweden to the European Union (EU) in 1995 considerably affected the structure and the importance of the EU Forest Based and Related Industries (FB-IND). EU exploitable forest resources doubled, pulp production tripled, paper and board production increased by 50%, mechanical woodworking output went up by 30% and the printing and publishing industries expanded by 10-15%.

In order to have a structured approach to the multitude of challenges these industries were facing, the Commission prepared a Communication entitled "The state of the competitiveness of the EU forest-based and related industries" (COM (1999) 457 Final), which was adopted by the Commission in October 1999. It was welcomed by the Council of Ministers in November of the same year (2214th Council Meeting of 9.11.1999), and also by the European Parliament.

The principal objectives of the evaluation are twofold:

-Firstly to understand the reasons behind the successful and unsuccessful outcomes within the various areas of actions defined in the Communication.

-To provide a key input to fixing objectives and actions for the industries in an intermediate perspective taking into account developments occurred especially in relation to the EU policy statements on industrial policy.

Summary of findings and recommendations

The evaluation states that the impact of the FBI Communication has been influenced by specific constraints within the EU policy framework on one hand, and on the other hand by a number of factors which have constrained the implementation of the FBI Communication's actions. Firstly, the FBI Communication was unique in that its development was not driven by a perceived need to tack crisis or structural issues facing these sectors but from the increased importance of the FBI within the EU's industrial landscape following the accession of Finland, Sweden and Austria. This meant that the Communication was not accompanied by a specific sector programme or action plan, thus the Communication's recommended actions carry no legal weight, and therefore any of lack of take-up and implementation of its actions cannot be pursued by threat of sanction.

Many of the recommendations fall outside of the scope of action of the European Commission itself, and require action by other stakeholders, such as industry associations, EU Member State governments etc. Many of the actions foreseen by the Communication were relatively vague, with little quantification of goals, progress metrics or a timeframe during which these goals were to be achieved. Overall the evaluation of the 1999 FBI Communication found that:

- The FBI Communication has helped 'put the FBI on the political map' at the EU level and has enhanced policy dialogue mechanisms;

- It has however not proved to be effective as a basis for policy action, nor in ensuring that FBI interests are taken sufficiently into account in other EU Policies, nor in significantly advancing the competitiveness of the FBI sectors;

FBI stakeholders clearly support a new Communication. The survey results showed an overwhelmingly majority of national federations in favour of a new initiative, with almost 80% of respondents being in favour

and 50% considering a new Communication to be essential. No respondent considered that a new Communication would neither be necessary nor a good idea. A new FBI Communication should include:

- A primary focus around FBI competitiveness issues;
- A stronger sectoral focus (i.e. not just an FBI-level focus but also a focus on the component sectors – woodworking, pulp and paper, printing and paper and board covering and packing, and forestry);
- A real focus on concrete proposals with responsible actors, buy-in and effective monitoring of the actions.
- It is recommended that a new FBI Communication adopts a core “2-horse strategy” build around:
 - The enhancement of FBI Competitiveness
 - The promotion and leverage of FBI Sustainable Development ‘assets’

In tandem with launching a new FBI Communication, it is recommended that:

- Stronger support processes are put in place, better geared towards managing sectoral policy commitments in the EU’s horizontal policy institutional framework;
- The FBI concept should be applied in a more variable manner, and actions taken to develop and refine the concept and its potential applications.

Main evaluation methods and data used

- Desk research
- Field studies with interviews, surveys, focus groups and direct observation
- Primary data from interviews, surveys, etc.
- Secondary data from literature/experts
- Expert panels
- Case studies
- Comparison/Control groups

Action taken / follow-up planned

On the basis of this evaluation, and also other studies and interactions with the Forest Based Industries Advisory Committee, DG Enterprise will prepare a Communication in co-ordination with work undertaken by DG AGRI, ENV, TRADE and TREN. The objectives of this Communication will be to:

1. To report on the outcome of actions outlined in the Commission Communication on the State of the Competitiveness of the EU Forest-based and related Industries as of 5 October 1999, COM (1999) 457 final. The Commission has committed itself to report periodically to the other institutions.
2. To outline policies in areas where the competitiveness of the forest-based and related industries are affected by other Community objectives or where measures are prerequisites for enhancing the competitiveness of the industries.

Availability of the report

http://europa.eu.int/comm/enterprise/forest_based/index_en.html;

http://europa.eu.int/comm/dgs/enterprise/evaluation_en.htm

Extended impact assessment for the review of the Directives 75/106/EEC and 80/232/EEC (Making-up by Weight or by Volume of Certain Pre-packaged Products)

Activities concerned 02 04 Getting still more from the Internal Market

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante / ex post	2000 – 2004	D. Hanekuyk (+32 2 2960150)	Internal / external

Purpose of evaluation

Evaluation of existing legislation in the light of case law (Case C-3/99, 12 October 2000, Cidrerie Ruwet SA v Cidre Stassen SA and HP Bulmer Ltd) and follow-up of the advice of the SLIM-IV team (COM(2000)56 final, pp 9-11 and 21-22)

Summary of findings and recommendations

The impact assessment of policy alternatives has shown free sizes to be the most favourable option as it allows full competition for industry and freedom of choice for consumers without compromising the environmental aims of the Community. Furthermore national legislation increases confusion on the internal market, while fixed sizes limit the flexibility to adapt products to new consumer needs, which is the established market practice in most sectors. Deregulation is justified in the light of the increased transparency offered by improved Community consumer legislation requiring the indication of unit pricing and prohibiting misleading practices and advertising.

In four sectors (wine, spirits, soluble coffee and white sugar) the impact assessment found cost elements that justify maintaining those sizes that are most sold to consumers. The proposal is to let the exemption last for 20 years, the average lifetime of packaging machinery, after which these sectors should also be subject to full competition.

Main evaluation methods and data used

- Desk research
- Secondary data from statistical agencies and EU industry and consumer federations
- Expert panels
- Statistical analysis
- Cost-benefit analysis
- Multi-criteria analysis

Action taken / follow-up planned

The Commission has put forward a proposal for a Directive laying down rules on nominal quantities for pre-packed products, repealing Council Directives 75/106/EEC and 80/232/EEC, and amending Council Directive 76/211/EEC

Availability of the report

- http://europa.eu.int/comm/enterprise/prepack/index_en.htm
- Published in paper form: SEC (2004) 1298

Ex-ante evaluation of the new legal basis for Standardisation policy

Activities concerned 02 04 Getting still more from the Internal Market

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	01/04 – 12/04	N. Anselmann (+32 2 2995672)	Internal

Purpose of evaluation

The EC has given financial support to the European Standardisation Organisations (ESOs) CEN, CENELEC and ETSI for the development of European standards since the 1980s, notably to support the “new approach policy” in order to achieve the approximation of legislation for establishing the internal market.

The funding of standardisation activities (from DG Enterprise's budget line) relies on four pillars:

1. Annual Performance Contracts – to support and improve the functioning of the central secretariats of the ESOs.
2. Quality of European standardisation – to fund assessments of draft standards by consultants, and the costs for translations of harmonised standards.
3. Standardisation work – to provide financial support for the production of European standards and other harmonisation documents.
4. External visibility and promotion of European standards outside the EU.

Apart from these four pillars, other activities are performed by other DGs (e.g. technical assistance and co-operation by DG Relex (External Relations)). In order to prepare a legal basis for these activities an ex ante evaluation in compliance with the relevant rules of the proposed new legal basis for the financing of Standardisation Activities has been carried out.

Summary of findings and recommendations

Identify and compare other options

As the standardisation system works at different levels (national, European and international), there is no real alternative: the European standardisation system is the only one able to produce standards in support of European policies and regulations. The Commission nevertheless encourages the ESOs to work closely with their respective counterpart at the international level (ISO, IEC, ITU) in order to avoid barriers to trade across the world and to improve the competitiveness of European industry.

Options other than funding given by the EC would include:

- Exclusive funding from industry and other stakeholders, which would probably not take sufficient account of standardisation needs in conjunction with European policies when societal needs are at stake. Such a result would also probably not sufficiently cover standards development in the European public interest, where the benefits may only be realised in the longer term.
- Exclusive funding from the Member States to the National Standards Bodies that are members of the ESOs. This would lead to the risk of delaying European activities and thus weakening the internal market due to the diversity of approaches and priorities across the EU.

Added value of Community involvement

The production of European standards obliges the National Standardisation Bodies to withdraw national standards which are not compatible with the European ones. Beyond this much value is added to the achievement and the functioning of the internal market and to the avoidance of barriers to trade; there is

clearly an economy of scale for industry to set up common standards at the European level in a single technical committee where all the interested parties are represented. To achieve these objectives there is a need to drive the standardisation process from a community point of view - notably through improvements in the coherence, the efficiency and the visibility of the system and through the requests addressed to the ESOs by the Commission – after consultation of the 98/34 Committee – in order to achieve standardisation work in support of its policies and regulations.

What are the different cost implications?

It is reasonable to believe that the EU has a high degree of influence compared to its relatively small contribution (about €20 million annually), and that the availability of European standards on the market leads to important economic benefits for society. According to a study issued by the Austrian Standards Body ON (“Der Nutzen der Normung für Unternehmen und Volkswirtschaft”) the benefit of standardisation in Austria was € 1.74 billion whereas the cost was € 43 million (i.e. a benefit 40 times higher than the cost).

A recent study has asserted that in Europe standardisation adds 1 % to the value of the gross domestic product and that the added value of standardisation is at least as important as the value generated by patents. According to the study by Roland Berger and Partner GmbH (December 2000), the total yearly costs of the CEN standardisation system amount to more than €700 million, out of which the institutional costs of the National Standardisation Bodies and other organisations amount to 26%, the CEN Management Centre (CMC) 2%, and the experts participating in the committees 72%.

Revenue stems from three major sources: the EC/EFTA contributions amount to 2% of the total, the national government fees to 5% and the industry/interested parties to 93%. Only 1/5 of the contributions of industry/interested parties comes as cash, the rest reflects costs for expert participation borne by the industry/interested parties. The EC/EFTA contribution is small in the overall system with an average of 25% contribution to the central secretariats of the ESOs and around 50% of the costs of the technical secretariats for the production of European standards necessary for the implementation of European legislation. The most important conclusion in the CEN study is that, at both European and national level, standardisation funding is primarily industry driven and the 2% contribution of EC/EFTA to the whole system is good value for money compared to the relatively strong influence that EC/EFTA have in promoting their internal and international policies through this system.

Could the same result be achieved at a lower cost or could more or better results be achieved at the same cost by using different instruments?

The cost-efficiency is already high. Another financial instrument, service contracts, is not an appropriate option for standardisation work because:

- There is a de facto monopoly situation for the three recognised ESOs, which prevents any competition in a call for tender procedure.
- The EC is not supposed to procure and take ownership of voluntary standards, due to the copyright of the author. Service contracts would also mean a 100% funding rate of the production of standards which is contrary to the present situation where different stakeholders all contribute to the production costs.
- The EC cannot draft terms of reference (necessary for a service contract) for the production of voluntary standards that are developed in an open consensus process.

The introduction of competition in a procurement procedure would mean that the yearly support to the ESOs' central secretariats would have to cease, to put the tenderers on equal terms. This would likely hamper the functioning of the ESOs and be contrary to the EC's standardisation policy.

Main evaluation methods and data used

- Desk research
- Literature/experts

Action taken / follow-up planned

The proposal is currently being prepared to go into written procedure by March 2005.

Availability of the report

Not yet published.

Interim evaluation of the dialogue with Third Country administrations and industries (TABD)

Activities concerned 02 05 Competitiveness and sustainable development

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim	11/03 – 05/04	J. Frydman (+32 2 2967551) A. Karhunen (+32 2 2960281) C. Sorg (+32 2 2999051)	External

Purpose of evaluation

The purpose of the evaluation is to assess if the concept of a transatlantic dialogue between business and governments, as such, is effective in addressing the needs and objectives of the transatlantic business community to governments, and in achieving the objectives of boosting transatlantic trade and investment through the removal of barriers to trade caused by regulatory differences.

It is also evaluated if the TABD, as it has been structured and as it has functioned so far, has corresponded to the needs and objectives of the transatlantic business community, and achieved the objectives of boosting transatlantic trade and investment through the removal of barriers to trade caused by regulatory differences; and if the proposed new format, or another format, would be better.

The re launching of the TABD having taken place recently, the evaluation is forward-looking rather than merely assessing the past.

Summary of findings and recommendation

This evaluation found that the new TABD is perceived as a relevant, efficient and effective business platform. It also found that the TABD is well placed to overcome the challenges it faced in the late 1990's. Still there are a number of areas where both improvements and pro-active risk mitigation strategies could bring added value.

In 2004 the Transatlantic Business Dialogue was re-launched to continue with the TABD mandate while addressing some of the shortcomings of the old TABD. It has since become a lean and focused business driven process to develop policy recommendations for both EU and US administrations. This in turn has helped strengthen confidence in governments and resulted in high level government involvement in the TABD process. The newly refurbished TABD has incorporated the best bits of the old TABD while updating the structural characteristics that hindered its earlier years. The streamlined structure, along with the 'executive board', and a deliverable driven focus, is a clear response to the former roadblocks of volume and organisational bureaucracy.

A more focused and business driven approach

Evaluation Findings

The re-launched TABD serves as a platform for a business-government dialogue on key issues affecting the EU-US relationship. It addresses the perceived need to attain a barrier-free market, helps to strengthen confidence in governments and includes both global issues of strategic nature and trade-related regulatory ones. The focus should remain on working towards a barrier free transatlantic market and on maintaining a strong engagement of relevant authorities on both sides of the Atlantic.

Resulting recommendations

Marked business-driven approach strongly focused on deliverables and on no more than two or three issues at the time. Avoid highly technical or very sector-specific issues in the short term, as they may affect the level of participation of CEOs.

A strong buy-in towards the new streamlined and pragmatic structure

Evaluation Findings

Most organisational changes are perceived to be positive, and the streamlined structure is likely to prove to be highly efficient.

Resulting recommendations

The current work plan is widely accepted and should be maintained. To maintain CEO engagement and attract increased CEO-level participation will depend on the demonstration of early results. To ensure sustainability, the TABD will need to periodically assess the fit between its organisational structure and its efficiency in meeting targets.

An effective way of facilitating governmental response to business needs

Evaluation Findings

The re-launched TABD is expected to be an effective way of facilitating the governmental response to the needs and priorities of business. Areas for improvement can be identified, such as representation of the business communities.

Resulting recommendations

To pay attention to the key issues of representation and credibility. To set up systems of pre-engagement analysis of recommendations and success indicators to facilitate the continued focus of TABD on producing deliverables. Set a performance management system.

Pro-active risk mitigation strategies could bring added value

Risks identified

Internal structural risk factors as well as external risk factors have been identified. With few CEO members, the potential transitional leadership was seen as one of the strongest risks.

Resulting recommendations

Develop strategies for mitigating the risk of changing leadership, and for ensuring continuity in the longer term.

There remain challenges in the areas of communication processes, its size relative to the previous structure (representative-ness), and the imperative for it to continue to attract CEO interest. In addition, strategies for mitigating the risk of leadership succession and for ensuring continuity in the longer term have yet to be developed. There are high expectations from business and government circles for the TABD. If it is to continue its evolutionary development process, risk mitigation steps are therefore in order.

Main evaluation methods and data used

- Desk research
- Field studies with interviews
- Primary data from interviews, surveys, etc.
- Secondary data from literature/experts

Action taken / follow-up planned

The results of the evaluation will be presented to the TABD member-companies, and may serve as one basis to assess the role and structure of the TABD and of the Commission's involvement in that process, and for

readjustments where appropriate. Findings and recommendations will support the decisions to reorient its objectives and activities if necessary, and possible adjustments in its organisation and management in order to improve efficiency and effectiveness. They will also help identify key issues of transatlantic relevance to be discussed within the TABD in the future.

Availability of the report

http://europa.eu.int/comm/dgs/enterprise/evaluation_en.htm

Paper or electronic copy available on request from A. Karhunen (+32 2 2960281)

Competition

Extended impact assessment of the Revision of the Community guidelines on State aid for rescuing and restructuring firms in difficulty

Activities concerned 2.4.1.1 Control of State aid

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	02/04 – 07/04	K. Van de Castele (+32 2 2969419)	Internal

Purpose of evaluation

Extended impact assessment with a view to determine the action to be undertaken in the light of the upcoming expiry (on 10 October 2004) of the Community guidelines on State aid for rescuing and restructuring firms in difficulty.

Summary of findings and recommendations

A technical revision of the Community guidelines on State aid for rescuing and restructuring firms in difficulty to tackle the identified problems and to tighten State aid discipline is the preferred option.

Main evaluation methods and data used

- SWOT analysis
- Desk research
- Case studies
- Multi-criteria analysis

Action taken / follow-up planned

New revised guidelines have been prepared and entered into force on 10 October 2004 (cf. Official Journal C 244, 01.10.2004, pages 2-17).

Availability of the report:

Paper or electronic copy available on request from K. Van de Castele

Employment and Social Affairs

Ex-ante evaluation of the Community Programme for Employment and Social Solidarity (PROGRESS)

Activities concerned 04 Employment and Social Affairs

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	05/04 – 07/04	S. Finné (+32 2 2965486)	Internal

Purpose of evaluation

Ex-ante evaluation of the new Progress programme. The ex-ante evaluation was foreseen in 2004 (for gender programme) and 2005 for Employment, Exclusion, antidiscrimination programme. Those programmes have been merged. The ex-ante evaluation covers all these activities.

Summary of findings and recommendations

Conclusion 1:

- The approach is relevant and justified regarding the overall objectives;
- Actions supported are effective and need to be focused on activities that create the most EU added value
- There is an adequate level of efficiency with the current level of funding and it is necessary to merge the smaller budget lines (often created under the EU parliament pressures)
- The proposals to improve and simplify the delivery mechanisms are appropriate and it is necessary to take account the human resources constraints.

Compared with the previous period of implementation, the main change introduced is the reinforcement on certain types of activities needed to ensure the Commission initiative role in promoting EU governance.

Conclusion 2:

The framework programme objectives have been designed to ensure a more explicit targeting on the instruments/strategy needed to implement the EU objectives. Specific objectives have been defined regarding the EU competencies fixed in the Treaty. The value added has been identified regarding those specific objectives. Operational objectives have been set-out and examples of related indicators provided.

The common framework for definition of objectives will significantly reinforce the internal/external coherence of the activities financed at the level of the Commission.

One of the main changes introduced compared with the 2001-2006 generation of programmes is to rationalise the interventions previously carried out under different budget lines into one single framework programme. That will allow more budgetary coherence.

Main stakeholders will be targeted taking into account the experience from the previous interventions.

Recommendations for implementation: attention should be devoted to ensuring that simplification does not create a lack of visibility for each policy field.

Conclusion 3:

This programme decision bringing all the budget lines into the same framework will introduce much more coherence and complementarity in the delivery of activities.

- The delivery mechanism have been examined in order to define them at an early stage but allowing flexibility needed to ensure concentration on the most needed actions.

- The monitoring and evaluation processes are defined to take into account the current experience with the Community action programmes.

Recommendations for implementation: in the implementation of the Decision, attention should be given to the definition of Framework guidelines and corresponding work programme and more specific definition of target operators and activities.

Conclusion 4:

In general the very specific nature of the framework programme intervention in the field of social policy will not create any duplication risk of overlap. Nevertheless, for closely linked interventions, exchanges and mutual learning effects will continue to be supported.

The programme decision has included a chapter on complementarity to ensure it is present and foresees that it should be evaluated.

Recommendation for implementation: special attention will be devoted in avoiding overlap for action designated to be financed under the autonomous basis.

Conclusion 5:

Cost effectiveness and EU value added have been fully integrated in the definition of the approach. They have been the central concepts used to rationalise the design of the intervention in the competencies of DG EMPL.

Main evaluation methods and data used

- Logical framework/diagram
- Desk research
- Focus groups

Availability of the report

Published in paper form: SEC(2004) 936 Commission

Evaluation of the Art. 6 Social Dialogue

Activities concerned 04 02 Employment and European Social Fund

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim	07/02 – 11/04	A. Zoric (+32 2 2994070)	External

Purpose of evaluation

External evaluation of the projects financed under the Article 6 ESF Innovative Measure call "Adaptation to the new economy in the framework of social dialogue". The evaluation reviews the achievements of the call for proposal through an analysis of project activities. Emphasis has been placed on assessing factors which contribute to project success (operational factors, framework conditions etc).

Summary of findings and recommendations

Overall, the evaluation report suggests that:

(i) First, a wide variety of innovative activities were supported across the five priority areas. The 'products' created by projects were mostly developed through partnership based approaches and many have the potential to be taken up users outside the projects. In some cases, the projects have created significant interest among key stakeholders.

(ii) Despite the above, the evaluators conclude that overall, the mainstreaming impact for the programme at national level has been limited. While acknowledging that projects have only recently been finished and that long term project results take time to materialise, the evaluators believe that two framework conditions are responsible for the limited mainstreaming influence which the projects have managed to achieve up to now.

First, the evaluators believe that the broad scope of the call (five priority areas) has led to a lack of critical mass. 35 projects spread across the priority areas and different Member States necessarily limit the impact which such a call can make.

Second, and linked to the preceding point, even in the case of projects that have a potential to mainstream, the evaluators have noted the difficulties that such small projects have in feeding their work into national level processes (vertical mainstreaming). In particular, the absence of a formal 'knowledge transfer structure' for Article 6 projects was felt to make their task more difficult.

Despite reservations about the extent of 'vertical' mainstreaming, the evaluators find that most projects results are sustainable, especially where activities feed into the daily practice of some of the participating organisations. Judged on these grounds, project results will be sustained in one way or another in approximately 3/4 of the projects.

In observing the individual projects, the evaluators have identified a number of 'success factors' that can be discerned across all of the projects:

- (i) A coherent work plan supporting project aims with activities (project design)
- (ii) Project emphasis on valorising the 'core' experience of particular project partners
- (iii) Involving stakeholders (partnership approach)
- (iv) Developing a common understanding of project objectives (project design and partnership)
- (v) The vast majority of projects chose appropriate means of dissemination for their activities. The evaluators also imply that the development of a clear and coherent dissemination strategy was present in the most

effective projects at an early stage and was also part of the process of developing a common understanding of project objectives during the start up phase (point (iv)).

The evaluator makes a number of *recommendations* that address issues identified in the report:

(i) In order to improve the possibilities for vertical mainstreaming of innovative results, information flows concerning such projects need to be improved.

(ii) In order to increase the potential impact of Innovative Actions, narrowing the thematic scope of such calls for proposals should be considered.

(iii) In order to improve project quality the evaluators suggest:

a) the need for clear strategies in relation to dissemination, and the involvement of organisations that represent stakeholders;

b) the need for project proposals that clearly show how activities will support the achievement of project aims;

c) the need to assess if projects have adequate expertise in order to carry out an innovative project.

The evaluator also recommends to potential project promoters restating the need for clear planning of (i) dissemination activities (ii) how to involve stakeholder organisations.

Main evaluation methods and data used

- Desk research
- Field studies with: surveys
- Primary data from interviews, surveys, etc.
- Case studies

Action taken / follow-up planned

Not applicable yet. Report expected to be placed on DG EMPL web site when concluded. Synthesis note on evaluation results to be circulated within DG EMPL.

Availability of the report

Not yet published.

Ex post evaluation 1994-1999 of ESF operations under Objectives 1, 3, 4 and under the Community Initiatives Employment and Adapt

Activities concerned 04 02 Employment and European Social Fund

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	09/02 – 11/03	A. Zoric (+32 2 2994070)	External

Purpose of evaluation

Assess the results and impacts of ESF operations conducted under objectives 1, 3 and 4, Community Initiatives Adapt and Employment. Results and knowledge generated by this evaluation will find use in drafting the next report on social and economic cohesion; ESF 2000-2006 implementation; policy development concerning future ESF operations.

Summary of findings and recommendations

1. ESF support generated a variety of substantial impacts from improving the labour market position of beneficiaries, contributing to the implementation of active labour market policies, and supporting various policy priorities (e.g. equal opportunities).
2. ESF support also generated "system" and "capacity building" effects such as (i) developing a long-term perspective towards labour market policy through multiannual programming and (ii) developing a partnership based approach to labour market policy (iii) supporting the emergence of a monitoring and evaluation culture.
3. From a "Community added value" perspective ESF co-financed action was also found to be (i) highly relevant across the EU (ii) supported policy and process effects such as the partnership approach and networking between a spectrum of official actors and stakeholders (iii) and generated financial and leverage effects within the public/private sectors.
4. Despite the numerous achievements, evaluators also identified weaknesses. These were principally related to procedural complexity, a tendency to be "resource driven", and monitoring and evaluation arrangements that could be further improved.

Main evaluation methods and data used

- Desk research
- Field studies with: interviews, focus groups
- Primary data from interviews, surveys
- Secondary data from: monitoring system, literature/experts
- Case studies

Action taken / follow-up planned

Within DG Employment, draft materials have been made available to ESF geographical units for Mid term review seminars. Authors of national ex-post reports were proposed to participate in the national mid term review seminars. A synthesis note of the evaluation results has been circulated within DG Employment at the completion of the evaluation.

More widely, the ESF evaluation partnership was systematically informed of the state of play of the evaluation. The major deliverables of the evaluation were communicated to Member States ESF Missions

and comments were invited from them on the interim and draft final reports. The results of the evaluation have been communicated to the Committee December 2003.

Availability of the report

http://europa.eu.int/comm/employment_social/evaluation/esf07_en.html

Horizontal evaluation of Local Employment Development

Activities concerned 04 02 Employment and European Social Fund

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	12/02 – 02/04	A. Zoric (+32 2 2994070)	External

Purpose of evaluation

This meta-evaluation aims to reviews a variety of types of EU programmes with respect to their effects on local employment development. The principal aim is to assess how different types of EU programmes support employment development at local level and what are if lessons can be learned for enhancing their impact in this specific area.

Summary of findings and recommendations

- The report analyses the reasons for increasing policy interest in local employment and finds that there is a solid justification for Community policy interest in this area.
- Through a variety of mechanisms ranging from programmes and policy frameworks, the Community has provided significant support to local actions.
- At the same time, the evaluators state that increased emphasis on the local aspect of employment policies generates new requirements and responsibilities for the actors involved, in particular the capacity of local actors to co-operate across conventional boundaries and provide the services implied by greater decentralisation.
- Broad recommendations are made to local actors, Member States, and Community level.

Main evaluation methods and data used

- Logical framework/diagram
- Desk research
- Primary data from interviews, surveys, etc.
- Secondary data from literature/experts
- Case studies

Action taken / follow-up planned

Internal synthesis note circulated within DG Employment.

The text of the report has been made publicly available on DG Employment website of EUROPA.

Availability of the report

http://europa.eu.int/comm/employment_social/evaluation/employment05_en.html

Evaluation of the Preparatory Measures for Local Commitment for Employment 2001

Activities concerned 04 02 Employment and European Social Fund

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim/ex post	12/02 – 10/04	A. Zoric (+32 2 2994070)	External

Purpose of evaluation

The purpose of this contract is to evaluate the programme preparatory measures for a local commitment for employment, call for proposals in 2001 VP/2001/015. This call supported projects which aimed to "facilitate the establishment and implementation of local action plans for employment that can contribute to exploit fully the potential for job creation at local level". Components within the evaluation design included: (i) assessment of implementation (ii) review of the innovative activities carried out under the programme by the participating projects (iii) identification of good practice examples (iv) obstacles to successful project completion (v) providing lessons and recommendations for future practice and policy.

Summary of findings and recommendations

The evaluation find that across the broad field of activities supported by the call, most individual projects have been both relevant and effective. The design of the programme has emphasised the possibility of carrying out a variety of types of projects which has meant that overall impact has not been concentrated in one particular sector or area. Operational factors have been analysed and the evaluators have come to the conclusion that for this call the most effective methods for disseminating information involved face to face contact and collective work, while more passive methods such as web site development and publications were more limited in their utility. Recommendations concern (i) the continued relevance of this type of action in this area (ii) the need to involve stakeholder organisations in dissemination and mainstreaming (iii) the need to consider targeting issues in programme design choices.

Main evaluation methods and data used

- Desk research
- Primary data from interviews, surveys, etc.
- Secondary data from literature/experts

Action taken / follow-up planned

A synthesis note summarising the evaluation results is in preparation.

The final report will be placed on the DG EMPL web page.

Availability of the report

http://europa.eu.int/comm/employment_social/evaluation/employment06_en.html

Evaluation of the European Year of People with Disabilities

Activities concerned 04 04 Promoting an inclusive society

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	07/03 – 11/04	S. Finné (+32 2 2965486)	External

Purpose of evaluation

Article 13 of the Council Decision of 3 December 2001 on the European Year of People with Disabilities stipulates that the Commission must submit, by 31 December 2004 at the latest, a report to the European Parliament, the Council, the Economic and Social Committee and the Committee of the Regions on the implementation, results and overall assessment of the measures provided for in that Decision, including an assessment of the long-term effects of the measures.

The external independent evaluation will flesh out this report.

Summary of findings and recommendations

The European added value of the EYPD may be summarised as follows:

Firstly, a European initiative was a prerequisite for the type of intervention undertaken, a condition that the EYPD satisfied. While national years for people with disabilities could have been organised by individual countries, the Europe-wide scale required some form of central co-ordination and initiative.

Secondly, the scale of the Year that derived from the fact that the EYPD was a European intervention added to the mobilisation and commitment of the stakeholders involved, and thus augmented the results.

Thirdly, the choice of delivery mechanism and the implementation of the Year were appropriate, and were important elements in achieving the objectives.

Fourthly, and connected with the above point, in several instances the European-level co-ordination fostered co-operation among stakeholders in the disability field and promoted the exchange of good practice.

Fifthly, synergy between activities at different levels, in particular between the Information and Promotional Campaign and the national actions, contributed considerably to achieving the aims of the intervention.

Sixthly, the Year generated considerable funding for disability-related projects and thereby also helped to strengthen the organisational capacity of many operators.

Finally, the Year contributed European added value by raising awareness and laying the groundwork for sustainable impacts, in particular concerning the creation of sustainable networks and legal and policy initiatives that would be capable of influencing the lives of people with disabilities.

Main evaluation methods and data used

- Desk research
- Field studies with interviews, surveys, direct observation
- Primary data from interviews, surveys, etc.
- Secondary data from: monitoring system
- Case studies

Action taken / follow-up planned

- The evaluation has been disseminated through a workshop for DG EMPL and DG EAC and it has been discussed in the DAC meetings.
- The Year was followed by a series of initiatives both at national level and European level. There were Council conclusions of 1st and 2nd of December 2003 on the follow up of the European Year of People with Disabilities and the promotion of Equal Opportunities for People with Disabilities http://europa.eu.int/comm/employment_social/index/council_eypd_fu_en.pdf. Also, the establishment of a concrete work plan for the High Level Group on Disability and the use of the open method of co-ordination are positive steps.

Availability of the report

http://europa.eu.int/comm/employment_social/evaluation/inclusive08_en.html

Ex-ante evaluation of the gender institute

Activities concerned 04 05 Equal opportunities for women and men

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	09/04 – 10/04	S. Finné (+32 2 2965486)	Internal

Purpose of evaluation

Ex ante evaluation of the Gender institute to support the decision on the Institute.

Summary of findings and recommendations

The study recommends the creation of the Institute.

Main evaluation methods and data used

- Previous evaluation analysis

Action taken / follow-up planned

A proposal of Regulation has been presented by the Commission for the creation of the Institute.

Availability of the report

Not published. For the internal use of the Commission only.

Agriculture and Rural Development

Evaluation of the Common Market Organisation (CMO) for wine

Activities concerned 05 02 Plant products

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	09/03 – 11/04	M. Loesch (+32 2 2955910)	External

Purpose of evaluation

The Common Market Organisation (CMO) for wine constitutes an important element of the Common Agricultural Policy (CAP). This evaluation concerns the whole CMO, but focuses on particular instruments. Priority is put on the limitation of the planting rights and the measures linked thereto and the market intervention measures (mainly the various distillation measures), but also regulatory measures (oenological practice, quality wine regime, labelling of products), measures concerning trade with third countries and the newly introduced measure for restructuring and conversion of vineyards are subject of the evaluation. The study examines essentially the effectiveness, efficiency and the coherence of these measures.

Summary of findings and recommendations

As concerns market equilibrium in volume terms the study concludes that, despite the limitations on planting rights and the premium for permanent abandonment of vineyards, there is still a structural surplus of supply in the wine sector, also in years with normal harvests. The size of the surplus is varying.

Implementation of the CMO instruments between 1988 and 1995 was effective in reducing structural surpluses and thus improving market equilibrium. Then the surplus increased (until 2001) and decreased since then.

The increase of the surplus after 1995 is mainly due to a reduced use of the premium for permanent abandonment and allocation of new planting rights.

The planting rights measures are criticised for preventing more efficient producers from expanding and introducing an element of rigidity into the sector. The consultants conclude that there is a contradiction within the production potential policy in maintaining abandonment premium and allowing new planting rights. They consider measures favouring the transfer of planting rights more efficient than the premium for permanent abandonment of vineyards.

The various distillation measures, which served as main instruments for reduction of surplus, contributed to supporting prices at the bottom end of the market in the medium term and guaranteeing a floor price.

These measures are considered by the consultants as not being effective in the presence of structural surplus since they provide income support and thus maintain production capacity in the sector.

Furthermore distillation is not a cost-effective instrument for surplus reduction, since calculations show that “proactive” measures like prohibition of new plantings and aid for abandonment of vineyards are more cost-effective than “reactive” instruments like the various distillation measures.

Measures relating to external trade (export refunds, import duties) also contributed in particular to support the lower market segments by supporting internal prices.

Aid to private storage is judged as an effective instrument to stabilise markets in situations of abundant supply in the short term.

Regulatory measures (oenological practices, quality wine regime, labelling rules) have positive impacts in guaranteeing standards and thus protecting consumers. On the other hand more flexibility in adapting these standards was said to be needed in order to face increased competition from third country wines and changes in demand patterns.

In this context the consultants consider aid for enrichment with (rectified) concentrated grape must as justified for political reasons in order to preserve competitiveness of different traditional methods for increasing alcohol content, which is an important quality criterion.

Recommendations

The recommendations on policy level are more general and go in the direction of a radical reform of the CMO, which would mean essentially abandoning of prohibition of new plantings, stopping distillation and liberalising oenological practices. These recommendations are partly based on the main findings, but not specified with regard to their consequences in market and income terms. The general reference to direct income support does not take into account the complexity of this sector, in which only a part of production is directly supported by the CMO measures.

Recommendations concerning individual instruments refer essentially to distillation, where establishing a “green harvest” measure in years of abundant harvests is proposed in order to prevent occasional surpluses and to replace distillation. However this recommendation is, though it seems interesting, not sufficiently considered in view of its practicability. In the case of private storage aid the consultants propose re-introduction of short-term storage and the possibility to interrupt contracts on producers’ request.

There is a set of more practical recommendations concerning essentially improvement of collection of data and information on the market and establishing an expert group which assists Commission services in adapting the CMO to changing requirements and formulating a long-term strategy.

Main evaluation methods and data used

- Logical Framework/Diagram
- Desk research
- Field studies with interviews
- Primary data from interviews, surveys, etc.
- Secondary data from statistical agencies, literature/experts and data from Commission sources
- Statistical analysis
- Cost-effectiveness analysis

Action taken / follow-up planned

The study can be used as input for reflection on future reform of this CMO.

Availability of the report

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

Evaluation of the methods for and success of Mainstreaming Leader Innovations into Rural development Programmes

Activities concerned 05 04 Rural development

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	09/03 – 02/04	N. Ortega Barquero (+32 2 2960643)	External

Purpose of evaluation

The Community Initiative Leader I marked the start of a new approach to rural development policy that is territorially based, integrated and participative. Leader II saw the Leader I approach put to more widespread use, with emphasis on the innovative aspect of projects. Leader+ continues its role as a laboratory which aims to encourage the emergence and testing of new approaches to integrated and sustainable development on a local level that will influence, complete and/or reinforce rural development policy in the Community.

'Mainstreaming' the approach characteristic of Leader, and the innovations generated within it, has been an objective since the set up of the initiative. After three generations of Leader since Leader I began in 1991, attempts to mainstream Leader-like approaches have already been made in some of the Member States (MS). In the context of the reflections concerning the future of the Community structural policy post 2006, and of the Community Initiatives as a part of this, it will be necessary to consider what lessons have been learnt from these attempts.

This study try to draw these lessons, it will provide background analyses that may serve as input for the preparation of proposals for the future architecture of structural policy post 2006 including specific proposals on rural development and the Community Initiatives.

Summary of findings and recommendations

The Leader approach as a new Governance mode for Rural Development Policy has a real value added increasing actions' effectiveness and can be applied in all contexts and with all measures. It has to be accompanied by supports structures at EU/national/regional level.

Reasons for existing cases: because of local/national traditional mode of governance, because of Macro-Political trends of decentralisation and because of success of EU Community Initiatives (Leader or others).

The report explains the Advantages of the LEADER approach (Added value) and the Difficulties in mainstreaming Leader approach.

The conclusion is that the mainstreaming of Leader is useful.

- The governance mode of LEADER has a real value added increasing actions' effectiveness and can be applied in all contexts and with all measures. The question is then how to support the mainstreaming initiatives.
- Mainstreaming necessitates investment into support structures (Observatory, networks). This investment offers added value in terms of cost-effectiveness after a certain time.
- 'Mainstreaming' of LEADER would require a certain compulsory element of implementation in order to allow this approach to show its potential in a wider application to practice.

The recommendations: Make the mainstreaming of Leader possible.

Pursue a wider and more flexible approach in EU legislation:

- Make support for innovative action an element of the Rural Development Regulation;

- Foresee the funding of activities resulting from area-based, integrated development strategies;
- Set out a framework for types of eligible activities instead of narrowly defining eligible measures;
- Specify objectives through measurable indicators in order to prepare the ground for scrutinizing measures through evaluation;
- Make activities eligible for farmers and non-farmers
- Make multi-annual funding possible (best: n+3)

Provide for the necessary support structure (observatory, networks) at EU and Member State level

- Establish an EU observatory and networks at the regional/national level;
- Assist rural actors through providing information, brokerage of inter-territorial co-operation, animation of thematic groups, organising seminars, and publishing guidelines;
- Involve rural actors into evaluation through encouraging self-assessment and feedback seminars;

Give incentives to rural actors:

- Provide funding for setting up organisational structures at local level and for capacity building/ training of local actors and administrators in the early phases of programming;
- Provide the funding for actors engaged in animating of area-based bottom-up approaches;
- Make inter-territorial co-operation an eligible activity;
- Consider a bonus for Leader-like approaches.

Main evaluation methods and data used

- Desk research
- Field studies with interviews
- Case studies
- Comparison/Control Groups

Action taken / follow-up planned

The report has been one of the building blocks for the extended impact assessment Rural development policy post 2006

Availability of the report

http://europa.eu.int/comm/agriculture/eval/reports/leader/index_en.htm

Extended impact assessment of rural development policy post 2006

Activities concerned 05 04 Rural development

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	01/04 – 07/04	R. Peters (+32 2 2962624)	Internal

Purpose of evaluation

The purpose of the Extended Impact Assessment (EIA) was to give an input into the preparation of the 'new' proposal for the future rural development policy 2007-2013. The aim of this exercise was to make an assessment of the current situation of rural development, discuss future objectives and subsequently present policy options in order to achieve these objectives.

Summary of findings and recommendations

The main conclusions of the Extended Impact Assessment (EIA) were that the future rural development policy should focus on three thematic priorities (competitiveness of the agricultural sector, environment/land management, the wider rural development). A second element that came out of the assessment was the need to improve the instruments for the delivery of the policy with an increased cooperation between European, national, regional and local authorities and an increased interaction of the public partners. A clearer target setting and well defined strategies linking objectives and the means to achieve the objectives at EU, national and regional level are necessary to better assess policy outcomes and account for the money the EU is spending on rural development. Further, the EIA called for a simplification of the implementation of the policy, by moving towards a single funding and programming system, and a clear demarcation of the responsibilities between the Member States and the Commission. The EIA examined 3 policy options for achieving the objectives: an improved status quo, a more strategic approach and a more territorial approach. Considering the advantages and disadvantages of these options, the Commission finally opted for a more strategic approach on both sectoral and territorial grounds (implying a progressive programming approach through setting EU strategic guidelines for rural development, elaborating national strategies translating into MS contexts the EU priorities, and preparing and implementing RD programmes) based on the three thematic priorities above and on a 4th methodological priority (bottom-up local development strategy, or LEADER approach).by mainstreaming the Community Initiative Leader into the rural development programmes.

Main evaluation methods and data used

- Impact matrix
- Concept mapping
- SWOT analysis
- Desk research
- Field studies with focus groups
- Primary data from interviews, surveys, etc.
- Secondary data from a monitoring system, statistical agencies, literature/experts and a Salzburg conference on the future of rural development (12-14 Nov 2003)
- Expert panels
- Comparison/Control groups
- Statistical analysis

- Multi-criteria analysis

Action taken / follow-up planned

The new policy and measures (proposal of a Council Regulation on support for rural development by the European Agricultural Fund for Rural Development – COM (2004) 490) are designed to tackle economic, social and environmental problems in rural areas throughout the EU. The proposal has been structured around 4 axes: 3 thematic ones linked to the set objectives and an additional methodological axis for bottom-up local strategies - the Leader approach. The recommended strategic approach is reflected in the proposal by the introduction of commonly agreed EU priorities for the three policy axes, which will subsequently be translated into the national strategy plans at MS level, while leaving sufficient flexibility at Member State and regional level to find a balance between a sectoral dimension (agricultural restructuring) and a territorial dimension (land management and socio-economic development of rural areas). Furthermore, a simplified programming, financial management and control system has been proposed.

Availability of the report

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

Impact Assessment of the rural development programs in view of post 2006 rural development policy

Activities concerned 05 04 Rural development

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim	04/04 – 10/04	D. Clemens (+32 2 2993730)	External

Purpose of evaluation

Contribution to the Extended Impact Assessment for post-2006 Rural Development policies.

Summary of findings and recommendations

The range of supported Rural Development measures is all in all wide and flexible enough to meet Member States' needs. RD programmes have had a positive impact against a variety of economic, environmental and social objectives. However, effects are more visible at the micro level than at the macro level, partly due to limited budgetary size of programmes. In a number of cases, programmes' effectiveness could have been improved by better programming and more precise targeting of individual measures to beneficiaries. A number of national evaluations suggest giving RD policy a wider rural focus to include more non-agricultural actors/beneficiaries. There is clear potential to increase the programmes' efficiency by simplification and streamlining of administrative provisions.

Main evaluation methods and data used

- Desk research
- Secondary data from a monitoring system and literature/experts

Action taken / follow-up planned

The results of the evaluation have been included in the EIA report for post-2006 Rural Development policy.

Availability of the report

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

Energy and Transport

Evaluation of the information and communication activities of the European Commission's Directorate-General for Energy and Transport

Activities concerned 06 01 Administrative expenditure of policy area 'Energy and Transport'

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	11/03 – 04/04	S. Furfari (+32 2 2957671)	External

Purpose of evaluation

- (1) To identify all centralised and a selection of decentralised information and communication actions and tools conducted by the DG from 2000 to 2003,
- (2) To advise on ways to improve and enhance the management and the implementation of centralised and decentralised communication and information actions,
- (3) To assess and advise on the effectiveness and efficiency of the IC tools on the target audiences,
- (4) To assess the relevance of these actions in light of the DG's communication strategy,
- (5) To provide a diagnosis of the communication strategy and communication policy management within the DG.

Summary of findings and recommendations

Overall, the levels of satisfaction with the DG Energy and Transport's information and communications efforts are exceptionally high. There were a total of 8 tools evaluated: press release, website, direct contact, publications in print, memo, video CD-ROM, conferences and the electronic newsletter.

The users of the information and communication tools were requested to indicate potential areas for improvement. Irrespective of whether they were key actors involved in the policy-making process or critical customers disseminating the information to others they wanted to see more:

- Up-to-date content
- Faster distribution
- Targeted communications
- User-friendliness
- Interactive communication

Main evaluation methods and data used

- Concept mapping
- Desk research
- Field studies with: interviews, surveys and direct observation
- Statistical analysis
- Multi-criteria analysis

Action taken / follow-up planned

It is foreseen to take the recommendations of the report into account in the forth-coming Communication and Information Strategy of DG TREN.

Availability of the report

Paper or electronic copy available on request from Barbara Moench (+32 2 2967836)

Ex post and mid-term evaluation of cooperative development of operational safety and continuing airworthiness programme

Activities concerned 06 02 Inland, air and maritime transport

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim / ex post	03/03 – 05/04	J. Fajardo (+32 2 2965399)	External

Purpose of evaluation

The evaluation must assess the effective use of resources devoted by the European Commission to these projects and the relevance of the granting of a new financing section for continuation of the actions already undertaken, and of the expected effects of the new projects to be financed.

Summary of findings and recommendations

As a conclusion, the COSCAP can be described as a useful and successful programme. It provides visible results, related to practical realistic objectives, achievable but still ambitious.

The further recommendations resulting from the evaluation are the following:

- Improve the programme monitoring by introducing scheduled milestones (outputs, agreements, remarkable events,), so that intermediate & final reports refer to pre-agreed objective verifiable indicators.
- Improve visibility of the European effort by more presence and participation of European bodies in the regional meetings
- Maintain presence at the Steering Committee, and closely monitor/control the definition and follow up of the programme objectives, to avoid risks of duplicating activities in the region, and to guarantee sufficient balance of international influences.

Main evaluation methods and data used

- SWOT analysis
- Desk research
- Field studies with: interviews and direct observation
- Primary data from interviews, surveys, etc.
- Secondary data from a monitoring system
- Comparison/Control groups
- Multi-criteria analysis

Action taken / follow-up planned

All recommendations will be introduced in all new grant agreements or when existing contracts have to be re-negotiated (e.g. for an extension of its duration).

Availability of the report

Paper or electronic copy available on request from F. Lomartire (+32 2 2992874)

Ex post evaluation of some actions funded under the sustainable mobility policy

Activities concerned 06 02 Inland, air and maritime transport

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	12/03 – 06/04	F. Lomartire (+32 2 2992874)	External

Purpose of evaluation

The ex-post evaluation aimed to put forward a judgement of value of some selected projects as case studies in order to respond to eight evaluative questions.

Summary of findings and recommendations

The evaluation undertaken on a sample of selected projects provides indications that they are deemed useful for the future European Commission's activities under Sustainable Mobility. However, the ten projects selected represent only 3.88% of the overall number of projects financed, and 5.60% in terms of budget allocated to projects over the period 1999 to 2003. It is strongly recommended to follow-up this first evaluation with a second, wider exercise aimed to evaluate all the projects financed over the period, or a significant sample thereof.

The main, positive evaluative conclusion regarding impact is that no negative impacts of the projects under scrutiny have been observed.

The following are some of the recommendations from the study:

- Applicants for subsidies should be required to describe clearly and in unambiguous terms the objectives of their requests, and to include in their application a detailed work plan for the planned activities.
- Contractors and beneficiaries should include in their intermediate reports a brief description of the results achieved to date; and an analysis of the respect of the agreed time plan, with focus on delays, their reasons, and corrective actions.
- Contractors and beneficiaries of funds should be requested that their final reports include an Executive Summary; and a description of the methodology followed (if relevant).
- The publication on the website of DG TREN of the reports from the financed studies should be considered as a rule; unless there are doubts as to their soundness. The publication should be integrated with direct mailing to interested stakeholders of the web links to the reports. To keep track of the address lists for possible future evaluation activities.

