

Annex 12.1 – Evaluation methodology

For each evaluation question, the following data collection and analysis tools were used:

Q.1.1 External consistency with main strategies

Evaluation question	Q1.1: To what extent is there consistency between the selected thematic objectives, priorities and objectives of the Programme, on one hand, and on the other, the Common Strategic Framework, the Partnership Agreement and the specific recommendations addressed to each country on the grounds of Art. 121 par. (2) of the treaty and the relevant recommendations of the Council, adopted on the grounds of Art. 148 par. (4) of the treaty?
OP Chapters analysed	<ul style="list-style-type: none"> ▶ Chapter 1, 9
Feedback Priority	First Priority
Methodology	<p>Technical Assistance focuses on ESI Funds delivery and is therefore limited to the programming period, nevertheless proposed interventions should be coherent with the broader and wider long term goal of Institutional Capacity Building (TO11) which focuses on genuine reform and systemic change to improve intrinsic public administration performance, independent from EU funds management:</p> <p>The analysis tools structured in table format will be used to assess the consistency between OPTA objectives and priorities and EU 2020 Strategy, the Common Strategic Framework, the Council Recommendations for Romania and the Partnership Agreement with a focus on Institutional Capacity Building. The evaluators will provide a yes/no assessment and justifications after using interviews and desk research. The analysis tool will be fed through the following judgements:</p> <ul style="list-style-type: none"> ▶ Yes, consistency is identified: there is correspondence (existence of a direct link or absence of contradiction) between the objectives and priorities of the OPTA and the objectives of the Common Strategic Framework, the Recommendations of the Council for Romania with respect to the National Reform Programme and the Partnership Agreement. ▶ No consistency identified: there is no correspondence (it does not exist a direct link or there is presence contradiction) between the objectives and priorities of the OPTA and the objectives of the Common Strategic Framework, the Recommendations of the Council for Romania with respect to the National Reform Programme and the Partnership Agreement <p>The evaluators will provide recommendations for improvement or request clarifications on possible inconsistencies detected</p>
Source of information	<p>Primary sources:</p> <ul style="list-style-type: none"> ▶ Interviews minutes <p>Secondary sources:</p> <ul style="list-style-type: none"> ▶ EU 2020 Strategy ▶ Common Strategic Framework ▶ Council Recommendations ▶ The Partnership Agreement ▶ National Reform Programme

Consistency table - the Common Strategic Framework:

Common Strategic Framework	OP Technical Assistance	Consistency
Thematic Objectives and Key Actions for ERDF	Specific objectives	
TO. 11: Enhancing institutional capacity and an effective public		

Common Strategic Framework	OP Technical Assistance	Consistency
Thematic Objectives and Key Actions for ERDF	Specific objectives	
administration		
<ul style="list-style-type: none"> ▶ Strengthening institutional capacity and the efficiency of public administrations and public services related to the implementation of ERDF and in support of actions in institutional capacity and in the efficient public administration supported by the ESF, including where necessary the provision of equipment and infrastructure to support the modernisation of public services in areas such as employment, education, health, social policies and customs 	Objective n°1 Objective n°x	Yes/NO Justification

Consistency table - the Council Recommendations for the NRP 2011-2013:

NRP 2011-2013	Council Recommendations	OP Technical Assistance	
Priority reforms		Specific objectives	Consistency
<ul style="list-style-type: none"> ▶ Increasing the efficiency and transparency of the public administration : Implementing the strategic reform for improving the public administration effectiveness, according to the World Bank's Functional Review; Continuing better regulation-oriented measures at central public administration level; Professionalizing civil servants; Standardizing administrative procedures; Increasing the absorption rate of structural and cohesion funds; Using ICT to modernize public administration; Territorial development 	<ul style="list-style-type: none"> ▶ Strengthen governance and the quality of institutions and the public administration, in particular by improving the capacity for strategic and budgetary planning, by increasing the professionalism of the public service through improved human resource management and by strengthening the mechanisms for coordination between the different levels of government. 	Objective n°1 Objective n°x	Yes/NO Justification
	<ul style="list-style-type: none"> ▶ Significantly improve the quality of regulations through the use of impact assessments, and systematic evaluations. 		
	<ul style="list-style-type: none"> ▶ Step up efforts to accelerate the absorption of EU funds in particular by strengthening management and control systems and improving public procurement. 		
	<ul style="list-style-type: none"> ▶ Step up efforts to improve the quality, independence and efficiency of the judicial system in resolving cases and fight corruption more effectively. 		
	<ul style="list-style-type: none"> ▶ Promote competition and efficiency in network industries, by ensuring the independence and capacity of national regulatory authorities, and by continuing the corporate governance reform of state-owned enterprises in the energy and transport sectors. 		
	<ul style="list-style-type: none"> ▶ Adopt a comprehensive long-term transport plan and improve broadband infrastructure 		