Main evaluation methods and data used

- Logical Framework/Diagram
- Desk research
- Field studies with interviews
- Case studies
- Multi-criteria analysis

Action taken / follow-up planned

The evaluation of all actions co-financed under the Sustainable Mobility will be launched next year to analyse the overall impact and utility of the policy.

The recommendations about the project management have been put into the internal management rules of DG TREN.

The publication of reports is not always done on the web-site.

Availability of the report

Paper or electronic copy available on request from F. Lomartire (+32 2 2992874)

Ex post evaluation of some actions funded under the transport safety policy

Activities concerned 06 02 Inland, air and maritime transport

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	12/03 – 08/04	F. Lomartire (+32 2 2992874)	External

Purpose of evaluation

Specifically, the evaluation is aimed at providing a judgement of value on ten selected projects evaluated as case studies co-financed by the Transport Safety budget line by:

- Identifying their achievements and impacts with respect to the operational, specific and general objectives.
- Drawing conclusions on their effectiveness and efficiency of these projects and by suggesting, wherever possible, to integrate indicators into the monitoring of current and future interventions.
- Allowing the Commission to judge the suitability of an extension and a future recurrence of similar activities.
- To take action, whenever necessary, to improve the added value of the funding.

Summary of findings and recommendations

The major recommendations of this evaluation have been:

- Wider access to the results of projects through improved communication strategies should be provided.
- Project objectives should be limited to a number of key outputs.
- Standard objective monitoring indicators should be embedded in the reporting framework for projects.
- Programmes with a recognised long term potential should be considered for long term funding support

Main evaluation methods and data used

- Logical Framework/Diagram
- Desk research
- Field studies with interviews
- Case studies
- Cost-effectiveness analysis

Action taken / follow-up planned

Next calls for proposals will take into account as far as possible recommendations expressed during this evaluation.

The interventions will be re-designed on the basis of those aspects which remain to be improved.

Availability of the report

Paper or electronic copy available on request from F. Lomartire (+32 2 2992874)

Ex ante evaluation of Marco Polo II (2007-2013)

Activities concerned 06 02 Inland, air and maritime transport

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	04/04 – 08/04	H. Morsi (+32 2 2950844)	External

Purpose of evaluation

The objective of the Marco Polo II ex ante evaluation was to analyse the available policy options and their different impacts, measure and compare potential impact 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.

Summary of findings and recommendations

The planned Marco Polo II programme is aimed at sustaining mobility while reducing congestion, minimising environmental impact and enhancing safety. The specific objective of containing the growth of international road freight is to be achieved by supporting credible projects aimed at modal shift and traffic avoidance.

The proposed reduction in road traffic tonne/ km within the planned Marco Polo II (shifting 144 billion tonne-kilometres off the road) appears as a credible means of containing the negative aspects of road freight activity potentially using a range of robust, practical, visible measures designed to achieve direct and positive impacts. These could include a range of efficiency measures, traffic avoidance initiatives and the use of alternative practical inter-modal options. More new and innovative measures may also be required and Marco Polo II could stimulate such developments. Marco Polo II has the added advantage of directly addressing organizations and entities with identified problems and seeking means to a secure more efficient and effective alternative.

It is conceivable that the operational objectives of Marco Polo II and some of the action measures could be partially met by the use of an alternative focus such as passenger vehicle transport use and growth constraint. There remain concerns over some structural and organizational issues within the alternative transport modes and their capability to respond positively to the opportunities the Marco Polo II programme is designed to realise.

Main evaluation methods and data used

- Impact matrix
- Logical Framework/Diagram
- SWOT analysis
- Desk research
- Field studies with interviews and surveys
- Primary data from interviews, surveys, etc.
- Secondary data from a monitoring system
- Statistical analysis
- Econometric models
- Cost-effectiveness analysis
- Multi-criteria analysis

Action taken / follow-up planned

The results of the evaluation have been used for the proposal for the new programme as well as supporting document for the decision making

Availability of the report

Paper or electronic copy available on request from F. Lomartire (+32 2 2992874)

Mid-term review of the ITS (Intelligent Transport System) Deployment programme (TEMPO) within the multi-annual indicative programme

Activities concerned 06 03 Trans-European networks

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	02/02 – 01/04	K. Keen (+32 2 2963469)	External

Purpose of evaluation

The purpose of this study was to consider the achievements in the first three years, to review any changes in policy which might impact the programme and to allow for some revision of the programme in the light of these changes. All the MIP projects within the programme were asked to make a submission to the review. This document analyses the responses and make recommendations to the Commission. Decisions taken as a result of this review will help to shape the programme up to 2006 and consider what happens beyond that date.

Summary of findings and recommendations

The main conclusion of the study is that there is a strong need to simplify the whole programme in order to be able to manage it.

The projects generally focus in their reporting on achievements within their area. Given the diversity of user and operator needs across the European road network, it is impossible to compare these reported deployments. Over 90% of the activities could be managed in terms of setting target deployments for each road within the TERN and then working towards that target. This would then enable progress to be measured and reported in a consistent manner across the programme. The content of Management Reports would be reduced dramatically.

The main recommendations are as follows:

- EC support for the implementation and studies within the Road Monitoring Infrastructure, European Network of Traffic Control Centres, Traffic Management and Control and Traveller Information Services domains (reduced from 7 to 4) should be conditional on commitment to the deployment plan by each Member States and on satisfactory reporting of actual deployment against targets. This recommendation will require extensive discussion with Member States prior to its introduction.
- The EC should own and manage the programme of activities on EFC. The programme should be determined by DGTREN and Member States invited to participate. Support for approved European activities only would be given.
- The EC should discontinue the requirement for projects to report individually. They should report collectively at the domain level, with subdivisions of cost by project and country. This may mean having a domain “leader” to co-ordinate all the reporting and to distribute the support. However, as projects are supported through individual project Decisions, this recommendation will need to be held over until after the MIP ends in 2006. Nevertheless, within the MIP, project interaction now takes place through an annual workshop/conference of all the TEMPO projects, and also through newly instituted regular meetings of project leaders.
- The EC should adopt the Implementation Plan which sets out the progressive introduction of the improvements recommended. This is in hand.

Main evaluation methods and data used

- SWOT analysis
- Desk research
- Field studies with surveys
- Primary data from interviews, surveys, etc.
- Secondary data from a monitoring system
- Comparison/Control groups
- Multi-criteria analysis

Action taken / follow-up planned

An implementation plan has been undertaken.

Availability of the report

Paper or electronic copy available on request from F. Lomartire (+32 2 2992874)

Mid term evaluation for the revision of the Multi-annual Indicative Programme of the Transeuropean Transport Network (Phase I)

Activities concerned 06 03 Trans-European networks

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim	12/02 – 01/04	J. De Britto Patricio-Dias (+32 2 2962982)	External

Purpose of evaluation

An in-depth analysis of Multi-annual Indicative Programme (MIP) rules and processes, advantages and disadvantages in light of past experience, in addition to needs and requirements for MIP revision, has been carried out. In parallel, a representative sample of projects from several Member States was selected for review based on varying levels of:

- Performance,
- Stage of development, and
- Scale (of studies and small and large infrastructure projects, etc).

These projects were reviewed from the perspective of efficiency, timeliness and effectiveness of the application of the current Multi-annual Indicative Programme rules. The aim was to see how it might be possible to streamline and improve this process and provide innovative solutions taking into account the need for continuous changes in some administrative procedures and reporting formats, in light also of the future workload originating by the EU enlargement.

Summary of findings and recommendations

The overall assessment elucidated a variety of key findings which were structured in terms of:

- Project performance levels:

- Fast projects: Have incurred higher costs than planned and a higher acceleration of delivery than originally planned,
- Normal-running projects: In line with original MIP 2001 budget allocation, and
- Lagging projects: After review and analysis, the MIP Revision process is an opportunity for such projects.

- Strengths of MIP:

- Concentration of funds in specific projects of TEN priority,
- Long-term funding guarantee for Member States and Project Promoters, as long as projects perform well,
- Multi-annual programming of projects by Project Promoters,
- Payment of TEN-T funds in line with project progress,
- Reduced effort by Member States (only Project Status Report submission and payment claims for continuing actions), and
- No more than two open Financial Decisions for any action.

- Weaknesses of MIP:

- Level of documentation at various stages of the project is high with no clear guidance, particularly at the start of the MIP process,

- Due to the multiple rounds of MIP Decisions by the Commission services, the Financial Decision is seen artificially autonomous with annual PSR and budget consumption reporting,
- Difficulty in monitoring and evaluation of project progress and forecasts, in particular, in clear technical and financial terms – in many cases in the Financial Decisions and frequently the PSR, there is no clear definition of portions of project eligible for funding,
- Little scope to accommodate delays and uncertainties in project implementation – no distinction is made between “mature” well-developed projects and some “new” projects that are liable to uncertainties and potential delays, and
- Little margin left in the current MIP budget for new Member States.

Several options are available for the MIP Revision including:

- Non-acceptance of any new MIP projects for the Member States – only new non-MIP projects (2004-2006),
- Acceptance of a limited number of new MIP projects (difficult to satisfy all wishes of Member States and to obtain easy passage through the FAC) – Van Miert Group of Projects, and
- Additional funds for new Member States (little room under current funds for new Member States) – Van Miert Group of Projects.

There are currently three possible scenarios being considered for the MIP Revision:

1. Two Phase plan scenario for MIP Revision (2004-2006): one for EU-15 and one for the new Member States.
2. Single Phase plan scenario for EU-25 maintaining the FAC voting powers.
3. Single Phase plan scenario for EU-25 with revision of FAC voting powers.

The principal purpose of the proposals is to simplify the current MIP rules and help deliver a simplified system that can be easily understood and followed through by the Member States and Project Promoters as well as the Commission services, in a flexible manner, allowing for adaptations to unforeseen developments and/or changing environment regarding project implementation and to ensure efficient monitoring and evaluation of the progress of the projects, and increasing transparency. At the same time, it should avoid excessive amounts of documentation, Decision rounds and uncertainty experienced by the various stakeholders under the current MIP.

Main evaluation methods and data used

- SWOT analysis
- Desk research
- Field studies with interviews and surveys
- Primary data from interviews, surveys, etc.
- Secondary data from a monitoring system

Action taken / follow-up planned

The conclusions and recommendation have been taken into account for the revision of the Community Guidelines.

Availability of the report

Paper or electronic copy available on request from F. Lomartire (+32 2 2992874)

Mid-term evaluation of the Transeuropean Network for Energy Projects

Activities concerned 06 03 Trans-European networks

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim	12/3-10/7/2004	C. Helmrath (+32 2 2950569)	External

Purpose of evaluation

The present mid-term evaluation had two main objectives:

- to evaluate the impact of studies and projects funded by the TEN-E Programme during the period under review;
- to issue practical recommendations aimed at improving, when appropriate, the overall efficiency of the Programme.

Summary of findings and recommendations

The main recommendations have been the following:

- Leave the socio-economic/cohesion objective outside the scope of TEN-E whose focus and 'brand' are the energy networks with emphasis on market integration and security of supply. Operationally formulate objectives and priorities of the programme to be able to better assess whether a proposal or the achievements of a study are in line with them.
- Focus TEN-E support on a limited list of projects of clear and high European interest whose implementation strongly requires EU funds.
- Increase the programme budget in order to take fully account of the needs of the 10 new Member States and of a new funding approach referred to in Recommendation 4).
- Adopt a multiple approach — budgetary envelopes and rates of support according to types of actions – better addressing the diversity of needs. Favour more impact either through decreased rates of intervention – to attract more strategic projects – or through a stricter selection process.
- Continue to improve the transparency of the proposals evaluation process, in particular by precisely defining the selection criteria.
- Associate more closely the Member States to the monitoring and information gathering tasks, and collaborate with them for obtaining authorizations.

Main evaluation methods and data used

- SWOT analysis
- Field studies with interviews and surveys
- Primary data from interviews, surveys, etc.
- Secondary data from a monitoring system
- Comparison/Control groups
- Statistical analysis
- Multi-criteria analysis

Action taken / follow-up planned

The evaluation results are discussed internally and were presented to the TEN-E guidelines and financial assistance committees. Recommendations in respect to the evaluation of proposals were as far as possible taken into account in the evaluation of the proposals received in response to the call 2004.

Availability of the report

Paper or electronic copy available on request from F. Lomartire (+32 2 2992874)

Cost-Benefit Assessment of the Externalisation of the Management of Community Financial Support to the TEN-T Networks (2007-2016)

Activities concerned 06 03 Trans-European networks

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	April 2004 – June 2004	R. Swinnen (+32 2 2968522)	External

Purpose of evaluation

The objective of the study is to analyse the organisational and financial consequences of an externalisation of the management of the Community funds devoted to TEN-T - within the framework and priorities set by the TEN Guidelines, in particular, the rationale and the cost-effectiveness of establishing an Executive Agency.

A significant increase in the budget allocated for TEN-T, as well as a widening of the tasks assigned to the Commission through the new financial regulation have been taken into account.

Summary of findings and recommendations

The present cost-benefit analysis has compared two strategic options for the future management of the TEN-T programme (incl. possibly improvement hereof) from 2007 until 2013, taking into consideration different budget scenarios. The options are:

- (1) in-house option: the programme with current and newly recruited staff for both present and possible new tasks remains in DG TREN;
- (2) externalisation option: an Executive Agency is created, comprising a combination of staff transferred from DG TREN and newly recruited temporary contract staff. The option takes into consideration that not all tasks can be externalised and that DG TREN must maintain a certain staffing to carry out TEN-T related policy and decision making, including supervision of the Agency.

Through an analysis of the present management situation (termed "Baseline Situation") and an extrapolation hereof, the study has estimated the number of FTE (Full Time Equivalent) staff required in the Agency and DGTREN respectively to manage the TEN-T programme under different budget assumptions that could be decided by the Council for the period 2007-2013.

Further, and on the basis of discussions with key DG TREN staff, the study identifies the following new tasks that should be considered included in the future TEN-T management - whether in DG TREN or in the Agency:

- enhanced evaluation of Project Proposals;
- awareness and promotion of TEN-T Programme;
- improved and integrated TEN-T Geographical Information System;
- coordination other EU and non-EU initiatives in favour of TEN-T,
- knowledge-based TEN-T management (know-how and best practise).

The Cost-Benefit analysis of the three budget scenarios investigated can broadly be summarised as follows:

- Based on the assumptions agreed with DGTREN, the analysis conducted and presented above shows clearly that the externalization option is cost-effective already from 2007 in all 3 scenarios, with a Net Present Value of between 22 and 30 million Euros. The above Net Present Value's are based on measurable cost savings derived mainly from the external staff cost structure in an Agency, and the efficiency gains expected to be achieved by externalization.

- The Cost Benefit Analysis also demonstrates that the cost savings generated by the externalization of the present level of TEN-T Management more or less can finance the new tasks and responsibilities identified above.
- The Agency staff and running costs will in all scenarios be less than 2% of the operational expenditures on the TEN-T programme it will manage.

Apart from the direct and measurable benefits reflected in the Net Present Value, the decision on whether to externalise the TEN-T management should also take into consideration the non-quantifiable benefits expected from externalization:

- The Executive Agency will be able to recruit transport specialists (technical, environmental, economical and financial) with specific hands-on transport appraisal, monitoring and management experience as and when required;
- The staff recruited will be fully dedicated to their tasks and fully motivated to pursue assigned objective;
- The employment rules and procedures of the Agency will allow a more flexible human resources management policy allowing performance-based employment and better adequacy between skills required and staff competencies.
- The Agency, through its specialised staff, is likely to have better project evaluation and project monitoring tools and skills through enhanced ex-ante and ex-post evaluation methods, act as a knowledge centre gathering best practices and experiences also from other DGs, Member States and IFIs. This should also help the Agency to create as early as possible a constructive dialogue with the project promoters and better assess the maturity and viability of the project ideas.
- The creation of a TEN-T Agency will by itself contribute to an added visibility of the TEN-T programme. This, coupled with the employment of dedicated staff to undertake targeted awareness raising and promotion campaigns showing the impacts and benefits of the EU intervention will substantially improve the visibility of TEN-T programme in the Member States and in the general public.
- The added efficiency, focus and visibility of the TEN-T programme management is likely to have a positive effect on the pace of project implementation but also disbursement of EU commitments.
- Based on the above-mentioned results and considerations, the study recommends DG TREN the creation of the Executive Agency for the management of the TEN-T programme. The Agency could be created and operational in 2007, although other phasing in scenarios could be feasible.

Main evaluation methods and data used

- SWOT analysis
- Desk research
- Field studies with interviews, surveys and focus groups
- Primary data from interviews, surveys, etc.
- Secondary data from a monitoring system
- Literature/experts
- Comparison/Control groups
- Statistical analysis
- Cost-benefit analysis

Action taken / follow-up planned

The results will be taken into account for an eventual decision to externalise the management of TEN-T.

Availability of the report

Paper or electronic copy available on request from F. Lomartire (+32 2 2992874)

Evaluation of the Campaign for Take-off of rational use of energy (CTO Assessment)

Activities concerned 06 04 Conventional and renewable energies

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	01/03 – 06/04	P. Abreu Marques (+32 2 2953805)	External

Purpose of evaluation

To evaluate the sectoral objectives of the Campaign for Take-off for the Renewable Energy Sources

Summary of findings and recommendations

The Campaign for Take-Off was considered having been highly successful in providing clear benchmarks for progress and policies and for providing clear signals for decision makers at all levels to take up similarly ambitious targets. Set objectives were reached or even surpassed in some sectors (wind, PV), whereas others are still lagging behind (solar thermal, biomass). An unequal development in sectors such as solar thermal where, for example, the huge differential existing between some countries and regions was not justified by market reasons or by exploitable potential.

Acting upon the factors that lead to these gaps in the development of RES should be the task of a new Campaign.

Main evaluation methods and data used

- Concept mapping
- Direct observation
- Case studies
- Multi-criteria analysis

Action taken / follow-up planned

The successor Campaign was planned to be launched in 2004, building on the success and lessons learnt in the Renewable energy Campaign for Take-Off (2000-2003). This new "Public Awareness Campaign for an Energy Sustainable Europe" was tendered in end January 2004 and the contract has been signed with the winning tenderer and the promotion activities of the Campaign have started on 1st October 2004.

Availability of the report

Paper or electronic copy available on request from Barbara Moench (+32 2 2967836)

Impact assessment of Altener projects

Activities concerned 06 04 Conventional and renewable energies

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	12/02 – 06/04	W. Gillett (+32 2 2995676)	External

Purpose of evaluation

The objective of this impact assessment is to fill this gap and to find out more about what actually happened with project results after the projects' end. In particular, the aims of this study are to:

1. Investigate the finished Altener projects contracted between 1996 and 2000 (plus a few from 2001 and 2002) and to find out about the diffusion of their results and about their impacts in the years after the end of the project itself;
2. Identify types of diffusion and impacts as illustrative examples;
3. Analyse the results for key factors which foster successful diffusion in the long run;
4. Make recommendations for increasing the projects' long-term impacts.

Summary of findings and recommendations

A condensed set of 5 main recommendations has been made, based on two criteria: focus on aspects that can be influenced and focus on aspects that can really make a difference:

- *Maintain a European non-technological programme for renewable energy;*
- *Increase the focus on specific products to better steer impacts in desired directions;*

An increased focus on specific products can primarily be achieved by more specific requirements in the calls for proposal. At least, proposals must be required to explicitly define the target sectors and decision makers in relation to the intended dissemination products and renewable energy technologies. Also the goals, methods and monitoring of product dissemination must be described in the project proposal. In each call, the EC programme management could indicate and/or differentiate between preferred target groups and or products.

- *Rationalise the composition of consortia to influence the type of impacts;*

Rationalisation of consortia composition can reduce the dependence of impacts on chance. It can be achieved by imposing requirements on consortium members, for example by formulating specific requirements in the calls for proposals on the number, geography, business scope and the role of contractors. The project selection criteria could ascribe a certain weight to the budget of the projects, the number of countries involved, the (mixed) composition of consortia, and/or to the origin of the main contractor (e.g. coming from specific countries - such as new Member States).

- *Reinforce the dissemination of products and project results to enhance the effectiveness of the Altener programme;*

Reinforcement of the dissemination of products and project results during the course of the program can be reached by dedicated and systematic attention of the Altener program management. Time and budget should be allocated to introduce a simple and robust system for continued monitoring, immediate feedback, and dissemination of products and project results; to as large and relevant as possible parts of the target groups. In addition dissemination channels and resources within the projects themselves are likely to be available if mobilised in time.

- *Increase the scale of the European non-technological programme for renewable energy to build on current success of Altener.*

To increase the scale of the European non-technological programme would require an increase in programme budget that is more or less proportional to the increase in EC member states. As a consequence, some extension of the Altener programme management team and budget seems inevitable, especially when all recommendations are implemented.

Main evaluation methods and data used

- IMPACT® assessment method of New-Energy-Works
- Field studies with surveys
- Primary data from interviews, surveys, etc.
- Secondary data: Monitoring system
- Factor analysis
- Multi-criteria analysis

Action taken / follow-up planned

The results will be promoted together with the results of the impact assessment of the SAVE projects, when the latter has been completed. A conference is foreseen in summer 2005, where the results of these two assessments will be promoted. In the meantime, the results of the ALTENER impact assessment are being considered by the Commission services when preparing the new annual work programmes for the Intelligent Energy – Europe programme.

Availability of the report

Paper or electronic copy available on request from Barbara Moench (+32 2 2967836)

Ex ante evaluation of Intelligent Energy for Europe II (2007-2013)

Activities concerned 06 04 Conventional and renewable energies

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	15/4/2004-14/10/2004	P. Abreu Marques (+32 2 2953805)	External

Purpose of evaluation

Its purpose is to gather information and carry out analyses that help to define objectives, to ensure that these objectives can be met, that the instruments used are cost-effective and that reliable later evaluation will be possible.

Summary of findings and recommendations

Three main ways of delivering this objective are identified:

- (1) strengthening policy and administrative capacity; measures to improve confidence;
- (2) encourage increased levels of investment into sustainable energy technologies; and
- (3) dissemination and promotion activities.

The EIE-II programme proposes to renew and extend the activities of the current Intelligent Energy – Europe programme (2003-6):

- EIE-II would have a proposed budget of €1,670 million over seven years (2007-13).
- It would provide support in three fields of action in the EU-27: energy efficiency (SAVE), new and renewable energy sources (ALTENER), and clean and energy efficient transport (STEER).
- It would also provide support for co-operation in these fields at international level, including the neighbouring countries of the EU (COOPENER). This would be either as an integral part of the programme, or placed under the legal basis of the EC external relations' instruments while keeping a strict connection to the other (internal) three parts of the programme.
- As with the current EIE programme, activities under EIE-II would provide support to policy development and implementation, and for institutional capacity building and dissemination activities. EIE-II would also propose a new area of support, for *replication projects*. These would aim to boost large investment in new and best performing technologies, through providing support for first market replication of just-proven technologies of European level interest.
- Its target sectors would be centred in the public sector, private and public sector energy users, industry and manufacturing, finance institutions, and the general public.

Main evaluation methods and data used

- Concept mapping
- SWOT analysis
- Desk research
- Field studies with interviews
- Primary data from interviews, surveys, etc.
- Secondary data from literature/experts

- Statistical analysis
- Multi-criteria analysis

Action taken / follow-up planned

The results will be taken into account for the design and the decision making of the new European programme for energy.

Availability of the report

Paper or electronic copy available on request from Barbara Moench (+32 2 2967836)

Environment

Evaluation of the "Wildlife Trade Support Service" provided by UNEP-WCMC to the European Commission

Activities concerned 07 01 Administrative expenditure of policy area 'Environment'

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim	July 2004 – November 2004	C. O'Críodain (+32 2 2995452)	External

Purpose of evaluation

To establish whether or not the Commission is getting value for money with regard to the cost of the service agreements covering work carried out by UNEP-WCMC between 01/01/1999 - 07/07/2003

The evaluation should establish whether the cost to the Commission of the contract is reasonable having regard to:

- the time and skills required for maintenance of the database and production of the necessary outputs;
- the additional data requirements of Community legislation over and above those that can be met by the services already provided to the CITES Convention;
- the costs and the nature of data provision required by other MEAs and/or by comparable Community legislation; and
- the amount paid to UNEP-WCMC for the services they provide to other clients.

Summary of findings and recommendations

Summary conclusions:

1. In general, it seems that **the EC is receiving value for money** for the WTSS services.
 - There is no evidence that the EC has been charged vastly different **charge-out rates** by UNEP-WCMC than other clients;
 - Increases in UNEP-WCMC's staff charge-out rates above that of the **rate of inflation** have not been excessive;
 - There was no direct evidence of **cross-subsidisation** with regard to the services provided to WTSS.
2. No convincing evidence has been found to suggest that any elements of the EU Wildlife Trade Database Service, or Production of Annual Reports, warrant opening up the services to **competition**, since no alternative agencies have been found that could supply a comparable service. However, in the case of the *Species checklists and the Special Reports*, there are alternative providers that could provide a comparable service to that of UNEP-WCMC.
3. Any **unwrapping of services** under WTSS would need to ensure that the services put to tender are sizeable enough to ensure that any potential financial gains from moving to another provider are not countered by increased administrative costs.
4. UNEP-WCMC's **high overhead costs** (i.e. 50 percent of total operational costs) are an area of concern which would need to be taken into consideration in the event that parts of the WTSS were unwrapped, as these could be a symptom of inefficiencies. Nonetheless, because of UNEP-WCMC's non-profit-making status, these overheads are currently channelled back into maintaining the organisation infrastructure (online databases) which is of benefit to the services under WTSS.

5. The fact that UNEP-WCMC has been collating trade data for the CITES Secretariat since the start of the convention in 1975 means that it has built up an unrivalled **institutional memory** which adds value to the services provided under WTSS. The UNEP-WCMC's in-house skills combining trade and biological data expertise with database programming and management, together with this historical knowledge of required processes, ensures that data is generally compiled and maintained efficiently.
6. The **relationships** between UNEP-WCMC, DG Environment, CITES, JNCC, DEFRA and others is built on trust and goodwill, and this is considered to be a fundamental prerequisite to achieving value for money.
7. Overall DG Environment has **comprehensive** monitoring procedures. The fact that WTSS payments are tied to the acceptance of interim and final deliverables (reports) is seen as particularly effective.

Overall recommendations

1. Overall, value for money in procurement depends on combining competition with innovation. Introducing an element of competition might act as an incentive for UNEP-WCMC to re-examine its high overheads and improve efficiency. However, **before unwrapping parts of the WTSS, thereby introducing elements of competition, several issues need to be taken into account:**
 - The **cost** of an open tender process as well as the additional **administrative burden** of managing separate contracts that this would generate.
 - The fact that WTSS came into existence (in 1998) in an attempt to reduce the administrative load on DG Environment by **reducing 3 or 4 contracts into one**.
 - Any decision to separate the WTSS contract again would have to be based on a **strong case** that value for money would be better achieved with an alternative service provider.
2. DG Environment could consider introducing competitive tendering processes for the provision of Checklists or Scientific Reports services to the SRG. For the Special Reports, it would be particularly relevant where the **balance of the analysis and judgements** required are biological rather than trade data focussed. However it would have to be weighed against UNEP-WCMC's fundamental ability to maintain the database updated and online. Careful **examination of likely risk factors** in considering alternative service providers should be undertaken.
3. Overall it is therefore recommended that the WTSS should **remain as one "package"**. UNEP-WCMC is still uniquely positioned to provide the services under WTSS. There is no evidence to suggest that DG Environment is paying a premium for the services. In view of this, monitoring is particularly important and will need to be the focus of DG Environment throughout the contract period. It is recommended that the following **additional safeguards** be considered:
 - a) The possibility of maintaining an **electronic copy** of EU Wildlife Trade Database.
 - b) UNEP-WCMC should present a report and receive **feedback from the SRG** as well as the Management Committee at the end of each contract period.
 - c) It is recommended that DG Environment and the CITES Secretariat **meet to discuss** their various systems for monitoring on a more regular basis.
4. In order to increase transparency and facilitate monitoring it is recommended that the WTSS line items, particularly the production of EU Annual Reports, be separated into their various components.

Main evaluation methods and data used

- Concept mapping
- Desk research
- Primary data from interviews, surveys, etc.
- Secondary data from a monitoring system and literature/experts
- Comparison/Control groups
- Cost-effectiveness analysis

Action taken / follow-up planned

Results will feed directly into the re-negotiation of next contract with UNEP-WCMC.

Internal use by DG ENV.

Availability of the report

Paper or electronic copy available on request from J. García Burgues (+32 2 2968763)

**Mid-Term Evaluation on the Implementation of the Framework for Cooperation in the field of
Accidental or Deliberate Marine Pollution**

Activities concerned 07 03 Environmental programmes and projects

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim	May 2003 – March 2004	G. Vincent (+32 2 2969514)	External

Purpose of evaluation

Requested by: Art.5 Decision 2850/2000/EC, the objective of the evaluation is to report on the achievement of the objectives of the Programme.

To measure whether the budget invested as well as the organisation and management of the Programme have lead to results contributing to these objectives.

Summary of findings and recommendations

Synthesis of Main Findings:

- The Programme is perceived as effective in meeting its objectives but has scope to improve;
- Member States would generally like the focus on Training and Information actions to continue in future;
- There is a healthy list of topic areas that Member States would like to continue to be addressed within training and other actions;
- The current actions and coverage of the Programme are supported and there are no suggestions for major changes.

Synthesis of Main Recommendations:

- The Programme should continue in its current format.
- Consider the list of topics identified in this study when next reviewing priorities in the three year rolling plan.
- Ensure continuing involvement and dialogue with EMSA and the Regional Agreements to ensure activities continue to complement.
- Measure the impact of individual projects, follow-up after an appropriate time and disseminate lessons to Member States.
- Consider the future of the Community Information System and the possibility of committing additional resources to support its maintenance and updating.
- Review the need to hold a workshop to discuss and clarify the Community Mechanism and the roles of experts and observers.
- Review the procedures for letting training contracts and consider increasing intervention to improve overall quality of courses.
- Review all recommendations resulting from this mid-term evaluation and consider priorities for action/implementation.

Main evaluation methods and data used

- Logical Framework/Diagram
- Desk research
- Primary data from interviews, surveys, etc.
- Secondary data from literature/experts
- Case studies
- Multi-criteria analysis

Action taken / follow-up planned

The results of this evaluation will feed into the Commission's Report to the Council and European Parliament. It will also feed into a global evaluation of Civil Protection Instruments, contributing to a wider picture for appropriate decision-making. Adjustments to management processes of the Cooperation Framework for Marine Pollution will be made accordingly where possible.

Availability of the report

http://europa.eu.int/comm/environment/civil/pdfdocs/marine_pollution_final.pdf

[Impact Assessment: Integration of environment into standardisation \(COM\(2004\)130 - 25 February 2004\)](#)

Activities concerned 07 04 Implementation of environment policy

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	05/03 – 02/04	V. Drezet-Humez (+32 2 2960038)	Internal

Purpose of evaluation

Sustainable development is a priority for the EU. By integrating environmental aspects, European standardisation could make a positive contribution to sustainable development and the relevant implementing policies, such as the Integrated Product Policy (IPP) adopted by the European Commission. This applies as well to European standards for test and measurement methods, which contribute to the implementation of environmental policies.

The Impact Assessment looked at how best to support the integration of environment into relevant European standards. It involved wide stakeholder consultation.

All stakeholders felt that a Communication would be a useful contribution which would help them in their work. Furthermore, a number of common themes emerged which showed a consensus on where progress was most likely to be made. In particular, four key issues were identified:

- raising awareness and environmental thinking;
- setting priorities;
- enhancing stakeholder participation;
- using tools and offering incentives.

Summary of findings and recommendations

Environmental aspects need to be integrated into European standards. This should be done in a balanced and appropriate manner and of properly taking into account the other reasons for which standards are written.

There is a need to raise awareness for the need to integrate environmental aspects into European standardisation, a voluntary, stakeholder-driven process.

The impact assessment concluded that further actions would be justified in the following areas:

- **Awareness.** The exchange of expert knowledge and good practice can ensure that environmental aspects in standardisation are identified at an early stage of the development of new standards, or when existing standards are revised every five years. **Training** has been identified as a key issue to ensure that environmental stakeholders can effectively voice their views in the European standardisation process. Equally, the relevant environmental information needs to be gathered and disseminated to all technical experts participating in the process.
- **Priority setting** for the work on environmental issues in European standardisation. Due to the voluntary nature of the process, standardisation stakeholders should remain in control of their work priorities. However, public interest areas and issues relevant to European policy should also be taken into account.

- The **participation of stakeholders** is crucial for the acceptability and relevance of standards. All stakeholders should be in a position to effectively participate in the development of European standards that are relevant to them. As the European standardisation process is based on national positions, it is important that Member States facilitate the participation of all stakeholders in the formulation of a national position. This then needs to be taken forward on the basis of a consensus at European level. At European level, stakeholder groups who can co-ordinate and develop public interest positions, such as in the environmental field, play an important role in effectively underpinning the national positions.

The **systematic use of tools** for the integration of environmental aspects into standardisation needs to be put into practice. Stakeholders are encouraged to use the tools that have been developed for dealing with environmental considerations in standardisation.

Main evaluation methods and data used

- Impact matrix
- Stakeholder consultation
- Econometric models

Action taken / follow-up planned

Communication from the Commission to the Council, the European Parliament and the European Economic and Social Committee

Availability of the report

Published in paper form: COM(2004)130 final

Impact Assessment: Financing Natura 2000 (COM(2004)431 - 15 July 2004)

Activities concerned 07 04 Implementation of environment policy

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	11/02 – 06/04	V. Drezet-Humez (+32 2 2960038)	Internal

Purpose of evaluation

The extended impact assessment underpinned the Commission's Communication to the European Union Parliament and Council on the "Financing of the Natura 2000 network". It looked at how best to build an operational financial framework to support the active management of the Natura 2000 network.

Summary of findings and recommendations

Significant progress has been made in the establishment of the Natura 2000 network through designation by Member States of more than 18,000 sites. Today, the network covers an area of 63.7 million hectares, including a significant marine area of 7.7 million hectares, while the terrestrial area of the network (around 56 million hectares) accounts for approximately 17.5% of the EU-15 terrestrial area. Now that the network is nearing completion, there is a need to increase the focus on the active management of the sites so as to ensure long-term conservation and the achievement of the economic and social objectives of the network. This in turn raises the question of finding sufficient funding at EU and national/regional level to ensure that Natura 2000 becomes a dynamic part of the EU biodiversity strategy. Investments, which promote the sustainable use of the sites and access for visitors, are particularly important in realising the potential of the network to contribute to local economic development.

The provisions of the Habitats Directive clearly establish that the responsibility for ensuring the management of Natura 2000 sites lies with the Member States. In practice, for many Member States this responsibility is delegated to national or regional conservation agencies or in the case of federal states it may be defined as the responsibility of regional authorities.

The financial needs of the Natura 2000 network relate to a broad range of measures required to ensure the efficient conservation management of the designated sites. It also includes investments that promote the public use and access to the sites in ways compatible with their conservation objectives. Given the extensive nature of the network, occupying around 17.5% of the territory of EU-15 and approximately 60 million hectares, it is not surprising that the anticipated costs are substantial.

Given the extensive range of habitat types and situations prevailing in the different Member States, no standard formula can be applied. A broad variety of activities may be required, like maintaining grazing in mountainous prairies, allowing for hedgerows, creating riparian belts, restoration of degraded wetlands, apply special treatments to old growth forests, prevention of clear felling, to name but a few. However, as a general rule it will be important to ensure continuation of traditional management regimes, which very often have been critical in creating and maintaining the habitats, which are valued today.

3 possible options for co-financing were examined:

- the use of existing EU funds, (notably Rural Development, Structural and Cohesion Funds and LIFE-Nature)
- increasing and upgrading the LIFE-Nature instrument to serve as the primary delivery mechanism
- the creation of a new funding instrument dedicated to Natura 2000.

The Commission decided that the integration option is the better approach because

- it will ensure that the management of Natura sites is part of the wider land management policies of the EU. Thus, farming inside Natura sites will be part of the CAP and structural investments will be part of rural and regional development policies. This complementarity will enable the network of Natura sites to play their role in protecting Europe's biodiversity more fully than if Natura sites are seen to be isolated or different from the wider policy context.
- it will allow Member States to develop policies which reflect their national and regional specificities.

Co-funding for NATURA is to be found in

- the revision of the Rural Development Regulation
- the revision of the Structural and Cohesion Funds, it will propose that investment in Natura sites should be eligible for inclusion in national and cross border programmes.
- the LIFE+ proposal, for residual costs that cannot be covered by the other instruments and for networking

In each case the criteria for eligibility will be set out and the general rules of each Fund will apply.

Main evaluation methods and data used

- Impact matrix
- Stakeholder consultation
- Econometric models

Action taken / follow-up planned

Communication from the Commission to the Council and the European Parliament.

Availability of the report

Published in paper form: COM(2004)431 final

Impact Assessment: Environment & Health

Activities concerned 07 04 Implementation of environment policy

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	02/03 – 06/04	V. Drezet-Humez (+32 2 2960038)	Internal

Purpose of evaluation

The evaluation looked at the value added of an action plan on Environment & Health at EU level. It looked specifically at subsidiarity issues clarifying the scale and nature of the European dimension of the problem addressed.

Summary of findings and recommendations

Linking human exposure to environmental stressors, on the one hand, and adverse health effects on the other, is already the focus across health, environment and research policy. Examples in environmental policy are work on clean air and water, and on safe release of chemicals. The European Union thematic strategies currently under development (marine environment, sustainable use of pesticides, air quality (CAFE), urban environment, soil protection, waste prevention and recycling) will add to the existing health focus. Likewise, in the health policy context, there is work on health information, and on pollution-related diseases and environmental determinants, and in the Occupational Health and Safety policy there is ongoing work on Occupational Exposure Limit Values. At the same time, the EU contributes to the work under the Ministerial Conferences on Environment and Health co-ordinated by WHO, as well as the WHO's International Programme of Chemical Safety (IPCS).

The aim of the Strategy and Action Plan is to provide a framework for addressing the overall exposure relevant to the incidence of health problems. By doing so, we can improve the focus and effectiveness of our preventive measures, and identify new risks more effectively.

The Action Plan on Environment and Health is a 'science based policy' initiative whose overall objective is to provide the information required to assess when, where and how to take preventive action on the environmental sources of health impacts, and to revise risk reduction policy accordingly. The expected impacts are:

- improved information on the links between environment and health
- a better assessment of the effectiveness of current risk reduction policy
- revision of risk reduction policy where necessary to make it more effective
- improved risk communication to the public, including workers
- improved professional and institutional capacity to deal with environment and health issues

The Action Plan identifies the information needed to develop targeted preventive policy, and indicates how it will be obtained. The information serves three main purposes: to document whether the desired improvement in health outcomes is achieved by current risk reduction policy, to identify better policy alternatives, and to act as the basis for communication of risk to affected parties. The Action Plan sets out how this will be done in practice, and the timeframe on which the activities will be carried out.

There are three main phases of action:

- *Analysis of the information needs for policy development*: to identify which health, environment and research information we need to combine so as to allow us to review the impact of our policy in terms of improved health outcomes
- *Changes to information requirements*: to implement any changes in monitoring obligations identified by the above review
- *Risk reduction*: to bring forward well-focused new initiatives on risk reduction based on the information acquired.

Action recommended under phase 1 were not judged to have any significant economic or social impacts (with one reservation), and actions under phases 2 and 3 were judged to be more appropriately assessed when they are brought forward, rather than now.

In parallel, action will be taken to raise awareness of the nature and extent of environmental risks, and on training and education to improve professional and institutional capacity on environment and health.

Main evaluation methods and data used

- Impact matrix
- Stakeholder consultation
- Econometric models

Action taken / follow-up planned

Communication from the Commission to the Council, the European Parliament and the European Economic and Social Committee - The European Environment & Health Action Plan 2004-2010.

Availability of the report

Published in paper form: COM(2004)416 final

Impact Assessment: INSPIRE

Activities concerned 07 04 Implementation of environment policy

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	06/03 – 07/04	V. Drezet-Humez (+32 2 2960038)	Internal

Purpose of evaluation

The evaluation assessed the Commission proposal to establish the Infrastructure for Spatial Information in Europe (INSPIRE), a system intended to provide a common Europe-wide framework to eliminate a number of these chronic inefficiencies in the sector of spatial information. This infrastructure will provide the context within which spatial information can be analysed, overlaid, and integrated to support public policy formulation, implementation and evaluation, in particular in relation to sustainable development. When such a context is lacking, parts of it are created over and over again for every application where spatial data is needed.

Establishing such a common Europe-wide framework will require legislation at European level. The overall objective of the INSPIRE legislation will be to make harmonised and high-quality spatial (geographic) information readily available across public sector bodies in the European Union at local, regional, national and European level in order to support policies with a strong territorial dimension. INSPIRE will begin with information needed for environmental policy, but will be defined in an open way so that it can be extended in the future to agricultural, transport and other sectoral requirements. It also has the objective of facilitating access by citizens and business to spatial information anywhere across the European Union.

Summary of findings and recommendations

When developing the INSPIRE proposal, the following six policy options were considered:

- (1) Do nothing.
- (2) Voluntary cooperation among Member States.
- (3) *A broad framework* backed by an EU framework Directive based on the subsidiarity principle of management devolved to Member State level. Obstacles addressed within a broad framework in a progressive manner.
- (4) *A focused framework* backed by an EU framework Directive based on the subsidiarity principle of management devolved to Member State level, to constitute a first step focusing on priority data for environmental policies in a context of progressive implementation of a multi-sectoral spatial data infrastructure.
- (5) *A comprehensive framework* backed by an EU framework Directive addressing all obstacles in a comprehensive manner.
- (6) *EU Regulation* stipulating how Member States should implement INSPIRE specifications and infrastructure.

Conclusions

The extended impact assessment showed that INSPIRE would provide:

- more Europe-wide spatial data of greater consistency;
- consistent Europe-wide documentation of data and data quality;
- direct and free access to services to find and view available public sector spatial data sets;

- access to and delivery of spatial data, meeting the needs of users ranging from members of the public and academics to policy-makers and commercial users;
- an incentive for breaking down barriers to the sharing of spatial data required for good governance;
- a framework for coordination between spatial data users and suppliers;
- a platform for building public-private partnerships for producing and using spatial data.

By putting the proposed measures in place, INSPIRE would yield the following key benefits:

1. For both options 3 and 4, the economic benefits far outweigh the cost of setting up and operating INSPIRE;
2. INSPIRE would help eliminate chronic deficiencies in spatial data from across the public sector in the European Union and contribute to providing the knowledge base to support sustainable development, especially when complemented with the GMES initiative;
3. Given the persuasiveness of spatial data for many uses, INSPIRE would produce significant social benefits by contributing to increased transparency in environmental decision-making as required by the UNECE Aarhus Convention and through its potential to support the implementation of social policies in the EU; and
4. INSPIRE would bring major benefits to the commercial sector, especially when allied to the complementary PSI Directive,¹⁵ by making spatial data sets held by public sector organisations accessible and usable and by providing a common platform for both public and private sector spatial data.

Comparing option 3, the broad framework, and option 4, the focused framework, in both cases the benefits considerably outweigh the investment requirements. For option 3, the benefits but also the investment requirements are significantly higher, and option 3 would require significantly more coordination efforts between INSPIRE and the thematic policies than option 4. Option 4 represents the more progressive approach to the implementation of INSPIRE, with a review clause allowing next steps to be taken by building upon the experience of the previous steps. In particular, Option 4 involves lower costs up-front at the regional level, and so should allow for an easier implementation. Option 4, the focused framework, is therefore recommended.

Main evaluation methods and data used

- Impact matrix
- Stakeholder consultation
- Econometric models

Action taken / follow-up planned

Directive of the European Parliament and of the Council establishing an infrastructure for spatial information in the Community (INSPIRE).

Availability of the report

Published in paper form: COM(2004)516 final

¹⁵ Directive 2003/98/EC of the European Parliament and of the Council on the re-use of public sector information, OJ L 345, 31/12/2003, p. 90.

Impact Assessment: Thematic Strategy on the Sustainable Use of Pesticides

Activities concerned 07 04 Implementation of environment policy

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	06/02 –	V. Drezet-Humez (+32 2 2960038)	Internal

Purpose of evaluation

The evaluation looked at costs and benefits of various options being considered in the framework of the Thematic Strategy on Pesticides.

The overall objective of that Strategy is to reduce the impact of pesticides on the environment and human health, to achieve a more sustainable use of pesticides while introducing a significant overall reduction in risks balanced with a use of pesticides consistent with the necessary crop protection.

Summary of findings and recommendations

The thematic strategy is called for in the 6th Environment Action Programme. It will complement the existing legal framework, in particular Directive 91/414/EEC and the Directives on residues in food, which target the beginning and the end of the life-cycle of pesticides, by focusing on the use phase.

The thematic strategy will follow a holistic approach and would encompass a wide range of instruments – legally binding, voluntary, economic incentives. All alternatives will be considered and have been mentioned in the Commission Communication 'Towards a Thematic Strategy on the Sustainable Use of Pesticides' (COM (202) 349 final), which launched a broad public consultation.

The impact assessment looked at various options being examined under the Thematic Strategy. The study concluded that measures envisaged would result in some revenue losses by farmers (due to the new obligations on training and check of sprayers). These, however, could be compensated by savings on quantities used and therefore lower input costs. On the other hand, reducing risks linked to the use of pesticides will benefit the farmers in the long run, first for their own health protection and secondly as it will contribute to preserving their resource base through sustainable use of production resources such as soil and water. Several measures such as set aside, record keeping etc. will entail additional costs for the farmer that could also be supported by agri-environmental schemes under the CAP as they foresee compensation payments for environmental services in the framework of the Rural Development plans.

The study pointed out that consumers might be faced with higher costs for food (due to traceability requirements), but on the other hand will benefit from less polluted food (less residues), which will reduce negative health impacts. Consumers can also benefit from lower costs for clean water, as polluted water resources currently necessitate treatment before the water is fit for consumption.

The pesticides industry might have to face reduced sales, mostly because losses or inefficient use practices will be reduced. Substitution principle inserted in the revised Directive 91/414/EEC will have an influence on the consumption of those active substances that are considered particularly hazardous. On the other hand, research and development of new and less hazardous substances should benefit, which will be to the advantage of innovative companies. Higher prices for such new active substances might set off negative impacts from reduced overall sales volumes.

There will also be clear benefits for the environment with reduced pollution of the various environmental compartments and increased biodiversity.

The exact magnitude of the above mentioned effects will have to be examined further before presenting the final impact assessment.

Main evaluation methods and data used

- Impact matrix
- Stakeholder consultation
- Econometric models

Action taken / follow-up planned

Communication from the Commission to the Council and the European Parliament.

Availability of the report

Impact Assessment: Mercury Strategy

Activities concerned 07 04 Implementation of environment policy

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	06/02 –	V. Drezet-Humez (+32 2 2960038)	Internal

Purpose of evaluation

The Extended Impact Assessment (ExIA) has been prepared by DG Environment of the Commission Services, to inform the development of the Community Strategy Concerning Mercury. It takes account of a consultation exercise undertaken by DG Environment to inform the development of the mercury strategy.

The ExIA presents an analysis of the situation relating to the use, control, emissions and impacts of mercury and its compounds, identifies the main policy options that have been considered in the context of the strategy, and assesses these options in terms of their environmental, social and economic impacts.

Summary of findings and recommendations

The impact assessment explains the final policy choices and describes why more or less ambitious choices were not made, based on the trade-offs associated with the various options.

The impact assessment explains the final policy choices and describes why more or less ambitious choices were not made, based on the trade-offs associated with the various options.

Mercury supply and trade including the fate of surplus mercury from the chlor-alkali industry

The analysis led the Commission to favour stopping the export of mercury. Other options that would allow continued export did not appear acceptable, as they would extend the EU's contribution to the global mercury problem rather than helping to address it. This also reflects the Commission's view of future mercury demand possibilities, under which significant surpluses may arise in a few years time. The Commission considers that this view can be presented to the international community to indicate how demand for mercury can be reduced downwards. Clearly it would be inconsistent to do this while in parallel continuing to stimulate demand by exporting large amounts of mercury.

Even without action on export of mercury in general, the negative environmental impacts of primary mercury mining and production, as well as their doubtful economic viability, support the view of ending these particular activities. However, as these activities now only take place in one Member State, it is not considered appropriate to immediately pursue the option of proposing Community legislation to prohibit primary production. Rather, the Commission intends to explore with the Spanish authorities the possibilities for scaling-down or ceasing primary production at Almadén.

Stopping export would remove the main market for surplus mercury from the chlor-alkali industry. The Commission therefore intends to explore with the industry the establishment of a negotiated agreement to secure the temporary storage of this mercury, rather than its re-sale.

Another possibility for the chlor-alkali industry's surplus mercury would be to require storage via legislation. However, as the industry is a large and well-established one, with a relatively small number of players, the Commission prefers the option of examining a negotiated agreement in the first instance. The fact that the industry has already stated a preference for storage over permanent disposal, and has begun to investigate the possibilities in this area, also provides a good basis for a possible negotiated agreement. Permanent disposal might be an option in the future, but for the moment the Commission considers that it is too

expensive, and has too many technical uncertainties, to be pursued at Community level. Nevertheless, this is an appropriate area for further research.

The Commission will also advocate calling for reducing primary production globally, and for storage rather than re-sale of chlor-alkali industry mercury surpluses, as part of the Community input to the upcoming UNEP Governing Council discussions. This is to match the policy choices for the EU outlined above.

Measuring and control equipment

The analysis led the Commission to recommend the introduction of a marketing restriction on measuring and control equipment for consumer use and, with some exemptions, the healthcare sector. This is because of the relatively high level of mercury use in this sector, which will also lead to significant emissions. Establishing a restriction on measuring and control devices containing mercury at Community level would have a higher effectiveness than leaving such measures to the Member States alone, without entailing higher costs. Therefore this option seems preferable. However, extending the restriction to specialist industrial and scientific applications would need further investigations. Adequate substitutes for such specialist applications are not always available, and the standard of waste management should also be higher, at least as compared to that for consumer products.

Coal combustion

On the basis of the analysis, the Commission will not propose new Community action in order to target mercury emissions from the combustion of coal. There are a number of reasons for this. Primarily, coal combustion in large combustion plants is already covered by two major pieces of Community law – the IPPC and LCP Directives. The IPPC Directive applies the concept of BAT to minimise emissions of mercury and other pollutants, and as BAT evolves competent authorities are required to reconsider and update permit conditions (see Article 13(2)). The LCP Directive, meanwhile, does not apply explicitly to mercury but includes requirements for other pollutants which will also reduce mercury emissions. The impact of these requirements will be more evident after 1 January 2008.

As regards small combustion plants and residential coal burning, consultation has revealed that data on this subject and proposals for realistic solutions are scarce. As a result, it has not been possible to undertake a detailed assessment of the policy options in this area. In any case, control of polluting emissions from small combustion installations is more likely to be cost-effective when considered on a multi-pollutant, rather than a single substance, basis. This is being examined with the Commission's broader Clean Air for Europe (CAFE) programme. The Commission is therefore planning to launch a study of the availability and costs of options to abate mercury emissions from small scale and residential coal combustion, to be considered alongside the CAFÉ multi-pollutant assessment.

Cremation

On the basis of the analysis the Commission will not pursue Community-level action on cremation. This is because most of the problem is already covered by an OSPAR Recommendation, and by legislation in some of the remaining Member States who are not parties to the OSPAR Convention. In addition, presently available data on the extent of emissions from cremation are limited. This situation should be improved by reporting on emissions by parties to the OSPAR Recommendation (the first such reporting being due by 30 September 2005), which should also give an initial indication of the extent to which the Recommendation is being applied.

Main evaluation methods and data used

- Impact matrix
- Stakeholder consultation
- Econometric models

Action taken / follow-up planned

Communication from the Commission to the Council and the European Parliament.

Research

Environmental impacts of RTD. Contribution to the Extended Impact Assessment of FP7

Activities concerned 08 06 Sustainable Development, Global Change and Ecosystems

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	08/04 – 11/04	M. Tamborra (+32 2 2950312)	Internal

Purpose of evaluation

In its communication COM/2002/276 on 'Impact Assessment', the Commission establishes the use of the impact assessment as a tool to improve the quality and coherence of the policy development process.

The adoption of the Seventh framework programme for RTD (FP7 – 2007 to 2010) is therefore accompanied by an Extended Impact Assessment (EIA). This 'ex ante' Impact Assessment will as far as possible look at potential economic, social and environmental impacts and will demonstrate the cost-effectiveness of the Community research budget.

Directorate I of DG RTD was assigned a leadership role to prepare a report on the 'ex ante' Environmental impact of FP7. This involved examining the contribution of past research projects to policy support and technological innovation that is beneficial to the environmental issues, also gathering insight on the future role of research in understanding and solving future environmental problems. The focus of the report is "horizontal", as it covers all research areas of the Framework Programme.

Summary of findings and recommendations

The assessment focuses on the environmental impacts of the Extended Impact Assessment of FP7, covering both analysis of the future environmental challenges where research needs to contribute and the impacts on the environment caused by research activities. It provides a logical framework and defines the possible environmental indicators to be used for the impact assessment, describing the conceptual chain from the European RTD framework programme implementation to the final impacts on society and the environment.

It concentrates on:

a) The assessment of past (FP5) and, to extent possible, present (FP6) research programmes and projects in terms of their capability to generate environmental impacts.

In the absence of a comprehensive set of indicators, this analysis reports on the available elements of evidence that may allow to draw an overall picture of the environmental effects of past and present RTD. Such evidence is however mostly qualitative, however an attempt was made to quantify these impacts at the project level. The main findings are presented according to a proposed classification of "Environmental Impact Areas" proposed by the Commission Guidelines on Impact Assessment. For each such area, lessons learnt from previous FPs and examples of success stories across all thematic programmes and Key Actions are highlighted.

Research affects environment in as much as its results translate into visible change, including evidence-based support to policy formulation and implementation. An important indicator here is provided by the citation of single projects in EU Policy documents (Directives, Communications, EP debates, etc.). Given the time constraints, as illustrative example this exercise has been carried out for the FP5 sub-programme "Environment and Sustainable Development" for which 70 citations were found.

b) The identification of the main challenges and expectations for what concerns the environmental impacts of future EU research (FP7).

This report attempts to establish a structured and systematic link between the RTD process and its possible environmental impacts. In doing so, this document intends to provide a contribution to the identification of the “causal chains” (i.e. how RTD contributes to environmental change) and some preliminary inputs in view of the establishment of a monitoring and evaluation system explicitly addressing the measurement of environmental impacts. It also highlights a series of RTD actions that are deemed particularly critical to ensure that future research (FP7) achieves the desirable environmental impacts. These are provided as examples and do not have the ambition to anticipate the structured content of the FP7 Work Programme.

Main evaluation methods and data used

- Impact matrix
- Desk research
- Field studies with Interviews
- Primary data from interviews, surveys, etc.
- Secondary data from literature/experts

Action taken / follow-up planned

The follow-up of this action is closely linked to the whole FP7 IA exercise and partly to the preparation of FP7 that will mainly occur in 2005 and 2006.

Presentation of the main results on the environmental impacts in a joint publication with Dir. K (social impacts)

Availability of the report

Paper or electronic copy available on request from Marialuisa Tamborra (+32 2 2950312)

Mid-term assessment of Foresight activities (implemented by EU indirect actions under FP5 and FP6)

Activities concerned 08 07 Citizens and governance in knowledge-based society
 08 09 Strengthening the foundations of the European Research Area

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim	03/04 – 10/04	B. Martins (+32 2 2960006)	External

Purpose of evaluation

To evaluate if the *Foresight activities* implemented by EU indirect actions under FP5 and FP6 (and managed by unit K2 in DG Research of the European Commission) are meeting their objectives, by analysing the impact of existing initial results and the potential for impact resulting from the expected outcomes.

The results are to be used as input for the design of future activities in this area, namely for the preparation of the next Framework Programme.

Summary of findings and recommendations

The mission of the EC Foresight Unit should be upgraded from co-ordination to the promotion, as a pro-active catalyst, of Foresight. Foresight should be made into an instrument integrated in the Science and Technology decision making process at different levels, namely in the European Commission services, in national governments and in independent RTD institutions, including private industry.

The Foresight unit of the EC should continue to strengthen the community of foresight experts, decision makers, and stakeholders.

Strengthen the communication of relevance and benefits of Foresight as a policy tool by providing practical examples, evidence of advantages and demonstrable improvement of decision-making.

Foresight results should more often have a follow-up in developing more concrete policy options at the sectoral or national level. These can take the form of joint-ventures with national, regional or sectoral policy makers.

Foresight actions aimed at emerging science, at sectors, regions and risks have been successful and should continue or expand. The diffusion of new and innovative types of Foresight, for example with a focus on the development of new or changing research disciplines, should be actively explored.

Main evaluation methods and data used

- Concept mapping
- Desk research
- Expert panels
- Multi-criteria analysis

Action taken / follow-up planned

The report is being used as an input for the (ex-ante) Impact Assessment of the EU Research FP7

Availability of the report

To be published at <http://www.cordis.lu/foresight/>

Paper or electronic copy available on request from B. Martins (+32 2 2960006).

Social impact of RTD Contribution to the Extended Impact Assessment of FP7

Activities concerned 08 07 Citizens and governance in knowledge-based society

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim	03/04 – 10/04	B. Martins (+32 2 2960006)	External

Purpose of evaluation

In its communication COM/2002/276 on 'Impact Assessment', the Commission establishes the use of the impact assessment as a tool to improve the quality and coherence of the policy development process. The adoption of the Seventh framework programme for RTD (FP7 – 2007 to 2010) will therefore be accompanied by an Extended Impact Assessment (EIA). This 'ex ante' Impact Assessment will as far as possible look at potential economic, social and environmental impacts and will demonstrate the cost-effectiveness of the Community research budget.

DG RTD Dir. K has been assigned a leadership role to prepare a report on the 'ex ante' social impact of FP7. To this end, it shall consider the contribution of past research projects to policy support and technological innovation that is beneficial to the social issues, also in view of gathering insight on the future role of research in understanding and solving future social problems.

Summary of findings and recommendations

This study focuses on the social impact component of the Extended Impact Assessment of FP7, covering both the social changes induced by the scientific and technological research and the effect of EU research in Social Sciences. It provides a logical framework and defines the social indicators to be used for the impact assessment, describing the conceptual chain from European RTD framework programme implementation to final impacts on society and environment.

The study concentrates on:

a) The assessment of past and current FPs in terms of their capability to generate social impacts. Using the available evidence there is a first order attempt to draw a picture of the social effects of past and present RTD. Such evidence is mostly qualitative. The study addresses the social changes induced by past and present EU research and provides success stories i.e. examples of RTD programmes, projects or actions that are deemed particularly effective in generating visible social impacts.

b) The identification of the main challenges and expectations for what concerns the social impacts of future EU research (FP7) There is an attempt to establish a structured and systematic link between the RTD process and its possible social impacts. This should allow the relation to be developed between the non-systematic evidence currently available with a broader assessment framework, and which one which takes due account of (i) the available literature on the general subject of RTD impact assessment, (ii) the preliminary information available on the future structure and contents of FP7, (iii) the EIA methodology as laid out by the EC in the relevant policy and technical documents, and (iv) the feedback received during meetings and discussions organised by DG Research in the framework of the EIA exercise. The study provides a contribution to the identification of the "causal chains" (i.e. how RTD contributes to social change) and some preliminary inputs in view of the establishment of a monitoring and evaluation system explicitly addressing the measurement of social impacts.

There is also an assessment of other -less systematic - considerations which highlight, without being exhaustive, a series of RTD actions that are deemed particularly critical to ensure that future research (FP7) achieves the desirable level of social impacts.

Main evaluation methods and data used

- Impact matrix
- Logical Framework/Diagram
- Desk research
- Field studies with: Interviews
- Primary data from interviews, surveys, etc
- Literature/experts
- Focus groups

Action taken / follow-up planned

This action will contribute to the Part I "Role and impact of S&T in the modern society and economy" of the EIA of FP7. The follow-up of this action is therefore closely linked to the whole A exercise and indirectly also to the preparation of FP7 that will mainly occur in 2005 and 2006.

Availability of the report

Paper or electronic copy available on request G. Lequeux (+32 2 2992367).

Evaluation of the effectiveness of the 6th Framework Programme New Instruments

Activities concerned 08 09 Strengthening the foundations of the European Research Area

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim	10/03 – 07/04	R-J Smits (+32 2 2963296)	External

Purpose of evaluation

Assessment of the effectiveness of the FP 6 New Instruments (integrated projects and networks of excellence) towards the objective of contributing to the achievement of the European Research Area and the Framework Programme's other objectives (increase competitiveness, strengthening of the scientific basis, and support to other Community policies)

Summary of findings and recommendations

The Marimon Report on the effectiveness of the new instruments under the 6th Framework Programme produced the main findings and recommendations as follows: the new Instruments' objectives are valid, in particular regarding the objective of contributing to the achievement of the European Research Area; there is a need for continuity in terms of the set of instruments available for implementing the thematic priority areas; and there is a need to simplify and improve the implementation modalities of instruments, in particular the administrative and financial rules and procedures.

Main evaluation methods and data used

- Field studies with interviews, surveys and focus groups
- Primary data from interviews, surveys, etc.
- Expert panels
- Statistical analysis
- Cost-effectiveness analysis

Action taken / follow-up planned

Corrective measures adopted by the Commission in response to the 12 Recommendations of the experts' final report:

- Methodological guidance note regarding the performance indicators in the frame of networks of excellence
- Synoptic table regarding the classification of the FP 6 instruments
- Detailed description of the FP 6 instruments
- Increased share of financial resources dedicated to STREPs in several thematic priority areas
- Option open for an Increased use of 2-step evaluation process among the thematic priority areas
- Setting up of the Task Force "Rationalisation and acceleration of the administrative and financial rules and procedures"

Availability of the report

http://dbs.cordis.lu/fep-cgi/srchidadb?ACTION=D&SESSION=95382004-11-4&DOC=2&TBL=EN_DOCS&RCN=EN_RCN:6082005&CALLER=FP6_LIB

Impact evaluation of the control of infectious diseases Key Action in the Fifth Framework Programme of Research

Activities concerned 08 12 Completion of previous Framework Programmes and other activities

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim / ex post	01/03 – 01/04	M. Fitzgerald (+32 2 2957140)	External

Purpose of evaluation

To evaluate those projects in Key Action 2 dealing with human health according to their quality and impact.

The study was routine in the sense that it is appropriate for any Commission unit to assess its activity and to be able to report its achievements and progress. There is a requirement to ensure that public money is judiciously spent and also to establish whether or not the money was targeted at appropriate topics within the area of infectious diseases. At an operational level the study revealed a successful funding programme generating new academic findings, patents and preliminary clinical trials data.

The study could also be considered as a useful tool to identify future research needs in the area of infectious diseases. The comparative elements of the study which compared DG Research Key Action 2 Control of Infectious Disease with the activities and aspirations of organisations of WHO, NIH and CDC is a useful policy tool.

The generic methodology developed by Fraunhofer to evaluate outcomes of the funded research is applicable through out the DG. The indicators are quantitative and provide very solid proof regarding the good quality return that has been obtained from this public funding.

It is envisaged that the study could be useful to strengthen the case to have funding for Infectious Diseases included in the 7th Framework Programme.

Summary of findings and recommendations

Four main lessons:

- The selection of highly motivated and methodologically skilled participants is of central importance as is a strong and experienced coordinator as well as good communication between partners. More emphasis should be given to the involvement of industry and SMEs.
- More emphasis should be given to inform the public and the political level. More could be done to exploit the results with industry.
- A strong science base has been developed in the KA2 projects. Measures should be implemented to preserve contacts of the Commission to successful coordinators and contractors. More flexible funding schemes should be allowed.
- Such projects can lead to useful and applicable conclusions.

Main evaluation methods and data used

- Statistics Analysis of periodic reports (annual), midterm reviews, final reports
- Case studies
- Statistical analysis
- Benchmarking

- Scientific indicators, publications in peer review scientific journals, patents (granted, applied for, planned patent applications; number of scientist employed, number of PhD thesis anticipated, number of clinical trials.

Action taken / follow-up planned

This impact evaluation of control of infectious diseases Key Action 2 of 5th Framework Programme confirmed that significant scientific progress had been achieved through the Community funding. It is desirable and appropriate that this foundation be further supported in the 7th Framework Programme through funding for Communicable Diseases.

For clarification the Fifth Framework Programme was the funding source for DG Research activities from 1998 to 2002. The Framework Programme is a funding concept based on a rolling five year term. Key Action 2 was the name given to the specific part of the fifth framework programme which dealt with the 'Control of Infectious Diseases'. There were three main areas of activity:

- Development of improved or novel vaccines
- Strategies to identify and control infectious diseases
- Aspects of public health and care delivery systems

Availability of the report

<http://www.CORDIS.lu/life>

Assessment of the impact of the actions completed under the 3rd and 4th Community Framework Programmes for Research; survey for the Five Year Assessment of Community research activities (1999-2003)

Activities concerned 08 12 Completion of previous Framework Programmes and other activities

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	12/02 – 03/04	F .Stillemans (+32 2 2958399)	External

Purpose of evaluation

The aim of the study was to carry out a survey analysing the actions completed under the 3rd and 4th Community Framework Programmes for Research, for the Five-year Assessment of Community research activities (1999-2003).

Attention focused mainly on the scientific and technological impacts, the impact in terms of knowledge transfer (including training) and the socio-economic impact of research activities; the findings were supported by factual data.

The study was designed to provide information to help the independent high level experts carrying out the Five Year Assessment (1999-2003), to answer the following questions:

- Were the objectives (scientific and technological, knowledge transfer and socio-economic) of the framework programmes achieved?
- Were the means and procedures for implementation suited to the objectives?
- Was the level of funding appropriate?
- What impacts have Community research activities had and is this impact sustainable?
- What needs did the results and effects fulfil?

Summary of findings and recommendations

Among the 2200 respondents, 91% consider having achieved their objectives.

One of the main strengths of Community research activity is linked to the quality of the projects themselves and the performance of the research teams.

More than three quarters of respondents estimated that their network-oriented goals had been achieved. Many of the unanticipated benefits of research activities seem to be linked to the networking dimension.

Nearly half of the respondents believed that they had a 'positive' or 'very positive' socio-economic impact.

Publications and presentations were cited as the most important forms of dissemination for project results (being used by almost 90%).

Concerning the impact on human resources, main references were made to improvements to the development of careers or training and increased ability to work in different cultural contexts.

Main evaluation methods and data used

- Field studies with surveys
- Statistical analysis

Action taken / follow-up planned

The results of the study have provided input to the discussions of the independent highly qualified experts who carried out the Five Year Assessment (1999-2003) exercise. The results of the study will be circulated within the Commission and to policy-makers (in particular the European Parliament, the Council and the Member States), both to provide information on the impact of the research programmes known and to contribute to how other programmes are designed.

Availability of the report

Paper or electronic copy available on request from F Stillemans (+32 2 2958399)

Analysis of genomic research funded in FP5

Activities concerned 08 12 Completion of previous Framework Programmes and other activities

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	11/02 – 06/04	S. Baig (+32 2 29 63437)	External

Purpose of evaluation

To provide an analysis of the impact of the genomic research projects within the QoL programme and the extent to which it has met its various objectives in terms of expected scientific developments: European added value (quality of life/health improvement), possible impact on the European genomics knowledge base, and socioeconomic impact (achieved or expected).

Summary of findings and recommendations

EU has done excellent work on supporting Brain/neuroscience research.

More effort is needed at EU level in developing infrastructures such as Bioinformatics.

Main evaluation methods and data used

- Impact matrix
- Statistics
- Surveys
- Secondary data from statistical agencies
- Expert panels
- Other judging tools: European added value

Action taken / follow-up planned

A survey was carried out of all projects related to genomic research which included details of publications, IP agreements or training exchange.

Availability of the report

Published in paper form only.

Paper copy available on request from S. Baig (+32 2 29 63437).

Impact Assessment of the S&T agreement concluded between the European Community and the Government of the People's Republic of China

Activities concerned 08 81 Policy strategy and coordination for DG RTD

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	11/03 – 06/04	I. Brach (+32 2 2956677)	External

Purpose of evaluation

The Science & Technology (S&T) Agreement between the European Union and China was signed on 22 December 1998 thereby providing a legal basis for future cooperation on science and technology between the two signatories. As a result of the signature of this Agreement the European Union opened its research and technology development (RTD) Framework Programme (FP) to China, which allowed the participation of Chinese institutions.

The Science and Technology Agreement is due for renewal in 2004 as stipulated in art. 12 after impact assessment undertaken either jointly or individually.

Summary of findings and recommendations

The agreement should be renewed.

The EU-China STA should be seen as a success. Stakeholders at all levels appear to be satisfied with this instrument. Therefore, the Agreement should be renewed without any particular textual changes

The fostering, emphasis and communication of simple mobility schemes is a crucial prerequisite for fruitful scientific cooperation between the EU and China.

There needs to be wider communication of the opportunity presented by the Agreement not just in public sector domains but more widely. This includes the need to address the lack of awareness of EU researchers regarding opportunities in Chinese research programmes, as well as awareness about opportunities in the FPs.

There is confusion about whether funding of Chinese partners is possible from FP sources or whether this always is the responsibility of MOST. Such confusion can destroy research commitment.

EU policy objectives in relation to S&T cooperation need to take into account the operational issues from the point of view of the Chinese involved, as failure to deliver will be counter-productive.

It is not sufficient just to “open” the FP to Chinese involvement. There is a need to design an instrument to foster Chinese involvement, if success is to be maximised.

For FP7 thought needs to be given to ways in which scientific cooperation with China can be given further substance and specificity.

It is recommended that:

The EU-China Science and Technology Agreement is renewed without any particular textual changes.

Simple straightforward schemes are put in place to create mobility both amongst young and experienced people.

Some FP funds dedicated to fostering cooperative research with China must be ring-fenced for this purpose, either through specific Calls or in other ways.

More emphasis is placed on promotion and targeting of the opportunities made available by the Agreement for example to encourage:

- the targeted involvement of SMEs especially in high technology;
- involvement of large EU companies that already have a substantial research or manufacturing presence in China;
- researchers in the EU to take advantage of the opportunities which exist under the PRC research programmes 973 and 863.

There is greater communication of the types of projects and activities already undertaken; for example, the promotion of success stories, targeted promotion via the CORDIS and EUROPA web sites, the possible setting up of a targeted web-based partner search tool.

The potential sources of funding for Chinese partners in thematic FP projects, whether directly through MOST or from FP sources needs to be clarified.

A guidance note (drawing on experience of the INCO programme) is prepared for distribution as part of the FP proposal documentation relating to Calls, especially in thematic areas with little prior overseas experience.

Ways are found to take better account of the Chinese situation, to facilitate participation within the FPs. The experience gained from INCO involvements needs to be used to better effect.

The role of the STA Steering Committee is strengthened, more specific targeted initiatives and ideas are formulated via the Steering Committee, and these are provided with the means for their implementation.

A contingency fund is created so that a pragmatic research response to particular crises or urgent issues is always possible.

Main evaluation methods and data used

- Impact matrix
- Direct observation
- Primary data from interviews, surveys, etc.
- Expert panels
- Case studies
- Other judging tools

Action taken / follow-up planned

Renewal of the agreement: procedure on-going

As stipulated in the text of the agreement, the new period will each time be of 5 years; funding is not an objective of such an agreement.

Availability of the report

http://europa.eu.int/comm/research/iscp/index_en.cfm?page=Publications&type=other

**Assessment of the implementation and achievements of Community research activities (1999-2003) –
Five-Year Assessment**

Activities concerned	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
	08 09 Strengthening the foundations of the European Research Area
	08 10 Structuring the European Research Area
	08 11 Research and training actions pursuant to the Euratom Treaty
	08 12 Completion of previous framework programmes and other activities
	08 81 Policy strategy and coordination for DG RTD

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim / ex post	06/04 – 12/04	F. Stillemans (+32 2 2958399)	External

Purpose of evaluation

There is a specific legal requirement that before submitting its proposal for the next framework programme, the Commission shall have an external assessment conducted by independent highly qualified experts of the implementation and achievements of Community activities during the five years preceding that assessment. (Article 6.2 of the decision on the Framework Programmes (1513/2002/EC)). The Five-Year Assessment covers all research programme activities during the period 1999-2003, i.e., Framework Programmes and the corresponding Specific Programmes.

The exercise provides substantive answers to the questions concerning implementation and achievements of current and previous Framework and Specific Programmes in the light of their respective rationales and objectives, as well as future perspectives.

Summary of findings and recommendations

The main conclusion of the Five Year Assessment, in terms of the assessment of previous activities, was that the EU Research Framework Programmes have played an important role in developing the European knowledge base over the period of the review; have corrected some of the deficiencies in the European RTD landscape and have contributed significantly to bridging the gap between RTD and innovation. The report noted as an example how the emphasis which has been given to information and communication technologies and to life sciences has been instrumental in strengthening European capabilities. It also emphasized the strong interest from industry, universities and research organisations. Furthermore, it was noted that the Framework Programmes have played an important part in the generation and diffusion of new knowledge and the formation and reinforcement of inter-organisational networks, both amongst European

players and including players in Associated States. The panel noted that every evaluation report reviewed in the course of its work, whether at Community or Member State level, had consistently emphasised the significant additionality and European added value for the Framework Programmes. The Five-Year Assessment Panel argued that the EU and the Member States together must take coordinated actions to meet four key challenges: attract and reward the best talent; create a high-potential environment for business and industrial RTD; mobilise resources for innovation and sustainable growth; build trust in science and technology.

A series of specific recommendations to achieve this was proposed:

1. The aspiration for European RTD must be better articulated and clearly reflected in the Framework Programme. The Framework Programme would benefit from a better focus at the overall priority level and reduced specificity at individual programme level.
2. The Framework Programme should primarily promote European leadership at a global level in science and technology. This requires excellence in research, longer-term research agendas, and more emphasis on radical innovation and risk-taking research in the projects supported by the Programme
3. The industrial orientation and participation in the Framework Programme must be enhanced. This requires restoring industrial relevance and leadership in programmes aimed at innovation and competitiveness. In particular, high-tech SMEs should be able to find direct participation more attractive.
4. A simple and robust definition of European Added Value is needed for the design and implementation of future Framework Programmes.
5. The administration of the Framework Programme should be streamlined and simplified. The streamlining and simplification of the application procedure, management and financial control of the projects must be vigorously pursued. There is a need to improve procedures, including the establishment of permanent panels in some thematic priority areas or actions for the evaluation process throughout the duration of a Programme.
6. The selection of instruments should be made more flexible to facilitate the specific characteristics of the funded RTD. The new instruments should be maintained in the next Framework Programme, not least for stability. Research promoters should have the freedom to select the appropriate instruments.
7. Human resources and mobility programmes should be extended in scale and scope. Links to national/regional programmes should be encouraged for greater leverage. Programme design must ensure that industry finds it attractive to participate. Stronger emphasis on mobility between the public and private sectors and from and to third countries is needed.
8. The Framework Programme must continue to address the issue of trust and legitimacy of science and technology in Europe. Science and society issues must continue to be addressed in a separate programme whilst also being embedded in all other programmes. Action is needed both at EU and Member State level.
9. The Commission should launch a consultation with the main stakeholders in order to improve the IPR procedures within Framework Programmes. However, the basic principles on IPR rules for the Framework Programme seem appropriate.
10. The assessment of the Framework Programme should be further developed systematically and should reflect the new understanding of the interactive nature of innovation. Assessment should also address the structural impact of the Framework Programme on the European economic and research landscape.

The panel also offered recommendations on future EU research policy under three broad headings noting: support to the continuation of the ERA process; the need for Europe to strive for the best integration of the New Member States; support for the establishment of a European Research Council and the creation of Technology Platforms.

Main evaluation methods and data used

- Desk research
- Primary data from interviews, surveys, etc.

- Secondary data from monitoring system, statistical agencies, literature/experts
- Expert panels

Action taken / follow-up planned

A detailed Commission response to the findings and recommendations contained in the report is being prepared.

Availability of the report

http://europa.eu.int/comm/research/reports/2004/fya_en.html

Annual Monitoring of the Implementation of the 4th, 5th and 6th EC and EURATOM Framework Programmes in 2003

Activities concerned 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
 08 09 Strengthening the foundations of the European Research Area
 08 10 Structuring the European Research Area
 08 11 Research and training actions pursuant to the Euratom Treaty

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim / ex post	04/04 – 07/04	C.H. Metzger (+32 2 2964728)	External

Purpose of evaluation

As requested in the decisions on the Framework Programmes (articles 5.1 of the Fifth framework programmes, and articles 6.1 1513/2002/EC and 5.1 2002/668 /Euratom of the Sixth Framework Programmes, this exercise assesses, for activities conducted in 2003, the implementation of ERA, the Sixth Framework programme, 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, while providing a basis for the 5-year assessment as regards efficiency, lessons learned and achievements.

Summary of findings and recommendations

Following the 2003 Monitoring, the Panel concluded that the Commission had achieved notable results in terms of efficient handling of the transition from FP5 to FP6; launching a large number of calls that successfully attracted a huge number of proposals; executing these proposals in a faster time than the first year of FP5; maintaining a high standard of evaluation. The Monitoring panel recommended that DGs involved with Framework Programmes should revise their objective/ indicator systems to support evidence-based reporting of programme management and 'light touch' monitoring; an analysis should be prepared for future monitoring exercises showing proposal-related workflows per activity area; the focus of monitoring should shift from efficiency towards effectiveness as FP6 progresses; and that the dissemination of research results to different communities should be improved.

Suggestions:

- produce for future monitoring exercises a concise time table to show the expected and observed proposal-related workflow per activity area
- analyse the dissemination strategy and adapt it accordingly
- draw the attention of future Monitoring panels on the issues of evaluation and assessment
- take actions to reduce oversubscription.

Main evaluation methods and data used

- Expert panels

Action taken / follow-up planned

Improve the objectives/indicators system by taking account of the various current initiatives related to the Action Plan deriving of the Task Force "Acceleration of the implementation of the Framework programme", the classification of instruments according to the goals which they are expected to contribute to, the "project reporting guidelines for FP6", methodological studies, the FP7 indicators currently being defined..; continue to adapt the monitoring in line with the framework programme life cycle; promote an increased dissemination of project's results; deal with the question of oversubscription.

Availability of the report

ftp://ftp.cordis.lu/pub/fp6/docs/monitoring_2003_en.pdf

Information Society

The Intermediate Evaluation of the eTEN (formerly TEN-Telecom) Programme

Activities concerned 09 03 eEurope

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim	01/04 - 10/04	M. Pettigrew (+32 2 2965881)	External

Purpose of evaluation

Required by eTEN Programme legal base and the results of the intermediate evaluation must be communicated to the Council and EP by 31st January 2005. The evaluation also included an ex-ante component in view of the forthcoming end of the programme in 2006. The ex-ante will support decision making on options for a future initiative following on from eTEN post 2006.

Summary of findings and recommendations

The evaluation concludes that while many projects will result in deployment of electronic services with a trans-European dimension, the impacts of this programme could be substantially greater. The resources currently available are modest in comparison with total national investment in such services, and a stronger participation in EU actions by the main national organisations responsible for service deployment will be needed in the future.

This is a programme of high relevance and high potential utility and should be continued in some form. However, in order to realise significant impact it needs to be re-orientated. Most projects produce results in terms of deployment of new services and these would not have occurred or occurred on a lower scale without the support of the programme. However, a large number of projects produce modest impacts, particularly those in the Business-to-Consumer and Business-to-Business sectors. One reason is the fast pace of change in this sector. Since re-orientation of the programme around eEurope in 2002 and a subsequent change in management, the overall performance of the programme in terms of results, and implementation efficiency and effectiveness has strengthened and shows promise for the future.

Main evaluation methods and data used

- Logical Framework/Diagram
- Desk research
- Field studies with interviews, surveys, focus groups and direct observations
- Primary data from interviews, surveys, etc.
- Secondary data from literature/experts
- Expert panels
- Case studies
- Benchmarking

Action taken / follow-up planned

The evaluation is informing the ex-ante evaluation/impact assessment of the ICT Adoption and Policy Support Fund component of the proposed new Framework Programme in Competitiveness and Innovation. In particular it is being used to define options for deployment of ICT in a follow up to eTEN and within a broader set of information society initiatives. The evaluation as an ex post assessment of the programme's effectiveness and efficiency is providing lessons for improving the programme over the short term as well as its re-orientation in the medium and longer term.

Availability of the report

Web address not yet available.

Paper copy available on request from M. Pettigrew (+32 2 2965881).

RTD in Information Society Technologies Five Year Assessment: 1999-2003

Activities concerned 09 04 Research and technological development on information society policy

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante / ex post	01/04 – 11/04	F. Cunningham (+32 2 2968119)	External

Purpose of evaluation

The **objectives** of the 1999-2003 five-year assessment of Information society research and technology development are to:

- assess the implementation, effectiveness, achievements and impacts of investment during 1999-2003, including results and impacts arising from *IST Predecessors Programmes in FP 4 & FP5, and progress in implementation of IST in FP6*, and
- assess the evolution, future perspectives, options and requirements for future Information Society research and technology development.

Summary of findings and recommendations

The 5-year assessment has concluded that EU investment has contributed positively to progress in this area. The Evaluation Panel concludes that EU investment should continue at a level that can assure continued leadership and a “critical mass” of effort in key areas. The Panel also recommends reinforced collaboration across borders and between industry, governments and academia.

The evaluation has notably observed that there are no national alternatives to EU-level, international and institutional collaboration, and that the EU-level of support is essential to new networking infrastructures for universities (GEANT, GRID) and industry. Related eScience applications and development of digital libraries must be reinforced in the 7th FP if the EU is to avoid a loss of competitiveness and autonomy at world level. In their evaluation of programme management, the Panel recommends improvements to monitoring and impact assessment, and notes a general concern with the new support instruments – notably because of their detrimental impact on participation from SMEs and new Member States. The Panel also recommends a stronger articulation of RTD with complementary legislative and market development measures.

Main evaluation methods and data used

- Desk research
- Field studies with interviews and focus groups
- Secondary data from a monitoring system and literature/experts
- Expert panels
- Statistical analysis
- Judgements/Assessments from Panel Members

Action taken / follow-up planned

The IST 5YA Panel Final Report will feed into the Report from the overall Framework Programme 5-Year Assessment (1999-2003). There will be a follow-up by taking into account of the recommendations from the IST 5YA Panel in the strategy and structure of IST RTD in FP7.

Availability of the report

http://www.europa.eu.int/comm/dgs/information_society/evaluation/ist_rtd/5_year_assessment/index_en.htm

Direct research

Five-year assessment

Activities concerned: 10 02 – Directly financed research operating appropriations – sixth framework programme (2002-2006) – EC
10 03 – Directly financed research operating appropriations – sixth framework programme (2002-2006) – Euratom
10 04 – Completion of previous framework programmes and other activities

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim	09/2003-04/2004	P. van Nes (+32 2 2960191)	External

Purpose of evaluation

The purpose of the exercise was to

- Assess the implementation of the JRC Multi-Annual Work Programmes under the Framework Programmes (FP) 5 and 6.
- Assess the degree to which the organisation is prepared to deal with the further implementation of the Multi-annual Work Programme under FP6.
- Collect information to prepare the JRC Specific Programmes of the FP7.

Summary of findings and recommendations

In total, the 5YA evaluation has resulted in 21 recommendations; they were discussed and accepted inside the JRC at the level of Director and also at the level of the JRC's Board of Governors, i.e. the Member State representatives. We have assigned persons responsible for realizing the targets within agreed deadlines. These objectives will figure in the JRC's AMP 2005, and they are listed in the JRC's evaluation action follow-up data base to ensure thorough monitoring of their implementation.

Most importantly, the expert panel confirmed the JRC was on the right track:

“Recommendation I.1

The Panel was impressed with the invigoration of the JRC since the Fourth Framework Programme (FP4), which had resulted from a more focussed mission on serving the Commission. The Panel recommends strongly that the JRC continues to deepen the process through further dialogue with the Commission.”

Moreover, the panel recommended the JRC should operate with a clearer typology of its projects so that it more explicitly manages the resources spread across research, internal capacity building and bureau work (recommendation I.2). With a view to providing – amongst others - a more quantitative data base for evaluations, an annual internal evaluation tool, the Periodic Action Review (PAR) has been created. An integral part of the method is the assignment of a typology to JRC Actions. In this perspective, Actions are being reviewed on a semi-quantitative basis leading to differentiated conclusions for management

The panel also recommended that there should be more active management of the JRC's collective reputation, i.e. reputation risk should be included in central JRC management (recommendation I.5). In a similar vein, the experts commented on the JRC's unique policy-support service mission, which should be underpinned by a corporate value statement, showing its customers what they can expect from the JRC. In response to these two recommendations, the JRC group on Total Quality Management was invited to start its work on the conception of a JRC value statement and the related issue of reputation risk. Recommendations to senior management are expected in the first half of 2005.

The expert panel was also concerned that the JRC has risked being over-reviewed in the period 1999-2003, and the reviews and internal progress monitoring systems did not seem to key tightly into each other. In order to ensure better exploitation and follow-up of evaluation results, the JRC Evaluation Unit was formed in November 2003. In response to the recommendation, its multi-annual evaluation plan focuses on method development and a more quantitative data base for future evaluations. Moreover, an action follow-up data base was created to ensure the monitoring of the implementation of evaluation recommendations.

Main evaluation methods and data used

- Desk research
- Field studies with interviews
- Expert panels

Action taken / follow-up planned

Follow-up actions have already been launched for some recommendations, e.g.:

Availability of the report

Published on the intranet.

Paper or electronic copy available at request from Pieter van Nes (+32 2 2960191).

Fisheries

[Ex-ante Evaluation of the proposal for the negotiation and conclusion of a new Fishery Protocol to the EC/Madagascar Fishery Agreement \(2004/06\) and of a new Fishery Protocol to the EC/Mauritius Fishery Agreement \(2004/07\)](#)

Activities concerned 11 03 International fisheries

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	01/04 – 02/04	M. Cellini (+32 2 2990198)	Internal

Purpose of evaluation

Evaluations to be used within the framework of the negotiation and monitoring of the EC/Madagascar and EC/Mauritius Fishery Agreements.

Summary of findings and recommendations

The evaluations recommend the renewal of the concerned Fishery Protocols taking into account the Council's guidelines for the conclusion of Fishery Agreements and also the concerns of the third country.

Main evaluation methods and data used

- Desk research
- Secondary data from statistical agencies, literature/experts
- Statistical analysis
- Cost benefit analysis

Action taken / follow-up planned

Preparation of the negotiation strategy based on the results of the evaluation.

Availability of the report

Not published. For the internal use of the Commission only.

Interim/Ex post Evaluation of the Current Protocol to the Fisheries Agreement Between the European Community and Angola, and Analysis of the Impact of the Future Protocol on Sustainability, Including Ex Ante Evaluation

Activities concerned 11 03 International fisheries

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante / ex post	02/04 – 05/04	A. Fernández Aguirre (+32 2 2951611)	External

Purpose of evaluation

Evaluation to be used within the framework of the negotiation and monitoring of the agreement. The Commission will prepare the decision on a possible future Fisheries Partnership Agreement on the basis of the evaluation results it has approved.

Summary of findings and recommendations

The evaluation recommends the conclusion of a new Fishery Protocol based on the Fisheries Partnership Agreement guidelines and the concerns of the third country.

Main evaluation methods and data used

- SWOT analysis
- Desk research
- Direct observation
- Primary data from interviews, surveys, etc.
- Secondary data from statistical agencies, literature/experts
- Statistical analysis
- Cost effectiveness analysis
- Cost benefit analysis

Action taken / follow-up planned

Preparation of the negotiation strategy will be based on the results of the evaluation.

Availability of the report

Not published. For the internal use of the Commission only.

Interim/Ex post Evaluation of the Current Protocol to the Fisheries Agreement between the European Community and the Republic of Cape Verde, and Analysis of the Impact of the Future Protocol on Sustainability, Including Ex Ante Evaluation

Activities concerned 11 03 International fisheries

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim/ex-post	5/2004-9/2004	A. Johansson (+32 2 2966811)	External

Purpose of evaluation

Evaluation to be used within the framework of the negotiation and monitoring of the agreement. The Commission will prepare the decision on a possible future Fisheries Partnership Agreement on the basis of the evaluation results it has approved.

Summary of findings and recommendations

The evaluation recommends the conclusion of a new Fishery Protocol based on the Fisheries Partnership Agreement guidelines and the concerns of the third country.

Main evaluation methods and data used

- SWOT analysis
- Desk research
- Direct observation
- Primary data from interviews, surveys, etc.
- Secondary data from statistical agencies, literature/experts
- Statistical analysis
- Cost-effectiveness analysis
- Cost-benefit analysis

Action taken / follow-up planned

Preparation of the negotiation strategy will be based on the results of the evaluation.

Availability of the report

Not published. For the internal use of the Commission only.

Interim/Ex post Evaluation of the Current Protocol to the Fisheries Agreement between the European Community and the Republic of Ivory Coast, and Analysis of the Impact of the Future Protocol on Sustainability, Including Ex Ante Evaluation

Activities concerned 11 03 International fisheries

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante / ex post	02/04 – 05/04	F. Donatella (+32 2 2955143)	External

Purpose of evaluation

Evaluation to be used within the framework of the negotiation and monitoring of the agreement. The Commission will prepare the decision on a possible future Fisheries Partnership Agreement on the basis of the evaluation results it has approved.

Summary of findings and recommendations

The evaluation recommends the conclusion of a new Fishery Protocol based on the Fisheries Partnership Agreement guidelines and the concerns of the third country.

Main evaluation methods and data used

- SWOT analysis
- Desk research
- Direct observation
- Primary data from interviews, surveys
- Secondary data from statistical agencies, literature/experts
- Statistical analysis
- Cost-effectiveness analysis
- Cost-benefit analysis

Action taken / follow-up planned

Preparation of the negotiation strategy will be based on the results of the evaluation.

Availability of the report

Not published. For the internal use of the Commission only.

Interim/Ex post Evaluation of the Current Protocol to the Fisheries Agreement between the European Community and the Republic of São Tomé and Príncipe, and Analysis of the Impact of the Future Protocol on Sustainability, Including Ex Ante Evaluation

Activities concerned 11 03 International fisheries

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante / ex post	05/04 – 08/04	A. Johansson (+32 2 2966811)	External

Purpose of evaluation

Evaluation to be used within the framework of the negotiation and monitoring of the agreement. The Commission will prepare the decision on a possible future Fisheries Partnership Agreement on the basis of the evaluation results it has approved.

Summary of findings and recommendations

The evaluation recommends the conclusion of a new Fishery Protocol based on the Fisheries Partnership Agreement guidelines and the concerns of the third country.

Main evaluation methods and data used

- SWOT analysis
- Desk research
- Direct observation
- Primary data from interviews, surveys, etc.
- Secondary data from statistical agencies, literature/experts
- Statistical analysis
- Cost-effectiveness analysis
- Cost-benefit analysis

Action taken / follow-up planned

Preparation of the negotiation strategy will be based on the results of the evaluation.

Availability of the report

Not published. For the internal use of the Commission only.

Ex-post evaluation of the Protocol to the EC/Seychelles Fishery Agreement and Impact Assessment of the future Protocol on sustainability, including an Ex-Ante Evaluation

Activities concerned 11 03 International fisheries

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante / ex post	05/04 – 08/04	M. Cellini (+32 2 2990198)	External

Purpose of evaluation

Evaluation to be used in within the framework of the negotiation and monitoring of the Agreement. The Commission will prepare the decision on a possible future Fisheries Partnership Agreement on the basis of the evaluation results it has approved.

Summary of findings and recommendations

The evaluation recommends the conclusion of a new Fishery Protocol based on Fisheries Partnership Agreement guidelines and the concerns of the third country.

Main evaluation methods and data used

- SWOT analysis
- Desk research
- Direct observation
- Primary data from interviews, surveys, etc.
- Secondary data from statistical agencies, literature/experts
- Statistical analysis
- Cost-effectiveness analysis
- Cost-benefit analysis

Action taken / follow-up planned

Preparation of the negotiation strategy will be based on the results of the evaluation.

Availability of the report

Not published. For the internal use of the Commission only.

Ex-post evaluation of the Protocol to the EC/Comoros Fishery Agreement and Impact Assessment of the future Protocol on sustainability, including an Ex-Ante Evaluation

Activities concerned 11 03 International fisheries

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	07/04 – 11/04	M. Cellini (+32 2 2990198)	External

Purpose of evaluation

Evaluation to be used in within the framework of the negotiation and monitoring of the Agreement. The Commission will prepare the decision on a possible future Fisheries Partnership Agreement on the basis of the evaluation results it has approved.

Summary of findings and recommendations

The evaluation recommends the conclusion of a new Fishery Protocol based on Fisheries Partnership Agreement guidelines and the concerns of the third country.

Main evaluation methods and data used

- SWOT analysis
- Desk research
- Direct observation
- Primary data from interviews, surveys, etc.
- Secondary data from statistical agencies, literature/experts
- Statistical analysis
- Cost-effectiveness analysis
- Cost-benefit analysis

Action taken / follow-up planned

Preparation of the negotiation strategy will be based on the results of the evaluation.

Availability of the report

Not published. For the internal use of the Commission only.

Paper or electronic copy available on request from Maurizio CELLINI (+32 2 2990198)

Impact Assessment/Ex-ante Evaluation of possible Fisheries Agreements between the European Community and Solomon Islands, Federated States of Micronesia and Cook Islands

Activities concerned 11 03 International fisheries

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	06/04 – 11/04	M. Cellini (+32 2 2990198)	External

Purpose of evaluation

Evaluation to be used in view of the negotiation and implementation of the new Fishery Partnership Agreements in the Pacific.

Summary of findings and recommendations

The evaluation, focusing on three separate countries, recommends the conclusion of new Fishery Partnership Agreements with Solomon Islands and Federated States of Micronesia. As regards Cook Islands the recommendation is for not concluding a Fishery Partnership Agreement.

Main evaluation methods and data used

- SWOT analysis
- Desk research
- Direct observation
- Primary data from interviews, surveys, etc.
- Secondary data from statistical agencies, literature/experts
- Statistical analysis
- Cost-effectiveness analysis
- Cost-benefit analysis

Action taken / follow-up planned

Support for negotiating strategy and analytical information for implementation stage.

Availability of the report

Not published. For the internal use of the Commission only.