Consistency table - the Partnership Agreement:

Partnership Agreement		OP Technical Assistance	Consistency
Thematic Objective	Proposed priorities for funding	Specific objectives	Consistency
TO. 11: Enhancing institutional capacity and an effective public	<ul style="list-style-type: none"> ▶ Support the development for monitoring and evaluation mechanisms for the implemented strategies and policies ▶ Developing skills in the areas of strategic planning and budgetary programming, impact assessment and monitoring and evaluation (e.g. Training 	Objective n°1 Objective n°x	Yes/NO Justification

Partnership Agreement		OP Technical Assistance	Consistency
Thematic Objective	Proposed priorities for funding	Specific objectives	Consistency
administration	<p>and methodologies, data-bases for indicators);</p> <ul style="list-style-type: none"> ▶ Strengthening participatory dimension, development of consultation and participation mechanisms in decision- making; ▶ Developing, introducing and supporting the use of management, monitoring and evaluation systems and tools for an improved institutional and public services performance and change of organizational culture; ▶ Create and implement an integrated strategic framework for human resources management in public sector and raise the professionalism and attractiveness of the public administration; ▶ Support for measuring administrative burden, transfer of know-how and best practices; ▶ Increase capacity of public administration to introduce performance management, monitoring and evaluation systems and mechanisms for public services delivery including for those sub-contracted; ▶ Promoting good practice related to the delivery of public services and encouraging exchange of experience/networking site between public and private entities providing public services, including stakeholders ▶ Strengthen the participation mechanisms to deliver efficient public services at local level (e.g. diversification of service delivery through co-operation with non-governmental bodies, intercommunitary cooperation mechanisms for citizens scrutinizing public service delivery performance); ▶ Developing modern management systems and tools for increasing performance in public institutions at all levels (e.g. Develop and implement quality management in public institutions; Fiscal and financial management in view to increase public expenditure efficiency; Objectives and programs based management; Innovation in public administration); ▶ Developing and use of IT tools and applications to enhance institutional capacity and efficiency at all levels of public administration. 		

Q1.2: External consistency with other strategies

Evaluation question	Q1.2: To what extent is there consistency with other relevant instruments (policies, strategies)?
OP Chapters analysed	▶ Chapter 1
Feedback priority	First priority
Methodology	<p>Given the nature of the OPTA the most relevant analyses concern the relation between the OPTA and the TA Strategies of Romanian Operational Programmes and Administrative Capacity Development Programme, secondly with National and European Strategies:</p> <ul style="list-style-type: none"> ▶ TA Priority Axes of Romanian Operational Programmes 2014-2020 and the whole Administrative Capacity OP. ▶ National strategies: Strategy for the Consolidation of the Public Administration Capacity, ▶ European Union Strategies and Policies: Procurement of Innovation Platform and secondly based also on confirmation of Programme stakeholders European Union Strategy for the Danube Region, Strategy Regarding the Marine Basin of the Black Sea; Horizon 2020; Horizon 2020, COSME, Creative Europe, Social Change and Innovation, Connecting Europe. <p>The evaluators will check what objectives and priorities from the relevant documents are included in the OPTA and perform an assessment based on the following criteria :</p>

	<ul style="list-style-type: none"> ▶ TA Priority Axes of Romanian Operational Programmes 2014-2020: analysis of relation between TA OP specific objectives and the TA strategies of other Operational Programmes in terms of: <ul style="list-style-type: none"> ▶ <i>Neutrality (N)</i>, lack of relationships between the specific objectives and expected results of TA OP and TA actions under other OPs; ▶ <i>Risk of redundancy (R)</i>, potential overlapping between the specific objectives and expected results of TA OP and TA actions under other OPs; ▶ <i>Complementarity (C)</i>, specific objectives and expected results of the TA OP and TA actions under other OPs have a complementary effect (objectives that complement each other) on the same target group or territory or influence to achieve common goals; ▶ <i>Synergy (S)</i>, the specific objectives and the expected results of the TA OP and TA actions under other OPs could have a synergic effect (objectives that could bring an additional value if coupled) on the same target group or territory or influence to achieve common goals. ▶ Administrative Capacity Development OP 2014-2020: analysis of the relation between specific objectives of the two programmes in terms of neutrality, redundancy, complementarity and synergies. ▶ For all other strategies and instruments a consistency table will be filled in, highlighting: <ul style="list-style-type: none"> ▶ Yes, consistency is identified: there is correspondence (existence of a direct link or absence of contradiction) between the objectives and priorities of the OPTA and the objectives of the relevant strategies ▶ No consistency is identified: there is no correspondence (there is not a direct link or it is present contradiction) between the objectives and priorities of the OPTA and the objectives of the relevant strategies <p>The evaluators will provide recommendations for improvement or request clarifications on possible inconsistencies detected</p>
<p>Source of information</p>	<p>Primary sources:</p> <ul style="list-style-type: none"> ▶ Minutes of interviews <p>Secondary sources:</p> <ul style="list-style-type: none"> ▶ The draft documents related to the other Programmes ▶ The Strategy for consolidating public administration capacity 2013-2020 ▶ Procurement of Innovation Platform ▶ European Union Strategy for the Danube Region, Strategy Regarding the Marine Basin of the Black Sea; Horizon 2020; Horizon 2020, COSME, Creative Europe, Social Change and Innovation, Connecting Europe.

TA and Administrative Capacity Development OP analysis:

Objectives		Technical Assistance axis of Operational Programme X										
		Obj 1	Obj 2	...								
Technical Assistance OP	Objective 1		C	C	N	N	N	N	N	N	N	N
	Objective 2	C		C	R	N	N	N	R	N	N	N
	...	C	C		C	N	N	N	N	N	N	N
		N	R	C		N	N	N	N	N	N	N
		N	N	N	N		N	C	C	R	N	N

LEGEND: S Synergy C Complementarity N Neutrality R Risk redundancy of

Other Strategies (example):

The Strategy for consolidating public administration capacity 2013-2020		OPTA Specific objectives	Consistency
Priorities	Objectives		
		Objective n°x	Yes/No Justification

Q2.1 Evaluation of the internal consistency

Evaluation question	Q2.1: How is the internal consistency of the programme ensured?
OP Chapters analysed	<ul style="list-style-type: none"> ▶ Chapter 1, 2, 3, 4, 5, 6
Feedback priority	First priority with the exception of the analysis of the intervention logic at the level of actions
Methodology	<p>The evaluation of the internal consistency will be performed through the following tools:</p> <ul style="list-style-type: none"> ▶ Identification of national and regional needs in terms of clarity, use of evidence and updated statistical data, coverage of relevant themes, coverage of specific challenges, coverage of regional and sub-regional areas, coverage of poverty and vulnerable groups, unique aspects of the area reflected, conclusions. ▶ Consistency of the specific objectives with the identified national and regional needs and identified needs not addressed in terms of Programme specific objectives ▶ Reconstruction of the intervention logic of the programme
Source of information	<p>Primary sources:</p> <ul style="list-style-type: none"> ▶ Minutes of the interviews ▶ Minute of the workshop. ▶ Minute of the expert panel <p>Secondary sources:</p> <ul style="list-style-type: none"> ▶ Needs analysis (Section 1 of the OP) ▶ Statistical data ▶ Evaluations of OPTA 2007-2013 ▶ Other consultative documents related to this operational programme

Socio-economic analysis:

Aspect analysed	Judgement criteria
<ul style="list-style-type: none"> ▶ Clarity 	<ul style="list-style-type: none"> ▶ Well-written, with all of the main points drawn out in the main text, but also introductory and concluding sections
<ul style="list-style-type: none"> ▶ Use of evidence and updated statistical data 	<ul style="list-style-type: none"> ▶ All main points backed up by primary or secondary sources
<ul style="list-style-type: none"> ▶ Coverage of relevant themes 	<ul style="list-style-type: none"> ▶ The main ERDF themes related to technical assistance are covered
<ul style="list-style-type: none"> ▶ Coverage of specific challenges 	<ul style="list-style-type: none"> ▶ Aspects related to Issues specific to urban areas, rural areas, coastal areas and fisheries as well as mountain areas are treated
<ul style="list-style-type: none"> ▶ Coverage of regional and sub-regional areas 	<ul style="list-style-type: none"> ▶ Aspects related to the special conditions of the region are analysed
<ul style="list-style-type: none"> ▶ Unique aspects of the area reflected 	<ul style="list-style-type: none"> ▶ The particular development opportunities and challenges reflected
<ul style="list-style-type: none"> ▶ Conclusions 	<ul style="list-style-type: none"> ▶ Clear conclusions as a basis for strategy development

Consistency between the Programme strategy and the identified needs

OP Priority Axis	OP Specific objective	National and Regional needs addressed
		▶
		▶
		▶

Programme Intervention logic

The information included in the Operational Programme will be included in the following table representing the logic of intervention:

Development needs	Priority Axis	Specific Objective	Expected Results	Result indicator	Actions	Output indicators

The analysis will then be performed according to the following steps:

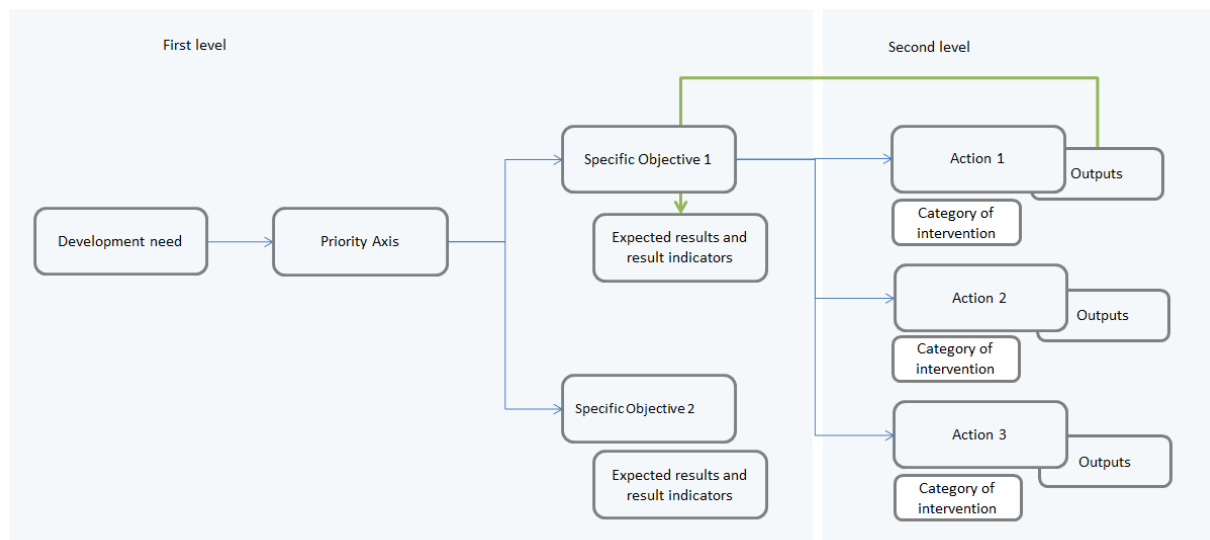
First priority analysis

- ▶ **Consistency between specific objectives and development needs:** at this stage we shall verify if the specific objectives (and expected results) are adequate in terms of:
 - Capturing how the actions or measures undertaken within a priority capture the intended change, addressing the identified needs and challenges, where the change should be as specific as possible.
 - Adequateness of the number of specific objectives (and associated expected results) selected in terms of coverage of the expected changes and respective development needs.
- ▶ **Consistency between specific objectives (and expected results) and result indicators:** at this stage we shall verify if the result indicators proposed are consistent with the specific objectives and expected results, quantifying the expected change.