Synthesis of the mid-term evaluations of the Financial Instrument for Fisheries Guidance (FIFG) over the period 2000-2006

Activities concerned 11 06 Structural interventions for fisheries

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim	01/04 – 03/04	S. Samaras (+32 2 2958834)	External

Purpose of evaluation

The overall objective of the “Synthesis” was to provide quality assessments of the mid term evaluations carried out by Member States and a synthesis of the findings of these evaluations. The quality assessment was based on the “MEANS” quality criteria which were developed by the Commission’s programme aimed at improving methods of evaluating structural policies. The criteria were also included in the Commission’s Working Paper No. 8 on the mid term evaluation.

Summary of findings and recommendations

The main messages from this synthesis were:

- the FIFG programmes are generally running behind targets in terms of commitments and even more in terms of actual spending.

This is mainly due to the relatively slow take-up of FIFG-funded programmes. A late start of programmes, the lack of financially robust project sponsors, the uncertain economic prospects for the fisheries sector and the fragmentation of the industry are only some of the factors that explain this relatively slow take up.

- the programme take-up rate varies greatly across the various FIFG priorities.

The “adjustment of fishing capacity” shows generally good take-up rates. The take-up rate of the “fleet renewal and modernisation measure” varies significantly across Member States, while the “technical assistance” measure posts generally a high take-up rate. In contrast, the “aquaculture” measure and the sub-measures requiring collective actions, with a few exceptions, show generally modest take-up rates. The utilisation of the other FIFG measures is highly variable.

- FIFG-funded programmes are found to have a broadly neutral impact with regards to the EU horizontal objective of equal opportunity.

Main evaluation methods and data used

Action taken / follow-up planned

Some key recommendations made by the mid-term review were taken into consideration when drafting the “Proposal for the Council Regulation on a European Fisheries Fund for the period 2007-2013” and in the framework of the Performance Reserve Funds allocation exercise.

Availability of the report

Not published. For the internal use of the Commission only.

Ex post evaluation of the Financial Instrument for Fisheries Guidance (FIFG) for the period 1994 - 1999

Activities concerned 11 06 Structural interventions for fisheries

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	01/03 - 04/04	S. Samaras (+32 2 2958834)	External

Purpose of evaluation

The “Ex post evaluation of the Financial Instrument for Fisheries Guidance (FIFG) for the period 1994-1999” has four objectives:

- to establish the FIFG's impact at regional, national and Community level in:
 - a) achieving a sustainable balance between fisheries resources and their exploitation, and thus in protecting the marine environment;
 - b) strengthening the competitiveness of fisheries and aquaculture firms, and consequently in improving the employment situation, including equal opportunities, in coastal regions;
 - c) improving market supply and the value-added to fishery and aquaculture products;
 - d) adapting structures in the fisheries sector (Objective 5(a));
- to establish the FIFG's effectiveness and efficiency at regional, national and Community level;
- to identify the Community value-added achieved at Community level as a result of investment by the FIFG;
- to identify the lessons from the evaluation of the 1994-1999 programming period which might be relevant to the period 2000-2006 and to the planning for the Structural Funds after 2006 in the context of the reform of the Common Fisheries Policy and the enlargement of the European Union.

Summary of findings and recommendations

If the various fields show, for the most part, satisfactory rates of financial implementation, it is mainly due to the various reprogramming exercises which made it possible to ratify above all realisation forecasts. Although needs were identified correctly at the beginning of the programming, Member States were confronted with difficulties which forced them, at the end, to modify their initial strategy.

The importance of the funds consumed at the end of the period results at the same time from these strategy adaptations and from the difficulties encountered in the implementation of the programme.

At the Community level, the FIFG had an above all positive impact on different aspects (balance between the resources and their holding, the adaptation of the fishing structures, the enhancement of the value of the products, the competitiveness of the companies, the fishermen's safety). If the impact is overall negative in terms of employment, it is primarily due to the reduction measures of fleet; the fields of aquaculture, processing and marketing having been jobs-creating.

The FIFG nevertheless involved leverage effects: financial support was given for the demolition of vessels which, in view of their age and of their weak competitiveness, would in any event have been put at breakage; the co-financings within the framework of creations of mixed companies were used to perpetuate more the situation of the recipients developing already out of Community waters than for the transfer of capacities towards other fishing zones. The projects aiming of setting to the health and environmental regulatory standards, although eligible within the competence of a Structural Fund would probably have been carried out without the co-financing of the FIFG due to the regulatory requirements.

The FIGG in addition produced value added, in particular because of the importance of public (national and regional) and private co-financings and by the adoption of national strategies in the sector. It nevertheless consolidated atomisation in the sector of the transformation and the dispersal of the harbour infrastructures.

Main evaluation methods and data used

- SWOT analysis
- Field studies with interviews, surveys
- Case studies
- Cost-benefit analysis

Action taken / follow-up planned

The “Ex post evaluation of Financial Instrument for Fisheries Guidance (FIGG) assistance in 1994-1999” will have a number of uses, as implied in the objectives for the evaluation, in particular: establishing the progress made towards achieving those objectives, and meeting the requirement of accountability by establishing how effectively and efficiently FIGG resources were spent between 1994 and 1999.

The results of the evaluation are applied to improve the management and implementation of FIGG assistance during the 2000-2006 programming period, particularly in the context of the mid-term review in 2004 and the implementation of the reform of the Common Fisheries Policy. The evaluation should also contribute, beyond 2006, to solving problems that might arise after enlargement.

Availability of the report

Not published. For the internal use of the Commission only.

Extended impact assessment and ex ante evaluation of the Proposal for a Council Regulation on a European Fisheries Fund for the period 2007-2013” (COM (2004) 497 final)

Activities concerned 11 06 Structural interventions for fisheries

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	06/04 – 07/04	S. Samaras (+32 2 2958834)	Internal

Purpose of evaluation

The ‘evaluation’ and ‘extended impact assessment’ refer to a ‘Proposal for a Council Regulation establishing a European Fisheries Fund for the period 2007-2013’ which has an important budgetary impact falling in the framework of the financial perspectives 2007-2013.

It was therefore necessary to evaluate the economic, social and environmental impact of this proposal, and justify the approach followed in the proposal.

Summary of findings and recommendations

The proposal will have a positive impact on the goal for achieving a better balance between fisheries resources and fleet capacity.

The proposal will help alleviate the socio-economic impact arising from the necessary restructuring of the fisheries sector.

The proposal will contribute to maintain or create jobs in the fisheries sector and will contribute to the protection of the marine environment.

Main evaluation methods and data used

- Other structuring tools: use of the evaluation findings of the current and previous Regulation
- Desk research
- Secondary data from literature/experts
- Statistical analysis
- Cost-effectiveness analysis
- Multi-criteria analysis

Action taken / follow-up planned

The evaluation related to a ‘Proposal for a Council Regulation establishing a European Fisheries Fund for the period 2007-2013’ which has been adopted by the Commission on 14 July 2004. The Proposal is still under discussions with the Council and the Parliament; the Committee of the Regions as well as the European Economic and Social Committee still have to deliver their opinion.

Availability of the report

Published as a Commission Staff Working Paper (SEC(2004)965)

Study on the impact and feasibility of the setting up of a Joint Inspection Structure based on a Community Fisheries Control Agency

Activities concerned 11 07 Fisheries conservation, control and enforcement

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	01/04 – 10/04	W. Brugge (+32 2 2955137)	External

Purpose of evaluation

Examine in detail the setting up of a Joint Inspection Structure.

Summary of findings and recommendations

It was concluded that an Agency could facilitate cooperation between Member States and improve compliance concerning the application of the Common Fisheries Policy.

There were concerns however with regard to sovereignty issues and sharing of resources.

It was also concluded that the proposed budget was under estimated.

Main evaluation methods and data used

- SWOT analysis
- Field studies with interviews, surveys
- Secondary data from monitoring system
- Case studies
- Statistical analysis
- Econometric models
- Cost-effectiveness analysis
- Cost-benefit analysis

Action taken / follow-up planned

Study used as background input for discussions on the proposal to establish the Agency.

Availability of the report

Not published. For the internal use of the Commission only.

Internal Market

Impact assessment of an e-procurement action plan

Activities concerned 12 02 Policy strategy and coordination for the Directorate-General for the Internal Market

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	01/04 – 12/04	B. Kabarakis (+32 2 2961953)	External

Purpose of evaluation

The Procurement Directives 2004/18/EC and 2004/17/EC which entered into force on 30 April 2004, provide a coherent legal framework for the use of electronic means in the procurement process in an open, transparent and non-discriminatory way across Europe. They establish both, the rules for tendering electronically and the conditions for the use of modern, innovative purchasing techniques based on electronic means of communication. In view of the proper and effective implementation of the new legal framework for electronic public procurement (e-procurement) an impact assessment study was launched by the Commission in order to establish whether any specific additional measures are necessary at Community level to support Member States efforts in moving public procurement online.

Summary of findings and recommendations

Analysing the current situation and trends in relation to the use of electronic means in the public procurement process the study concluded that there are important fragmentation risks and that without specific measures the uptake of electronic public procurement could be significantly reduced. The study concludes that an Action Plan would have a positive impact on the Internal Market, the use of electronic means in public sector procurement and Europe's competitiveness.

Main evaluation methods and data used

- Impact matrix
- Logical Framework/Diagram
- Desk research
- Field studies with interviews
- Secondary data from a monitoring system
- Expert panels
- Case studies

Action taken / follow-up planned

The Commission is due to adopt an Action Plan on electronic public procurement before the end of 2004.

Availability of the report

The report will be published on Internet in due course along with all the research carried out in advance to the Action Plan on electronic public procurement

Impact assessment of a Proposal for a Capital Requirements Directive

Activities concerned 12 03 Internal Market for Goods and Services

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	11/99 – 06/04	M. Marchesi (+32 2 2966448)	External / internal

Purpose of evaluation

Assessment of the impacts of the EU legislative approach applicable to all EU credit institutions and investment firms parallel to the Basel process.

Summary of findings and recommendations

This is an example of an impact assessment that has been used just to justify the proposal already prepared, and not to really evaluate different options to achieve objectives and choose the best one. It is true that in this case, the Commission had not got a lot of possibilities to influence in the proposal, as this was prepared for an international body, but in any case, a sooner kick-off of the EIA would have allowed the Commission to measure different options discussed in the Basel committee and try to influence through the Member States participating in it. Some of the findings are summarised as follows:

- 1 - Enhanced risk sensitivity in capital requirements introducing the SA and IRB approaches
- 2 - Reduction in capital arbitrage
- 3 - Significantly enhanced recognition of credit risk mitigation
- 4 - Reinforcement of risk assessment and management
- 5 - Appropriate treatment of investment firms

Main evaluation methods and data used

- Dedicated focus groups
- Field studies with surveys
- Statistical analysis
- Multi-criteria analysis

Action taken / follow-up planned

The impact assessment resulted in a proposal on how to transpose the Basle agreement into Community legislation in a way that maximises its benefits without the least additional burdens.

Availability of the report

Paper or electronic copy available on request from M. Marchesi (+32 2 2966448)

Extended impact assessment of the proposal for a Directive of the European Parliament and of the Council amending Directive 98/71/EC on the Legal Protection of Designs

Activities concerned 12 03 Internal market for goods and services

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	6/03 – 8/04	E. Nooteboom (+32 2 2960348) M. Olivan (+32 2 2994975)	External / internal

Purpose of evaluation

The purpose of the evaluation was to analyse alternative options for the harmonisation of the protection of spare parts of complex products with the aim of proposing an amendment to Directive 98/71 on the legal protection of designs.

Summary of findings and recommendations

The results of this consultation showed a wide divergence on the position of interested parties, in particular between producers of complex products and independent producers of component parts of such complex products. However the extended impact assessment showed that the liberalisation provides the greatest net benefits compared to both the status quo and the other options considered, in line with the spirit of the transitory agreement on the design regime on spare parts agreed in directive 98/71.

The EIA succeeded in establishing a sound economic argument in favour of the extension of the Directive to spare parts based on the positive impact on prices. In addition it became apparent that safety concerns with regard to spare parts required additional consideration, although the Directive on design protection is not the appropriate instrument to deal with this question in an adequate and efficient way. The EIA concluded that “it might be recommendable to consider accompanying measures in due time (e.g. certification/safety tests for additional kinds of spare parts) to ensure on the one hand a level playing field within the sector and on the other hand that consumers are adequately protected.” These considerations are another example of the positive effects that EIAs have of the policy design by broadening the analysis in the preparation of a proposal.

Main evaluation methods and data used

- Desk research
- Field studies with interviews and surveys
- Primary data from interviews, surveys, etc.
- Secondary data from statistical agencies
- Comparison/Control groups
- Statistical analysis
- Econometric models
- Multi-criteria analysis

Action taken / follow-up planned

The Commission adopted the proposal for a directive amending directive 98/71 on the legal protection of designs on 14.09.2004 (COM(2004)582).

Availability of the report

http://europa.eu.int/comm/internal_market/en/indprop/design/index.htm

Regional Policy

Ex post evaluation of the Interreg II Community Initiative (1994-1999)

Activities concerned 13 03 European Regional Development Fund and other regional interventions

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	12/02 – 03/04	P. Nicolas (+32 2 2956304)	External

Purpose of evaluation

The purposes of the evaluation are the following:

- with regard to sections A and B of Interreg II, cross border cooperation:
- to find out to what extent these sections of the initiative have been effective in helping to promote cross border cooperation, assisting border areas of the European Union and resolving the specific problems caused by their relative isolation;
- to fill in the missing links in the trans European energy distribution network.
- with regard to transnational cooperation – section C:
- to ascertain to what extent this section helped to trigger and/or target more closely the strategies and the dynamics needed to achieve equilibrium and development in the Union.

Summary of findings and recommendations

Interreg II programmes have been found to have significantly reduced isolation of border regions concerned and improved mobility of their populations and goods by providing transport facilities. Transport oriented programmes were most frequently implemented, and benefited from the largest part of resources. They were followed by activities aiming at improving energy networks, and then by trans-national programmes which mainly provided anti-flooding facilities. It has been concluded that Interreg II was most successful in areas with only some degree of isolation, and in those where the tradition of trans-border cooperation was well established. The most important criticism of the evaluation was that the lack of compatibility between external and internal financial instruments of the EU created difficulties in coordination of programmes.

1. *Suitable strategies*: The programme strategies were generally adequate for resolving the specific problems of the border regions. However, some weaknesses were identified, e.g. the absence of ex ante evaluation on both sides of the borders conducive to joint formulation of the programme objectives.

2. *Effective programmes*: The programmes were deemed effective in general, particularly, with regard to transport, where they aimed to make certain border areas less isolated, to energy networks (section B), where they aimed to achieve a better connection between the European networks and the sources of supply as well as greater diversification of energy sources. These are the programmes which received most funds under Interreg II.

With regard to transnational cooperation (section C), a large number of studies, databases and methodologies were produced, but the most important aspect was the drawing up of transnational programmes to prevent flooding.

3. *Programme management*: Implementation and management of Interreg II programmes have been relatively successful in relation to the Commission's wishes to see programmes prepared and managed on a truly cross border, integrated basis, particularly, at the financial level. It should be added that incompatibility between the various financial instruments of the European Union operational inside and outside the EU lead to serious difficulties with regard to coordination and programming.

4. *Programme impact*: Programmes had a generally positive but variable impact. The most notable results were the reduction in the degree of isolation, an increased accessibility to border regions, and the improvements in mobility and in transport means and structures in cases where the financial contribution was greatest.

The impact was also significant in the economic field, where services for SMEs were improved, R&D cooperation projects developed and cross border mobility made easier, including through educational and training measures.

With regard to programme management, the most striking results were obtained at borders which were not very isolated or where there was also a long standing tradition of cross border cooperation. This was particularly so in the case of small or medium sized programmes. To varying degrees, however, the overall view is that cross border cooperation became less ineffective during the period 1994-99 as a result of Interreg II.

The impact on transnational cooperation was more modest owing to the genuinely innovative nature of this section and, in certain cases, because the projects lacked a proper transnational dimension.

5. *Added value*: The added value of Interreg II stems from the fact that it achieved its objectives with regard to the improvement and development of the European Union's cross border regions, which would otherwise not have been given – or would have been given to a very limited extent only - mainstream treatment.

Recommendations: With the accession of ten new Member States to the European Union, the problem of cross border cooperation will become more marked given pronounced economic disparities and quite different political, administrative and cultural traditions.

On the assumption that funds allocated to cross border cooperation will be increased, the evaluation strongly recommends that future rules on the implementation and management of programmes be improved with a view to strengthening their genuinely cross border nature, notably by adopting a legal instrument.

Main evaluation methods and data used

- Logical framework/diagram
- Desk research
- Field studies with interviews, surveys
- Expert panels
- Case studies
- Multi-criteria analysis

Action taken / follow-up planned

The conclusions and recommendations of this evaluation provide food for thought with regard to the setting of objectives for the next Structural Funds programming period (2007-13), and more particularly Objective 3 "European territorial cooperation".

Availability of the report

http://europa.eu.int/comm/regional_policy/sources/docgener/evaluation/rado_en.htm

Ex post evaluation of innovative actions RIS/RISi

Activities concerned 13 03 European Regional Development Fund and other regional interventions

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	12/03 – 12/04	P. Nicolas (+32 2 2956304)	External

Purpose of evaluation

Five main objectives were set :

1. Evaluate the grounds for and relevance of the innovative measures applied to promote regional policy.
2. Evaluate the effectiveness of the pilot projects, i.e. the results obtained in relation to the original objectives of the programme , including the leverage effect on the regional economies in question, in particular in terms of investments and new economic perspectives; evaluate the effects on the institutions of the pilot projects in the promotion of regional management, in particular with regard to the ability to encourage the creation of partnerships and networks and to develop the strategic planning capacity of the regions, as well as the effects and results of implementing the inter-regional cooperation projects (RTT, RISI 2).
3. Evaluate the quality and effectiveness of the implementation arrangements in place, in particular the organisation of work at regional level.
4. Highlight the Community added value of each pilot project, including the importance of the Community action in launching and monitoring the projects.

The purpose of the evaluation is directly linked to the objectives set:

- strengthen and improve the integration of the regional innovation systems in place and of the projects relating to the information society in regional development programmes;
- prepare similar or other types of measures in the fields of innovation or promotion of the information society that will be beneficial to the candidate countries;
- make a general contribution to thinking on the choices to be made with regard to regional policy for the years after 2006.

Summary of findings and recommendations

- Prevailing conditions have defined the relevance of the strategies;
- Successful innovation policies require in-depth knowledge of the regions need and the commitment to act;
- Both RIS/RITTS and RISI have mobilised key regional stakeholders and achieved consensus on the actions needed to create an innovation-friendly environment;
- Pilot actions have succeeded in transferring the vision to a wider audience;
- Pilot actions have instituted demand-led and bottom-up approaches for strategy development;
- The programme has integrated innovation into existing regional strategic frameworks;
- The programme has given the opportunity to dismantle regional "box" thinking.

Recommendations:

- Provide for the future a development matrix of a self-diagnosis kit to help regions to establish their own particular stage of development of adaptable Innovation/Information society levels;

- Interpret new concepts in relation to regional needs;
- Recognise the risk inherent in developing pioneering strategies;
- Communicate progress to all stakeholders;
- Involve the policy makers at the highest level;
- Focus on impact from the start;
- Develop and use impact indicators;
- Use RIS/RISI as a reference framework for improved governance in regional policy.

Main evaluation methods and data used

- Logical framework/diagram
- Desk research
- Field studies with interviews
- Expert panels
- Case studies
- Multi-criteria analysis

Action taken / follow-up planned

The conclusions and recommendations of this evaluation must provide food for thought with regard to the setting of objectives for the next Structural Funds programming period (2007-13), and more particularly Objective 2 “Regional competitiveness and employment”.

Availability of the report

http://europa.eu.int/comm/regional_policy/sources/docgener/evaluation/rado_en.htm

Meta-evaluation of the mid-term evaluations and reviews of Objective 1 & 2 programmes

Activities concerned **13 03 European Regional Development Fund and other regional interventions**

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim	04/2004-12/2004	V. Gaffey (+32 2 2969596)	Internal

Purpose of evaluation

The mid term evaluation of all Structural Fund programmes was completed by the end of 2003 as required by the Regulation 1260/1999 and the mid term review of programmes is completed or underway in Member States. The Evaluation Unit of the DG for Regional Policy prepared the report that concerns the mid term evaluations of Objectives 1 and 2 in order to take stock of the process and results of the mid term evaluation and to consider what has been learnt and how good practice can be built on in the future.

The report was discussed with the Member States at a seminar in October 2004 in Brussels, attended by Members of the Technical Group on Evaluation as well as some evaluators and regional authorities who presented good practice examples to contribute to the discussion.

Summary of findings and recommendations

The meta-evaluation aimed to take stock of the process and results of the mid term evaluation and consider what has been learnt and how good practice can be built on in the future. The report identifies two aspects of the process as particular strengths: the quality of planning and the positive contribution of the partnership, in which the evaluations were carried out. The mid term evaluations were generally of a higher quality than those undertaken in the past with some excellent examples. The Commission's examination of the quality of the evaluations resulted in two thirds being rated as being of good or excellent quality. The Commission's perception was that the resources allocated to the mid term evaluation were appropriate and higher than previous allocations, but that cost effectiveness was limited by a number of factors. The mid term evaluations in general were based on an appropriate mix of methodologies, including desk research, primary research and for larger programmes some macro-economic modelling. Significant improvements were evident in the quality and rigour of the evaluations. As for the evaluation market, it is relatively limited and the mid term evaluation did not see a significant expansion of the number of evaluators.

Main evaluation methods and data used

- Desk research
- Secondary data from depth analysis of 65MTE reports
- Case studies
- Comparison/Control groups
- Cost-effectiveness analysis

Action taken / follow-up planned

Use of the Evaluations: the evaluations were used mainly by managing authorities, monitoring committees and implementing bodies in the Member States. The evaluations generally had a strong impact on improving implementation systems, particularly the further development of systems of indicators, implementing horizontal priorities and improving selection criteria.

Update of the Mid Term Evaluation: an update of the mid term evaluation is required by the end of 2005 and the Commission has recently produced its guidance on the content of the update. The guidance takes account to the greatest extent possible of the strengths and weaknesses of the mid term evaluation identified in this regard.

Availability of the report

http://europa.eu.int/comm/regional_policy/sources/docgener/evaluation/rado_en.htm

Ex post evaluation of a sample of projects co-financed by the Cohesion Fund

Activities concerned 13 04 Cohesion Fund

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	12/02 – 12/04	R.L. Ballaguy (+32 2 2950979)	External

Purpose of evaluation

This ex post evaluation had the following objectives:

1. To establish to what extent the objectives of the Cohesion Fund have been achieved, as well as their impact on the two relevant sectors – environment and transport – as on economic and social cohesion;
2. To assess the effectiveness and efficiency of the implemented projects;
3. To identify the lessons to be learned from the selection, design and implementation of those projects in order to improve strategic planning and the modalities of their selection, design and implementation;
4. To identify the Community added value obtained at national and EU level, with particular regard to the contribution made to the development of TENs-T.

This evaluation will serve:

- An "accountability" objective: in establishing the impact, effectiveness and efficiency of the expenditure of the Cohesion Fund between 1994 and 2002;
- A "capacity building" objective: notably for the accession countries. Findings will help to enhance the selection procedures, the management and implementation of the Cohesion Fund projects.

Summary of findings and recommendations

The evaluation of the sample of Cohesion Fund projects carried out during 1993-2002 found that they have to a large extent achieved their objectives by improving the transportation and environmental situation in the countries concerned. The study concluded that the global quality of the projects could be enhanced by introducing additional quality assurance, selecting only mature projects and always identifying measurable and quantified goals, results and impacts. The necessity for risk analysis is confirmed, and it is recommended that it should be required for all complex projects. Also, adequate, professional management of projects should be ensured in all cases. In order to apply more widely the polluter payer principle additional regulation would be required as full cost recovery strongly reduced grant rates. Finally, in order to encourage PPP (public private partnership), further work would be required as the grant rate is reduced when revenues are taken into account.

Main evaluation methods and data used

- Desk research
- Field studies with surveys
- Primary data from interviews, surveys, etc.
- Expert panels
- Case studies

- Benchmarking
- Cost-effectiveness analysis
- Cost-benefit analysis

Action taken / follow-up planned

Publication of the synthesis report.

Use to improve the capacity building for the new Member States.

Presentation to a meeting with the Member States concerned by the Cohesion fund.

Internal and external debate

The synthesis report will be published on the RegioWeb site and the four national reports will be available on demand for all Member States concerned in order to help them to enhance their implementing system and have a feedback on their own situation.

The report will also be available for each new Member State so as to improve its capacity building concerning the implementation of the cohesion fund. The Commission fosters bilateral relation between "old" and "new" Cohesion Fund MS.

The main recommendations of the synthesis report which could be used by the new MS are to select only mature projects, to adopt multi-annual planning approach, to create pipeline of projects, to request active public consultation and fully developed technical studies, to apply technical quality assurance by offering methodological support to beneficiaries (in particular on CBA methodology and indicators). One of the recurrent recommendations is also to request measurable and quantified goals, results and impacts and to try as much as possible to discuss projects with the Commission before submission and to check information needs.

Therefore, in order to launch a debate among the MS, the report has been presented to all the Member States concerned by the current Cohesion Fund on the 24th November and it has been then decided to organise in January 2005 a special debate meeting on that issue.

Availability of the report

http://europa.eu.int/comm/regional_policy/sources/docgener/evaluation/rado_en.htm

Taxation and Customs Union

Tax-based EU own resources: An assessment

Activities concerned 14 02 Policy Strategy and Coordination for DG 'Taxation and Customs Union'

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	08/01 – 04/04	P. Cattoir (+32 2 2955692)	Internal

Purpose of evaluation

To present a structured analysis of the pros and cons of a "genuine" or tax-based own resource ("EU tax").

This study was made in the context of the preparation of the "Financial Perspectives post-2006" i.e. the next multi-annual financial framework of the European Union.

Summary of findings and recommendations

One of the main conclusions that can be drawn from the multi-criteria analysis (eight criteria are applied to nine main candidates for EU taxation and comparisons are made with regard to these criteria) is that there is no such thing as a perfect tax for the EU. All the main candidates that have been suggested for EU taxes have some pros and some cons.

The inability of the proposed EU taxes to meet fully certain criteria should not lead to the conclusion that these taxes should be dismissed, as has sometimes been argued in the past. On the contrary, the analysis highlights the fact that the choice between one or several EU taxes would critically depend on a political choice as to which criteria should be considered essential and which secondary. Furthermore, an assessment of a tax as a possible candidate should ultimately have regard to its impact on the functioning of the overall financing system of the EU.

Main evaluation methods and data used

- Desk research
- Secondary data from literature / experts
- Expert panels
- Multi-criteria analysis

Action taken / follow-up planned

The study feeds in the ongoing debate on the preparation of the EU budget.

Availability of the report

http://europa.eu.int/comm/taxation_customs/taxation/tax_assessment.pdf

VAT indicators

Activities concerned 14 05 Taxation policy

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	? - 4/04	A. Mathis (+32 2 2956473)	Internal

Purpose of evaluation

To demonstrate on how harmonised are the VAT rates in the Union.

Summary of findings and recommendations

The aggregate indicators developed in the study show that the objective of the 6th VAT Directive, which advocate a standard VAT rate with the possibility of one or two reduced rates, is far to be reached.

Actually, for several Member States the number of authorized deviations from the standard rules distorts their VAT base. The indicators on the standard VAT base demonstrate that the standard VAT rate is far from covering the whole taxable base. In the year 2000, on average for the EU-15, 69% of the VAT taxable transactions value was taxed at the standard VAT rate. For some Member States, only around half of the whole taxable base is subject to the standard rate. Therefore, non-standard VAT rates are not the exception as they should be.

Main evaluation methods and data used

- Desk research
- Secondary data from statistical agencies and literature/experts
- Expert panels
- Statistical analysis
- Benchmarking

Action taken / follow-up planned

Publication of the study. Points raised in the study are politically very sensitive. The study feeds in the debate on harmonisation of VAT rules among Member States.

Availability of the report

http://europa.eu.int/comm/taxation_customs/taxation/vat_indicators.pdf

Published in paper form: DOC TAXUD/2004/2004-EN (ISBN 92-894-5174-2).

European Tax Survey

Activities concerned 14 05 Taxation policy

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	6/01 – 9/04	W. Koevoets (+32 2 2953050)	Internal

Purpose of evaluation

To have a better understanding of the impact of taxation on companies' decisions and activities, and potential costs that may arise from the lack of coordination in this area at EU level.

To try and quantify the compliance costs of EU companies and to examine how they differ with regard to company sizes and sectors.

Summary of findings and recommendations

The survey on the compliance costs of EU companies confirms the need for allowing companies to use a single basis of assessment for corporate tax for all their EU-wide activities so as to avoid the costly inefficiencies of dealing with EU Member States' twenty-five different company tax systems. The survey also underlines the need for the proposal that the Commission intends to present in the next few months for a one-stop shop system whereby a trader could fulfil his Value Added Tax (VAT) obligations for his EU-wide activities solely in the Member State in which he is established. The survey, in which seven hundred EU companies participated, shows that cross-border activity currently leads to higher company tax and VAT compliance costs for companies. Compliance costs are significantly higher for companies with at least one subsidiary in another EU Member State compared to companies without subsidiaries abroad and the costs increase according to the number of such subsidiaries. Compliance costs are also proportionately greater for SMEs than for large companies.

Main evaluation methods and data used

- Desk research
- Field studies with surveys
- Primary data from interviews, surveys, etc.
- Secondary data from literature / experts
- Expert panels
- Statistical analysis
- Econometric models
- Benchmarking

Action taken / follow-up planned

Publication of the study/ Press conference. Points raised in the study are politically very sensitive. The study feeds in the debate on harmonisation of VAT/company taxation rules among Member States.

Availability of the report

http://europa.eu.int/comm/taxation_customs/resources/documents/1128-04_en.pdf

Education and Culture

Extended impact assessment, integrating ex ante evaluation requirements, of a proposal for a Decision of the European Parliament and of the Council for an Integrated Action Programme in the field of Lifelong Learning (2007-2013)

Activities concerned 15 02 Education
 15 03 Vocational Training

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	11/02 – 07/04	N. Schöbel (+32 2 2965554)	Internal

Purpose of evaluation

The purpose of this evaluation was to support the preparation of a proposal for a new Community programme in the field of Lifelong Learning to succeed the Socrates II and Leonardo da Vinci II programmes after 2006. It drew on a range of sources, including public consultations, national agency reports, studies, and evaluations of the current programmes and their component actions.

Summary of findings and recommendations

Options

No other policy instruments, besides an expenditure programme, can be considered in the areas of education and training, largely owing to the restrictions to Community intervention induced by the principle of subsidiarity. The only alternative is no programme at all, but as this would make it impossible to reach the common political objectives regarding education and training established in the Treaty and reinforced by subsequent European Councils (Lisbon, Barcelona), this option should be discarded. Of the several possible designs for an expenditure programme — keeping the existing separate programmes; a single programme for education, training and youth; an integrated programme structured by type of action; and an integrated programme composed of sectoral programmes and a transversal programme — the latter option best responds to the views of the majority of respondents to the public consultation, carries forward the successful brand-names associated with success in the current programme generation (Comenius, Erasmus, Grundtvig and Leonardo da Vinci) and presents the least risk.

Impacts

The main positive impacts of the new programme are expected to be the following: more extensive and better quality co-operation between education and training systems, institutions and actors in the EU; development of a European dimension in education and training in the EU; improved quality of education and training systems and of learning provision, notably of teaching and training; increased volume and better quality of mobility of individual learners, teachers and trainers; improvement of innovation, economic competitiveness and entrepreneurial spirit; better adaptation of citizens to social change, and of the workforce to industrial change; improvement of language skills among European citizens; improvement of ICT skills, and reduction of the digital divide. In addition, further impacts can be expected in the following areas: greater equality of opportunity between men and women and more equal opportunities for disabled people; reduction of xenophobia and racism; better preparation of candidate countries for accession to the EU; and enhanced knowledge and awareness among specialist academics and citizens generally of issues relating to European integration.

Cost-effectiveness

The use of an executive agency for the administration of certain Commission procedures, coupled with the transfer of as much of the activity as possible to the national level via National Agencies, is judged to be the most cost-effective way of managing the proposed programme.

Main evaluation methods and data used

- Concept mapping
- Logical Framework/Diagram
- Other structuring tools: workshops with external consultant to develop "SMART" objectives and indicators
- Desk research
- Secondary data from a monitoring system, statistical agencies, literature/experts and public consultations
- Cost-effectiveness analysis

Action taken / follow-up planned

This evaluation supported the proposal for a Decision of the European Parliament and of the Council establishing an Integrated Action Programme in the field of Lifelong Learning (2007-2013), adopted by the Commission on 14/7/2004 (COM (2004) 474).

Availability of the report

http://europa.eu.int/comm/dgs/education_culture/evalreports/index_en.htm#LLL2007

Published in paper form: Commission Staff Working Paper SEC (2004) 971, 14/7/2004

Paper or electronic copy available from: EAC-Evaluation@cec.eu.int

Ex post (Erasmus, 1987-1994, and Socrates I Erasmus, 1995-2000) and intermediate (Socrates II Erasmus, 2000-2006) evaluation of the institutional and national impact of Erasmus

Activities concerned 15 02 Education

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim / ex post	04/03 – 12/04	P. Martínez Macías (+32 2 2996186)	External

Purpose of evaluation

This evaluation aimed to investigate the impact of Erasmus on higher education institutions and national policy-making. At the institutional level, the evaluation's aim was to assess the impact on institutional policy of the second generation of European Policy Statements (EPS) included in Erasmus institutional contracts from the academic year 2000/2001 onwards, and to compare this second generation of EPSs with the first generation (an EPS outlines an institution's strategy for its co-operation activities). All 30 countries participating in Socrates were covered. At the national level, the evaluation's aim was to assess the impact of Erasmus on higher education systems and policies since its launch in 1987. The countries covered were the pre-2004 expansion EU Member States (i.e., the 15) plus Iceland, Liechtenstein and Norway. This evaluation is associated with ongoing evaluations of Erasmus curriculum development projects and of the impact of Erasmus on students' and teachers' prospects.

Summary of findings and recommendations

Key findings at the institutional level

- The majority of institutions view the EPS as an important document that has helped increase their European awareness and level of cooperation and has stimulated the creation or reinforcement of administrative support for international relations.
- Most institutions made little or no changes to their second-generation EPS compared to the first generation.
- The most important reasons for changing an EPS were: more precise and more specific goals and priorities, new international strategies, the Bologna process, changing the curriculum to a bachelors-masters structure, and the development of more and different activities as a result of accession to the EU.
- Compared with the first generation of EPS, the recognition of qualifications through the European Credit Transfer System (ECTS) is now being given more attention.
- The most common reasons cited for engaging in internationalisation are: preparing students for the international labour market and enhancing their employability, securing the recognition or harmonisation of degrees, and with a view to becoming an attractive, well-known institution.
- Improving the configuration of partnerships is cited as an important goal.
- Language training is often referred to as an important factor in the success of exchanges and for increasing the value of graduates in the international labour market.
- The Member States that joined in 2004 have tended to experience a higher influence of EU policies on their institutional policies compared to the other Member States.
- Regarding internationalisation, a clear leadership role is attributed to the International Office.

Key findings at the national level

- Erasmus, particularly in its first years, has made a significant contribution to making internationalisation part of mainstream higher education policy. The growth in internationalisation activities of both students and higher education institutions increased the importance of internationalisation in the eyes of national governments.
- Broadly speaking, the rationale for internationalisation has tended to shift from educational to economic criteria, though this change could not be attributed to Erasmus to any great degree.
- The impact of Erasmus is mainly visible at the level of higher education institutions, at both structural and cultural levels.
- Some clear examples of the interconnectedness between Erasmus and specific national policies can be identified.
- Both policy documents and respondents emphasised that Erasmus has contributed to a reorientation towards Europe on the part of higher education institutions.

Main recommendations

- There should be more flexibility regarding the duration of Erasmus placements and the choice of exchange countries.
- The selection and evaluation process should be made more transparent.
- There should be more support for the mobility of non-academic staff.
- More support is needed towards the development of joint curricula as a means of further increasing the motivation for students to study abroad.
- Information about the programme should be more widely and intensively disseminated.
- National governments should be encouraged to create alternative sources and mechanisms of financing to support student mobility.
- Efforts should be made to implement a uniform European Credit Transfer Systems (ECTS).

Main evaluation methods and data used

- Impact matrix
- Concept mapping
- Desk research
- Field studies with interviews, surveys and focus groups
- Primary data from interviews, surveys, etc.
- Secondary data from a content analysis
- Factor analysis

Action taken / follow-up planned

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 Education and Culture, those responsible for the activities evaluated will produce an action plan describing the actions to be taken in response to the evaluator's findings and recommendations. Progress made in fulfilling these actions will be monitored six months after the adoption of the action plan.

Availability of the report

http://europa.eu.int/comm/dgs/education_culture/evalreports/index_en.htm#GrundtvigSocratesII

Paper or electronic copy available from: EAC-Evaluation@cec.eu.int

Interim evaluation of the Comenius Networks (2001–2002) (Comenius III) within the Socrates II programme (2000–2006)

Activities concerned 15 02 Education

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim	09/03 – 08/04	F. Perotto (+32 2 2958045)	External

Purpose of evaluation

The objectives of the evaluation were to assess the initial implementation of the action and the initial results of 2001 and 2002 Comenius Networks, to make recommendations for its further implementation, to learn lessons for application in the design and implementation of a future (post-2006) educational programme, and to gain some first indications of Network sustainability.

Summary of findings and recommendations

Key findings

- The design of the Comenius Networks is internally coherent in terms of objectives and activities, and the activities actually supported in the field are in line with the objectives.
- The majority of respondents (coordinators and partners) maintain that the objectives of Comenius Networks would be unattainable by other means.
- The grants allocated appear to be largely sufficient in relation to the size of the partnerships and the activities implemented or envisaged.
- Although it is too early to assess the effects of the Networks on the direct beneficiaries, the events and the meetings organised by the 2001 and 2002 Comenius Networks are providing many of the players involved with the means to exchange ideas, increase international contacts and improve their understanding in given thematic areas at European level.
- The problems met in the implementation of the Network activities were mainly financial and tied to the coordination of activities with some of the partners.
- In some cases, projects appeared too innovative to educational administrators.

Main recommendations

- The difference between a "project" and a "network" should be clarified.
- References to the involvement of national authorities in network proposals should be considered as an asset.
- Coordinators should keep national Agencies regularly informed of network activities, and cooperation between national Agencies and coordinators on promotional activities should be improved.
- Special emphasis should be placed on management issues during the selection procedure.
- Coordinators and partners should be encouraged to define the roles of their members and to describe in their reports the nature of each member's performance within the network.
- The guide for applicants should make clear that the envisaged strategy for the sustainability of the networks is carefully assessed as part of the selection of proposals.

Main evaluation methods and data used

- Concept mapping
- Desk research
- Field studies with interviews, surveys and focus groups
- Primary data from interviews, surveys, etc.
- Secondary data from: a monitoring system
- Factor analysis

Action taken / follow-up planned

This evaluation will be taken into account in refining the implementation of the Comenius Networks within the Socrates programme. The initial findings supported the design of the proposal for a Decision of the European Parliament and of the Council establishing an Integrated Action Programme in the field of Lifelong Learning (2007-2013), adopted by the Commission on 14/7/2004 (COM (2004) 474). The evaluation 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 Education and Culture, those responsible for the activities evaluated produced an action plan describing the actions to be taken in response to the evaluator's findings and recommendations. Progress made in fulfilling these actions will be monitored in 03/2005.

Availability of the report

http://europa.eu.int/comm/dgs/education_culture/evalreports/index_en.htm#ComeniusIIISocratesIIinterim

Paper or electronic version available from: EAC-Evaluation@cec.eu.int

Intermediate evaluation of the Grundtvig action (2000-2002) of the Socrates II programme (2000-2006)

Activities concerned 15 02 Education

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim	08/03 – 12/04	A. Smith (+32 2 2958382)	External

Purpose of evaluation

The aim of this evaluation was to assess the relevance, efficiency and effectiveness of Grundtvig activities funded in 2000, 2001 and 2002, to make recommendations for improving the implementation of Grundtvig, and to learn lessons for application in the design and implementation of a future (post-2006) educational programme.

Summary of findings and recommendations

Key findings

- Grundtvig has delivered a wide range of benefits from the very local and very specific to the national and general. Generally, Grundtvig has made it possible to move beyond "traditional" approaches and to develop new practices in the field.
- The European co-operation dimension of Grundtvig is widely perceived to be its major added value. Overall, Grundtvig has enabled a significant number of partners to be involved in a transnational European programme for the first time, though the application process and some administrative procedures continue to pose obstacles for smaller and semi-professional or voluntary bodies.
- Grundtvig is generally seen as being relevant to the needs of adult education in Europe, as its objectives have been very broadly defined. However, concerns were sometimes expressed that Grundtvig's broad scope might be reducing its potential impact by spreading its resources too thinly, and that the lack of focus in the programme can make projects feel isolated.
- Management and administration are generally viewed as efficient and effective, though there is a wide variety in monitoring and evaluation practices in the decentralised sub-actions and insufficient resources devoted to monitoring and evaluation in the centralised sub-actions.
- While participating in Grundtvig has enhanced the capacity of many organisations, there is still some work to be done in making beneficiaries more aware of the principles and practices of monitoring, evaluation and dissemination.
- More effective mechanisms are needed to disseminate results.

Main recommendations

- Individual projects should have access to a common pool of knowledge and the latest thinking on their theme.
- The participation of smaller and semi-professional or voluntary bodies should be encouraged through capacity-building training and other forms of support.
- The wide variety in monitoring and evaluation practices in the decentralised sub-actions should be reduced. Extra resources should be made available to increase the amount of monitoring in the centralised sub-actions.
- More effective mechanisms should be made available to disseminate the results of projects.

Main evaluation methods and data used

- Concept mapping
- Desk research
- Primary data from interviews, surveys, etc.
- Secondary data from a monitoring system, literature / experts and a stakeholders' seminar

Action taken / follow-up planned

This evaluation will be taken into account in the implementation of the current Grundtvig action and in the preparation of 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).

In accordance with the evaluation procedures of DG Education and Culture, those responsible for the activities evaluated will produce an action plan describing the actions to be taken in response to the evaluator's findings and recommendations. Progress made in fulfilling these actions will be monitored six months after the adoption of the action plan.

Availability of the report

http://europa.eu.int/comm/dgs/education_culture/evalreports/index_en.htm#educationHeader

Paper or electronic version available from: EAC-Evaluation@cec.eu.int

Evaluation ex post/interim of the extent to which the programmes Socrates (Socrates I, 1995-1999, and first phase of Socrates II, 2000-2006) and Leonardo da Vinci (Leonardo I, 1995-1999, and first phase of Leonardo II, 2000-2006) have achieved their linguistic objectives

Activities concerned 15 02 Education
 15 03 Vocational Training

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim / ex post	12/02 – 02/04	E. Sandvik (+32 2 2996642)	External

Purpose of evaluation

The purpose of this evaluation was to evaluate the extent to which the language objectives of the Socrates and Leonardo da Vinci programmes have been achieved via both specific language actions and non-linguistic actions.

Summary of findings and recommendations

Key findings

- The programmes have had most impact in relation to intercultural understanding and support for activities improving linguistic diversity or language knowledge. Awareness of their importance has grown amongst project co-ordinators and direct beneficiaries.
- Erasmus mobility has been the most significant contributor to language learning and awareness within the programmes. Enabling students and teachers to go abroad is a major incentive for language learning. Mobility plays the role of an eye-opener and develops other important skills and attitudes (such as self-confidence, social inclusion etc).
- Interest for early language learning is growing and needs further support.
- The objective related to the learning of less widely used and less taught languages has met with little success, despite the efforts and means allocated to this.
- The programmes have had less impact when it comes to the more specific “linguistic knowledge” objectives. Only limited numbers of beneficiaries have learned a new foreign language, though knowledge of already known languages has been improved.
- Dissemination between projects within a programme or between projects between the programmes is not adequate and represents a major obstacle to wide-scale impact. Dissemination and awareness-raising with policy-makers is insufficient and not systematic.

Main recommendations

- A single programme would help achieve the linguistic objectives more easily.
- Linguistic issues and activities should be dealt with more systematically, and linguistic objectives should be better structured, clearly linked to other programme objectives, and (especially at the operational level) associated with indicators that form the basis for a monitoring system.
- Dissemination should be improved by specific support for marketing and promotion, the development of language strategies within organisations, and networking between projects.
- Awareness of the importance of language learning should be raised by encouraging self-assessment of foreign language skills, supporting appropriate mobility actions for teachers, developing yet further cooperation with the Council of Europe, and putting in place specific exchange and dissemination

networks for less widely used and less taught languages. Language learning should be encouraged through a greater focus on mobility actions for language teacher and trainer mobility actions.

- The concept of early language learning should be promoted via specific projects and specific targeting of primary and pre-primary language teaching.

Main evaluation methods and data used

- Impact matrix
- Concept mapping
- Desk research
- Field studies with interviews and surveys
- Primary data from interviews, surveys, etc.
- Secondary data from a monitoring system and literature/experts

Action taken / follow-up planned

The findings of this evaluation supported the design of the proposal for a Decision of the European Parliament and of the Council establishing an Integrated Action Programme in the field of Lifelong Learning (2007-2013), adopted by the Commission on 14/7/2004 (COM (2004) 474).

The preliminary findings supported the design of the action plan in the field of linguistic diversity and language learning adopted by the Commission on 24/7/2003 (COM (2003) 449).

In accordance with the evaluation procedures of DG Education and Culture, those responsible for the activities evaluated produced an action plan describing the actions to be taken in response to the evaluator's findings and recommendations. Progress made in fulfilling these actions will be monitored in 02/2005.

Availability of the report

http://europa.eu.int/comm/dgs/education_culture/evalreports/index_en.htm#LingObjectives

Paper or electronic version available from: EAC-Evaluation@cec.eu.int

Intermediate evaluation of the Euroguidance Network (National Resource Centres for Vocational Guidance) (1998-2003)

Activities concerned 15 03 Vocational training

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim	10/03 – 11/04	J. Varchola (+32 2 2954101)	External

Purpose of evaluation

The aim of this evaluation was to assess the performance of the Network and its added value for promoting mobility, and to make recommendations for its future development.

Summary of findings and recommendations

Key findings

- In general, the Network has fulfilled the goals defined in its terms of reference in an efficient and effective manner. With limited resources, the Centres have produced good products, achieved multiplier effects, and made a significant contribution towards building the guidance community in Europe. However, the role of the Network within the guidance community has been and still is perceived as ambivalent.
- The Centres have generally been able to deliver a variety of products and services to the target groups that are appreciated by the clients and are given recognition by national authorities.
- The Centres' work has made a significant contribution towards promoting awareness of the European dimension within the guidance community and amongst guidance and education professionals as a whole.
- The Network constitutes in many respects a community of "mobility practitioners" exchanging good practices, though this "learning network" aspect of its activities is not explicitly supported.

Main recommendations

- The "learning network" capabilities of the Network should be strengthened by means such as open coordination and peer review.
- The resources of the Network should be increased and the Network should develop a resource allocation policy that reflects more closely the variety of situations in the different member countries.
- Thematic, regional, cross-border and other forms of sub-networks should be fostered.
- The main roles of the Network should be clarified.
- Several detailed aspects of the everyday running of the Network could be improved, including client feedback mechanisms, website traffic analysis, and planning and reporting procedures (including arrangements for the production of annual work-plans).

Main evaluation methods and data used

- Concept mapping
- Desk research
- Field studies with interviews, surveys, focus groups and direct observation

- Primary data from interviews, surveys, etc.
- Secondary data from a monitoring system
- Case studies
- Other judging tools: workshops

Action taken / follow-up planned

The evaluation will constitute an important element for helping to decide about the future funding of the Resource Centres. The Commission will take into account the results of the present evaluation in the ex post evaluation of the Leonardo da Vinci programme (in 2007) and in the implementation of the proposed Lifelong Learning programme (2007-2013).

In accordance with the evaluation procedures of DG Education and Culture, those responsible for the activities evaluated produced an action plan describing the actions to be taken in response to the evaluator's findings and recommendations. Progress made in fulfilling these actions will be monitored in 03/2005.

Availability of the report

http://europa.eu.int/comm/dgs/education_culture/evalreports/index_en.htm#Euroguidance

Paper or electronic version available from: EAC-Evaluation@cec.eu.int

Ex post evaluation of activities in the field of regional and minority languages (1998-2002)

Activities concerned 15 04 Culture and languages

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	06/03 – 07/04	T. Condeco (+32 2 2967322)	External

Purpose of evaluation

The purpose of this evaluation was to:

- analyse the content and quality of regional and minority language (RML) projects financed in the period 1998-2000, with the aim of drawing conclusions concerning the future treatment of RML projects in the context of RML mainstreaming;
- analyse the structure, organisation and activities of bodies (EBLUL, Mercator Centres) in receipt of running-cost grants over the period 1998-2002 in order to evaluate their effectiveness in furthering EU policy objectives in the RML field;
- provide input for the future policy orientation in the RML field.

Summary of findings and recommendations

Key findings

- Community support for regional and minority languages (RMLs) in the period 1998-2002 has helped strengthen the position of some RMLs in Europe, with over 1.8 million citizens directly affected by support projects, including over 340 000 students, almost 5 000 teachers, over 177 000 TV watchers and radio listeners and over 1 280 000 members of the general public.
- Support provided to EBLUL and the Mercator Centres has also been of great importance to acquiring knowledge about linguistic diversity in Europe.
- The low degree of international networking among most RML organisations and their low awareness of the resources available make it difficult for them to secure new funding. Only a minority of project beneficiaries have managed to benefit from initiatives other than those directly aimed at the promotion of languages.
- The idea of mainstreaming RML support is well accepted.

Main recommendations

- It is critical to develop more proactive ways to disseminate available information about RMLs.
- Measures are needed to encourage the sustainability of RML-related activities.
- EBLUL's remit should be streamlined. It should focus on the dissemination of information and on activities with a greater multiplier effect, notably the promotion of international networking.
- Coordination between the Mercator Centres should be increased, with specific budgetary provisions for the organisation of coordination meetings.
- The need for increased synergy extends to relations among the three Mercator Centres and EBLUL: The exact mission of each institution should be more clearly defined.

Main evaluation methods and data used

- Desk research

- Field studies with interviews, surveys and direct observation
- Primary data from interviews, surveys, etc.
- Secondary data from a monitoring system
- Factor analysis

Action taken / follow-up planned

The findings of this evaluation helped support the design of the proposal for a Decision of the European Parliament and of the Council establishing an Integrated Action Programme in the field of Lifelong Learning (2007-2013), adopted by the Commission on 14/7/2004 (COM (2004) 474).

In accordance with the evaluation procedures of DG Education and Culture, those responsible for the activities evaluated produced an action plan describing the actions to be taken in response to the evaluator's findings and recommendations. Progress made in fulfilling these actions will be monitored six months after the adoption of the action plan.

Availability of the report

http://europa.eu.int/comm/dgs/education_culture/evalreports/index_en.htm#RegionalMinorityLang

Paper or electronic version available from: EAC-Evaluation@cec.eu.int

Extended impact assessment, integrating ex ante evaluation requirements, of a proposal for a Decision of the European Parliament and of the Council on a New Cultural Programme (2007-2013)

Activities concerned 15 04 Culture and languages

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	04/03 – 07/04	F. Metayer (+32 2 2998643)	Internal

Purpose of evaluation

The purpose of this evaluation was to support the preparation of a proposal for a new Community cultural programme to succeed the Culture 2000 programme after 2006. It drew on a range of sources including public consultations, studies, and the intermediate evaluation of the current programme.

Summary of findings and recommendations

Options

A "no action" scenario would not be consistent with current political discourse stressing the importance of cultural cooperation, especially with respect to the 2004 wave of enlargement. In terms of effectiveness, direct public-sector financial intervention is the most accurate mechanism in terms of reaching target groups. The best strategy is judged to be the allocation of direct financial assistance to projects in the form of grants aimed at all participants engaged in cultural activities (industries, administrations, networks, etc). Compared to the current programme, the new programme should not be compartmentalised into different disciplines, which has somewhat limited its impact.

Impacts

The main positive impacts of the new programme are expected to be the following: greater social cohesion and intercultural dialogue; greater transnational mobility of people working in the cultural sector and higher transnational circulation of cultural and artistic products; and improved job opportunities in the cultural sector.

Cost-effectiveness

In terms of implementing the programme, the option of creating decentralised intermediaries to redistribute resources was considered, but was rejected as being incompatible with the Financial Regulation governing the Commission's powers of delegation. However, structured and durable cooperation between cultural operators will be encouraged by means of "cultural cooperation focal points", which are more ambitious than the "multi-annual cooperation agreements" of Culture 2000. The use of an executive agency for the administration of certain Commission procedures, coupled with centralised management, is judged to be the most appropriate means of implementing the new programme.

Main evaluation methods and data used

- Concept mapping
- Logical Framework/Diagram
- Other structuring tools: workshops with external consultant to develop "SMART" objectives and indicators
- Desk research
- Secondary data from a monitoring system, statistical agencies, literature / experts and public consultations
- Expert panels
- Cost-effectiveness analysis

Action taken / follow-up planned

This evaluation supported the proposal for a Decision of the European Parliament and of the Council establishing the Culture 2007 programme (2007-2013), adopted by the Commission on 14/7/2004 (COM (2004) 469).

Availability of the report

http://europa.eu.int/comm/dgs/education_culture/evalreports/index_en.htm#Culture2007

Published in paper form: Commission Staff Working Paper SEC (2004) 954, 14/7/2004

Paper or electronic version available from: EAC-Evaluation@cec.eu.int

Extended impact assessment, integrating ex ante evaluation requirements, of a proposal for a Decision of the European Parliament and of the Council for a programme of support for the European audiovisual sector (MEDIA 2007)

Activities concerned 15 05 Audiovisual politics and sports

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	05/03	M. S. Gatta (+32 2 2954115)	Internal

Purpose of evaluation

The purpose of this evaluation was to support the preparation of a proposal for a new Community programme in the audiovisual sector to succeed the Media Plus and Media Training programmes after 2006. It drew on a range of sources including public consultations, focus groups, studies, and the intermediate evaluation of the current programmes.

Summary of findings and recommendations

Options

The need for Community action is clear: the audiovisual sector suffers from poor competitiveness stemming from under-investment and a lack of financing from the private sector, and national policies alone can only contribute to the support of national production, without providing a structuring effect for the sector as a whole. The greatest European added value will be achieved by concentrating on improving the circulation of European audiovisual works in Europe and worldwide, thus allowing the industry to fully exploit the single market. Legislative instruments are inappropriate means of remedying a situation that can best be tackled via Community financing. However, continuing the current Media programmes "as-is" is not a sensible option: while they have proved essential instruments for helping to increase the circulation and improve the quality of production of European audiovisual works, in their current configuration they cannot respond effectively to the twin challenges of attracting private investment to the sector and fully exploiting the possibilities offered by the introduction of digital technology. A single programme is the best way forward: it reflects the mutual links between the various activities of the production and distribution value-chain, and acknowledges that the pre-production process depends on the quality of professional skills and competences.

Impacts

The main positive impacts of the programme are expected to be the following: development of human capital, promotion of cultural diversity and intercultural dialogue, consolidation of the sector and improvement in its competitiveness, greater investment in the sector, and increased job creation.

Cost-effectiveness

The use of an executive agency for the administration of certain Commission procedures, coupled with centralised management, is judged to be the most appropriate means of implementing the new programme.

Main evaluation methods and data used

- Concept mapping
- Logical Framework/Diagram
- Other structuring tools: workshops with external consultant to develop "SMART" objectives and indicators
- Desk research
- Field studies with focus groups
- Secondary data from statistical agencies, literature / experts and public consultations

- Cost-effectiveness analysis

Action taken / follow-up planned

This evaluation supported the proposal for a Decision of the European Parliament and of the Council concerning the implementation of a programme of support for the audiovisual sector (MEDIA 2007), adopted by the Commission on 14/7/2004 (COM (2004) 470).

Availability of the report

http://europa.eu.int/comm/dgs/education_culture/evalreports/index_en.htm#Media2007

Published in paper form: Commission staff working paper SEC(2004) 955, 14/7/2004

Paper or electronic version available from: EAC-Evaluation@cec.eu.int

Ex post evaluation of the financial support granted to associations and federations of European interest (year 2000) (former line A-3024)

Activities concerned 15 06 Dialogue with the citizens

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	07/03 – 07/04	E. Genser (+32 2 2981604)	External

Purpose of evaluation

The aim of this evaluation was to assess the logic of the intervention and the activities, results and impacts of projects supported in the year 2000, and to make recommendations for future activities in this area.

Summary of findings and recommendations

Key findings

- The intervention enabled the activities of the beneficiaries to acquire a more European and international dimension, stimulated existing networks, and gave rise to new ones.
- The multiplicity of themes, the diversity of target audiences and the limited budget available hampered achieving the goal of "bringing the EU closer to the citizen".
- The intervention was properly complementary to other interventions supporting civil society. However, it lacked the focus that would have resulted had the Commission defined a priority target audience.
- Mobilising associations and voluntary workers was carried out relatively efficiently, though the opposite was the case in terms of the numbers of members of the public engaged by the projects.

Main recommendations

- Develop means of giving as much notice as possible of the themes under which project proposal will be invited in a particular year.
- Make special efforts to disseminate information about calls to relevant associations in the new member States.
- Organise an annual colloquium of associations involved in ongoing projects.
- Introduce a system whereby associations auto-evaluate and report on their projects at their conclusion.

Main evaluation methods and data used

- Desk research
- Field studies with interviews and surveys
- Primary data from interviews, surveys, etc.
- Secondary data from a monitoring system

Action taken / follow-up planned

The findings of the evaluation have been taken into account in the preparation of the proposal (and accompanying ex ante evaluation) for a new programme in the field of civic participation (post-2006).

In accordance with the evaluation procedures of DG Education and Culture, those responsible for the activities evaluated produced an action plan describing the actions to be taken in response to the evaluator's findings and recommendations. Progress made in fulfilling these actions will be monitored in 03/2005.

Availability of the report

http://europa.eu.int/comm/dgs/education_culture/evalreports/index_en.htm#A3024

Paper or electronic version available from EAC-Evaluation@cec.eu.int

Extended impact assessment, integrating ex ante evaluation requirements, of a proposal for a Decision of the European Parliament and of the Council for a "Youth in Action" Programme (2007-2013)

Activities concerned 15 07 Youth

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	11/02 – 07/04	V. Guirreiro (+32 2 2950054)	Internal

Purpose of evaluation

The purpose of this evaluation was to support the preparation of a new Community programme in the field of youth to succeed the current Youth programme after 2006. It drew on a range of sources including public consultations, working groups, national agency reports, and evaluations of the current programme and its components.

Summary of findings and recommendations

Options

The option of terminating the Youth programme would not respond to the obligations of the Treaty, and would be incoherent with the recent Commission White Paper on youth and with the implementation of the open method of cooperation in the youth field. Continuing the current programme would only be partially satisfactory, as such an approach would not take account of policy developments, the recommendations of the White Paper, or the relevant lines laid down in the draft Constitutional Treaty. Of the several possible designs for an expenditure programme — a general programme for education, training and youth; integration into a general "active citizenship" programme; a specific programme for youth — the latter option best responds to the views of the majority of respondents to the public consultation, and will, in addition, enable the design of an instrument that addresses all young people independently of their situation and covers their needs outside of formal education and training systems. The new specific programme should be based on the current one, but should have a wider scope in some areas to respond to policy developments. It should focus on measures that bring added value at European level and support European cooperation in the youth field.

Impacts

The programme will directly impact young people and those working with young people and in youth policy-making. The actions proposed will contribute to the programme's impact on fostering active citizenship on the part of young people, their sense of solidarity, their personal development, and their tolerance of people from other cultures. The programme is also expected to have an impact on work done in the youth field outside institutions such as schools, and should also stimulate cooperation between national youth policies in the EU.

Cost-effectiveness

The implementation of the new programme would best be addressed via national agencies for projects implemented by the participating countries, and via an executive agency for European-level projects and for projects with partner countries that do not have appropriate management structures. Direct management would be appropriate for activities such as support for programme structures and support for policy cooperation.

Main evaluation methods and data used

- Concept mapping

- Logical Framework/Diagram
- Other structuring tools: workshops with external consultant to develop "SMART" objectives and indicators
- Desk research
- Field studies with focus groups
- Secondary data from a monitoring system, statistical agencies and literature / experts
- Expert panels
- Cost-effectiveness analysis

Action taken / follow-up planned

This evaluation supported the proposal for a Decision of the European Parliament and of the Council creating the "Youth in Action" programme for the period 2007-2013, adopted by the Commission on 14/7/2004 (COM (2004) 471).

Availability of the report

http://europa.eu.int/comm/dgs/education_culture/evalreports/index_en.htm#YouthInAction

Published in paper form: Commission staff working paper SEC(2004) 960, 14/7/2004

Paper or electronic version available from: EAC-Evaluation@cec.eu.int

Evaluation of the partnership covenant on training in youth work between the European Commission and the Council of Europe (2000-2002)

Activities concerned 15 07 Youth

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim	09/03 – 03/04	A. Payer (+32 2 2991318)	External

Purpose of evaluation

The aim of this evaluation was to assess the results of the Third Covenant on Training in Youth Work ("The Training-Youth Partnership") concluded with the Council of Europe for the period 2000 to 2003, to verify its continued relevance, and to help prepare the Fourth Covenant on Training in Youth Work and the proposal for the new, post-2006 "Youth in Action" programme.

Summary of findings and recommendations

- *The management structure and the selection and decision-making procedures should be clarified*

The Commission services consider that a clearer definition of the responsibilities of the different stakeholders involved in the agreement as well as a wider communication, by means of Internet and publications, of selection and decision making procedures will contribute to the quality of the agreement. Special attention will be given to the efficient use of competencies and tools at the disposal of the partnership, e.g. by strengthening the network of trainers that participated in the agreement's training measures. These issues will be reinforced in the new agreement with the Council of Europe in the field of training that the Commission intends to set up.

- *A more integrated approach concerning the different stakeholders involved in the training of young people should be adopted*

The Commission services will ensure that the synergies between the different stakeholders, activities and tools involved in the agreement are reinforced at all levels. This will be done especially by more strongly involving the National Agencies and SALTO (Support for Advanced Training and Learning Opportunities) Resource Centres. In addition, the aim will be to use, wherever appropriate, the synergies between the three different Partnerships (Training, Research, and EuroMed) with the Council of Europe.

- *The focus on the dissemination of results and practices should be greater*

The Commission services will strive to strengthen the multiplier effect of the agreement by both putting a higher focus on the multiplier network and by increasing synergies and cross-references between all publications within the context of the agreement. It will ensure that training modules and other tools are presented in a way that these products can be transferred to and used by the national, regional and local levels. The Commission services will also look into possibilities for involving youth workers at grass-roots level.

Main evaluation methods and data used

- Concept mapping
- Desk research
- Field studies with interviews and surveys
- Primary data from interviews, surveys, etc.
- Secondary data from a monitoring system

Action taken / follow-up planned

The findings of this evaluation were taken into account when preparing the Fourth Covenant on Training in Youth Work ("The Training-Youth Partnership") between the Commission and the Council of Europe, and the proposal for a "Youth in Action" programme (2007-2013) in the field of Youth (COM (2004) 471, adopted by the Commission on 14/7/2004).

In accordance with the evaluation procedures of DG Education and Culture, the findings of this evaluation have been integrated into the follow-up action plan stemming from the overall intermediate evaluation of the Youth Programme. This action plan contains information on actions to be taken by the Commission services in response to the evaluator's conclusions and recommendations. Progress made in fulfilling these actions will be monitored in 02/2005.

Availability of the report

http://europa.eu.int/comm/dgs/education_culture/evalreports/index_en.htm#YouthCovenantInterim

Paper or electronic version available from: EAC-Evaluation@cec.eu.int

Evaluation of the Euro-Mediterranean Youth Programme (EuroMed)

Activities concerned 15 07 Youth

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim / ex post	3/04 – 12/04	S. Mora (+32 2 2986876)	External

Purpose of evaluation

The purpose of this evaluation was to assess the relevance, efficiency, effectiveness and sustainability of the programme. The evaluation covers the end of the first phase of the programme (ex post) and part of its second phase (intermediate). The evaluation findings will support the preparation of the third phase of the programme and of the proposal for a new Euro-Med Youth Programme from 2007 onwards.

Summary of findings and recommendations

Key findings

- Overall, the programme is relevant to the needs of its beneficiaries.
- Programme objectives as formulated in official texts are not sufficiently verifiable.
- The current age-range of the programme (15 to 25) does not sufficiently reflect the age-range of young people from MEDA countries available to undertake mobility activities.
- Since the last evaluation in 2001, the programme has considerably improved its effectiveness and has achieved a more satisfactory level of administrative performance.
- There has been an improvement in the disbursement of committed funds (from 80.6% of programmed funds in 2002 to 93.6% in 2003).
- The objective of significantly increasing the participation of Mediterranean beneficiaries has been achieved, and there is now a fair balance in numbers between projects coordinated by MEDA countries and projects coordinated by EU countries.
- The main obstacles hindering the smooth implementation and expected impact of the programme stem from restrictions on mobility due to the political situation in the MEDA region, and cultural barriers.
- Although the programme has not so far had an impact in mainstreaming youth policy into government policies in general, it has stimulated an increasing interest in youth policy at governmental level.

Main recommendations

- Quantifiable objectives need to be developed to enable the performance of the programme to be more easily monitored and assessed.
- The upper age limit for beneficiaries should be extended to 30 years.
- Specialised training in youth NGO management should be encouraged in order to support the development of youth structures.
- The exchange of information between delegations and national coordinators should be improved in the context of further clarifying the role of delegations.
- A specific EuroMed User's Guide should be prepared. The language should be non-bureaucratic, and it should be available in Arabic.
- More effort should be invested in training MEDA operators in project management.

- Support mechanisms to foster international mobility should be designed, particularly in the area of visa applications and visa costs.

Main evaluation methods and data used

- Desk research
- Field studies with interviews and surveys
- Primary data from interviews, surveys, etc.
- Secondary data from a monitoring system, statistical agencies and a stakeholder meeting

Action taken / follow-up planned

The findings of this evaluation are helping to guide and motivate the negotiations for the third phase of the Euro-Mediterranean Youth Programme.

In accordance with the evaluation procedures of DG Education and Culture, those responsible for the activities evaluated will produce an action plan describing the actions to be taken in response to the evaluator's findings and recommendations. Progress made in fulfilling these actions will be monitored six months after the adoption of the action plan.

Availability of the report

http://europa.eu.int/comm/dgs/education_culture/evalreports/index_en.htm#EuroMed2

Paper or electronic version available from: EAC-Evaluation@cec.eu.int

Press and Communication

Evaluation of Conventions and co-financing projects with Euronews in the period 1993-2003

Activities concerned 16 04 Integrated management of means of communication (at central and local level)

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	12/03 – 03/04	T. Vissol (+32 2 2994418)	External

Purpose of evaluation

External evaluation of Euronews: a comprehensive evaluation was carried out of cooperation since 1993 between the European Commission and the Euronews television channel, drawing up recommendations for the terms of any future collaboration.

The Commission report on Euronews (SEC(2003) 792/3) submitted on 9 July 2003 by the President and Mr Vitorino stated:

- “So far, the Commission has undertaken no evaluation of the financial assistance provided to Euronews. *Such a study is required for any future cooperation with Euronews after 2003.*”
- “The current convention with Euronews for the co-production of modules expires in 2004. *Any future cooperation with Euronews will be decided on the basis of the result of the evaluation report mentioned under point 2.*”

In accordance with specification, the evaluation focused on:

- the efficiency in terms of Commission communication strategy of the last ten years of collaboration with Euronews
- the quality and cost-effectiveness of the programmes produced and broadcasted during the period
- the quality, range and depth of programme content, as related to events and themes current in the European Union
- the geographic and demographic outreach of the broadcast material, including the number of languages offered and audience figures. The countries to be covered are: France, Germany, Italy, Spain, the United-Kingdom, Belgium and the Netherlands. If the tenderer considers that Russia and/or Poland and/or the Czech Republic and/or Switzerland can also be covered within the deadlines, he is invited to clearly state it in a separate section of the tender (with the corresponding prices)
- the quality and quantity of the broadcast slots offered for programmes subsidised by the European Commission
- the position and role of Euronews in the European audio-visual landscape, compared to other multinational / multilingual TV-channels and to national specialised information TV-channels

Summary of findings and recommendations

The Commission Communication of 9 July 2003¹⁶ called for an ad hoc evaluation of Community aid to Euronews. This evaluation was carried out by the specialised independent company Deloitte and Touche following an invitation to tender.¹⁷ Its results are positive.

¹⁶ SEC(2003) 792/3

The main conclusions of the report are as follows:

"Euronews is clearly relevant to EU Objectives.

"It is effective in achieving the objectives of providing EU-perspective information to a large number of people in several languages. Its effectiveness is inevitably limited by financial constraints.

"It is efficient as a partner for the Commission compared to comparable alternatives and to industry norms.

"Its utility is demonstrated by (limited) polling evidence of viewer attitudes, but it is again dependant on financial capacity...

"...Given Euronews' unique nature and position, we are of the opinion that no other pan-European channel would have been appropriate or efficient as an alternative for the partnership between the Commission and Euronews. Its average cost per hour of broadcasting is extremely low compared to European average costs of public service broadcasters."

In short, these positive assessments are based on the following points:

Firstly, the success of Euronews in terms of output and audience, and its firm foothold in the European audiovisual landscape.

Since 1993, when broadcasts began, Euronews has developed within a market that has been rapidly evolving in terms of both channels available and technology. So, while the number of national and transnational television stations was growing from 190 in 1993 to 1 132 in 2003, Euronews was able to increase its broadcasting network from 35 million to 151 million households over this period. Currently the channel broadcasts by cable and satellite in 7 languages – including Russian – to 78 countries, mainly in Europe and the EU's neighbouring countries (Eastern Europe, the Middle East, and North Africa). Audience numbers have also grown substantially to reach over 7.1 people a day at the end of 2003 (compared to 5.6 million in 2000).

In addition, the Euronews website attracts more than 500 000 hits a month, with over 4 million pages consulted and 3 000 hours of video news downloaded.

In terms of European news Euronews has become the benchmark television channel on the audiovisual scene of the EU and neighbouring countries.

Secondly, Euronews has emerged as the least costly television channel in Europe.

According to available studies, the hourly transmission costs for Euronews are significantly lower than those of other television channels. This means that Community funding, which totalled 3.6 million euros in 2004, covered the co-financing of 112 hours of new productions and 1 426 hours of European broadcasts, or 4 hours of news watched **each day** by more than 7.1 million viewers.

No other information tool seems likely to achieve this kind of a quality/output/cost ratio.

In conclusion, in the medium and long term, it would seem entirely justified for the Commission to retain Euronews as a partner within the framework of implementing its audiovisual strategy, and this is the recommendation made by the evaluators.

Main evaluation methods and data used

- Desk research
- Cost-effectiveness analysis
- Multi-criteria analysis

¹⁷ "Evaluation of Conventions and co-financing projects with Euronews in the period 1993-2003" Draft Final report DG Budg/2000/S 203-130610, European Commission, DG PRESS, March 2004

Action taken / follow-up planned

The results of the evaluation were sent to the European Parliament and to the IGI.

They served as a basis for the Communication from the Commission (Mr Vitorino) implementing the information and communication strategy for the European Union (2004-2006) (COM 198), and also for the decision awarding an operating grant to Euronews in 2004.

They continue to be employed within the context of pursuing the cooperation between the Commission and Euronews.

Availability of the report

Not published. For the internal use of the Commission only.

Decentralisation of the Prince campaigns in the Representations in 2003

Activities concerned 16 05 Coordination of information relays and networks in the European Union

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante/interim	11/03 – 02/04	S. Bouygues (+32 2 2951718)	Internal

Purpose of evaluation

Study of the Prince campaigns implemented during 2003 by the Representations, with the aim of analysing:

- the effects of decentralisation and how this could be improved
- the revision of subdelegation mechanisms
- the mechanisms to be implemented so as to achieve all the necessary guarantees in respect of the proper application of decentralised Prince appropriations
- and defining the role of the Representations in the context of the Commission's communication strategy for which DG PRESS is responsible
- the improvements that could be made to the Prince campaign information strategies introduced by the Representations within the different Member States
- the establishment of facilities aimed at ensuring consistency with the objectives to be reached through these campaigns.

Summary of findings and recommendations

- There is a dichotomy between the political and management aspects of Prince campaign measures.
- Representation resources have been unduly mobilised for activities relating to Prince. This may be to the detriment of other activities. The Representations do not have the means to carry out monitoring, control and evaluation work.
- Resources within Representations do not match the scale of these additional activities which, in the majority of cases, are limited to implementation.
- It is difficult to evaluate the impact of the measures because of a lack of indicators.
- Recommendations :
- Analyse the absorption capacity of the Representations and to make more staff available from delegated DGs
- Make sure that the different DGs set objectives with appropriate indicators
- Redefine the mission and the priorities of the Representations
- Determine the roles of the different DGs involved in the process of implementing information campaigns, particularly Prince.

Main evaluation methods and data used

- Logical framework
- Diagram

- Desk research
- Interviews
- Primary data from interviews, surveys, reports

Action taken / follow-up planned

Availability of the report

Paper or electronic copy available on request from S. Bouygues (+32 2 2951718)

Evaluation of the major information centres

Activities concerned 16 05 Coordination of information relays and networks in the European Union

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante/interim	03/04 – 12/04	S. Bouygues (+32 2 2951718)	Internal

Purpose of evaluation

Study of the major information centres:

Analysing:

1. the activities of the major centres in Paris, Lisbon and Rome ;
2. their correlation with defined objectives and their value added in relation to existing information services in Member States and information relays and networks;
3. how they meet the needs expressed by citizens in Member States

in order to:

- identify guidelines on what a major centre should be;
- propose a reference framework for improving the current centres;
- attempt to draw up a reference framework with a view to establishing new centres in a Europe of 25.

Summary of findings and recommendations

Conclusions

- The three major centres were set up randomly, each being different from the others in terms of its output and autonomous in its planning and management;
- The three major centres are not a tool serving an information strategy shared by the Commission and the Member States concerned;
- The three major centres have a far more regional than national dimension and address an informed audience;
- Their products and activities are interesting but do not necessarily meet the public's needs - these have not been identified or taken as the subject of an impact study.

Recommendations

- Launch a country-by-country analysis of the general public's information needs;
- Incorporate the major centres into a structured network so as to establish coherence between the different levels of information: national, regional and local;
- Define strategic guidelines on the basis of which the major centres can set up annual programmes;
- With regard to existing centres, strengthen the role of the managing bodies, lay down rules of procedure, put into place monitoring tools, and resolve outstanding legal issues; for the new centres, draw up a specification and a standard agreement;
- Carry out regular evaluation of activities;
- Make provision for the effect the development of any future centres will have on DG PRESS.

Main evaluation methods and data used

- Logical framework
- Diagram
- Desk research
- Interviews
- Primary data from interviews, surveys, reports

Action taken / follow-up planned

In the light of studies carried out with national authorities, establishment of appropriate measures to be taken; Examination, on the basis of recommendations, of measures to be taken for setting up new centres.

Availability of the report

Paper or electronic copy available on request from S. Bouygues (+32 2 2951718)

Health and Consumer Protection

Ex-post evaluation of the consumer policy action plan 1999-2001

Activities concerned 17 02 Consumer policy

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	01/04 – 11/04	M. Van Lamsweerde (+32 2 2959799)	External

Purpose of evaluation

To contribute to the Commission's efforts to:

- analyse the impact of the measures and actions of the action plan on consumer policy at EU level.
- draw conclusions and recommendations for ongoing and future consumer policy development, in particular in the context of an enlarged internal market.

The evaluation should cover the Consumer Policy Action Plan 1999-2001 (CPAP), and should measure the effectiveness, utility and sustainability of the Plan.

The contractor should develop a framework for assessing the impacts of the Community Consumer Policy, including the identification and development of indicators that could be used for such a multi-annual policy.

Summary of findings and recommendations

The specific ex-post items of the evaluation indicates a number of weaknesses of the CPAP, e.g. not providing a real strategy, not including enlargement issues, etc. On the other hand, it should be considered as a plan of transition between a generic set of priorities for consumer issues in the preceding years and a real consumer policy strategy that took over after the CPAP and remedied many of the weaknesses.

The recommendations for the future concern e.g. an enhanced coordination between the different policy instruments (including cooperation between funded networks), a reinforced partnership with field organisations, a strengthened enforcement (partly through strengthening the role of consumer organisations), etc.

The evaluation proposes a structured framework of indicators relevant for the Community Consumer Policy and its sub-areas.

Main evaluation methods and data used

- Impact matrix
- Desk research
- Field studies with interviews
- Secondary data from a monitoring system and statistical agencies
- Comparison / Control groups
- Multi-criteria analysis

Action taken / follow-up planned

The results of the evaluation will be used for fine-tuning of the implementation of the running Consumer Policy Strategy (that follows the CPAP), for the monitoring of this strategy and the development of the

Consumer Policy knowledge base. The recommendations are mainly of the nature of “lessons learned” and promote the organisational learning. The use of the results referring to the indicator framework is of an instrumental character.

Availability of the report

Paper or electronic copy available on request from Ms. V. Arnault (+32 2 2990006).

Evaluation of article 2(c) of the legal base Decision no. 283/1999/EC call for projects

Activities concerned 17 02 Consumer policy

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim	01/04 – 10/04	V. Arnault (+32 2 2990006)	External

Purpose of evaluation

- (1) To analyse and provide conclusions on the status of implementation of the actions providing financial support for specific projects to promote the interests of consumers (which will be referred to as actions in the rest of this text), particularly concerning the level of achievement of the objectives as specified in the Decision;
- (2) To analyse the management and selection procedures and to provide recommendations for improvements, with a view to increase the effectiveness and efficiency of the actions;
- (3) To report on lessons learned in the actions that would be useful for future actions, both from the perspective of the Commission and of project organisers.

Summary of findings and recommendations

An overall conclusion is that the consumers in the Member States are well reached through the actions, and there are a number of cases presenting a significant multiplier dimension. However, the focus of the actions on sensitive population groups is limited, and improvement is still possible in this respect. In addition, the direct impacts immediately affecting the level of protection of consumers are rather scarce.

The evaluation delivers a large number of recommendations referring to the management of the actions, which appear to be of general interest for funding programmes of the same size and structure.

Main evaluation methods and data used

- Concept mapping
- Logical Framework/Diagram
- Desk research
- Field studies with surveys
- Primary data from interviews, surveys, etc.
- Secondary data from a monitoring system
- Case studies
- Comparison/Control groups
- Cost-effectiveness analysis
- Multi-criteria analysis

Action taken / follow-up planned

The results of the evaluation, mainly concerning fine-tuning of the management of the actions, will be used to improve the efficiency, effectiveness and sustainability.

Availability of the report

Paper or electronic copy available on request from Ms. V. Arnault (+32 2 2990006).

Evaluation of the Euroguichets – European Consumer Centres (ECCs)

Activities concerned 17 02 Consumer policy

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim	01/04 – 11/04	S. Soro (+32 2 2967543)	External

Purpose of evaluation

With reference to the Consumer Policy Strategy, the evaluation should cover all existing ECCs in order to assess:

- the effectiveness and the efficiency of this European initiative;
- whether the location has an impact on the effectiveness and efficiency of the ECCs.

Summary of findings and recommendations

The evaluator makes the general conclusion that the European Consumer Centres Network achieves its objectives. A main recommendation is that the network and the individual centres should focus the activities on cross-border issues and on topics with a clear European dimension. In addition, the evaluation delivers a number of recommendations referring to the set-up of centres and the network, and on organisational and management issues.

Main evaluation methods and data used

- Other structuring tools: The evaluator applies a general methodology called “functional review”

Action taken / follow-up planned

The results of the evaluation will be taken into account for the merger of the ECC network with the European Extra-Judicial network. The recommendations concerning set-up, organisation and management will be particularly useful for the establishment of centres in the new Member States.

Availability of the report

Paper or electronic copy available on request from S. Soro (+32 2 2967543).

Evaluation of the Food Safety Campaign

Activities concerned 17 02 Consumer policy

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	01/04 – 07/04	A. Fokkema (+32 2 2963866)	External

Purpose of evaluation

a) to evaluate the effectiveness and efficiency of the national campaigns launched in 2000 and in 2001 in achieving their set objectives and in reaching their target groups, and compare the impact of the campaigns in these Member States.

b) to evaluate the effectiveness and efficiency of the decentralized approach towards information/education campaigns, and of the role of the external co-ordinator, as implemented in the food safety campaigns. To this end the evaluation should also review the results of the evaluation of the 1998 and 1999 food safety education campaigns.

c) to make recommendations for organizing and managing future consumer information/education campaigns (on food related issues and non-food issues) in the light of the above, and of the general Commission Information and Communication Strategy (Communication of the Commission on EU Information and Communication Strategy COM (2002) 350) and Article 153 of the European Union Treaty.

Summary of findings and recommendations

Viewed as a whole, the evaluator assesses that the campaigns on one hand have been effective in terms providing output as well as in establishing new partnership and promoting the role of consumer organisations. On the other hand they have been rather ineffective and inefficient when it comes to creating impact in target groups. This is partly due to the given conditions (relatively low budgets and a harsh communication environment) and partly due to internal shortcomings in the campaign set-up. The evaluation delivered 16 main recommendations, and the overall recommendation was that the Commission initiate food quality education programs as opposed to food safety information campaigns.

Main evaluation methods and data used

- Concept mapping
- Desk research
- Field studies with interviews and surveys
- Secondary data from a monitoring system
- Case studies
- Comparison/Control groups
- Benchmarking
- Cost-effectiveness analysis

Action taken / follow-up planned

A list of "Ten thinking points for information campaigns" has been established on the basis of the evaluation report. A seminar is being organised in SANCO to share the lessons learned with the other SANCO policy

areas. The thinking points and the recommendations will be applied in new information campaign, e.g. for the campaign on Consumer Rights in Poland.

Availability of the report

Paper or electronic copy available on request from A. Fokkema (+32 2 2963866)

Evaluation of the EEJ-net pilot & possible merger of the EEJ-net and the Euroguichets

Activities concerned 17 02 Consumer policy

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex-ante / ex-post	01/04 – 09/04	I. Rouveure (+32 2 2992113)	External

Purpose of evaluation

First, an ex-post evaluation of the EEJ-Net pilot phase, in order to assess its effectiveness and efficiency. This analysis should supplement the Commission Communication and Working Document which present the conclusions the Commission has drawn from the analysis of the activities of the network and from the outcome of this Conference. It should enable the Commission to decide how best to support this initiative in the future.

Second, an-ex ante budgetary evaluation of a possible merger of the EEJ-Net and ECC network. Before going further on the possible merger of the networks, it is necessary to study the financial consequences of this merger as such and to forecast the financial needs of the network's members. This analysis should enable the Commission to decide how best to support this initiative in the future.

Summary of findings and recommendations

Ex-post of the EEJ pilot:

There is a need for assessment, studies and monitoring to analyse the baseline situation and consumer needs for redress and assistance with cross-border shopping issues (in particular through Alternative Dispute Resolution, ADR), regular consumer surveys and, if possible, monitoring and coordination of ADR at national level.

The New Member States should be prepared for participation through for example transnational learning, twinning and possible a good practice / lessons learnt guide.

The further development of the EEJ-Net should include a formal update of its aims and objectives, addressing issues of duplication and overlap, increasing the focus of the network on awareness raising and improving feedback on cases.

Ex-post of Merger: The ex ante budgetary evaluation considered two scenarios in detail. These were:

Scenario One: A merger takes place whilst the current budget and resource allocation procedure is maintained and a similar level of services is provided.

Scenario Two: A merger takes place and the resource allocation procedure and budget structure is modified.

Under the first scenario it is estimated that the costs of the EU costs of the merged networks could reduce by 10% or 780K euro per year. Reductions in EC management costs of 68K euro per year could also be envisaged.

The merger should provide a much stronger base for information gathering and flows on the issues associated with cross border shopping.

Under the second scenario, the preferred option is to differentiate funding to promote improved performance whilst providing core funding required for each centre to fulfil their mandate, supplemented by finance provided on a project basis for improvements for the networks including a collaborative initiative to develop performance measures that could eventually be used in moves towards an element of finance being based on performance.

It is estimated that under scenario two the potential savings relative to scenario one would be in the order of 1.3 million euro (17%).

Main evaluation methods and data used

- Logical Framework/Diagram
- Desk research
- Field studies with interviews
- Secondary data from a monitoring system
- Case studies
- Factor analysis
- Benchmarking
- Cost-benefit analysis

Action taken / follow-up planned

Using the results of the evaluation it has been decided to merge the two networks, and a performance based system of resource allocation will be introduced.

Availability of the report

Paper or electronic copy available on request from Ms I. Rouveure (+32 2 2992113)

The eight action programmes on Public Health (1996-2002)

Activities concerned 17 03 Public health

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	12/02 – 11/04	T. Piha (+32 2 2985487)	External

Purpose of evaluation

The evaluation will examine the eight Community action programme on various public health topics in relation to their objectives expressed in the programme Decisions. The evaluation will address issues such as the impact, effectiveness, efficiency, utility and sustainability of the eight programmes as well as evaluate a sample of the projects funded by the programmes.

The purpose of the contract on the evaluation of the eight programmes is to be a summative study that would help in the implementation of the new action programme on public health. In order to support the further work in the best possible way, the evaluation needs to cover both monitoring (describing the situation) and evaluation (judging the situation) aspects.

Summary of findings and recommendations

The evaluator confirms that there is a rationale for the European intervention in the field of Public Health alongside the terms of the Treaty. The eight Programmes had an overall positive added value and call for further investment by the EU in Public Health.

The evaluation underlines the relevance of EU intervention in several areas, such as data collection and consolidation of comparable databases, European coverage for research on diseases with low prevalence at regional or national level, transfer of knowledge on policies and instruments and, awareness-raising of the emergence and importance of new diseases or issues, establishment of networks. In these areas, the programmes have addressed implicit or explicit needs and have been appreciated for their inputs.

In other areas, the Commission has played an interesting role of “motor” and fostered new approaches to issues such as prevention, anti-discrimination measures and awareness-raising measures effectively targeted on specific sub-groups or the general public.

The programmes have produced a substantial and diverse set of realisations of valuable quality which have helped towards progress in the scientific and technical areas related to public health, selected diseases and knowledge sharing. Other tangible realisations include training material, prevention programmes, and awareness-raising among specific target groups.

The review of objectives showed some inconsistencies between different levels of intervention and activity areas, affecting the clarity of the programmes.

The separate programme approach, with few bridges between the programmes, generated a large number of administrative and management problems.

The evaluation delivers 19 useful and interesting recommendations on (1) the structuring of the Community Public Health framework, (2) the prioritisation of health issues, (3) the involvement of the Member States, (4) the options for effective policy instruments, and on (5) project and programme management.

Main evaluation methods and data used

- Logical Framework/Diagram
- Desk research

- Field studies with interviews and surveys
- Primary data from interviews, surveys, etc.
- Secondary data from a monitoring system and statistical agencies
- Case studies
- Benchmarking
- Multi-criteria analysis

Action taken / follow-up planned

The results of the evaluation will be used for the fine-tuning of the implementation of the running Public Health programme, and for the design of the next evaluation that will provide an intermediate assessment of the running programme and inputs for the next-coming programme.

Availability of the report

http://europa.eu.int/comm/health/ph_programme/previous_programme_en.htm

Paper or electronic copy available on request from L. Briol (+32 2 2934450)

Impact assessment: Control of avian influenza

Activities concerned 17 04 Food safety, animal health, animal welfare and plant health

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	mid 03 – 12/04	A. Laddomada (+32 2 2995835)	Internal

Purpose of evaluation

The purpose is:

1 – to assess options for repealing Directive 92/40/EEC on Community control measures for the control of Avian Influenza (AI) and to replace it by a new Directive updating existing provisions, with the aim of ensuring a better control of AI, taking into account the need to reduce as much as possible the need for massive slaughter of birds.

2 – to provide elements for amending Council decision 90/424/EEC on Community expenditure in the veterinary field :

- to foresee a financial contribution (30%) to Member States, for the costs in which they incurred, in case a stamping out policy is applied following Low Pathogenic AI (LPAI) outbreaks;
- to foresee a financial contribution (up to 50%) for the Member States surveillance programmes

Summary of findings and recommendations

- Change in the definition of “Avian Influenza”.
- Compulsory surveillance and control measures for Low Pathogenic AI (LPAI)
- New and more flexible provisions on vaccination of poultry and other birds
- New and flexible provisions for the control of LPAI and High Pathogenic AI (HPAI) in domestic birds other than poultry, such as those kept in zoos, endangered species or of rare breeds
- New provisions to ensure co-operation between veterinary and public health authorities, in case of detection of AI, with a view of protecting human health.
- attribution to the Commission, through Regulatory Committee procedures, of the legal power to adopt further and more specific AI control measures,
- attribution to the Commission, through Regulatory Committee procedure, of the legal power to establish an AI vaccine bank

Main evaluation methods and data used

- Desk research
- Field studies with interviews, surveys, focus groups and direct observation
- Primary data from interviews, surveys, etc.
- Secondary data from literature / experts and Experts groups / Scientific Committee / Stakeholders' consultation
- Cost-benefit analysis
- Multi-criteria analysis

Action taken / follow-up planned

Objective: Adoption of a Commission legal proposal in early 2005

Availability of the report

Paper or electronic copy available on request from A. Laddomada (+32 2 2995835)

Evaluation of the methodology for the prioritisation of FVO inspections on national authority performance in delivering EU standards in the food safety, animal health animal welfare and plant health sectors

Activities concerned 17 05 Food and Veterinary Office

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim	01/04 – 11/04	A. Lemm (+32 2 2970762)	External

Purpose of evaluation

To review the strengths and weaknesses of the current system covering the period from 2000 to 2003; to identify any future system needs arising from the new policy context (proposals for Feed and Food Control Regulation and Hygiene Package); to identify any best practices as identified in other Commission services and in other inspection organisations with a similar mission.

Summary of findings and recommendations

The evaluator makes the conclusion that the current system works in practice, and that the users are generally satisfied. However, the system provides low transparency to internal and external stakeholders, and does not formalise the element of risk assessment. Furthermore, it does not recognise the prioritisation exercise as a process. The evaluation contains a number of recommendations to improve and strengthen the current system. A meeting has been held between the management concerned and the evaluators. The weaknesses of the current system have been recognised and the recommendations will be used as inputs to the next step for improving the system. The evaluation is an example of a highly participatory approach resulting in both organisational learning and instrumental use of results.

Main evaluation methods and data used

- Concept mapping
- Desk research
- Primary data from interviews, surveys, etc.
- Secondary data from a monitoring system
- Case studies
- Benchmarking

Action taken / follow-up planned

A meeting has been held between the management concerned and the evaluators. The weaknesses of the current system have been recognised and the recommendations will be used as inputs in the next step for improving the system.

Availability of the report

Manner of publication not yet decided.

Freedom, Security and Justice

Extended Impact Assessment for the Visa Information System (VIS)

Activities
concerned

18 02 External Frontiers, visa policy and free movement of workers

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	05/04 – 12/04	R. Mossmann (+32 2 2987167)	External

Purpose of evaluation

- To find the most effective policy option to meet the objectives, set out in the Council Conclusions of 19 February 2004
- Evaluation of the proportionality of the storage and use of data

Summary of findings and recommendations

- VIS with biometrics is the policy options that meets the objectives set out by the Council Conclusions of 19 February 2004 at the best
- entry-exit-system is extremely costly
- storage of scanned documents is disproportional

Main evaluation methods and data used

- Impact matrix
- Other structuring tools: handbook of the SDG
- Desk research
- Field studies with Interviews, surveys, focus groups
- Primary data from interviews, surveys, etc
- Secondary data from statistical agencies, literature/experts
- Expert panels
- Delphi methods
- Factor analysis
- Cost-benefit analysis

Action taken / follow-up planned

Elaboration of a proposal for a legal instrument in the lights of the results of the Extended Impact Assessment (no storage of scanned documents, no exit-entry-system, storage of biometrics)

Availability of the report

http://europa.eu.int/comm/justice_home/doc_centre/freetravel/visa/doc/study_eia_epec_en.pdf

Final evaluation of the EU Drugs Strategy and Action Plan on Drugs 2000-2004

Activities concerned 18 07 Coordination in the field of drugs

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim	2003 – 10/04	I. Faria de Almeida (+32 2 2961009)	Internal

Purpose of evaluation

The aim of final evaluation was to assess the level of achievement of the activities set out in the Action Plan, to assess the extent to which this meets the objectives of the Drugs Strategy and to assess the impact of both the Drugs Strategy and the Action Plan on the drug situation in the European Union.

Summary of findings and recommendations

I. Assessment of the level of achievement of the activities set out in the Action Plan

- Around 95 per cent of the actions set out in the EU Action Plan on Drugs have been implemented or are in some stage of being implemented.
- The EU Drugs Strategy and Action Plan have been taken as a central reference point for action and have provided a framework for drug-related activities and initiatives at national and EU level.
- Almost all Member States have adopted a national drugs strategy or action plan. Among the elements in these national drugs strategies and action plans, there are common patterns with the EU approach, as outlined in the EU Drugs Strategy and Action Plan.

II. Assessment of the extent to which achievement of the Action Plan met the objectives of the Drugs Strategy

- There can be little doubt that the implementation of the actions in the Action Plan has contributed to the achievement, to a greater or lesser extent, of the 11 aims of the EU Drugs Strategy.

III. Assessment of the impact on the drug situation

- To some extent at least, progress has been made in achieving some of the targets of the EU Drugs Strategy (Target 2 and, in particular, Target 3)¹⁸.
- Based upon the evaluation tools, no strong evidence exists to support the contention that the goal of Target 1 to significantly reduce drug use prevalence has been achieved or that fewer young people are using drugs. However, the snapshot data suggests that overall a levelling off in the upward trend in drug use prevalence may be seen, even though it is at what may be considered as historically high levels.
- Similarly, the available information does not suggest that the availability of drugs has been reduced substantially (Target 4). At the same time, Targets 4 and 5 taken together have been a catalyst for a number of EU level initiatives that have strengthened law enforcement measures against drug trafficking and supply.
- A number of important initiatives have also been taken to combat money laundering (Target 6.1). With regard to Target 6.2, Member States participate in a number of important initiatives to combat the diversion of precursors, such as the European Joint Unit on Precursors. Important proposals have been brought forward to amend the Community legislation in the field of the control of trade in precursors.

¹⁸ For further exploration see the snapshot and the thematic paper "Main lessons from investigation of evaluation in the drug policy field in the European Union" on the EMCDDA's website.

Proposals

- The future EU Drugs Strategy should contain clear and precise objectives and priorities that can be translated into operational indicators and actions in the future Action Plans, with responsibility and deadlines for their implementation clearly defined. Information systems and evaluation tools should be taken into consideration when setting these objectives and priorities.
- Continued progress should be made in the availability, quality and comparability of information on monitoring the drugs situation.
- The Commission will bring forward a proposal in the beginning of 2005 for an Action Plan on Drugs 2005-2008. In addition, the Commission will draw up an annual progress review on the implementation of this action plan and will organise an impact assessment in 2008, with a view to proposing a second Action Plan for the period 2009-2012. During 2009-2012, annual progress reviews will continue to be drawn up by the Commission. In 2012 the Commission will organise an overall evaluation of the EU Drugs Strategy and Action Plans that will be presented to the Council and the European Parliament.
- The objectives of the new Drugs Strategy and Action Plans should be reflected in the Multi-annual Programme consolidating the area of freedom, security and justice.
- The primary focus of the work of the Council's Horizontal Drugs Group should be on moving forward and monitoring the implementation of the actions set out in the future EU Action Plans on Drugs, as well as having a leading role in co-ordinating the work of the other Council groups on drug issues.
- There are many interesting and useful activities in the drugs field being implemented. The results of these activities should be more widely shared to promote similar activities elsewhere. In this context, consideration should be given to having an annual seminar on an aspect of drugs policy linked to these activities.
- This final evaluation should be taken into account in the development of the new EU Drugs Strategy 2005-2012.

Main evaluation methods and data used

- EMCDDA prepared several tools (see item 2.2 of the evaluation)
- Factor analysis
- Statistical analysis
- Eurobarometer
- Multi-criteria analysis

Action taken / follow-up planned

Presentation by the Commission of a new Action Plan based on the lessons learned from the final evaluation (2005)

Availability of the report

http://europa.eu.int/comm/dgs/justice_home/evaluation/dg_coordination_evaluation_annexe_en.htm

Study on Evaluation of Policies and Legislation: Application of the analytical framework developed in the preliminary phase

Activities concerned 18 81 Policy strategy and coordination

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim	2003 – 12/04	D. Correia (+32 2 2950101)	Internal

Purpose of evaluation

The purpose of the evaluation was to assess the adequacy of the proposed analytical framework for the evaluation of policies and legislation in relation to the establishment of a European Area of Freedom Security and Justice. The analytical framework was applied to two contrasting policy areas within the Tampere conclusions – a Common European Asylum System and Judicial Cooperation in criminal matters, in particular as regards the fight against money laundering and financial crime. The aim was to assess progress towards establishing policies necessary for an area of freedom security and justice.

Summary of findings and recommendations

- The value of following through the formulation, implementation and results of policies has been confirmed. It has proved much easier to understand the realities of transposition and implementation having followed (or at least reconstructed) the negotiation process and analysed actors' strategies.
- The importance of 'tracking change over time' has been demonstrated and confirmed. Specifically the synoptic instruments and rating scales applied to various versions of policy texts have proved valuable. We are confident that a subsequent stage of evaluation could also usefully concentrate on tracking further change over time as would follow from implementation.
- To a limited extent the use of a panel of stakeholder 'experts' drawn from Member States, academics and NGOs that provided independent validation of the rating scales and criteria they use, has engaged stakeholders in making judgements and confirmed the value of including evaluative judgements from different perspectives.
- The intervention logics of most policy instruments considered were clear and unambiguous. It was clear for example how approximation of laws or the creation of cooperation platforms (such as networks of jurists or policemen) were expected to reinforce judicial cooperation. The kinds of criteria – substantive and procedural – that were identified in the earlier study have been applied throughout this study.
- Many but not all of the potential methods identified (e.g. on page 33 of the Final Report of the earlier study phase and in subsequent tables) were used and proved useful. Where methods were not used it was more related to their inappropriateness to the particular policies under consideration than because of their more general unsuitability.

Main evaluation methods and data used

- Field research
- Field studies with interviews
- Case studies

Action taken / follow-up planned

This study, its findings and recommendations will be used to further develop the methodology for evaluation of policies. Policy evaluation is of particular importance in view of the entering into force of the Constitutional Treaty, bearing in mind article III-260. In order to be ready to present a proposal for the application and implementation of this article, a Communication is envisaged for the beginning of 2006 taking into account lessons learned in the context of policy evaluation.

Availability of the report

http://europa.eu.int/comm/dgs/justice_home/evaluation/dg_coordination_evaluation_annexe_en.htm

External Relations, Development and Relations with ACP States

Evaluation of the network of EU Centres in the United States, Canada, Australia and New Zealand

Activities concerned 19 05 Relations with non-EU OECD countries

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	12/03 – 09/04	C. Hughes (+32 2 2991800)	External

Purpose of evaluation

- To comply with the requirement of the legal base
- To check the continued relevance of the programmes
- To assess the programmes' effectiveness, efficiency and impact
- To identify needs for adaptations or reorientations

Summary of findings and recommendations

- EU Centers are an effective means of increasing understanding of the EU in the partner countries, not only in academic circles but in society at large.
- Centres are very cost-efficient offering a high level of return in relation to modest levels of funding
- A more strategic approach would improve the coherence, impact, cost effectiveness and sustainability of the initiative
- The visibility of the EU Centres in partner countries should be enhanced
- Synergies with other EU initiatives should be developed further.

Main evaluation methods and data used

- Logical framework
- Desk research
- Field studies with interviews and surveys
- Primary data from interviews, surveys, etc.
- Comparison/control groups
- Statistical analysis

Action taken / follow-up planned

A new phase of support to EU centres is being prepared taking into account the evaluation results in terms of programme design, allocation of resources and means of preparation.

Availability of the report

Paper or electronic copy available on request from C. Hughes (+32 2 2991800).

Evaluation of the Executive Training Programme and the Gateway to Japan Campaign

Activities concerned 19 05 Relations with non-EU OECD countries

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim	12/03 – 07/04	F. Vareille (+32 2 2955117)	External

Purpose of evaluation

- To comply with the requirement of the legal base
- To check the continued relevance of the programmes
- To assess the programmes' effectiveness, efficiency and impact
- To identify needs for adaptations or reorientations
- To assess the potential impact of enlargement on programmes

Summary of findings and recommendations

- Programmes continue to be highly relevant despite changes in the implementation context
- Cost-effectiveness is judged satisfactory (high or medium to high)
- There is a need to restructure the Executive Training Programme in order to restore its full attractiveness
- Enlargement brings new opportunities for programme development
- Validation of ETP reform hypotheses formulated by the Commission

Main evaluation methods and data used

- Desk research
- Field studies with interviews, surveys
- Primary data from interviews, surveys, etc.
- Secondary data from a monitoring system
- Comparison/control groups
- Cost-effectiveness analysis

Action taken / follow-up planned

A revamp of the Executive Training Programme is under way in terms of programme structure, allocation of resources and implementation methods.

Availability of the report

Shortly available on DG RELEX website.

Paper or electronic copy available on request from F. Vareille (+32 2 2955117).

Evaluation of the assistance to Western Balkan countries under Regulation 2666/2000 (CARDS)

Activities concerned 19 07 Relations with the western Balkans

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim	06/03 – 05/04	A. Chambel (+32 2 2967403)	External

Purpose of evaluation

The evaluation served the preparation of a proposal for the future of Council Regulation 2666/2000, as specified in Article 13 of the legal basis. The evaluation assessed the degree of progress towards achievement of the objectives of this regulation, in the context of the Stabilisation and Accession process.

Summary of findings and recommendations

Main Findings and Conclusions

1. CARDS remains highly relevant for Western Balkan countries and entities and ensures an effective linkage with the stabilisation and association process. It has been and is by far the most important single source of support for the reconstruction and reform process.
2. Donor co-ordination in CARDS has positive features, but the relationship with poverty reduction strategies (in countries where they apply) needs to be clarified if the primary framework is that of the stabilisation and association process.
3. Over-centralisation of CARDS could become an obstacle to programme effectiveness. Ownership and sustainability depend upon genuine partnership in programming as well as project design. In certain areas, and in particular the CARDS Regional Programme, lack of stakeholder involvement has a negative impact on project and programme design. In general the regional dimension of the programme is weakened by a lack of strategic guidance.
4. The devolved implementation models for CARDS implementation, i.e. the deconcentrated delegations and the European Agency for Reconstruction, both have significant strengths and weaknesses (in areas such as policy dialogue, contracting, human resources management etc) with potential for better cross-fertilisation of good practice and co-operation.

Main Recommendations

1. To decentralise CARDS through a gradual approach sensitive to the conditions of each country or entity, placing thereby a greater emphasis on the development of capacity.
2. To establish specific policy instruments and financial arrangements to support investment in infrastructure and private sector development, including a new regional investment facility.
3. To review the programming cycle, basing the strategic framework for annual programmes directly on the European Partnerships and the recommendations of SAP reports. To shift responsibility for programme management in line with the current pre-accession model.
4. To improve regional guidance in specific sectors such as Justice and Home Affairs and Public Administration: to reorganise regional programmes including the possibility of devolution.

Main evaluation methods and data used

- Logical framework/Diagram
- Desk research

- Field studies with interviews
- Primary data from interviews, surveys, etc.
- Secondary data from a monitoring system
- Case studies
- Benchmarking

Action taken / follow-up planned

Evaluation results were taken into account in the formulation of a proposal for the successor to the Regulation. In addition, such results should be reflected in the programming process for Balkan countries, and in reviews of implementation arrangements.

The Commission services drafted a published response to the principal conclusions and recommendations. ('fiche contradictoire'). The third column (follow up of the recommendations accepted) of the 'fiche' is to be filled in October 2005.

Availability of the report

<http://europa.eu.int/comm/europeaid/evaluation/program/cardsrep.htm>

Evaluation of the European Agency for Reconstruction (EAR) (Regulation 2667/2000)

Activities concerned 19 07 Relations with the western Balkans

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim	08/03 – 05/04	A. Chambel (+32 2 2967403)	Internal / External

Purpose of evaluation

The evaluation served the preparation of a proposal for the future of Council Regulation 2667/2000, as specified in the legal basis. The evaluation will assess the EAR's progress against its stated objectives, focusing on the delivery of CARDS assistance, and in the context of the Stabilisation and Accession process. The evaluation also recorded the Agency's evolution and the execution of its mandate.

Summary of findings and recommendations

Main Findings and Conclusions

1. The Agency model has proved to be administratively sound and managerially responsive. The Agency has been especially successful in recruiting and motivating staff, in its communication activities and in developing a quality assurance capacity, particularly at project level.
2. The Governing Board of the Agency has provided only limited added value in strategic terms, and has little impact on donor co-ordination. However, the Agency itself has been reasonably successful in its donor co-ordination activities.
3. Insufficient attention has been placed in the past to monitoring and evaluating the Agency's performance at sector level.
4. The Agency needs to show flexibility to adapt its approach to the demands of the stabilisation and association process and of the partner entities.

Main Recommendations

1. To achieve a greater sense of ownership among beneficiaries and partners, the Agency should prepare for each country or entity where it operates a plan aimed at building up the capacity of the recipient country-entity to manage its own resources. The Agency should also prepare its own staff deployment plan on a yearly basis.
2. Specific "programming" meetings of the Governing Board should be arranged each year to allow greater focus on policy priorities and regional co-ordination.
3. From 2007 onwards, at the expiry of the existing multi-annual indicative programmes (MIPs), the need for Country Strategies and MIPs should be reconsidered, especially in the light of the implementation of European Partnership documents.
4. The Agency's evaluation system should be strengthened to allow systematic cross-country and sector evaluations, focusing more on the contribution of support to Sap objectives. "Sector leaders" in different regional centres should be appointed to co-ordinate sector activities.

Main evaluation methods and data used

- Logical framework/Diagram
- Desk research
- Field studies with interviews

- Primary data from interviews, surveys, etc.
- Secondary data from a monitoring system
- Expert panels
- Case studies

Action taken / follow-up planned

Evaluation results were taken into account in the formulation of a proposal on the future status of the Agency. The Commission services drafted a published response to the principal conclusions and recommendations ('fiche contradictoire'). Third column (follow up of the recommendations accepted.) to be filed in October 2005.

Availability of the report

<http://europa.eu.int/comm/europeaid/evaluation/program/cardsrep.htm>

Evaluation of the EC Country Strategy for Honduras

Activities concerned 19 09 Relations with Latin America

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim / ex post	05/03 – 02/04	O. Henao Triana (+32 2 2955343)	External

Purpose of evaluation

The main purpose of the evaluation is to show the Commission the results of its policy of cooperation with Honduras and to draw lessons from past and present experience in that field. The evaluation takes account of the political, economic, social and environmental context in Honduras and presents a set of analyses, conclusions and detailed recommendations with the aim of helping political decision-makers and the various departments in their implementation of the current strategy.

Summary of findings and recommendations

The main recommendations are :

To establish a visible and effective presence in Honduras. The Commission must put itself in a better position to conduct a dialogue with the Government and all local players, familiarise itself with its partners and the institutions it supports and follow up its operations so that it has a better overview of its own cooperation work and its impact. It is strongly recommended that a delegation be opened in Tegucigalpa.

To redefine, reinforce and spell out the overarching objective of cooperation. The Commission needs to develop a real strategy able to guide all its cooperation work - no matter what the budget line – and incorporating a final, cross-cutting objective that combines the fight against poverty with democratisation and defence of human rights. It must lead efforts at systematisation and focus interest on strategic themes.

Strengthening human rights and civil society. Contribution to democratisation must become a criterion for selecting and devising operations. Cooperation must be geared to sectoral support, while at the same time maintaining the diversity of partners and pursuing a parallel and explicit objective of strengthening civil society.

Main evaluation methods and data used

- Logical Framework/Diagram
- Desk research
- Field studies with interviews and surveys
- Primary data from interviews, surveys, etc.
- Secondary data from statistical agencies and literature / experts
- Case studies

Action taken / follow-up planned

A 'Fiche contradictoire' with the Commission reply to the recommendations is published at:
<http://europa.eu.int/comm/europeaid/evaluation/program/alarep.htm>.

Availability of the report

<http://europa.eu.int/comm/europeaid/evaluation/program/alarep.htm>

Evaluation of the EC Country Strategy for Ethiopia

Activities concerned 21 03 Relations with sub-Saharan Africa, the Caribbean, Pacific and Indian Ocean and overseas countries and territories

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim / ex post	05/03 – 05/04	T. Schedvin (+32 2 2999824)	External

Purpose of evaluation

The purpose of the evaluation is to evaluate the implementation and the results of the Commission support 1996-2003, and also to evaluate the CSP as a management instrument. The evaluation should produce lessons and recommendations that can serve as useful inputs (i) to the implementation of the current strategy, (ii) to possible changes in focus, balance, content and/or procedure, and (iii) to the next programming round. The evaluation should also contribute to a framework for possible final and ex post evaluations of the 2002-2007 Country Strategy and associated programmes.

Summary of findings and recommendations

Findings:

- 1) The overall objectives and focus areas specified in the Commission Strategies are found to be generally relevant to the needs in Ethiopia, to the priorities of the Government of Ethiopia (GoE) and also to the Commission priorities as expressed in Lomé IV bis and the Cotonou Agreement. However, being loyal to the overall agreements (Lomé and Cotonou), the Strategies have become very ambitious, ignoring the limitations of specific instruments (EDF) and the limitations of the Delegation staff capacity.
- 2) Maintenance of macroeconomic stability has been satisfactory and the Commission has been one of the most financially important, steady and flexible donors in the economic reform area. The Commission has in particular contributed to the liberalisation of the foreign exchange market.
- 3) The Commission has also contributed to improved access to and supply of food, notably through cash-for-work programmes and through pioneering local purchase operations. However, the shift from a food aid approach to a more long-term food security approach has been delayed.
- 4) In the transport sector important contributions have been made to improvements of the trunk road network, sector policy formulation and strengthening of sector institutions, but there have also been important delays in the physical transport interventions.
- 5) The war with Eritrea and the droughts in 2000 and 2002 have severely affected the possibilities for an effective contribution concentrating the minds of the government and donors on emergency responses instead of long-term sustainable solutions.
- 6) The EDF procedures are turning the Commission into one of the most unpredictable donors. Continuous introduction of additional rules and regulations and increasing rigidity in their interpretation is making EDF project support increasingly difficult to manage.

Recommendations:

- 1) The Commission should ensure that the CSP becomes a living document, providing a strategic overview and a basis for monitoring of the implementation.
- 2) The Commission should increase the share of direct budget support in the overall Commission programme envelope to improve the effectiveness of Commission support and further support the implementation of the poverty reduction programme.

- 3) It is recommended to strengthen the capacity of the Delegation and improve the correlation between the number and capacity of staff and the size and importance of the sector programmes.
- 4) The Commission should intensify the food security policy dialogue with the Government and support areas where common ground can be identified.
- 5) It is also recommended that the Commission reviews its portfolio in the transport sector and prepare a schedule of potential delays.

Main evaluation methods and data used

- Logical Framework / Diagram
- Desk research
- Field studies with interviews
- Primary data from interviews, surveys, etc.
- Secondary data from a monitoring system

Action taken / follow-up planned

A 'Fiche contradictoire' with the Commission reply to the recommendations is published at: <http://europa.eu.int/comm/europeaid/evaluation/program/acprep.htm>

A seminar was organised in Ethiopia in March 2004 to discuss the draft final report with the local stakeholders.

Availability of the report

<http://europa.eu.int/comm/europeaid/evaluation/program/acprep.htm>

Evaluation of the EC Country Strategy for Lesotho

Activities concerned 21 03 Relations with sub-Saharan Africa, the Caribbean, Pacific and Indian Ocean and overseas countries and territories

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim / ex post	11/03 – 08/04	F. Petrucci (+32 2 2966111)	External

Purpose of evaluation

The primary objective of this evaluation is to provide the Commission with key findings and lessons of experience from the Commission's past (1995 - 2002) and current (2003 - 2007) co-operation with Lesotho. Taking account of Lesotho'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.

Summary of findings and recommendations

Recommendations

- The Commission should adopt a partnership approach in line with the principles of Cotonou, including political dialogue in the implementation of all aspects of the PRSP and in respect for essential values underpinning the partnership such as gender equality, human rights and good governance.
- The Commission should discontinue budget support in the 9th EDF and; request the Ministry of Finance to produce a detailed Public Finance Management action plan and closely monitor progress once a commitment towards implementation of the recommended action plan has been demonstrated
- It is recommended to make HIV/AIDS a focal sector in the 10th EDF. Programmes to address the HIV/AIDS pandemic in Lesotho are absolutely fundamental to the overall progress of social and economic development. The implication of the strategic approach is that HIV/AIDS should be addressed as a governance issue and placed at the centre of the Commission's development strategy.
- The Commission should take a more proactive role in regional economic integration, especially with regard to private sector development
- The Commission should play a more proactive role in promoting the applications of the 3Cs (co-ordination, complementarity and coherence) to enhance the overall effectiveness and impact of donor support.

Main evaluation methods and data used

- Logical Framework/Diagram
- Desk research
- Field studies with focus groups
- Secondary data from a monitoring system

Action taken / follow-up planned

The final report is transmitted to the members of the Board of the EuropeAid Cooperation Office, and distributed to the relevant services within the Commission. A 'fiche contradictoire' with main recommendations is circulated within the Commission in order to collect answers from the relevant services.

A summary in the OECD – DAC format (EvInfo) is completed. All documents will be made available to the public on the Evaluation Unit Web site.

Availability of the report

<http://europa.eu.int/comm/europeaid/evaluation/program/acprep.htm>

Evaluation of the EC Country Strategy for Benin

Activities concerned 21 03 Relations with sub-Saharan Africa, the Caribbean, Pacific and Indian Ocean and overseas countries and territories

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim / ex post	04/04 – 12/04	O. Henao Triana (+32 2 2955343)	External

Purpose of evaluation

The main objective of this country/strategy evaluation is to provide the Commission with the results and to draw the most important conclusions from past (1995-2002) and current (2002-07) experience of its cooperation policy with Benin. Given the political, economic, social and environmental situation in Benin, the Commission will present the results and conclusions, together with a raft of detailed and operational recommendations, in a report drawn up mainly to assist policymakers and Commission officials in implementing the current and future country strategy. By covering the Commission cooperation strategy with Benin, the evaluation will also serve as an analytical framework for a mid-term review of the 2003 07 country strategy.

Summary of findings and recommendations

There has been no break in the Commission strategy in Benin between the periods 1995 2002 and 2002 07. In particular, the overall objective is the reduction of poverty during both the 8th and the 9th EDF. The Commission has helped to boost economic growth (by its support for the strengthening of the macroeconomic framework, for the transport sector, for the private sector and for regional integration) and the development of human capital (mainly by its support for health and education via non-targeted budgetary aid). These strategies are deemed appropriate on the whole. However, although significant progress was made in various sectors, the fact remains that in certain key areas reform is too slow to ensure sustainable growth and satisfactory access to social services.

Main recommendations :

1. The EC should incorporate performance indicators linked directly to the efficient implementation of the reforms.
2. Budgetary support should remain one of the EU's special instruments in Benin.
3. Transport: The problem of axle overloading is a long standing problem which needs to be resolved as a matter of urgency at both regional and national level. At national level, the rules in force should be applied by carrying out checks and penalising those who break the rules.
4. Health: It is recommended that the entire system be reviewed in order to ensure that medicinal products, and in particular the essential ones, are made available to patients at the lowest possible costs.
5. Decentralisation: It is essential to ensure in explicit terms cohesion between the measures carried out in the sectors concerned and the decentralisation strategy.
6. Human resources in the Delegation are limited. Resources should be made available in the light of the strategic priorities.

Main evaluation methods and data used

- Logical Framework / Diagram
- Desk research
- Field studies with interviews
- Primary data from interviews, surveys, etc.
- Secondary data from a monitoring system

Action taken / follow-up planned

- Seminar in Cotonou November 2004
- 'Fiche contradictoire'

Availability of the report

<http://europa.eu.int/comm/europeaid/evaluation/program/acprep.htm>

Evaluation of the EC Support to MERCOSUR

Activities concerned 19 09 Relations with Latin America

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim	02/03 – 02/04	A. Chambel (+32 2 2967403)	External

Purpose of evaluation

To provide the relevant external co-operation services of the European Commission with a flexible, rapid source of independent expertise to evaluate on:

- (1) the relevance, impact, effectiveness, efficiency and sustainability of its support strategy to the Mercosur region;
- (2) the co-ordination and internal coherence between the EC approach and actions to support: Mercosur regional integration, EC's bilateral co-operation strategies and actions with each of the four Mercosur countries and its overall strategy to promote regional integration and economic co-operation within Latin America ;
- (3) co-ordination and coherence between EC-support to Mercosur regional co-operation / economic integration, trade and other EU policies;
- (4) complementarity of EU support actions and strategy to the Mercosur regional initiative with policies / actions of other donors in the area.

It will feed:

- the next Mid Term Review (foreseen for December 2004 but recently postponed for 2006 partial because of the existence of the current evaluation) as well as for the final and ex-post evaluations of the regional strategy 2002 - 2006 and;
- the finalisation of the negotiation of the association agreement on the trade chapter between the EC and Mercosur.

Summary of findings and recommendations

The Evaluation shows that EC's cooperation strategy was not very supportive of the model of integration which MERCOSUR had agreed upon. EU policies have limited the export capacity and performance of MERCOSUR, partially offsetting the benefits realised through the assistance programmes. Nevertheless Commission support has been very effective in facilitating internal commercial flows and market expansion for MERCOSUR as well as facilitating trade among its Member States. As a result of EC co-operation MERCOSUR stakeholders' negotiating skills and technical knowledge of regional institutions have increased during the negotiation process. Those projects in which the asymmetries between the MERCOSUR countries were clearly addressed achieved the best results. The EC's strategic environmental priorities have not been applied in a systematic or structural way to address the MERCOSUR Member States' needs and priorities.

The main recommendations to the Commission are: to match its strategic interventions to the real MERCOSUR institutional framework (initiatives were suggested in the evaluation report); the strategy should support activities that aim to reduce the existing gap between the political authorities of MERCOSUR and civil society; to integrate a coherent external and environmental policy framework into its global strategy for the sub-region; to establish an internal formal co-ordination mechanism; to include a regional dimension in Country Strategy Papers; to increase MERCOSUR responsibilities in project identification and design and to promote the creation of a MERCOSUR centralized structure in which all technical co-operation issues can be dealt with efficiently; to promote within MERCOSUR the creation of a single entity capable of negotiating and assuming legal responsibility for all MERCOSUR projects financed by international organizations; to improve

the EC project preparation cycle and notably, to reduce the time taken from project conception to actual implementation.

Main evaluation methods and data used

- Logical Framework/Diagram
- Desk research
- Field studies with interviews
- Primary data from interviews, surveys, etc.
- Secondary data from literature / experts
- Case studies

Action taken / follow-up planned

The Commission services drafted a published response to the principal conclusions and recommendations ('fiche contradictoire'). The third column of the 'fiche contradictoire' (follow up of the recommendations accepted) to be filled in June 2005.

Availability of the report

<http://europa.eu.int/comm/europeaid/evaluation/program/alarep.htm>

Thematic evaluation of Population and Development oriented programmes in EC external cooperation

Activities concerned Various Chapters of Titles 19 and 21 External Relations;
Development and Relations with African, Caribbean and Pacific States (ACP)

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim / ex post	06/02 – 03/04	P. van Steekelenburg (+32 2 2992515)	External

Purpose of evaluation

The purpose is to identify possible gaps, weaknesses and opportunities for improvement in EC's population and development strategy, and to devise concrete, practical suggestions.

Summary of findings and recommendations

The main conclusion of the external evaluators is that the Commission's approach to population is coherent with the Programme of Action adopted in Cairo in 1994. Like other donors, EC assistance in this area (which is substantially more than the budget-lines for Population and for the fight against HIV/aids: for 1994-2002 more than €1400million), concentrates mainly on sexual and reproductive health at the cost of not developing an integrated approach to population, poverty, and sustainable development: linkages between sectors and cross-cutting themes are not sufficiently explored or taken into account. As a result, population and development (Pop+Dev) issues are not systematically integrated into Country Strategies thus missing opportunities to enhance poverty-reduction impact.

It recommends to broaden population policy beyond sexual and reproductive health (to include family planning) and put the required technical expertise in place: design an integrated strategy of support for countries furthest from meeting ICPD objectives –among which the MDG of reducing maternal mortality is particular prominent- and allocate the resources necessary, reallocating from better-off countries if necessary.

As regards Internally Displaced Persons (IDPs), a more comprehensive intervention strategy encompassing not only short-term emergency needs but also the more complex demands of return, rehabilitation and socio-economic reintegration is recommended (*this confirms the results of the recent evaluation of EC rehabilitation and reconstruction actions*).

The approach to migration should be broadened beyond refugees/IDP: the long-term implications of internal and international migration on key population concerns should be incorporated into all future country strategies and programme design negotiations. Furthermore, policy responsibilities for development cooperation in the field of migration should be streamlined within various DGs in order to allow for increased coherence in definition, implementation and monitoring/evaluation.

While supportive of the move from projects to sector-wide approaches, the consultants underline that achievements made through budget-line projects in the area of population, as well as through ECHO projects financing emergency health care (e.g. quality-of-care, institutional development achieved), should not be lost in this move.

Finally, the human resource capacity constraints to do better and do more on P+D as well as to increase visibility, are serious both in Brussels and in delegations, and should be addressed urgently. This will also help the EC to play a more active role in co-ordinating population assistance from EU Member States (EC and EU Member States together provide half of ICPD assistance worldwide), and thereby increase EC visibility in the Pop+Dev field.

Main evaluation methods and data used

- Logical Framework/Diagram
- Desk research
- Field studies with interviews and surveys
- Primary data from interviews, surveys, etc.
- Secondary data from a monitoring system, statistical agencies and literature / experts
- Case studies
- Multi-criteria analysis

Action taken / follow-up planned

A feedback seminar is planned early 2005.

In particular for the country cases, the findings are an input (among others) for mid-term strategy reviews.

Availability of the report

<http://europa.eu.int/comm/europeaid/evaluation/program/sectorrep.htm>

Evaluation of the European Commission Interventions in the Transport Sector in Third Countries

Activities concerned Various Chapters of Titles 19 and 21 External Relations;
Development and Relations with African, Caribbean and Pacific States (ACP)

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim	04/02 – 05/04	F. Petrucci (+32 2 2966111)	External

Purpose of evaluation

The evaluation fills a gap in evaluating the sector since 1995. It sets out the intervention logic and policy acquis applying to different regions (ALA, MEDA, ACP, TACIS and CARDS), and assesses the extent to which progress is being made in achieving stated objectives. For ACP countries, the impact of the Transport sector Guidelines is given especial attention.

Institutional aspects of transport (policy commitment from partners, the management and maintenance of infrastructure, market access etc) are given equal weight to infrastructure building, and the degree to which key crosscutting issues such as gender and environment have been considered is also addressed.

The evaluation will serve the programming of transport measures in all regions, and should assist in the development and consolidation of a true sectoral approach across all third countries. It should also feed into the planned revision of the transport sector guidelines.

Summary of findings and recommendations

The evaluation finds that significant progress has been made by the Commission towards a sectoral approach in many ACP countries. However, this progress is not sufficiently reflected in other regions, although sector guidelines and a Communication on Promoting Sustainable Transport in Development Cooperation exist. In some countries and regions an imbalance in types of support remains, resulting in a lack of appropriate attention to institutional and legislative accompanying measures, as well as to the maintenance of existing infrastructure. In the ACP region, the Commission played a key role in ensuring the maintenance of transport infrastructure but the problem deserves similar attention elsewhere.

Close partnerships between the Commission and government in some ACP countries enhanced the relevance of interventions and coherence with national priorities. However, even in ACP countries, the commitment of partner governments to implementing reforms conducive to sustainable transport development has been uneven. Outside the ACP region, the Commission's lack of continuous and systematic dialogue on transport policy issues puts the sustainability of its interventions at risk. Furthermore, the involvement of non-governmental stakeholders in the development and implementation of transport policy and projects remains limited. Few attempts have been made to develop local capacity in the sector and thereby increase employment opportunities.

Although there is a clear link between appropriate transport investments and poverty reduction objectives, cross-cutting aspects with an impact on quality of life, such as environment, gender and safety, require more attention.

The evaluation recommends the Commission to:

- i) Broaden the approach to the sector in ACP countries to cover all modes and take a comprehensive view of the range of activities involved in each mode. In line with the general evolution of sector policy support programmes, consider a shift towards broader use of budget support in the sector;
- ii) Promote the involvement of non-governmental stakeholders in design and implementation of transport policy and also in the programming and project cycle;
- iii) Support the development of the private sector in transport related activities;

iv) Put sharper focus on the contribution of EC transport sector interventions to poverty reduction, including reviews of the links between transport sector objectives and those articulated in PRSPs.

Main evaluation methods and data used

- Logical Framework/Diagram
- Desk research
- Field studies with interviews and surveys
- Primary data from interviews, surveys, etc.
- Secondary data from a monitoring system and literature / experts
- Case studies

Action taken / follow-up planned

The evaluation is published on the Internet with the formal response of the Commission services, a summary and a quality judgement. A 2-day international seminar was conducted the 30th November – 1st December 2004, with wide participation from the Commission and the EU Member States.

Availability of the report

<http://europa.eu.int/comm/europeaid/evaluation/program/sectorrep.htm>

Evaluation of Trade-Related Assistance by the European Commission in Third Countries

Activities concerned Various Chapters of Titles 19 and 21 External Relations;
Development and Relations with African, Caribbean and Pacific States (ACP)

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim	09/02 – 06/04	T. Schedvin (+32 2 2999824)	External

Purpose of evaluation

- (i) To identify key lessons from the Commission's past co-operation in TRA, focusing on procedures and implementation issues and the way they affected the impact of specific actions against their objectives;
- (ii) in the new policy context, to assess and judge the current programming of TRA actions, in particular with regard to lessons learned from the past and to the integration of trade assistance in country and regional strategy papers and indicative programmes. This would include examination of coherence with other policies, the complementarity with the activities of other donors, and co-ordination issues;
- (iii) to make recommendations¹⁹.

Summary of findings and recommendations

Findings:

- 1) The Commission TRA is highly sensitive to the partners' requests and priorities. However, the Commission has possibly been too reactive resulting in an ad hoc support, i.e. TRA programming is not based on an initial analysis of the trade situation in the partner countries, and programming documents do not demonstrate the relevance and rational of proposed TRA interventions.
- 2) The rigid EC procedures are not well suited to the fast changing trade area, requiring flexibility and the ability to adapt projects/programmes to changing conditions.
- 3) The Commission TRA has resulted in improved knowledge and awareness of trade-related issues in central institutions of partner countries. However, the more direct effects on trade reforms, compliance with international trade agreements and the outcome of trade negotiations are obscure.
- 4) The Commission TRA has contributed to increased export performance and improved productivity of local enterprises. The sustainability of these effects are however at risk as the projects/programmes have been implemented without taking into account the existing business environment and without attempting to affect the general conditions for trade.
- 5) The Commission has been effective in strengthening regional organisations and promoting regional arrangements, in particular in the ACP region. The Commission also takes a relatively proactive approach to the integration of trade into the programming process at the regional level.

Recommendations:

- 1) The Commission should move towards a more strategic identification and implementation of TRA including the introduction of a complete trade analysis as a basis for the country and regional strategies.
- 2) The Commission should develop its capacities to handle trade-related issues and to increasingly see trade issues from a development perspective.

¹⁹ Recommendations should be concrete and should specify which actors are primarily responsible for action. They should be ranked and prioritised according to their relevance and importance to the purpose of the evaluation (also they shall be cross-referenced back by paragraph to the appropriate conclusions).

3) The Commission should develop instruments for TRA interventions that can be rapidly mobilised and adapted to changing situations.

4) TRA targeted to productive sector development should be designed taking into account the major trade characteristics of the partner and the constraints of the business environment.

Main evaluation methods and data used

- Logical Framework / Diagram
- Desk research
- Field studies with interviews
- Primary data from interviews, surveys, etc.
- Secondary data from literature / experts
- Case studies

Action taken / follow-up planned

'Fiche contradictoire' with Commission reply to the recommendations is published at:
<http://europa.eu.int/comm/europeaid/evaluation/program/sectorrep.htm>

The evaluation has been presented to the OECD/DAC at a meeting on challenges to evaluation of TRA in June 2004. The evaluation has also been presented to the EU Member States at the trade and development expert group meeting in September 2004. The Evaluation Unit also organised a Commission-internal seminar the 5th October to present the main findings and recommendations of the evaluation.

Availability of the report

<http://europa.eu.int/comm/europeaid/evaluation/program/sectorrep.htm>

Thematic Evaluation of Food-Aid Policy and Food-Aid management and Special operations in Support of Food Security

Activities concerned Various Chapters of Titles 19 and 21 External Relations;
Development and Relations with African, Caribbean and Pacific States (ACP)

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim / ex post	09/03 – 07/04	F. Petrucci (+32 2 2966111)	External

Purpose of evaluation

The **purpose of the Evaluation** was to assess Commission's interventions in the field of Food-aid actions and operations in support of Food-security set out in the general framework created by the EC Regulation No.1292/96 over the period 1997-2002. The evaluation is focused around a series of questions addressing the issues of coherence and complementarity of the various operation and instruments, programme design and delivery mechanism, impact and sustainability aspects. A strong emphasis is given to the analysis of the added value of the various operations/components of the regulation when compared to food aid and food security actions financed by other European Commission instruments and budget lines.

Summary of findings and recommendations

Given the high flexibility between its components, the role it can play in the LRRD approach, the specific poverty orientation of its interventions, the multi actors-partnership, as well as the various levels of interventions (policy and project levels), it is recommended that the FSBL should continue to exist as a flexible funding source for integrated approaches to food aid and food security interventions. This means the continuation of the budget line with all of its instruments.

Main evaluation methods and data used

- Logical Framework / Diagram
- Desk research
- Field studies with interviews and surveys
- Primary data from interviews, surveys, etc.
- Secondary data from a questionnaire
- Case studies
- Statistical analysis

Action taken / follow-up planned

The final report is transmitted to the members of the Board of the EuropeAid Cooperation Office, and distributed to the relevant services within the Commission. A 'fiche contradictoire' with main recommendations is circulated within the Commission in order to collect answers from the relevant services. A seminar is organised in Brussels (25/11/04) to disseminate the results of the evaluation to EU member states and relevant stakeholders. A summary in the OECD – DAC format (EvInfo) is completed. All documents and a Judgement grid will be made available to the public on the Evaluation Unit Web site.

Availability of the report

<http://europa.eu.int/comm/europeaid/evaluation/program/sectorrep.htm>

Evaluation of Environment (2493/2000) and Tropical Forests (2494/2000) regulations

Activities concerned 21 02 05 Multi-sectoral actions

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim	07/03 – 11/04	A. Chambel (+32 2 2967403)	External

Purpose of evaluation

To account to the legislative authority and wider public for the funds expended under the Environment and Forest Regulations; and in addition to provide the relevant external co-operation services of the European Commission with: (1) an overall independent and accountable evaluation of the activities financed by the EC under the two Regulations in the context of overall Community development co-operation; (2) proposals for the future of the Regulations, including their possible modification or termination as stipulated on articles 12 of 2494/2000 and 11 of 2493 regulations.

Summary of findings and recommendations

1. Both Regulations place much emphasis on addressing cross-cutting issues of development, which are appropriately reflected in successive Strategic Orientations. However, a certain discrepancy exists between the Regulations' prescriptions and Strategic Orientations, on the one hand, and practical implementation on the other. Mainstreaming of cross-cutting issues has not yet been consistently achieved and justifies renewed efforts, particularly with regard to African countries [findings 50-52].
2. Given their good performance, projects under B7-620 in practice have a high probability of contributing to the Regulations' stated objectives. However, some weaknesses with regard to project performance persist – particularly in respect of appropriate formulation and verification of objectively verifiable indicators (OVIs) [findings 5, 11, 36]. Unless special care is taken to ensure transparency, co-funding by other donors tends to obscure the EC's role as a major donor [findings 7, 32].
3. Conclusions about the Budget Line's efficiency can be drawn in two respects: first, with regard to the selection of project proposals, and second in respect of how project implementation is supervised, guided and followed up. The first Call for Proposal resulted in delays and waste of resources, on both the Commission's and the applicants' part. This was mainly because the response to the first Call for Proposals widely exceeded the Commission's capacity for screening and processing of applications, as well as the available funds [findings 20, 21].
4. Despite the Regulations' emphasis on innovation through pilot interventions, lack of mechanisms and arrangements for feeding B7-620 projects into geographical programming hinders achievement of impact and sustainability of pilot measures. Alternative options, such as taking over of project activities by national actors or other donors, have so far not been capitalised upon, mainly because EC Delegations had neither the mandate nor the means to facilitate donor coordination in respect of B7-620 projects prior to deconcentration [findings 36, 45].

Regarding coordination, various coordination arrangements are prescribed by the Regulations, as well as by other applicable legal norms. The Commission Services at HQ level coordinate their activities internally, as well as vis-à-vis EC Member States and other donors [findings 34, 35]. Despite the framework in place, other donors do not benefit from experience and lessons learnt from B7-620 projects, partly because coordination and reporting measures focus on administrative and procedural aspects instead of on subject-matter information [finding 37].

Recommendations

1. Recommendations pertaining to Budget-Line administration. Three recommendations stand out as the most important, namely improve efficiency of CfP procedures {conclusion XXI}; provide applicants with timely information on the CfP {conclusion XXI}; and drop the practice of excluding certain potential applicants {conclusion XX}. This could be brought about in several ways: (i) defining more clear-cut, regional priorities, so as to limit the number of proposals; (ii) investigating the possibility of adopting a two-step “concept paper” approach, (iii) adopting and monitoring clear-cut deadlines and milestones of CfP procedure in a more proactive manner, (iv) ensuring that all categories of partners listed as eligible under the Regulations are able to apply for funding.
2. In pursuit of the above, it is further recommended that steps be taken to improve the role of southern partners {conclusion XIX, XX} by defining criteria for more equitable partnerships between northern and southern partners in the Guidelines for Applicants; and to provide EC Delegations with adequate resources for the Budget Line’s administration {conclusion XVII} in view of their increased responsibilities following deconcentration.
3. Recommendations pertaining to project implementation. Despite the projects’ good overall performance, the implementation phase warrants further improvement. To this end, the evaluators recommend that steps be taken to improve the quality of OVIs including its continuous adaptation and control by the projects {conclusion XVIII, XXII} so as to be able to assess project effectiveness, efficiency and impact more reliably.
4. On the issue of co-funding, it is recommended that the Commission makes EC contributions more transparent and visible {conclusion XIX}, with a view both to better gauging the Budget Line’s efficiency and to ensuring the EU’s visibility as a major donor.
5. It would further seem necessary to harmonise and improve existing M&E instruments {conclusion XXIV}. To this end, monitoring undertaken on the contractors’ initiative should be standardized and based upon OVIs, and the Commission Services should adhere more uniformly to the Regulations’ evaluation requirements.

Main evaluation methods and data used

- Logical Framework / Diagram
- Desk research
- Field studies with surveys
- Primary data from interviews, surveys, etc.
- Secondary data from a monitoring system, literature / experts and questionnaires for all delegation concerned and to projects implementers
- Case studies
- Other judging tools: evaluation questions drafted by the evaluation unit with the support of the steering group. Judgement criteria and indicators presented by the external evaluators

Action taken / follow-up planned

'Fiche contradictoire' in progress.

Availability of the report

<http://europa.eu.int/comm/europeaid/evaluation/program/sectorrep.htm>

Trade

Qualified Preliminary EU-ACP Sustainability Impact Assessment (SIA) of the Economic Partnership Agreements (Phase One)

Activities concerned 20 02 Trade policy

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	07/02 – 02/04	C. Wagner (+32 2 2993999)	External

Purpose of evaluation

To provide a qualified preliminary sustainability impact assessment (SIA) of the negotiations of EU-ACP Economic Partnership Agreements (EPAs). It includes an examination and overview of the potential major economic, environmental and social impacts of these negotiations.

To provide an in-depth sustainability impact assessment of the EPA negotiations for two ACP regions, viz., West Africa and the Caribbean. (NB. This second objective is the subject of two separate final reports delivered at the same date as that shown above.)

Summary of findings and recommendations

The *Sustainability Impact Assessment* identified agriculture, forestry, fisheries, mining and services as critical sectors for a significant part of the ACP. Within the agricultural sector, sugar, cotton, coffee, bananas and cocoa beans were highlighted as being traded commodities of special importance for a number of ACP countries. The most important social and environmental threats facing a range of ACP countries were found to be: poverty; population growth; migration; access to basic services; food security; health; gender inequality; worsening land quality; increasing air pollution; degradation of coastal and marine resources; and threats to habitat and biodiversity.

The final report recommended further studies and analytical work devoted to the following topics: regional integration; horizontal diversification; vertical integration; trade facilitation; foreign direct investment; standards and conformity assessment; services; and technical and developmental assistance.

The findings of the final report have been presented to ACP negotiators and to civil society, and a Commission position paper has been prepared.

Main evaluation methods and data used

- Other structuring tools: SIA method originally designed for SIA programme by the Institute for Development Policy and Management at the University of Manchester.
- Desk research
- Primary data from interviews, surveys
- Secondary data from statistical agencies, literature/experts
- Expert panels
- Statistical analysis
- Econometric models
- Other: Causal Chain Analysis (CCA)

Action taken / follow-up planned

Presentation to ACP negotiators. Presentation to civil society. Findings communicated to European Parliament. Commission position paper prepared.

Availability of the report

<http://www.sia-acp.org/acp/uk/news.php>

Sustainability Impact Assessment (SIA) of the negotiations of the trade agreement between the European Community and the Countries of the Co-operation Council for the Arab States of the Gulf (GCC)

Activities concerned 20 02 Trade policy

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	07/02 – 05/04	L. Genand (+32 2 2985407)	External

Purpose of evaluation

To provide a global preliminary SIA of the impacts on sustainability of the measures proposed for the EU-GCC free trade agreement.

To conduct two in-depth sector specific SIAs, for the aluminium and petrochemicals sectors.

Summary of findings and recommendations

According to the SIA, the liberalisation of trade in goods under an FTA between the EU and the GCC would deliver welfare gains in GCC states, whilst the impact on welfare in the EU is negligible. The report found also that liberalisation of trade in goods alone is unlikely to raise the demand for labour sufficiently to accommodate new entrants to a workforce that is growing rapidly; and that increased employment opportunities resulting from the liberalisation of trade in services are crucial to a successful outcome for the FTA.

The findings of the final report have been presented to civil society, and a Commission position paper is currently being prepared.

Main evaluation methods and data used

- Other structuring tools: SIA method originally designed for SIA programme by the Institute for Development Policy and Management at the University of Manchester
- Desk research
- Primary data from interviews, surveys
- Secondary data from statistical agencies, literature/experts
- Expert panels
- Statistical analysis
- Econometric model
- Causal Chain Analysis (CCA)

Action taken / follow-up planned

Presentation to civil society. Commission position paper currently being prepared.

Availability of the report

<http://www.sia-gcc.org/gcc/uk/documents.php>

Enlargement

Ex ante evaluation of programming mechanisms for Phare in 2004 and beyond

Activities concerned 22 02 Pre-accession assistance instruments

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	10/02 – 03/04	M. O'Neill (+32 2 2980417)	Internal

Purpose of evaluation

Provide useful information to decision-makers planning the implementation of Phare programming cycle for year 2004 and further, as well as for the Transition Facility programming cycle.

Summary of findings and recommendations

The ex ante evaluation exercise revealed the need for a more strategic programming approach, the increase of resources for project design and the introduction of a more systematic quality control.

As a result of those findings, guidelines for multi-annual programming were prepared in 2003, and project fiches as well as application of Logframes were improved. Multi-annual programming was introduced for the remaining Candidate Countries, Romania, Bulgaria and Turkey. An action plan to address the outstanding recommendations of the ex ante evaluation report was prepared. Only one out of the three sets of evaluation recommendations (indeed only one recommendation out of 27) was still pending in March 2004– the introduction of a more systematic and formal quality control. On that ground, a preliminary proposal for establishing a Quality Support Group (QSG) in DG ELARG for Phare/Turkey programming, similar to the RELEX one, was completed. This proposal now needs further discussion at directors' level.

Main evaluation methods and data used

- Concept mapping
- Other structuring tools: Mapping of work-flows
- Desk research
- Field studies with: Interviews
- Direct observation
- Primary data from interviews, surveys, etc.
- Monitoring system
- Case studies
- Benchmarking

Action taken / follow-up planned

Multi annual sector programming was introduced for Romania, Bulgaria and Turkey.

In the Phare Programming Guide, the standard project fiche and the explanation on the application of the Logframe were improved.

Out of the three sets of evaluation recommendations, only one was still pending in March 2004– the introduction of a more systematic and formal quality control. On that ground, a preliminary proposal for

establishing a Quality Support Group (QSG) in DG ELARG for Phare/Turkey programming, similar to the RELEX one, was completed. This proposal now needs further discussion at directors' level.

Availability of the report

Not published. For the internal use of the Commission only.

Interim evaluation of Phare support to Candidates Countries

Activities concerned 22 02 Pre-accession assistance instruments

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim	08/01 – 03/04	J.-C. Blain (+32 2 294670)	External

Purpose of evaluation

To provide stakeholders with independent assessments of the implementation and performance of on-going Phare programmes; to serve as a management tool and early-warning system; to provide a basis for accountability in the use of Phare pre-accession funds.

In 2004, the Interim Evaluation scheme generated some 33 sectoral, ad-hoc, thematic or individual country reports, as well as a Consolidated Summary Report on Phare support allocated in 1999-2002 and implemented until November 2003. The thematic reports covered Agriculture, Grant Schemes, Twinning, Cross-Border Cooperation (CBC), Phare funded participation of Candidates Countries (CCs) in Community Programmes, and Roma Minorities (issued in early 2005).

Summary of findings and recommendations

The Consolidated Summary Report “From pre-accession to accession” on Phare support allocated in 1999-2002 and implemented until November 2003 summarises the main findings and recommendations of the Interim Evaluation scheme:

- On the whole, Phare performance was rather mixed with only two thirds of evaluated funds rated at least as “satisfactory”. Nevertheless, given the complexity of the pre-accession objectives and the constraint of the very limited implementation period, this is certainly a remarkable achievement. Three shortfalls in performance account for a large part of those findings. First, there were substantial weaknesses in needs analysis and design. Second, achievement of programme/project objectives was only adequate. Third, although improving, implementation suffered from pervasive efficiency problems.
- Building administrative and judicial capacity was adversely affected by limited support to and progress on horizontal reforms and governance. The absence of a comprehensive support strategy for building Administrative and Judicial Capacity, including the requirements for horizontal reforms, risks undermining the achievements on the acquis.
- The overall results of Phare Economic & Social Cohesion programmes have been quite poor. Insufficient support was provided to develop adequate strategies for economic and social development and public investments, and the instruments for delivering them. Consequently, the pilot investments were generally not made on the basis of proper needs assessments.
- The capacity to coordinate and deliver pre-accession assistance is improving, but is not yet sustainable, because of understaffing, low salary levels and institutional stability in the National Aid Coordination structures, as well as weaknesses in the line Ministries.
- As a key delivery mechanism, twinning has proved itself an essential instrument for the pre-accession process. Another key delivery mechanism of Phare support is grant schemes, the performance of which has, on the whole, been satisfactory.

Main evaluation methods and data used

- Logical framework

- Desk research
- Field studies with interviews, surveys, direct observation
- Primary data from interviews, surveys
- Secondary data from monitoring system
- statistical analysis
- Benchmarking
- Cost-effectiveness analysis
- Cost-benefit analysis
- Multi-criteria analysis

Action taken / follow-up planned

The interim evaluation scheme is essentially a management tool which provides Phare programme managers with performance assessment on the implementation of on-going programmes. According to the reports template and to the standard procedure, recommendations are systematically put forward for corrective actions of improving management and delivery, as well as the design of similar future programmes. A debriefing meeting on each regular sector interim evaluation report is organised in the respective country by the National Aid Coordination services and a follow-up table on recommendations is prepared for the next Sector Monitoring Sub-Committee meetings of the stakeholders. Moreover there is a feedback of evaluation results to the decision-making through the Implementation Status Reports that are discussed for corrective actions at the Joint Monitoring Committee meetings.

Evaluation seminars were organised in Brussels for each thematic report and for the Consolidated Summary Report to discuss the findings and recommendations of the reports. The evaluation results also contributed to the reflection on the design of the future Instrument for Pre-Accession Assistance and European Neighbourhood and Partnership Instrument.

Availability of the report

http://europa.eu.int/comm/enlargement/phare_evaluation_reports_interim.htm

<http://www.phareinterimevaluation.org>

Interim evaluation of pre-accession aid programme for Malta

Activities concerned 22 02 Pre-accession assistance instruments

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim	10/03 – 12/04	M. Apelblat (+32 2 2950480)	External

Purpose of evaluation

To provide stakeholders with independent assessments of the implementation and performance of on-going Phare programmes; to serve as a management tool and early-warning system; to provide a basis for accountability in the use of pre-accession funds.

In 2004, the interim evaluation scheme for Malta generated two interim evaluation reports and a Country Summary report.

Summary of findings and recommendations

All the projects were relevant and have facilitated the adoption of the acquis. Only a few projects did not or are not likely to effectively attain their objectives. In general, they had a positive impact and will have a long-term effect on the ministries running them, and even on non-governmental stakeholders.

However, efficiency was frequently hampered by a number of factors including delays in the process of approval of terms of reference, tenders and contracts. These delays actually threatened and are still threatening the completion of certain projects of significant importance. Moreover, lack of government funding and human resources constraints are likely to affect the sustainability of the benefits of some projects.

A number of practical recommendations were made, including the preparation of a manual on lessons learnt and best practice and the arrangements for Joint Monitoring Committee and Sector Monitoring Sub-Committee meetings.

The evaluation report also addressed a number of practical recommendations to, inter alia, the EC Delegation, the Cyprus Planning Bureau, and line ministries, about the content of monitoring reports, reallocation of funds, drafting of management plans and work plans, and others.

Main evaluation methods and data used

- Logical framework diagram
- Desk research
- Field studies with interviews
- Direct observation
- Primary data from interviews, surveys etc.
- Secondary data from monitoring system
- Statistical analysis
- Benchmarking
- Cost-effectiveness analysis
- Cost-benefit analysis
- Multi-criteria analysis

Action taken / follow-up planned

According to the agreed interim evaluation process, the recommendations of the reports were reflected in the Implementation Status Report and debriefed at Joint Monitoring Committee meeting held in early 2005 with representatives of the main stakeholders, and corrective/follow-up actions were decided upon.

Availability of the report

Not published. For internal use of the Commission and stakeholders in Malta only.

Global Assessment on the Implementation of the Communication Strategy on Enlargement

Activities concerned 22 04 Information and communication strategy

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim	12/03 - 05/04	L. Blasig (+32 2 2962293)	External

Purpose of evaluation

The main aims of carrying out a global assessment of the Communication Strategy on Enlargement (CSE) at the beginning of 2004, when the majority of actions under CSE had been implemented and enlargement was imminent, were:

- Good house-keeping – to demonstrate how the funds committed to CSE had been spent and the benefits accrued from the actions undertaken;
- To identify what steps could be taken to improve communications and information about the EU and enlargement in an EU of 25;
- By analysing the difficulties facing the CSE and the accomplishments achieved, both separately and in comparison with other major EU communication programmes and projects, to determine what lessons can be learned for other EU/European Commission communication and awareness actions in the future.

The assessment exercise was therefore aiming to serve a number of purposes and beneficiaries, including:

- European Commission hierarchy, European Parliament, European Council and other stakeholders;
- Officials working in EU offices in 25 member states; governments in member states; other information actors in the EU 25;
- All European Commission and other authorities that confront future communication/awareness-raising tasks in the future.

Summary of findings and recommendations

The Communication Strategy (CSE) provided the right fundamental approach for the task. Impact and implementation were successful, although with some qualifications. The CSE was implemented with best endeavours across the board, generally effectively and with notable efficacy in some cases. The set objectives were achieved, at least as far as could be expected within the limitations of resources and in the prevailing circumstances. Decentralisation worked well; the CSE provided a central thesis for a communication programme, and flexibility to accommodate the specificities of the individual countries.

However, some practical aspects of implementation were disappointing and fundamentally obstructive – in particular the general inflexibility of the Financial Regulation and the somewhat maladroit way that it was introduced. CSE implementation also generates a set of wider questions about the role of EU communications in general and the structure and approach of European Commission communications campaigns in particular.

Main evaluation methods and data used

- Desk research
- Field studies with interviews
- Polling data available via internet

Action taken / follow-up planned

The experience of the implementation of the Communication Strategy on Enlargement offers important lessons for future EU communications activities. It shed light on the nature and needs of some of the most needy and elusive target audiences – the vulnerable and sensitive groups in society. The process threw up a number of new pointers for EU communications approaches, e.g. about targets and how to reach them. As a practical output, a basic general template of a successful communications strategy for EC Representations and Delegations emerges. The good practices identified, decentralisation, the relative user-friendliness of the regime enjoyed by Delegations and the effectiveness of their InfoCentres could all be usefully explored for the benefit of future programmes.

Availability of the report

Not published. For internal use of the Commission only.

Humanitarian Aid

Evaluation of ECHO's actions in the Democratic Republic of Congo

Activities concerned 23 02 Humanitarian Aid

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	07/04 – 11/04	M. Vanackere (+32 2 2986166)	External

Purpose of evaluation

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 operations in DRC. The timing of the evaluation has been chosen so that its findings can feed into the financing decision for the GP 2005, to be taken by the Humanitarian Aid Committee in November 2004. More specifically, operational and sectoral strategies were to be evaluated, not only to inform for the GP 2005, but especially to 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 DRC.

Summary of findings and recommendations

The situation of "neither war nor peace" is likely to last for years in DRC. ECHO should basically maintain its areas of intervention in 2005, since indicators of worst vulnerability must still be used, rather than contextual ones. Comprehensive, integrated multi-sectoral programmes per geographical area, and community-based targeting appear as the most sensible approaches to address the needs of the affected populations. Co-ordination with long-term EC instruments must be further pursued, to match humanitarian and development programming cycles wherever possible, and to develop mid- to long-term planning. Collected data on human rights abuses need to be better used in co-operation with sectoral co-ordination bodies, to overcome constraints to programmes' effectiveness.

Main evaluation methods and data used

- Logical Framework / Diagram
- Other structuring tools: Individual project appreciation form (used to measure ECHO's Partners performance in relation to the main evaluation criteria; this tool is shared with the Partners and used for capacity building purposes)
- Desk research
- Field studies with interviews, focus groups and direct observation
- Primary data from interviews, surveys, etc.
- Secondary data from literature / experts
- Case studies

Action taken / follow-up planned

No information available.

Availability of the report

http://europa.eu.int/comm/echo/evaluation/country_en.htm

Review of ECHO's approach to HIV/AIDS

Activities concerned 23 02 Humanitarian aid

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
	05/04 – 12/04	P. Cavendish (+32 2 2963203)	External

Purpose of evaluation

The objectives of this review are to strengthen ECHO's consistency and coherence in mainstreaming HIV/AIDS in its humanitarian activities through an independent review of ECHO's approach to HIV/AIDS against its humanitarian mandate and the generation of a concept paper and model operational guidelines.

Summary of findings and recommendations

The consultants have produced a 'Concept Paper' and 'Model Guidelines', to be used as reference points by ECHO and its partners.

The Concept Paper sets out ECHO's position as one among other EC activities combating this disease. The principal EC funding in fighting HIV/AIDS is made to 'The Global Fund to Fight Aids, TB and Malaria'. The paper argues that ECHO cannot become a front line agency against HIV/AIDS as: other international organisations have a specific mandate; and it is too early to judge whether those bodies with a mandate will succeed or not. Further, for ECHO to become a front line agency it would require a specific mandate; and have to be reorganised and reinforced - both financially and with personnel.

The 'Concept Paper' advocates that ECHO should adopt a two pronged strategy aiming at:

- (i) mainstreaming do-no-harm measures, with a focus on awareness and on avoiding to spread the virus by negligence wherever relevant; and
- (ii) funding selected activities to mitigate the effects of HIV/AIDS in humanitarian emergency situations, as a component of already existing multi-sector programmes, subject to pre-conditions.

The 'Model Guidelines' set out various activities for ECHO and its partners falling within ECHO's core mandate - ranked from essential to strongly recommended. And various non-core activities that should be undertaken only subject to strict pre-conditions. Due to the wide variety of conditions existing in the field the Model Guidelines have to be used as a point of reference, rather than as mandatory.

ECHO has to advise that the rules on tendering and patents must be respected in EC financed operations related to HIV/AIDS. As the HIV/AIDS pandemic is evolving continuously the 'Concept Paper' and 'Model Guidelines' will have to be revisited at a later date.

The guidelines will have to be applied in the field before an opinion as to their quality can be formed.

Main evaluation methods and data used

- Logical Framework / Diagram
- Desk research
- Field studies with interviews, focus groups and direct observation
- Primary data from interviews, surveys, etc.
- Secondary data from literature / experts

- Expert panels
- Case studies

Action taken / follow-up planned

To be applied as a reference point by ECHO.

Availability of the report

http://europa.eu.int/comm/echo/evaluation/thematic_en.htm

Administration

Study on optimising cooperation between EU institutions in the translation field

Activities concerned 26 01 50 Personnel policy and management

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	03/03 – 03/04	V. Daro (+32 2 2956251)	External

Purpose of evaluation

To provide a clear overview of the advantages and disadvantages, with related costs and benefits, on optimising cooperation on the services of translation of the European Parliament, the Council, the European Commission, the European Economic and Social Committee and the Committee of the Regions with a view to EU's enlargement in 2004. The options examined ranged from maintaining the statu quo to a full merger of translation services.

Summary of findings and recommendations

The consultants reject the scenario foreseeing a core of translators for each institution with an inter-institutional entity responsible for the joint outsourcing of translations. As for the option of full merger of translation services, it is considered that it would bring complexity to management while having only marginal advantages in terms of cost savings.

It is thus recommended to maintain separate translation services operating independently but, at the same time,

- i. implement inter-institutional balancing so as to even out fluctuations in workload;
- ii. cooperate in the field of translators' workstation configurations, translation memories, document retrieval tools, text comparison tools, machine translation and voice recognition;
- iii. formally collaborate (when there is an identified common need) in outsourcing translation, while jointly organising contractor selection and quality assurance of external translations;
- iv. formally collaborate in outsourcing IT, i.e. organise a joint systematic survey and follow-up of the IT market, feasibility studies on common development and common purchases and organisation of a help desk.

Main evaluation methods and data used

- Desk research
- Field studies with: Interviews
- Focus groups
- Direct observation
- Primary data from interviews, surveys, etc
- Secondary data from monitoring system
- Cost-effectiveness analysis
- Cost-benefit analysis

Action taken / follow-up planned

The action plan that CITI elaborated in May 2004 following the evaluation report foresees (for 2005)

On interinstitutional balancing: collecting data on work & workload cycle of translation services; calculating the resources that potentially available for the balancing of workload; identifying types of texts and procedures for sharing workload; setting up (and evaluating) a process of exchanging documents.

On sharing translation memories: analysing best practices; setting up an operational management structure at interinstitutional level; sharing translation memories; progress reporting.

On collaboration in outsourcing translation and IT: identification of best practices; formalising existing collaboration; identification of linguistic services to which joint procedures can be applied; identification of IT products to be purchased at interinstitutional level; evaluation of progress made.

On intensifying collaboration in the terminology field: finalising the IATE project ("Inter Agency Terminology Exchange", a common terminology database for the European Institutions); long-term managing and further developing (new languages) of IATE.

On intensifying cooperation in translating codecision documents: creation of a network for managing translations related to the codecision procedure; further development of a database to exchange information on the translations under the codecision procedure.

Availability of the report

http://www.cc.cec/translation/interinstitutional/icti/documents/2004_03_31_deloitte_touche_en.pdf

Evaluation of the career guidance support in the Commission

Activities concerned 26 01 50 Personnel policy and management

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	07/03 – 09/04	E. Weizenbach (+32 2 2994953)	External

Purpose of evaluation

Since January 2000, the Commission has launched an unprecedented administrative reform within its services. One of the main aims of this reform is to modernise Human Resource policy. Management procedures, recruitment, career structure and career development, staff appraisal, training and social policy will have to meet the highest standards of a dynamic, transparent and efficient administration. The reform of staff policy includes a new "career guidance policy" for Commission personnel, which is the focus of this evaluation.

To implement the career guidance policy, the Commission has established a Central Career Guidance Function (known by their French acronym "SCOP"²⁰) within the Directorate General for Personnel and Administration (DG ADMIN). It leads and supports a network of local Career Guidance Officers (known by its French acronym "ReLOPs"²¹). The main purpose of the Central Career Guidance Function is to provide high quality, confidential counselling and coaching on career management or planning to individual members of staff throughout their working lives as well as the development of the decentralised career guidance functions,.

This particular evaluation of the new career guidance policy for Commission staff was based on an omnibus approach, with a high level of ex-ante elements. It had to be forward-looking and focus on the role of Central Career Guidance Function and the local network in the area of career guidance. The evaluation was carried out for DG ADMIN's own policy making purposes, to provide information that helps to (re-)orient its policy and to be accountable for results achieved.

Logically, the overall objective of this evaluation was to give practical recommendations for further improvement of career guidance provision within the Commission, by focussing on the roles of the Central Career Guidance Service and the network of local Career Guidance Officers. The specific objectives of this evaluation project were the following:

- To carry out a detailed needs assessment, at Commission and individual staff level, for counselling and coaching on career management and planning to individual members of Commission staff;
- To evaluate the effectiveness and relevance of the existing Commission career guidance policy and practice in order to develop it further;
- To analyse the link to organisational change and development.

²⁰ Service Central d'Orientation Professionnelle = SCOP

²¹ In French: Responsable Local d'Orientation Professionnelle

Summary of findings and recommendations

With regard to quality, our evaluation shows that, where it is provided, career guidance is consistent with the objectives set out at the time of the reform: there is very little or no difference between the quality of the service promised and the service provided. Thus we feel that this service is efficient and relevant to the objectives and resources assigned to it.

Two points emerge from the analysis:

- The discrepancy – depending on the DG - between the service promised and the service provided: At present, the career guidance service is not provided uniformly throughout the Commission. This lack of uniformity is due largely to the fact that the local officials responsible for career guidance (RELOP) report to the DGs and thus can devote to this task only the time left over from their other professional activities.
- The discrepancy noted between the service promised and the service expected by its recipients, middle management and the institution: Career guidance consists in helping individuals to make a better evaluation of their skills and to express how they wish their career to develop. As well as the institution, middle management and the individual clients express the need for career management with a view to matching the individual's skills to the skills needed by the Commission and those which it already has.

The career guidance service in the European Commission has great potential. The central career guidance service (SCOP) is known for the quality of its professionalism; some local career guidance counsellors (ReLOP) have developed a service that is appreciated by its clients for its quality.

The service currently has two major weaknesses.

Firstly, it suffers from a lack of direction, owing mainly to its hierarchical organisation. The fact that the RELOPs must report to the DGs means that the resources available for career guidance depend mainly on the goodwill of the DGs: accordingly, the service provided varies widely from one DG to another.

Under present circumstances, career guidance cannot be monitored, i.e. by setting objectives and assessing their attainment, by rewarding or sanctioning the persons in charge, and by taking corrective measures: in particular, it is very difficult to gauge the impact of the initiatives which those responsible for guidance at the centre can take.

Secondly, the service suffers from the fact that a person needs to have both better self-knowledge and better knowledge of his environment (i.e. the needs and demands of the institution in terms of skill management), whereas, at the moment, the career guidance service can provide him only with the first of these two aspects. Moreover, no Commission department appears to be able to provide a clear response to this requirement, which is passed on to career guidance actors who, as things stand, do not have the means to perform this task.

Given this situation, we feel that the SCOP should be given the means to monitor the entire career guidance policy. For that purpose, it should be made hierarchically responsible for all the career guidance actors, whether these are located at the centre or in the DGs. This will provide the SCOP with a smaller number of career guidance counsellors who would though be easier to "professionalize" and who could be made responsible for specific objectives.

Subsequently, DG ADMIN could develop, under the responsibility of SCOP or in close coordination with it, an overall skill and career management policy, necessary to guide individuals' careers efficiently and realistically. This approach calls for a genuine investment in terms of human resources and cultural developments.

It is now possible to display a new ambition in terms of career management, because, in the face of the changes already taking place (CDR, mobility, etc.), the actors involved, but also the management are calling for a system to regulate this change. A career management policy could be a means of directing and regulating this change by attempting to balance the needs of the various actors.

To this end, the suggestion could be made of establishing a body within SCOP to cater for the requirements of managers and the organisation and to have responsibility for structuring and collating information on the probable changes in staff and the requirements of management in order, in future, to play the role of head-hunter and internal outplacement.

Lastly, DG ADMIN should plan to establish a high potential programme for young administrators who have the ability to occupy management posts in the future.

Main evaluation methods and data used

- SWOT analysis
- Other structuring tools: The method is based on a qualitative and quantitative study which enables the differences between the services to be treated objectively, i.e.
 - the service promised by the CGS;
 - the service provided by the CGS;
 - the service perceived by its clients;
 - the service expected by those same clients.
- Desk research
- Field studies with interviews, surveys and focus groups
- Primary data from interviews, surveys, etc.
- Secondary data from a monitoring system and literature / experts
- Statistical analysis
- Benchmarking

Action taken / follow-up planned

Precise follow-up actions to be agreed upon before the end of 2004;

Reflections ongoing on how to establish a career management system and to change the orientation of career guidance in the Commission.

Availability of the report

For the internal use of the Commission. Only published on the intranet.

Staff Opinion Survey on the Commission as a workplace and the satisfaction with the services rendered by DG ADMIN, PMO, OIB and OIL

Activities concerned 26 01 50 Personnel policy and management
 26 01 51 Infrastructure policy and management

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante / interim / ex post	12/03 – 11/04	E. Weizenbach (+32 2 2994953)	Internal (with external assistance for the statistical analysis of the surveys)

Purpose of evaluation

One of the objectives of DG ADMIN, PMO, OIB and OIL is continuous service improvement. In this context DG ADMIN and the Offices would like to support a favourable environment that encourages staff satisfaction, commitment and motivation. When you want to improve service, you listen to the voice of the customer. We therefore gave staff the opportunity to express their views on working conditions in the Commission and on the services rendered by DG ADMIN and the Offices by launching a staff opinion survey for staff in Brussels and Luxembourg. The objective was to “measure” the satisfaction levels of staff, and to what extent their expectations were met. It should be noted that a staff opinion survey is not a research study, but rather a tool for providing management with feedback and perceptions of its staff.

The staff opinion survey exercise, linked to the move towards a “service-orientation” of DG ADMIN and the Offices, had six specific objectives:

1. Provide a foundation for a process to discuss with staff and management actions to address key concerns;
2. Foster improved communication between the organisation and staff, and between different parts of the organisation, in support of change and quality;
3. Demonstrate that staff opinions are valued by giving staff the opportunity to provide upward feedback and voice their views and suggestions;
4. Obtain information on staff or client perceptions, concerns and suggestions about the effectiveness of the services rendered by DG ADMIN and the Offices;
5. Enhance managerial awareness of the strengths and weaknesses – as perceived by staff – as a basis for learning, policy development and action planning;
6. Provide baseline measures to track progress in the future.

Summary of findings and recommendations

The Commission as a workplace:

About three-quarters of staff are satisfied to very satisfied, all in all, with being employed in the Commission. Just less than half of all staff is really satisfied with working for the Commission, which means scoring more than 7 on a scale of 1 to 10 (0-1 being very dissatisfied up to 9-10 for being very satisfied).

The majority (67%) of staff compares their job in the Commission slightly favourable to very favourable as compared to their ideal work place. 50 % of staff rated their workplace higher than 7 on the scale of a very poor comparison (0-1) to very favourable (9-10) comparison.

Approximately 70% of the respondents show a high level of satisfaction with their job, its content, the job related tasks and responsibilities in general, the level and responsibilities and the active use their knowledge & experience. So, in general, staff is relatively satisfied with their workplace. Commission staff is however neutral to slightly dissatisfied about the following aspects of their work environment:

- The distribution of tasks and division of labour in the unit / the direct working environment;
- Assistance and support from their line manager;
- The informal/day-to-day acknowledgement for their work from their line manager;

What comes out clearly is that staff is dissatisfied about the relation between their performance at work and their career progression.

Commission staff is relatively proud to work in the Commission and most of staff would recommend others to apply for a job in the Commission. Staff is however more neutral and reserved in telling others that they are employed in the Commission.

In general, the perception of staff is that they enjoy a reasonably pleasant working atmosphere and that they are mildly satisfied about their possibilities for personal development. There is a more neutral level of satisfaction with the balance between the private and professional life of staff.

In the perception of staff itself, they are very motivated within their work and take quite a few initiatives themselves in order to enhance the overall working quality in their unit or service. On the other hand staff feels, in general, that their efforts or initiatives are only sometimes acknowledged by your direct superior.

It is worth noting that staff indicated that they perceive that within the Commission there is not enough respect for them as an individual. In addition, staff does not perceive the Commission as being a modern and attractive workplace. From the correlation of workplace satisfaction with the years of service, it also shows, on average, that the longer staff works in the Commission the level of dissatisfaction becomes higher.

When one compares the satisfaction rating with the workplace and the job with a recent study on satisfaction among US federal employees ("Best Places to Work in the Federal Government" of November 2003), it appears that Commission staff is just slightly more satisfied. The overall job satisfaction level of Commission staff is very close to that of officials in the Dutch public sector. The benchmarking indicates that staff in the Commission has quite similar perceptions and satisfaction levels on workplace issues.

The services of DG ADMIN and the Offices: general satisfaction and feedback

In general, staff scores the level of satisfaction with the services provided by DG ADMIN and the three Offices (OIB, OIL and PMO) as "average".

A point that needs attention is that among staff the split between the Offices and DG ADMIN is still not clear. The reasons for the establishment of the Offices are not yet well understood. The large majority of staff did not notice any difference in the level of quality of services since the establishment of the Offices.

Several general points of improvement were suggested by staff that responded to the survey:

- DG ADMIN and the Offices need to further improve their "service orientation";
- There is a need for clearer communication and increased transparency;
- Staff would prefer more information and clarity on contact points in DG ADMIN and the Offices so that they know which service responsible and where to go in case of questions or problems;
- The approach towards staff should become less formal and more personal;
- DG ADMIN and the Offices should review their procedures and evaluate whether they cannot be simplified.

Main evaluation methods and data used

- Desk research
- Field studies with surveys and focus groups
- Primary data from interviews, surveys, etc.

- Secondary data from literature / experts
- Statistical analysis
- Benchmarking

Action taken / follow-up planned

To improve the delivery of DG ADMIN, PMO, OIB and OIL services on the basis of the generated feedback and to take account of the appreciation of the working environment for future policy-design.

Availability of the report

For the internal use of the Commission. Only published on the intranet.

Evaluation of the future racial and ethnic diversity policy in the European Commission

Activities concerned 26 01 50 Personnel policy and management

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante	01/04 – 10/04	E. Weizenbach (+32 2 2994953) L. Latouche (+32 2 2993690)	External

Purpose of evaluation

The European Commission is aware that the composition of staff in the EU institutions should reflect the ethnic diversity of Europe. As part of the Reform, Commission policy is to promote greater ethnic diversity and to ensure that the composition of the EU institutions should reflect the ethnic diversity in Europe. This is a relatively new issue that has been assigned to Unit ADMIN.B.4, which is the Equal Opportunities and Non-discrimination Unit of the Directorate General for Personnel and Administration (DG ADMIN).

The policy is based on the broader scope afforded by Article 13 of the European Community Treaty, as amended by the Treaty of Amsterdam, to anchor the general principle of non-discrimination in the Union.

"Without prejudice to the other provisions of this Treaty and within the limits of the powers conferred by it upon the Community, the Council, acting unanimously on a proposal from the Commission and after consulting the European Parliament, may take appropriate action to combat discrimination based on sex, racial or ethnic origin, religion or belief, disability, age or sexual orientation."

Article 13 has provided the basis for the adoption of Directive 2000/43/EC establishing the principle of equal treatment irrespective of racial or ethnic origin. Moreover, the concept of indirect discrimination introduced into the "Race Directive" (Council Directive 2000/43/EC) implies the need for organisations such as the Commission to examine their procedures and practices to ensure, as far as possible, that indirect discrimination against various groups, including racial and ethnic groups, is eliminated. The report therefore addressed the following key objectives:

- To carry out a problem and needs assessment of an ethnic diversity policy within the Commission.
- To advise on how to improve procedures in the recruitment process.
- To provide recommendations for the development and implementation of an ethnic diversity policy.
- To advise on resources and strategy as necessary.

Summary of findings and recommendations

The recommendations presented in the evaluation report cover a range of issues related to the promotion of ethnic diversity within the Commission:

Recognition of the potential for widespread indirect discrimination, as well as the possibility of direct discrimination, should lead to a more proactive approach to recruitment, staff development and promotion, including:

- Advertising more widely, promoting a more diverse image of the Commission, networking with HR professionals in Member State administrations, appropriate NGOs and with ethnic minorities currently within the Commission.
- Reviewing academic and language qualifications for specific posts, recognising that many ethnic minority candidates may have had less opportunity to study and may have non-European languages as their second or third language.

- Facilitating training for under-represented groups to permit them to acquire those skills particularly prized within the Commission (e.g. through training grants to applicants for the preparation of EC competitions).
- Reviewing selection tests to eliminate indirect bias against certain ethnic groups.
- Promoting awareness raising and training on diversity issues among existing staff, particularly among managers who are involved in the selection, appraisal and promotion process.
- Ensuring that the formal complaints procedure (Art 90 of the Staff Regulations) does not damage the prospects of ethnic minority complainants, possibly through creating a network of diversity advisors or counsellors within the Commission as a first point of contact.
- Introducing skills in diversity management into appraisal criteria.
- Reviewing the composition and capabilities of recruitment and promotion panels, to ensure their diversity and/or understanding of diversity issues.
- Acknowledging and publicising the success of ethnic minorities as this occurs.

Most Relevant Activities and Outputs.

Three areas are of particular significance in the prioritisation of activities – policy development, the monitoring of ethnicity, and training and awareness raising.

- Policy Development:

The establishment by DG ADMIN of an Interdepartmental Race and Ethnicity Working Group comprising key HR and training specialists, diversity specialists and policy specialists. The Working Group should develop mechanisms for wider staff involvement in the policy planning process and produce an internal Racial and Ethnic Diversity Policy, including an Action Plan.

- Monitoring:

Given the importance and sensitivity of this issue, the function and purpose of monitoring should be introduced to staff prior to any attempt to install a monitoring system, and the new dialogue with Member States on this issue should be continued. Possible categories for ethnic monitoring should be discussed and agreed (primarily through consultation with Commission staff, but also with national administrations and selected NGOs), as should the points in the employment process where monitoring should take place. Identify selected categories of senior staff with whom monitoring could be initially trailed.

- Training and awareness raising:

All staff should be introduced to the issues surrounding race equality and ethnic diversity through a series of measures including induction training, briefing seminars and as part of an introductory course. HR officials, managers and diversity “champions” would require more intensive training each.

Promotion of the Commission as an Equal Opportunities Employer.

As well as changes to the recruitment, staff development and promotion procedures, the Commission should carry out targeted ethnic minority recruitment campaigns drawing on ethnic minority networks and involving existing ethnic minority employees to improve the Commission’s image. DG ADMIN should also consider the further promotion of information and data collection within the Member States in collaboration with DG EMPL, particularly through active involvement in the EU Working Group on Data Collection to Measure the Extent and Impact of Discrimination in Europe.

Confidentiality of Personal Data.

In parallel to the recommendation in favour of ethnic monitoring, it is also recommended to take steps to ensure the continuing confidentiality of personal information. All individuals should be aware of the data held, the period it is to be held and the fact that data will be kept separate from personal identification fields. Data should be available to the individuals concerned, but should not be made available to other employees, except in aggregated form.

The Role of DG ADMIN.

It is recommended that the DG ADMIN unit for “Equal Opportunities and Non-discrimination” takes responsibility for promoting the proposed programme. More specifically, the unit should initiate and steer the Working Group, coordinate staff involvement, identify diversity champions and advisors across the Commission, play an active role in developing the Policy and Action Plan, be responsible for coordinating implementation of the Policy and Action Plan, be responsible for monitoring, take the lead in facilitating training and provide advice and guidance across the Commission as required.

Nevertheless, individual DG’s should have the responsibility for implementing the Policy and Action Plan within their own DGs or Services, those chosen as diversity champions and advisors should as far as possible resolve issues within their own services, and EPSO should be fully involved with policy formulation and execution in respect of recruitment.

Main evaluation methods and data used

- SWOT analysis
- Desk research
- Field studies with interviews, surveys and focus groups
- Primary data from interviews, surveys, etc.
- Secondary data from literature / experts
- Benchmarking

Action taken / follow-up planned

The establishment by DG ADMIN of an Interdepartmental Race and Ethnicity Working Group

To develop a policy on equal opportunities for people of ethnic minorities

Further actions: see above.

Availability of the report

For the internal use of the Commission. Only published on the intranet.

Evaluation of internal middle and senior management training & development in the Commission organised by DG ADMIN

Activities concerned 26 01 50 Personnel policy and management

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante / interim / ex post	12/02 – 6/04	E. Weizenbach (+32 2 2994953)	External

Purpose of evaluation

The Commission's Training Guidelines²² emphasise the need for evaluation of training policy and courses. It states that one of the specific responsibilities of the Directorate General for Personnel and Administration is to *"manage the evaluation of the training process in order to ensure quality, value-for-money and conformity with central instructions"*. In annex 2 of these Guidelines concerning quality assurance it is detailed that: *"In the case of formal training courses, evaluation will take place during and at the end of events to measure the effectiveness of the learning process. Further evaluation will take place some time after the event to assess the transfer of learning to the workplace and the impact of training on the team, unit or service."*

This particular project had to evaluate middle and senior management training & development in the Commission. It looked specifically at the management training needs within the Commission and how these are currently addressed. The evaluation had to assess the performance of the management training provision (results and impact) as well as suggesting practical recommendations on future management training in the Commission.

It is very important to note that the present evaluation of management training took place within the context of Reform of the Commission, based on the White Paper on 'Reforming the Commission' in March 2000. This evaluation came at a time of important changes to human resources policy, placing a premium on performance, continuous training and quality of management as well as improving recruitment and career development. The Reform represented, and still represents, the key change agenda for both middle and senior managers within the Commission. The effect of the Reform has significantly changed the explicit requirements of management and consequently of the skills and capabilities of middle and senior managers.

The project was based on a review of background documents, an extensive interview programme, a workshop with Resource Directors, another workshop organised as a *Management Matters Live* event, an analysis of exit survey data for the Middle management Training Programme - MTP (feedback of 300 individual participants in 2001 and 2002), benchmarking and an on-line survey among all middle and senior managers in the Commission. Within the survey exercise, 436 managers (or about 30 % of all Commission managers) provided detailed feedback.

Summary of findings and recommendations

The over-riding conclusion from this evaluation is that management training as provided by the Commission's central Training Unit (ADMIN.A.3) is comprehensive and is highly regarded by the vast majority of Commission managers that participated to this type of training.

General Evaluation Findings as regards Management Training :

- There is a high degree of complementarity in the training offered by the Central Training Unit. The exception to this is the lack of progression or follow-up that has, hitherto, been available in relation to the MTP. Managers needed additional support and development tools after completing the MTP. However, this has and is being addressed already by the Training Unit.

²² Annex to the Commission's Decision of 7 May 2002 on Staff Training (E(2002) 729)

- The majority of middle and senior managers are satisfied or very satisfied with the organisation of Training by the Central Training Unit. Among those participants that did not explicitly express their satisfaction, a significant number of respondents stated that they had no particular view.
- Some 60% of middle managers perceived their training needs to be fully satisfied, or mainly satisfied, and 33% were partly satisfied. Middle managers perceive the management training offer to be useful and appropriate.
- Of the senior managers, 55% perceived their training needs to be fully satisfied, or mainly satisfied, and 41% were partly satisfied.
- In cases when managers were not satisfied, it dealt with not with the training courses or programme as such. The following issues recurred as reasons for dissatisfaction:
 - Insufficient information as the management training offer
 - No follow up to the MTP
 - The need for personal guidance on their training map
 - Poor training facilities
 - Bad experience of the CDR training
 - Trainers not knowing enough about the Commission
- The trainers interviewed as part of the evaluation regarded the MTP in particular as providing a high degree of flexibility in delivery. In particular this referred to the ability to engage in reflective and reflexive practice due to the fact that the seminars were spread over a period of about eight weeks.
- None of the case studies undertaken in the benchmarking exercise of this evaluation suggest that there are significant lessons to be learned from the way in which other organisations deliver management training. Indeed the management offer in the Commission, particularly at middle manager level is comprehensive and complementary.
- There is widespread knowledge of the lunch-meetings for managers “Management Matters Live” and very positive views of those who have participated in it even though it is not part of the management training offer as such. In particular it is viewed as a very appropriate means of sharing experience since the time required is manageable. It is seen a valuable follow-up to existing management training.

Management training and competency profile for managers in the Commission

One of the questions for this evaluation was whether the current offer of management training matches the competency profile as defined by the Commission and DG ADMIN.

For middle managers a competency framework has been formally adopted. It needs to be noted that the development of the Middle Management Training Programme (MTP) pre-dates the adopted competency framework. However, there is a good fit between the current offer of management training for middle managers, most particularly the MTP, and their competency profile. There are no areas of competency for middle managers that are not reflected to some degree in the MTP.

A recurring theme among middle managers was the change caused by the Reform, in that the role of Heads of Unit as people manager has been emphasised and they being specialists is not sufficient anymore. It is therefore logical that among their specific needs for additional management training, personnel management – people management is a re-occurring theme in the discussions.

One issue that has been widely referred to in the consultations with middle managers is that senior managers are not familiar enough with the changes that are taking place at middle management level as a result of the Reform. There was a widely held view among middle managers that Directors should be obliged to complete the MTP in order that they become more familiar with its content and meaning. While it is probably not possible to make such training obligatory retrospectively, it should be noted that the completion of the MTP will be a necessary condition for promotion to Director as of 2004.

For those senior managers who have followed the management Training Programme (MTP) the great majority (83%) consider it to be either very relevant or relevant to the development of the competencies that have been prescribed for middle managers.

In preparation for the introduction of the Assessment Centre, work has taken place on the development of a Competency Framework²³ for Senior managers in the Commission, which although not yet finalised will have a number of key components with which any future Senior Management Training Programme will need to be aligned. The competencies for senior managers are very different from those of middle managers in that they are essentially *transformational*: they are about creating a vision for the organisation, developing the organisation, selecting, building and motivating successful teams to implement the vision and strategic framework.

As regards the match between the competency framework and the current management training offer, the position for senior managers is less clear as there is as yet no senior management training programme, although the Commission's Strategic Training Framework for 2004 states that a Senior Management Development Programme will be introduced.

Senior managers considered their top three most important current personal leadership and management training needs to be:

- Change management
- Strategic leadership/management
- Human resource management

Future Senior Management Development Programme

One of the aims of the evaluation was to present recommendations for a future senior management training or development programme.

Senior managers in the Commission are clear as regards the content that they believe should be covered in a future Senior Management Training programme. The content should include:

- a Leadership programme (specifically set up by international Management Schools and targeted towards managing EU policies) with the following subjects:

- Change management
- Human resource management, including inspiring others
- Directing teams and co-ordinating group activity
- Developing a mission and vision
- Conceptualising

- an extension to the existing External Management Development Programme,

- the support of one-to-one coaching by external management experts, and

- meetings and development workshops with other senior managers

Concerning the delivery of a Senior Management Development Programme, senior managers are very clear as to their preferred methods of training that would meet their leadership and management needs that they have identified. Thus

- 83% of senior managers stated that a structured leadership or senior management programme delivered by an external management school is either strongly needed (40%) or needed. Senior managers, who participated in the survey, expect prestigious and high-quality courses which would engage them with top management from other organisations, and are concerned with management issues around the development of the EU. They suggested specially conceived programmes designed by international

²³ Assessment Centre Senior Officials Competency Model: tmp. De witte & morel

Management Schools. Senior managers are also looking for proactive guidance and assistance in identifying suitable external top management courses.

- 68% of senior managers stated that coaching, as one to one individualised learning support focussed on particular development goals (confidential and time limited), is either strongly needed (36%) or needed.
- 67% of senior managers stated that development workshops with other senior managers are either strongly needed (22%) or needed.
- 67% of senior managers stated that a specific skills development programmes such as the existing External Management Development Programme, is either strongly needed (24%) or needed.
- There is also evidence in the comments made by senior managers that they want more opportunities for sharing experience with their peers both within the Commission and outside.

As stated before, since the 1st of January 2004 appointment as a Director will be conditional upon completion of the MTP. This represents a *prescriptive* element of senior management training and should help considerably in addressing, what middle managers perceive as, a lack of understanding of management responsibilities by senior managers

The Commission's Strategic Training Framework for 2004, which was developed after this evaluation began, details the introduction of a Senior Management Development Programme for Directors and Directors-General.

Main evaluation methods and data used

- SWOT analysis
- Desk research
- Field studies with interviews, surveys and focus groups
- Primary data from interviews, surveys, etc.
- Secondary data from literature / experts
- Expert panels
- Benchmarking
- Cost-benefit analysis

Action taken / follow-up planned

For the follow-up it is essential to know that general management training (excluding institution-specific subjects) comes under the responsibility of EAS and will progressively be offered by EAS as of 2005, even though a transition period has to be considered.

The main follow-up for the central Training Unit (ADMIN.A.3) is the establishment of a Senior Management Development Programme and to expand the number of the Management Matter Live sessions. The follow-up by the EAS relates to most of the recommendations on the evaluation, but they have to be considered on their own merits when designing the inter-institutional MDP programme or other general inter-institutional management training. The evaluation findings can therefore be used by EAS as an input for designing management training in general.

Availability of the report

For the internal use of the Commission. Only published on the intranet.

Evaluation of the new language training format in Luxembourg

Activities concerned 26 01 50 Personnel policy and management

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante / interim	04/04 – 11/04	E. Weizenbach (+32 2 2994953) M. Littlejohn (+32 2 2932187)	External

Purpose of evaluation

For many years, the European Commission, through the Directorate General for Administration and Personnel (DG ADMIN), has been offering language courses to its own staff as well as to most other EU institutions present in Luxembourg, such as the Parliament, the Court of justice, Court of Auditors, or the European Investment Bank. Some staff from the European school have been involved both as beneficiaries and teachers to these courses, whereas EuroControl has not taken part so far in the scheme.

Fluency –or at least working knowledge of the main languages of communication such as English, French and German, is indeed a particularly important issue in the multi-cultural context of European Institutions. Language training tends to contribute to improving effectiveness, performance and motivation; to share different cultures while disseminating institutional European values; and to a better accomplishment of organisational targets, which are the general objectives for training set in the Decision on Staff Training²⁴. Furthermore, the ongoing integration of a large number of civil servants coming from the new Member States has worked as a powerful catalyst for raising renewed interest for these courses.

The new Training Guidelines²⁵, put forward in the framework of the current administrative Reform of the Commission, have specifically addressed language learning. Participation in the language courses is normally decided by the jobholders and their line managers, according to their interest and specific job requirements. The application to and management of the training courses is made through the “Syslog Web Formation” IT tool. Developed in 2001, this system has allowed a more efficient response to the needs of both participants and organisers, while providing updated information on training.

In October 2003, a new format of four consecutive hours once per week, either in the morning or in the afternoon, was introduced in the inter-institutional language courses in Luxembourg, replacing the two hours - twice a week system. This change was essentially based on criteria of efficient administrative management, such as the desire to optimise the use of available training rooms, the reduction of travel time for participants -considering the distances between the various working places and the classrooms-, and on parameters of budgetary constraints.

Beyond these initial criteria and parameters, the main objectives of the current evaluation was to assess the degree of satisfaction or dissatisfaction of those involved in the language training courses, to compare the efficiency and effectiveness of the old and the new course formats, and if already possible to analyse results from a qualitative point of view.

Summary of findings and recommendations

Faced with a number of management parameters such as available resources and optimum use of scarce classrooms, the Training sector of DG ADMIN in Luxembourg, together with the other concerned Institutions in Luxembourg, took the joint decision to try to streamline the course format and to modify the hitherto twice-

²⁴ E(2002) 729

²⁵ Annex 1 to the Commission Decision on Staff Training

weekly courses into single weekly events of four hours each. Additional benefits were expected e.g. in reduced travel time for participants. The decision had essentially been made on the basis of the following relevance criteria.

- The need to cope with the new challenges resulting from enlargement, e.g. increase from 11 to 20 in the number of official languages, and expected increase in the requests for corresponding language training.
- A scattering of training rooms was expected in city of Luxembourg, since a number of existing buildings were to be renovated or simply abandoned. A steep increase in travel time was therefore foreseen, which a tighter training format could hopefully reduce.
- In parallel, different training formats (particularly weekly and semi-intensive) had also to be organised, which should run concurrently with optimum use of training rooms.
- A budgetary constraint appeared in the need to manage the above without corresponding increase in resources, and even with a constant reduction of administrative support staff.

In this perspective, the 4 hours module appeared to be the most appropriate, although the trade-off between the management elements and the need to maintain the quality of training has appeared as an important aspect of this review.

The total potential beneficiary population of language training in Luxembourg can be estimated at approximately 7.000 persons from various European Institutions. Up to 3.000 (roughly 40%) of these are Commission staff; others work for the Parliament (2.000), the Court of Justice (1.000), the European Investment Bank (800) or the Court of Auditors (6-700). A training course period could accommodate up to 1.500 people.

Response rates to the surveys can be considered as representative. The first survey collected almost 60% of replies –though this concerned Commission language training participants only. The second survey achieved a rate of 51% (out of 1.366 participants to the course, 698 completed the questionnaire). Furthermore, response rates reflected the respective staff numbers of the various Institutions with only minor variations, to the exception of the European Parliament.

The two surveys have delivered a rather consistent set of quantitative and qualitative conclusions, corresponding respectively to “direct” questions (i.e. to be answered by yes, no or don’t know) and “open” ones (free comments and suggestions), as follows.

The overall quality of the course was generally emphasised. In both surveys, roughly 90% of all participants rated the course from “good” to “excellent”, and almost 95% of them declared that they would be ready to recommend the course to colleagues. The major factor of success was repeatedly identified in the performance of the teachers (80 to 90% of very favourable comments), who had generally been able to adapt their training methods to the new course format.

A remarkably high percentage of the participants were able to successfully complete the course under the new format, seemingly even more so than while using the old bi-weekly format. Partial statistics tend to indicate completion rates above 90% for the first two courses under the new format.

A comparison of the exam marks of the last three language course periods (one under the old format and two under the new format) shows that the average exam marks in points out of 100 only slightly vary (*last course under the old format = 80/100, first course under the new format = 82/100 and second course under the new format = 77/100*). These findings suggest that the introduction of the new format did not significantly impact on the exam marks/teaching results.

However, the adequacy of the new format itself to the learning needs is subject to a significant amount of passionate comments, and the old format is generally seen -by more than 50% of those who are in a position to compare- as more conducive to learning performance (“...the 4-hours format makes it easier to organise one’s work, but is not beneficial to language-learning”). The expected saving in travel time often did not really materialise, because in many cases the training and working places were still quite close to each other.

Open comments were helpful in further emphasising the main focuses of the replies. These concerned e.g. problems of catching up with missed courses –which are made more difficult with longer and less frequent courses-, and of maintaining adequate level of concentration during 4-hours periods (the last hour seems often to be less profitable).

Key reasons for the largely positive overall results of the course should therefore be found in the professionalism and commitment of the teachers, but also probably in the high capacity of the staff to overcome concentration problems over longer periods of courses, and to compensate with additional homework when necessary.

It can be concluded from the findings that one or two more cycles of the new course format would probably be needed, in order for all the teachers to fully adapt their pedagogical methods, and for the participants to become better used to the new training rhythm.

It is recommended, that the Training sector in Luxembourg monitors the development of the courses results, the course completion rates and exam success rates over the next course cycles carefully. This will provide the Unit with a clear picture on the longer term impact of the new format and enables the Unit to take additional corrective measures if necessary.

Nevertheless, a number of improvements need to be considered in the meantime to address those areas where a significant number of the staff responses have been critical (e.g. catching-up issue).

Main evaluation methods and data used

- SWOT analysis
- Desk research
- Field studies with interviews, surveys and focus groups
- Primary data from interviews, surveys, etc.
- Secondary data from literature / experts
- Statistical analysis

Action taken / follow-up planned

The Training sector in Luxembourg will use the findings and feedback to further improve its language training provision for Commission staff and personnel of other Institutions.

Availability of the report

For the internal use of the Commission. Only published on the intranet.

Evaluation of the Commission's telephone service, centrally managed by the Directorate General for Information Technology (DIGIT)

Activities concerned 26 01 52 Information Technology Management

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex ante / interim / ex post	09/03 – 01/04	E. Weizenbach (+32 2 2994953) H. De Gendt (+32 2 2953419)	External

Purpose of evaluation

This project consisted of an evaluation, including a measurement of the level of service, of the European Commission's (EC) telephone service, managed by the former Informatics Directorate (DI) of the Directorate General for Personnel and Administration (DG ADMIN), currently the Directorate General for Information technology (DIGIT).

The aim of the evaluation was to measure the level of satisfaction of the internal and external clientele of the European Commission's telephone service (InfoTel) regarding the quality of the service that is given by the telephone operators and the InfoTel service in general. The main focus was the external calls and, in addition to capturing the levels of satisfaction, the evaluation was tasked with benchmarking this against services like Europe Direct. On the internal side, the focus was more in relation to the information services offered.

There were three specific objectives that have been set for this project:

- To provide recommendations for further *improvement of customer service* of the telephone services in Brussels and Luxembourg;
- To provide recommendations to *improve the quality* of the Commission's telephone services in terms of efficiency, effectiveness and relevance;
- To *benchmark the telephone service* provision against comparable services within or outside the Commission.

This particular evaluation was carried out for DIGIT's own policy-making purposes, to provide it with information that will help to (re-)direct its actions, and make it accountable for the results achieved. The exercise was co-ordinated by a small steering group within DIGIT, in co-ordination with the Evaluation Function of DG ADMIN, attached to unit ADMIN.D.2.

Summary of findings and recommendations

During November and December 2003, The European Evaluation Consortium (TEEC) conducted a customer satisfaction survey of the European Commission's telephone services as provided at sites in Brussels (INFOTEL B) and Luxembourg (INFOTEL L). The survey took into account services provided to internal staff of the Commission (help-desk and transfer of to an international number) and those provided to external clients (Commission switchboard).

The "Groupe de qualité", composed of operators of the INFOTEL-Service, evaluated the recommendations and draw up an action plan for the period 2004-2005:

Answering calls

- Consideration is given to using a standard greeting by operators.
- Rather than being encouraged to give their name, which is difficult for callers to remember, operators are encouraged to state that external callers are through to the European Commission switchboard, which

would enable external clients to distinguish between the service provided by INFOTEL and other members of Commission staff. DIGIT will therefore accelerate the implementation of new (call centre) technology.

- Calls to the switchboard should be more systematically answered in English to mirror the high percentage of calls to the switchboard in this language. DIGIT has therefore made sure that calls are systematically answered in French and English.
- Operators who are not fully fluent in English are provided with additional language training. All operators who were not fluent in English were provided with an additional and intensive language training (end of the course 01.04.2004).

Dealing with callers

New standard best practice procedures are introduced and made a requirement of the service provided by the external contractor whereby:

- Both internal and external callers are systematically provided with the name and direct line of a Commission staff member, when callers do not already know this information. Pre-defined messages have therefore been prepared by the "Groupe de qualité INFOTEL". When callers are looking for a person with specific expertise, operators will give the name of the person sought, the direct line and name of the DG, to give a better level of service.
- Both internal and external callers external are systematically told 'Please hold the line' or 'Your call is being transferred' when an operator transfers an external call to another staff member;
- Operators do not inform external callers that it is too late or early to call, or that it is lunchtime as callers are able to leave a voicemail message, when they are unable to get through;
- The correct procedure for dealing with publications is followed.
- Contact persons in the DG are designated for dealing with queries, for example contact points located in the communications units. INFOTEL has contacted Europ Direct (call centre DG Press) and will examine their best practices and contact persons, since DG Press has established relations with the press and communication units of different DGs.

The service and treatment of callers by operators in Luxembourg needs to be addressed as this is consistently behind that provided by the switchboard in Brussels. The switchboard in Luxembourg was therefore closed on 16.01.2004 and all calls are now handled by Brussels.

The music heard by callers when kept on hold is replaced by a standard message informing callers of the Europa web site. A message is therefore prepared/suggested by the "Groupe de Qualité INFOTEL".

All Commission staff members are provided with voicemail facilities and those that already have these facilities are required to make use of them, even if a holding message is used requesting that callers send an e-mail. All Commission staff members have already voicemail facilities, but have to be encouraged to make use of them. An evaluation on the evolution of Commission staff members using voicemail facilities has to be done afterwards.

Dealing with enquiries

A tailor-made training programme be established for new, and where necessary, current switchboard staff. Consideration could be given to participating in the training currently provided by DG PRESS to the call centre staff of Europe Direct. This is required due an apparent lack of institutional knowledge. The actual training programme for all new operators therefore will be adapted.

The possibility of identifying an Information Officer from the operators could also be considered as a way of keeping operators up-to-date. The tailor-made training programme has to be combined with the designation of an Information Officer among the operators, who can provide a weekly bulletin of news to other staff based on listing information, but user friendly for the operators. This could be a useful way of informing and training INFOTEL staff, and by the same time increasing interest in the job.

There is potential for INFOTEL to tailor a service to DGs involved in funding and recruitment issues (such as DG RTD, DG REGIO and EPSO). However, there is a need to consider whether the service wants to

develop in this way, given that Europe Direct currently provides an external helpdesk. Also, before targeting an offer to the DGs it is necessary to know how many of these types of calls are received. With the actual technology, INFOTEL is working "blind". The implementation of new (call centre) technology will therefore be accelerated.

Operators and members of staff are encouraged to make greater use of the Internet and Intranet, by offering these sources as potential future information solutions to clients. Best practices in this field, used by Europe Direct, can be also used by operators of INFO INFOTEL will prepare a battery of questions and answers available for the operators and put on the website of INFO The implementation of the web site of INFOTEL has to be accelerated.

Main evaluation methods and data used

- SWOT analysis
- Desk research
- Field studies with interviews, surveys and direct observations
- Primary data from interviews, surveys, etc.
- Secondary data from a monitoring system and literature / experts

Action taken / follow-up planned

Improvement of customer service and quality of the telephone services in Brussels and Luxembourg by DIGIT. See description of the recommendations and actions above.

Availability of the report

For the internal use of the Commission. Only published on the intranet.

Commission's policy coordination and legal advice

Evaluation of the impact and operational features of the Spring Day in Europe initiative

Activities
concerned

25 03 02 Governance and institutional development

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Ex post	09/03 – 02/04	Mrs C. Renard (+32 2 2950702)	External

Purpose of evaluation

To analyse and evaluate the impact and operational features of the *Spring Day in Europe* initiative, and particularly its impact on pupils (level of knowledge of European issues, commitment, interest aroused, potential future interest, etc.), on teachers (motivation/commitment/and attitude which is outward-looking with regard to Europe, preparation of debates, teaching material before and after the initiative) and on head teachers and policy decision makers (added value in relation to other EU programmes, awareness of European issues, synergies with other programmes are initiatives, involvement of the education ministries, etc.).

Summary of findings and recommendations

Main findings:

Spring Day was an initiative of a large success, well planned, launched, and coordinated. It involved not less than 5,000 schools; at least 750,000 students participated and had a multiplying effect of about 3,330,000 additional people. The PR value of the press coverage was of about 1,800,000 €. It had a very high impact on students in terms of education about Europe; and also its contribution to the public debate on the future of Europe was large. Participation to the initiatives of European level policy players and public figures was perceived and appreciated by students as a positive stroke, and a sign of attention of the European Institutions to them. It was extremely cost effective, with a cost per contact on the EU budget of about 0.66 € per student. Participants enjoyed their participation, and there is a general request to continue the initiative, with further yearly editions."

Recommendations:

Evaluators were requested to issue, based on their conclusions, a set of recommendations. Here, the overall positive assessment of the initiative is confirmed, and the recommendations are issued as contributions from evaluators, based on the evaluative findings, to improve the overall success of the initiative.

Recommendation 1 Spring Day was a very successful initiative, with positive impact on the different clusters of actors and on final users. It was well planned, launched and coordinated. It was extremely cost effective. It is highly recommended to continue with the experience made with Spring Day 2003 with further yearly editions.

Recommendation 2 Every yearly edition of Spring Day should ideally be identified with a different theme. These themes should be selected as to combine European issues with topics of high relevance for students. The identity and public knowledge of Spring Day over the years shall be achieved with some basic tricks, for example the adoption of the same name and logo for all the editions of the initiative; and a similar

layout of the yearly website over time.

Recommendation 3 A key factor for the success of Spring Day was the

involvement of different European institutions, their willingness to collaborate, and the personal commitment of those involved. It is highly recommended to pursue the same conditions in the following editions of Spring Day.

Recommendation 4 The formula adopted (freedom of schools to select their initiatives, strong pedagogical support) was successful, and much appreciated. It is recommended to confirm this formula for possible further editions, while at the same time providing participating schools with more accurate information about scope of the initiative and expected results.

Recommendation 5 An important dimension of Spring Day was the possibility to organise some events possessing a playful dimension. This does not have to be discouraged. The organisation of a plurality of small events, all different in nature should be encouraged in the same schools.

Recommendation 6 Schools should be encouraged to better exploit the *Evaluation of the initiative Spring Day in Europe – Final Report, main text – March 2004* international network opportunities offered by Spring Day; and thus, the best practices / initiatives shall be duly acknowledged.

Recommendation 7 The participation of policy players to local initiatives was a key factor for the success of Spring Day. Efforts should be continued to encourage the participation of policy players to the possible forthcoming editions of the initiative. Efforts should also be encouraged to let students dialogue with policy players in a frank and open environment, putting aside a conspicuous time for questions and answers during debates.

Recommendation 8 It is recommended to plan and launch Spring Day well in advance, as to allow more time for schools to select and prepare their activities.

Recommendation 9 It is recommended to put in place a system to track down the number and identity of schools that in reality carry out initiatives for Spring Day. It is recommended to prepare a one-page report template, to be used by schools to inform the project management of their activities; and to issue a certificate of participation only to schools that send in this report.

Recommendation 10 To clearly define whether to target only secondary schools or also primary schools. To take consequent measures in terms of the number and nature of the competitions; and of the pedagogical support. (*Details to be found in the text of the report.*)

Recommendation 11 To invest more in terms of dissemination of the results of the initiative: to create a library containing the reports from the previous editions of Spring Day; to prepare a newsletter with the highlights of the present edition, a few weeks after its ending; to disseminate relevant feedbacks received.

Main evaluation methods and data used

- Concept mapping
- Desk research
- Field studies with interviews, surveys
- Focus group
- Primary data from interviews, surveys
- Expert panels,
- Case studies

Action taken / follow-up planned

Dissemination within the Commission relevant DGs (EAC, ELARG, PRESS, SG). The report has been communicated to DG Press who is continuing with a similar operation in 2005 (contact point) Mrs Catherine Renard). In designing the new operation, account has been fully taken of the recommendations made.

Availability of the report

For the internal use of the Commission only.

Statistics

Mid-term report on the implementation of EDICOM II programme

Activities concerned 29 02 Production of statistical information

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim	06/03 – 04/04	J. Lanneluc (+32 2 2934094)	Internal

Purpose of evaluation

The main purpose is to “submit to the European Parliament and the Council a mid-term report of activities financed under the new programme so as to enable, if appropriate, a review of the actions implemented under (the) decision to be carried out”, according to Article 5 (2) of the Edicom decision (Decision 507/2001/EC of 12 March 2001 adopted by the Council and the European Parliament; OJ n°L76 of 16.3.2001, p.1).

Summary of findings and recommendations

Main findings:

1) The objectives of the 2001, 2002 and 2003 work programmes were coherent with those of the overall programme. The design of the programmes made it possible to share the activities efficiently between Member States and Eurostat. The expected results were clearly defined in most of the projects, facilitating their attainment and monitoring.

2) The implementation of the work programme has been particularly efficient, mainly thanks to the assistance of specific Working Groups. Progress has been achieved across a wide range of fields, from data collection to dissemination. Most of the projects managed to achieve significant results and many applications have been developed.

Main evaluation methods and data used

- Desk research
- Matching of performance indicators against expected results as specified in ex ante evaluation

Action taken / follow-up planned

The recommendations will be followed up in the final report (also required by article 5(2) of the Edicom decision referred to above).

Availability of the report

Published in paper form: COM(2004)298.

Final report on the work undertaken by Eurostat and the Member States concerning the implementation of Council Decision 1999/297 EC of 26 April 1999

Activities concerned 29 02 Production of statistical information

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim	12/02 – 07/04	B. Knauth (+32 2 2932969)	Internal

Purpose of evaluation

Evaluation of the implementation of the Council Decision establishing a statistical information infrastructure relating to the industry and markets of the audiovisual and related sectors.

Summary of findings and recommendations

The measures undertaken under the Council Decision have produced relevant results in terms of

- making a step forward towards establishing and implementing a common methodological framework for audiovisual and related markets at Community level
- contributing to capacity-building in the Member States by supporting the execution of pilot actions
- increasing the regularity and timeliness of the collection and dissemination of statistics on the industry and markets of the audiovisual and related sectors and preparing the coverage of the audio-visual sector in the revised Regulation on Structural Business Statistics
- improving the degree of comparability and harmonisation.

However, the five years this Council decision has been in force were characterised by a shortage of human resources at both Eurostat and the national authorities, a shortage resulting mainly from the low priority assigned to statistics on the industry and markets of the audiovisual and related sectors. Considerable work would thus still be needed to turn audio-visual statistics into an area of quality statistics, especially as far as the dimensions of timeliness, completeness, coherence, comparability and relevance of the data are concerned. In particular, the following actions would need to be implemented:

- Member States would need to be put into a position to provide Eurostat with complete and timely data, respecting the concepts and definitions as set out in the methodological framework. The actions necessary would need to cover both technical aspects and the availability of a new Community legal framework.
- Eurostat would need to be put into a position to evaluate in detail the quality of the data provided by National authorities with a view to improving the comparability and coherence at Community level.
- Both the methodological framework and the data collection would need to be updated in order to improve their relevance by taking into account areas that have not yet been covered sufficiently (such as employment in the audio-visual sector, and trade aspects) as well as the coverage of new audiovisual products and services.
- Moreover, in the context of the current and further EU enlargements, specific measures should be taken to help the future members to adapt their national statistical system and to facilitate the transfer of knowledge and the exchange of experience needed to increase the development of their statistics.

While recognising the relevance of statistics relating to the industry and markets of the audiovisual and related sectors for certain policy areas, it is obvious that they are of lower relevance than other statistics relating to the EMU, to core aspects of EU competitiveness in important sectors of the economy or the new social agenda. As a result of this priority-setting, the Commission is in the current circumstances not in a position to pursue the work on statistics relating to the industry and markets of the audio-visual and related sectors.

Main evaluation methods and data used

- Desk research
- Direct observation
- Consultation with stakeholder (DG EAC)
- Other judging tool: No formal method used. The judgement is based on the following criteria: i) existence of competing priorities and ii) availability of human resources

Action taken / follow-up planned

The activity (audiovisual statistics) has been stopped.

Availability of the report

Published in paper form, as COM(2004)504.

Experience acquired from the statistical survey on plantations of certain species of fruit trees

Activities concerned 29 02 Production of statistical information

05 08 Policy strategy and coordination of Policy area Agricultural and Rural Development

Type of Evaluation	Calendar Begin – End	Contact Person	Organisation of the Evaluation
Interim	03/03 – 09/04	U. Eidmann (+32 2 2935444)	Internal

Purpose of evaluation

The evaluation is subject of Article 7 of Directive 2001/109/EC of the European Parliament and of the Council of 19 December 2001. This evaluation helps to improve future surveys on plantations of certain species of fruit trees.

Summary of findings and recommendations

The 2002 survey can be considered satisfactory in overall terms.

With regard to future surveys, consideration should be given to the update of the list of varieties and codes, and the harmonisation of thresholds.

The integration of this survey with other surveys, such as the survey on the structure of agricultural holdings, should be explored.

Main evaluation methods and data used

- Desk research
- Consultation with Member States (National Statistical Institutes and/or Ministries)

Action taken / follow-up planned

A proposal concerning integration of this survey with other surveys will be put forward to the Member States for consideration. This forms a part of a general Eurostat initiative concerning the future of agricultural statistics.

Availability of the report

Paper or electronic copy available on request from U. Eidmann (+32 2 2935444).

ANNEX II – ONGOING EVALUATION PROJECTS PER POLICY AREA (DECEMBER 2004)

Economic and Financial Affairs		
Evaluation of DG ECFIN's business and consumer surveys		
	Activity concerned	01 02 – Economic and Monetary Union
	Estimated date of completion	May 2005
	Contact person	Kevin Williams (+32 2 2985516)
Ex post evaluation of the Macro-Financial Assistance (MFA) operations carried out in Armenia		
	Activity concerned	01 03 – International economic and financial affairs
	Estimated date of completion	January 2005
	Contact person	Kevin Williams (+32 2 2985516)
Enterprise		
Extended impact assessment and ex-ante evaluation of the proposal for a Programme for Competitiveness and Innovation		
	Activity concerned	02 02 – Encouraging entrepreneurship 02 03 – Research – Promoting innovation and change 02 04 – Getting still more from the internal market 02 05 – Competitiveness and sustainable development 06 04 – Conventional and renewable energies 07 03 – Environmental programmes and projects 09 03 – eEurope
	Estimated date of completion	Spring 2005
	Contact person	Christine Berg (+32 2 2991922); Giancarlo Granero (+32 2 2999311)
Evaluation of the European Community legislation and its burden on businesses		
	Activity concerned	02 02 – Encouraging entrepreneurship
	Estimated date of completion	April 2005
	Contact person	Silvia Viceconte (+32 2 2952473)
Evaluation of the CREA (Venture Capital for Business Start-ups) seed capital action		
	Activity concerned	02 02 – Encouraging entrepreneurship
	Estimated date of completion	End 2005
	Contact person	Jennifer Robertson (+32 2 2962091)
Evaluation of DG Enterprise innovation activities		
	Activity concerned	02 03 – Research – Promoting innovation and change

Estimated date of completion	June 2005
Contact person	Peter Mikael Garellick (+32 2 2965453)

Extended impact assessment of the Action Plan/follow up of the Innovation Policy Communication

Activity concerned	02 03 – Research – Promoting innovation and change
Estimated date of completion	February 2005
Contact person	Katja Reppel (+32 2 2950952); Alberto Licciardello (+32 2 2993171)

Evaluation of the grant theme on cross-border market surveillance
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Activity concerned	02 04 – Getting still more from the internal market
Estimated date of completion	February 2005
Contact person	Rita L'Abbate (+32 2 2956760)

Extended impact assessment for a draft proposal for a Regulation on human tissue engineered products

Activity concerned	02 04 – Getting still more from the internal market
Estimated date of completion	2005
Contact person	Christian Siebert (+32 2 2966244)

Extended impact assessment "Proposal for a European Parliament and Council Directive amending Directive 98/34/EC laying down a procedure for the provision of information in the field of technical standards and regulations and of rules on information society services"
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Activity concerned	02 05 – Competitiveness and sustainable development
Estimated date of completion	April 2005
Contact person	Barbara Bonvissuto (+32 2 298178)

Extended impact assessment of the On-Board Diagnosis (OBD) Systems proposal
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Activity concerned	02 05 – Competitiveness and sustainable development
Estimated date of completion	May 2005
Contact person	José Pablo Laguna Gómez (+32 2 2957360)

Extended impact assessment for the amendment of the Directive on Pollutant Emissions from Motorcycles and Mopeds (2002/51/EC)
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Activity concerned	02 05 – Competitiveness and sustainable development
Estimated date of completion	May 2005
Contact person	Wolfgang Schneider (+32 2 2965260)

Extended impact assessment for a Proposal for the amendment of Directive 73/23/CEE concerning the Harmonisation of Legislation in the Member States Related to Electrical Material Destined to be Used within Certain Tension Limits

Activity concerned	02 04 – Getting still more from the internal market
Estimated date of completion	2006
Contact person	Jantine Unger (+32 2 2998500)

Competition		
Study on the Commission's practice on remedies in cases assessed under the Merger Regulation		
Activity concerned	03 03	Mergers, Antitrust and Market Liberalisation and Cartels
Estimated date of completion	March 2005	
Contact person	Alexander Kopke (+32 2 2984601)	
Employment and Social Affairs		
Policy Evaluation Development for the New Social Policy Agenda post 2005		
Activity concerned	04 02	Employment and European Social Fund
Estimated date of completion	May 2005	
Contact person	Sylvie Finné (+32 2965486)	
Evaluation of the EURES Activities		
Activity concerned	04 02	Employment and European Social Fund
Estimated date of completion	July 2005	
Contact person	Åsa Sundholm (+32 2950966)	
Evaluation of the Community Initiative EQUAL (2000-2006)		
Activity concerned	04 02	Employment and European Social Fund
Estimated date of completion	December 2005	
Contact person	Emmanuelle Guiheneuf (+32 2 2985796)	
Evaluation of Innovative Measures under Article 6 of the ESF Regulation in the Field of Local Employment Strategies and Innovation		
Activity concerned	04 02	Employment and European Social Fund
Estimated date of completion	August 2006	
Contact person	Donatella Piatto (+32 2985085)	
Evaluation of the Social Exclusion Programme (2002-2006)		
Activity concerned	04 02	Employment and European Social Fund
Estimated date of completion	October 2006	
Contact person	Sylvie Finné (+32 2965486)	
Evaluation of the EIM Programme – Community Incentive Measures in the Field of Employment		
Activity concerned	04 02	Employment and European Social Fund
Estimated date of completion	March 2007	
Contact person	Egbert Holthuis (+32 2 2993953)	
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)		
Activity concerned	04 03	Work organisations and working conditions
Estimated date of completion	January 2005	
Contact person	José Ramón Biosca de Sagastuy (+32 2 2934988)	

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)		
	Activity concerned	04 03 – Work organisations and working conditions
	Estimated date of completion	January 2005
	Contact person	José Ramón Biosca de Sagastuy (+32 2 2934988)
Evaluation of the financial instruments in support of the European Social Dialogue		
	Activity concerned	04 03 – Work organisations and working conditions
	Estimated date of completion	June 2005
	Contact person	Diane Eyben (+32 2 2954641)
Evaluation of the Community Action Programme against Discrimination (2001-2006)		
	Activity concerned	04 04 – Promoting an inclusive society
	Estimated date of completion	June 2006
	Contact person	Diane Eyben (+32 2 2954641)
Evaluation of the Community Action Programme relating to the Framework Strategy on Gender Equality (2001-2005)		
	Activity concerned	04 05 – Equal opportunities for women and men
	Estimated date of completion	June 2006
	Contact person	Diane Eyben (+32 2 2954641)

Agriculture and Rural Development		
Evaluation of the Common Market Organisation (CMO) in the banana sector		
	Activity concerned	05 02 – Plant products
	Estimated date of completion	May 2005
	Contact person	Fabienne Alcaraz (+32 2 2966677)
Evaluation of the environmental impacts of the Common Market Organisations (CMOs) relating to permanent crops		
	Activity concerned	05 02 – Plant products
	Estimated date of completion	October 2005
	Contact person	Andreas Kolodziejak (+ 32 2 2995221)
Evaluation of the Common Market Organisation for the cereals sector		
	Activity concerned	05 02 – Plant products
	Estimated date of completion	October 2005
	Contact person	Andreas Kolodziejak (+ 32 2 2995221)
Evaluation of the Common Market Organisation for the flax and hemp sector		
	Activity concerned	05 02 – Plant products
	Estimated date of completion	October 2005
	Contact person	Andreas Kolodziejak (+ 32 2 2995221)

Evaluation of the Common Market Organisations (CMO) for pig meat, poultry meat and eggs		
	Activity concerned	05 03 – Animal products
	Estimated date of completion	October 2005
	Contact person	Matthias Loesch (+32 2 55910)
Evaluation of the agri-environment measures		
	Activity concerned	05 04 – Rural development
	Estimated date of completion	October 2005
	Contact person	Detlev Clemens (+32 293730)
Synthesis of Rural Development mid-term evaluations		
	Activity concerned	05 04 – Rural development
	Estimated date of completion	November 2005
	Contact person	Detlev Clemens (+32 293730)
SAPARD – mid term evaluation synthesis		
	Activity concerned	05 05 – Special accession programme for agriculture and rural development (Sapard)
	Estimated date of completion	Early 2005
	Contact person	Detlev Clemens (+32 293730)
Evaluation of the Information policy on the CAP		
	Activity concerned	05 08 – Policy strategy and coordination of policy area 'Agriculture'
	Estimated date of completion	December 2005
	Contact person	Andreas Kolodziejak (+ 32 2 2995221)
Energy and Transport		
Transport of dangerous goods: Evaluation of the Community policy in the domain since 1994		
	Activity concerned	06 02 – Inland, air and maritime transport
	Estimated date of completion	March 2005
	Contact person	Erkki Laakso (+32 2 2961906)
Ex post evaluation of the SAFA Programme (Safety Assessment of Foreign Aircraft)		
	Activity concerned	06 02 – Inland, air and maritime transport
	Estimated date of completion	April 2005
	Contact person	Jean-Pol Henrotte (+32 2 2968296)
Ex post evaluation of the actions funded under the Road Safety Programme in the period 1999-2003		
	Activity concerned	06 02 – Inland, air and maritime transport
	Estimated date of completion	April 2005
	Contact person	María Teresa Sanz Villegas (+32 2 296 89 19)

Impact assessment of the Road Safety Action Programme (mid term revision)		
	Activity concerned	06 02 – Inland, air and maritime transport
	Estimated date of completion	April 2005
	Contact person	María Teresa Sanz Villegas (+32 2 296 89 19)
Assessment of the contribution of the TEN and other transport policy measures to the mid-term implementation of the White Paper on the European Transport Policy for 2010		
	Activity concerned	06 02 – Inland air and marine transport 06 03 – Trans-European Networks
	Estimated date of completion	October 2005
	Contact person	Vicenç Pedret Cusco (+32 2 2958242)
Assessment of the usefulness of the virtual facilities development within MANAGENERGY		
	Activity concerned	06 04 – Conventional and renewable energies
	Estimated date of completion	December 2004
	Contact person	Havard Malvik (+32 2 299624)
Impact assessment of SAVE projects		
	Activity concerned	06 04 – Conventional and renewable energies
	Estimated date of completion	January 2005
	Contact person	Vincent Berrutto (+32 2 2968642)
Ex ante evaluation of the proposal for a Council Decision on the creation of a Joint Undertaking under the EURATOM Treaty to organise research on Nuclear Waste		
	Activity concerned	06 05 – Nuclear Energy
	Estimated date of completion	April 2005
	Contact person	Tomás Botella Yaquero (+352 4301 37116)
Ex ante evaluation of the 7th Framework Programme		
	Activity concerned	06 06 – Research related to energy and transport
	Estimated date of completion	April 2005
	Contact person	Sebastiano Fumero (+32 2 2969688)
Ex post evaluation of OPET projects (Framework Programmes for Research)		
	Activity concerned	06 06 – Research related to Energy and Transport
	Estimated date of completion	June 2005
	Contact person	Barbara Moench (+32 2 2967836)

Environment		
Mid-Term Assessment of the Co-operation Framework to promote Sustainable Urban Development (Decision 1411/2001/EC)		
	Activity concerned	07 03 – Environmental programmes and projects
	Estimated date of completion	April 2005
	Contact person	Mercedes Barat (+32 2 2958756)
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 framework		
	Activity concerned	07 03 – Environmental programmes and projects
	Estimated date of completion	April 2005
	Contact person	Beata Somogyi (+32 2 2952223)
Evaluation of the Implementation of the Community action programme promoting NGOs primarily active in the field of environmental protection		
	Activity concerned	07 03 – Environmental programmes and projects
	Estimated date of completion	May 2005
	Contact person	Stefan Welin (+32 2 2966918)
Evaluation of the Role of EMAS and Eco-Label in fostering sustainable production and consumption		
	Activity concerned	07 04 – Implementation of environment policy
	Estimated date of completion	May 2005
	Contact person	Patrick Hamon (+32 2 2960769)
Evaluation of the IMPEL Network		
	Activity concerned	07 04 – Implementation of environment policy
	Estimated date of completion	April 2005
	Contact person	Georges Stavros Kremlis (+32 2 2966526)
Research		
"EVIMP-2": Evaluation of the results and of the anticipated socio-economic impact of finished projects from the Competitive and Sustainable Growth programme		
	Activity concerned	08 03 – Nanotechnologies, intelligent materials, new production processes and devices 08 04 – Aeronautics and space 08 06 – Sustainable development, global change and ecosystems
	Estimated date of completion	April 2006
	Contact person	Stefaan Vandendriessche (+32 2 2959312)

Evaluation of the Science and Society Action Plan		
	Activity concerned	08 10 – Structuring the European Research Area 08 81 – Policy strategy and coordination for DG Research
	Estimated date of completion	May 2005
	Contact person	Alan Cross (+32 2 2964961)
Pilot Study on bibliometrics analysis of publication activity: study for the Five Year Assessment of Community research activities (1999-2003)		
	Activity concerned	08 12 – Completion of previous framework programmes and other activities
	Estimated date of completion	December 2004
	Contact person	Neville Reeve (+32 2 2989329)
Assessment of the impact of the actions completed under the 5th Community Research Framework programme: survey for the Five Year Assessment of Community research activities (1999-2003)		
	Activity concerned	08 12 – Completion of previous framework programmes and other activities
	Estimated date of completion	December 2004
	Contact person	Fabienne Stillemans (+32 2 2958399)
Analysis of 'high impact' research activities (HIRA) under Community Research Framework Programmes: study for the Five Year Assessment of Community research activities (1999-2003)		
	Activity concerned	08 12 – Completion of previous framework programmes and other activities
	Estimated date of completion	December 2004
	Contact person	Neville Reeve (+32 2 2989329)
Impact assessment of projects funded under area 4 "Agriculture, Forestry and Rural Development" of FAIR (4th RTD Framework Programme)		
	Activity concerned	08 12 – Completion of previous framework programmes and other activities
	Estimated date of completion	Early 2005
	Contact person	J Williams (+32 2 2991599)
Evaluation de l'impact des bourses Marie Curie FP4-FP5		
	Activity concerned	08 12 – Completion of previous framework programmes and other activities
	Estimated date of completion	June 2005
	Contact person	Filippo de Rosa (+32 2 2990834); Inmaculada Peñas Jiménez (+32 2 2951143)
Impact Assessment of Commission proposal for 7th Framework Programme-FP7		
	Activity concerned	08 81 – Policy strategy and coordination for DG Research
	Estimated date of completion	April 2005
	Contact person	Ugur Muldur (+32 2 2965604)

Fisheries		
Evaluation of the Common Market Organisation for fish and fishery products		
	Activity concerned	11 02 – Fisheries markets
	Estimated date of completion	December 2006
	Contact person	Véronique Angot (+32 2 2966406)
Impact assessment and Ex Ante Evaluation of the proposed Fisheries Agreement between the European Community and Kenya, and Analysis of the Impact of the Future Agreement on Sustainability		
	Activity concerned	11 03 – International fisheries
	Estimated date of completion	January 2005
	Contact person	Maurizio Cellini (+32 2 2990198)
Extended impact assessment and Requirement evaluation on the 7th Framework Programme		
	Activity concerned	11 05 – Fisheries research
	Estimated date of completion	2005
	Contact person	Jacques Fuchs (+32 2 2951282)
Impact Assessment of the FP4 and FP5 Research Programmes on Fisheries, Aquaculture and Seafood Processing Research Area and the Fishery Industry		
	Activity concerned	11 05 – Fisheries research
	Estimated date of completion	June 2005
	Contact person	Jacques Fuchs (+32 2 2951282)
Ex post evaluation of transnational projects for innovative actions in the fisheries sector		
	Activity concerned	11 06 – Structural interventions for fisheries
	Estimated date of completion	April 2005
	Contact person	Stephanos Samaras (+32 2 2958834)
Impact Assessment and Ex-ante Evaluation of the proposed Fisheries Agreement between the European Community and the United Republic of Tanzania, and Analysis of the Impact on the future Agreement on Sustainability		
	Activity concerned	11 03 – International fisheries
	Estimated date of completion	January 2005
	Contact person	Maurizio Cellini (+32 2 2990198)
Internal Market		
Study to carry out an in-depth impact assessment of options to improve the functioning of Mutual Recognition in the field of goods (Articles 28 and 30 EC Treaty)		
	Activity concerned	12 03 – Internal market for goods and services
	Estimated date of completion	December 2004
	Contact person	Hans Ingels (+32 2 2966441)

Evaluation of the Postal Services Directive		
	Activity concerned	12 03 – Internal market for goods and services
	Estimated date of completion	February 2005
	Contact person	Hughes de La Motte (+32 2 2963829)
Evaluation of the “Data Protection” Directive		
	Activity concerned	12 03 – Internal market for goods and services
	Estimated date of completion	March 2005
	Contact person	Niovi Ringou (+32 2 2963037)
Evaluation of the economic feasibility of a possible single phone number in the EU to block lost and stolen payment cards (CARD STOP EUROPE)		
	Activity concerned	12 03 – Internal market for goods and services
	Estimated date of completion	March 2005
	Contact person	Sebastiano Tiné (+32 2 2956256)
Mid-term evaluation of the “Interactive Policy Making” (IPM) Feedback and On-line consultation mechanisms for Commission policy making		
	Activity concerned	12 03 – Internal market for goods and services
	Estimated date of completion	April 2005
	Contact person	Gudrun Waldenström (+32 2 2995030)
Extended Impact Assessment on a proposal for a Directive amending the remedies Directives in the Public Procurement area		
	Activity concerned	12 81 – Public procurement
	Estimated date of completion	April 2005
	Contact person	Matthias Petschke (+32 2 2966867)
Evaluation of Public Procurement Directives		
	Activity concerned	12 81 – Public procurement
	Estimated date of completion	March 2006
	Contact person	Robert Wakeling (+32 2 2990285)
Interim evaluation of the operation of investor compensation schemes established in accordance with Directive 97/9/EC		
	Activity concerned	12 82 – Financial services and capital markets
	Estimated date of completion	April 2005
	Contact person	Nathalie de Basaldúa (+32 2 2956189)
Proposed Directive on Securities Clearing and Settlement		
	Activity concerned	12 82 – Financial services and capital markets
	Estimated date of completion	At the time the formal proposal for a Directive is adopted
	Contact person	Salvatore Lo Giudice (+32 2 2950691)

Evaluation of the FSAP – Part 1: Process and Implementation		
	Activity concerned	12 82 – Financial services and capital markets
	Estimated date of completion	1 st semester 2005
	Contact person	Arnaud Pecker (+32 2 2987396)
Impact Assessment on a “proposal for a Directive on the collective management of copyright and related rights in the internal market		
	Activity concerned	12 83 – Knowledge Economy
	Estimated date of completion	March 2005
	Contact person	Joep van der Veer (+32 2 2959399)

Taxation and Customs Union		
Interim evaluation of Customs 2007		
	Activity concerned	14 03 – International aspects of taxation and customs
	Estimated date of completion	November 2005
	Contact person	Benoît Wets (+32 2 291638)
Interim evaluation of Fiscalis 2007		
	Activity concerned	14 05 – Taxation policy
	Estimated date of completion	June 2005
	Contact person	Evgenia Chatziioakeimidou (+32 2 2985232)

Education and Culture		
Evaluation of DG Education and Culture's websites		
	Activity concerned	15 01 – Administrative expenditure of policy area 'Education and Culture'
	Estimated date of completion	September 2005
	Contact person	Francis Gutmann (+32 2 2959650)
Evaluation of Erasmus Curriculum development projects in Socrates I (1995-1999) and in the first phase of Socrates II (2000-2006)		
	Activity concerned	15 02 – Education
	Estimated date of completion	April 2005
	Contact person	Pedro Martínez Macías (+32 2 2996186)
Evaluation of the impact of Erasmus mobility on students' access to employment and career development and on teachers' career development		
	Activity concerned	15 02 – Education
	Estimated date of completion	October 2005
	Contact person	Pedro Martínez Macías (+32 2 2996186)

Interim evaluation of the cooperation programmes in higher education between the EU and Canada and between the EU and the USA		
	Activity concerned	15 02 – Education
	Estimated date of completion	April 2005
	Contact person	Diego Sammaritano (+32 2 2990023)
Evaluation of the European Year of Education through Sport		
	Activity concerned	15 05 – Audiovisual policy and sports
	Estimated date of completion	May 2005
	Contact person	Julian Jappert (+32 2 2986612)
Impact assessment (integrating ex ante evaluation requirements) of a proposal for a Decision of the European Parliament and of the Council for an action programme promoting active citizenship (2007-2013)		
	Activity concerned	15 06 – Dialogue with the citizens
	Estimated date of completion	April 2005
	Contact person	Cécile Le Clercq (+32 2 2950026)
Impact assessment (integrating ex ante evaluation requirements) of a proposal for a Decision of the European Parliament and of the Council establishing the European Year of Intercultural Dialogue 2008		
	Activity concerned	15 06 – Dialogue with the citizens — 15 04 - Culture and languages
	Estimated date of completion	June 2005
	Contact person	Xavier Troussard (+32 2 2999126)
Impact assessment of a proposal for establishing a European Pact for Youth		
	Activity concerned	15 07 – Youth
	Estimated date of completion	June 2005
	Contact person	Victor Guerreiro (+32 2 2950054)

Freedom, Security and Justice		
Evaluation of the activities of the European Migration Network		
	Activity concerned	18 03 - Common immigration and asylum policies
	Estimated date of completion	June 2005
	Contact person	Elissavet Platsouka (+32 2 2965780)
Study on the consideration of fundamental rights in impact assessment		
	Activity concerned	18 04 - Citizenship and Fundamental Rights
	Estimated date of completion	February 2005
	Contact person	Salla Saastamoinen (+32 2 2969463)
Study for impact assessment and ex ante evaluation of a fundamental rights agency		
	Activity concerned	18 04 - Citizenship and Fundamental Rights
	Estimated date of completion	April 2005
	Contact person	Salla Saastamoinen (+32 2 2969463)

Evaluation for the draft Council Decision transforming the European Police College (CEPOL) into a body of the EU		
	Activity concerned	18 05 – Law enforcement cooperation and prevention of and fight against general and organised crime
	Estimated date of completion	2004
	Contact person	Dora Correia (+32 2 2950101)
Extended impact assessment of a proposal for a Directive and proposal for a Framework Decision on the fight against counterfeiting		
	Activity concerned	18 05 – Law enforcement cooperation and prevention of and fight against general and organised crime
	Estimated date of completion	March 2005
	Contact person	Daniel Fontanaud (+32 2 2983193)
Ex-post evaluation of the Grotius II, STOP II, Oisin II, Falcone and Hippokrates programmes and interim evaluation of the AGIS programme		
	Activity concerned	18 05 – Law enforcement cooperation and prevention of and fight against general and organised crime
	Estimated date of completion	2005
	Contact person	Maria Ana Jara de Carvalho (+32 2 2963176)
Study on the establishment of a European Small Claims procedure		
	Activity concerned	18 06 – Establishing a genuine European area of justice in criminal and civil matters
	Estimated date of completion	March 2005
	Contact person	Georg Haibach (+32 2 2962977)
Evaluation of the European judicial network in civil and commercial matters		
	Activity concerned	18 06 – Establishing a genuine European area of justice in criminal and civil matters
	Estimated date of completion	June 2005
	Contact person	Olivier Tell (+32 2 2952921)
Ex post evaluation of the Preparatory actions for a programme to fight drug trafficking 2001 and 2002		
	Activity concerned	18 07 – Coordination in the field of drugs
	Estimated date of completion	January 2005
	Contact person	Brian Lucas (+32 2 2991057)
External Relations, Development and Relations with ACP States		
Evaluation of EC Country Strategy for Armenia		
	Activity concerned	19 06 – Relations with the Eastern Europe the Caucasus and Central Asian republics
	Estimated date of completion	April 2005
	Contact person	Federica Petrucci (+32 2 2966111)

Evaluation of the Tacis regulation		
	Activity concerned	19 06 – Relations with the Eastern Europe the Caucasus and Central Asian republics
	Estimated date of completion	July 2005
	Contact person	Hicham Daoudi (+32 2 2986829)
Evaluation of the MEDA II regulation		
	Activity concerned	19 08 – Relations with the Middle East and Southern Mediterranean
	Estimated date of completion	November 2005
	Contact person	Federica Petrucci (+32 2 2966111)
Evaluation of the Regional Strategy for Latin America		
	Activity concerned	19 09 – Relations with Latin America
	Estimated date of completion	March 2005
	Contact person	Orlando Henao Triana (+32 2 2955343)
Evaluation of the European Community support to Private Sector Development in third countries		
	Activity concerned	19 – External relations 21 – Development and relations with African, Caribbean and Pacific (ACP) countries
	Estimated date of completion	May 2005
	Contact person	Susanne Wille (+32 2 2955200)
Thematic Evaluation of the European Assistance to Third Countries Supporting Good Governance		
	Activity concerned	19 – External relations 21 – Development and relations with African, Caribbean and Pacific (ACP) countries
	Estimated date of completion	November 2005
	Contact person	True Schedvin (+32 2 2999824)
Evaluation of the Regional Strategy Programme Caribbean Region		
	Activity concerned	21 – Development and relations with African, Caribbean and Pacific (ACP) countries
	Estimated date of completion	February 2005
	Contact person	Hicham Daoudi (+32 2 2986829)
Joint Evaluation of General Budget Support		
	Activity concerned	21 – Development and relations with African, Caribbean and Pacific (ACP) countries
	Estimated date of completion	December 2005
	Contact person	True Schedvin (+32 2 2999824)
Evaluation of the European Commission's strategy for Ghana		
	Activity concerned	21 – Development and relations with African, Caribbean and Pacific (ACP) countries
	Estimated date of completion	March 2005
	Contact person	Hicham Daoudi (+32 2 2986829)

Evaluation of the European Commission's Country Strategy for the United Republic of Tanzania		
	Activity concerned	21 – Development and relations with African, Caribbean and Pacific (ACP) countries
	Estimated date of completion	August 2005
	Contact person	Alexandra Chambel Figueredo (+32 2 2967403)
Water and Sanitation Evaluation		
	Activity concerned	21 02 – Development cooperation policy and sectoral strategies
	Estimated date of completion	September 2005
	Contact person	Alexandra Chambel Figueredo (+32 2 2967403)
Evaluation of EC Support to Micro-projects financed under the European Development Fund in ACP countries		
	Activity concerned	21 02 – Development cooperation policy and sectoral strategies 21 03 – Relations with Sub-Saharan Africa, the Caribbean, Pacific and Indian Ocean, and overseas countries and territories 21 04 – Policy strategy and coordination for policy area 'Development'
	Estimated date of completion	September/October 2005
	Contact person	Pieter van Steekelenburg (+32 2 2992515)
Evaluation of coordination of Trade Capacity Building in Partner Countries		
	Activity concerned	21 02 – Development cooperation policy and sectoral strategies 21 03 – Relations with Sub-Saharan Africa, the Caribbean, Pacific and Indian Ocean, and overseas countries and territories 21 04 – Policy strategy and coordination for policy area 'Development'
	Estimated date of completion	September 2005
	Contact person	Pieter van Steekelenburg (+32 2 2992515)
Trade		
Sustainability Impact Assessment (SIA) of proposed WTO negotiations: further sector studies (agriculture, forestry, and distribution services)		
	Activity	20 02 – Trade policy
	Estimated date of completion	April 2005
	Contact person	Eric Peters (+32 2 2959697)
Sustainability Impact Assessment (SIA) of the negotiations of the EU-ACP Economic Partnership Agreements (EPAs)		
	Activity	20 02 – Trade policy
	Estimated date of completion	June 2005
	Contact person	Kristoffer Klebak (+32 2 2961307)

Evaluation of the European Union's Trade Barriers Regulation (TBR)	
Activity	20 02 – Trade policy
Estimated date of completion	June 2005
Contact person	Nikolaos Zaimis (+32 2 2952935)
Evaluation of the European Community's Trade Defence Practices	
Activity	20 02 – Trade policy
Estimated date of completion	August 2005
Contact person	Marko Latti (+32 2 2962262)

Enlargement	
Interim evaluation of pre-accession aid programme for Cyprus	
Activity	22 02 – Pre-accession instruments
Estimated date of completion	August 2005
Contact person	Mose Apelblat (+32 2 2950480)
Interim evaluation of the Phare programme in Bulgaria and Romania	
Activity	22 02 – Pre-accession instruments
Estimated date of completion	March 2006
Contact person	Jean-Christophe Blain (+32 2 294670)
Interim evaluation of pre-accession aid programme for Turkey	
Activity	22 02 – Pre-accession instruments
Estimated date of completion	January 2007
Contact person	Jean-Christophe Blain (+32 2 294670)

Humanitarian Aid	
Evaluation of ECHO's cooperation with the International Federation of Red Cross and Red Crescent Societies (IFRC) and IFRC activities funded by ECHO, including the partnership and activities with certain EU Red Cross National Societies	
Activity	23 02 – Humanitarian aid
Estimated date of completion	December 2004
Contact person	Martine Vanackere (+32 2 2986166)
Evaluation of DIPECHO Action Plans in the Caribbean region	
Activity	23 02 – Humanitarian aid
Estimated date of completion	February 2005
Contact person	Nicoletta Pergolizzi (+32 2 2952367)
Evaluation of ECHO's actions in the Democratic People's Republic of Korea 2001-2003	
Activity	23 02 – Humanitarian aid
Estimated date of completion	February 2005
Contact person	Nicoletta Pergolizzi (+32 2 2952367)

Evaluation of ECHO's Actions in Sri Lanka and in the Tamil refugee camps in Tamil Nadu, India	
Activity	23 02 – Humanitarian aid
Estimated date of completion	February 2005
Contact person	Nicoletta Pergolizzi (+32 2 2952367)
Evaluation of the partnership between ECHO and UNHCR and of UNHCR activities funded by ECHO	
Activity	23 02 – Humanitarian aid
Estimated date of completion	September 2005
Contact person	Martine Vanackere (+32 2 2986166)
Review of Water and Sanitation issues relating to the funding of Humanitarian Operations under the EC Humanitarian Regulation	
Activity	23 02 – Humanitarian aid
Estimated date of completion	September 2005
Contact person	Peter Cavendish (+32 2 2963203)

Administration	
Evaluation of the performance appraisal and promotion policy for Commission staff	
Activity	26 01 50 – Personnel policy and management
Estimated date of completion	May 2005
Contact person	Emiel Weizenbach (+32 2 2994953)
Review of evaluation projects within DG ADMIN – meta evaluation	
Activity	26 01 50 – Personnel policy and management
Estimated date of completion	May 2005
Contact person	Mads Lyndrup (+32 2 2987361)
Evaluation of the relations between the European Commission and its retired staff	
Activity	26 01 50 – Personnel policy and management
Estimated date of completion	May 2005
Contact person	Emiel Weizenbach (+32 2 2994953)
Ex-ante evaluation for a future well-being policy of the European Commission	
Activity	26 01 50 – Personnel policy and management
Estimated date of completion	May 2005
Contact person	Mads Lyndrup (+32 2 2987361)
Ex-ante evaluation on the strategic alignment of the Commission's human resources policy	
Activity	26 01 50 – Personnel policy and management
Estimated date of completion	May 2005
Contact person	Emiel Weizenbach (+32 2 2994953)

Statistics

Evaluation of Commission fishing statistics regulations

Activity	29 02 – Production of statistical information
Estimated date of completion	June 2005
Contact person	David Cross (+352 430137249)