Second priority analysis

- ▶ **Consistency between proposed actions and expected results:** based on the findings of EQ 2.2. we shall confirm if the proposed actions and associated output indicators contribute and are the more adequate to achieve the specific objectives, expected results and result indicators.

The sequence of the steps performed is represented graphically below and similar representation will be used in order to present the logic of intervention as annex to the ex-ante evaluation report:



Q2.2 Evaluation of the proposed support forms

Evaluation question	Q2.2: Are the proposed forms of support the most appropriate?
OP Chapters analysed	▶ Chapter 1, 2, 3, 4, 5, 6
Feedback priority	Second priority
Methodology	<ul style="list-style-type: none"> ▶ Based primarily on the descriptions of the future areas of intervention of the Programme a database of the forms of support planned will be created; ▶ Each form of support will be associated to an equivalent one, if any, existing within the Operational Programme 2007-2013 and the performance of such support form assessed in terms of financial and physical progress; ▶ Benchmarking - relevant experiences from other Member States will be identified to point out alternative forms of support that have worked in the past; ▶ Recommendations concerning the appropriateness of each form of support will be provided taking into account the past performance of equivalent forms from the previous programming period in Romania and experience from Member States.
Source of information	<p>Primary sources:</p> <ul style="list-style-type: none"> ▶ Minutes of the interviews ▶ Minute of the workshop ▶ Minute of the expert panel <p>Secondary sources:</p> <ul style="list-style-type: none"> ▶ Needs analyses (section 1 of the OP) ▶ Forms of assistance from the 2007-2013 programming period ▶ Statistical data ▶ Protocols of consultation of the stakeholders and documents on the consulting activity ▶ Other consultative documents related to the OPTA ▶ Information and publications regarding the practices of other member states with regards to forms of support

Forms of support:

2014-2020		2007-2013						
Action	KAI general Objective	KAI Operational objectives	Operations	Form of support	Target Group	Relevance (low/medium/high)	Performance 2007-2013	Alternative forms
Action Title							Progress (financial physical) Issues	Experiences from Member States

Evaluation of the appropriateness of support forms:

Aspect analysed	Judgement criteria
External environment	Relevant external factors are taken into account (for example, the availability of the credit from mainstream sources, the viability of the various sectors involved)
Challenges addressed	The proposed forms of support are the proper ones (best response to the needs of the region and beneficiaries)
Capacities of beneficiaries	The targeted beneficiaries are capable to absorb the offered forms of support
Capacities of Managing Authority	The MA is capable to manage the proposed forms of support (sufficient expertise and human resources)
Pilot projects	Programming authorities have drawn on or initiated pilot projects in order to test the effectiveness of proposed forms of support

Q3. Financial allocation

Evaluation question	Q3: To what extent the allocation of financial resources is consistent with the Programme objectives?
OP Chapters analysed	<ul style="list-style-type: none"> ▶ Chapter 2, Subchapters 2.A.0, 2.A.1 (Table 4, 4a,), 2.A.2
Feedback Priority	Second Priority
Methodology	<p>The analysis will be performed at different levels:</p> <ul style="list-style-type: none"> ▶ The first level will cover the respect of the concentration principle at the level of specific objectives. The objectives will be considered in relation to the budgetary weight allocated to each of them. ▶ The second level will look at the allocation of financial resources and will assess the correspondence of financial allocations. The financial allocations will be compared with the challenges to be addressed. The experience from the period 2007-2013 also will be taken into account. ▶ The third level will concern an assessment of the financial resources allocated from different sources in order to contribute to integrated approaches and to address the specific needs of particular geographical areas. ▶ Besides, the risk involved in the financial implementation will be assessed and those actions / measures that are associated with the more complex development process will be identified.

Source of information	<p>Primary sources:</p> <ul style="list-style-type: none"> ▶ Minute of the expert panel ▶ Minute of the workshop <p>Secondary sources:</p> <ul style="list-style-type: none"> ▶ General Regulations 2014-2020 ▶ Relevant delegated and implementing acts ▶ Protocols of consultation of the stakeholders and documents on the consulting activity Ex-ante evaluation of OPTA 2007-2013 ▶ Other evaluations of OPTA 2007-2013 ▶ Documents on the EU policies ▶ Needs analysis – Section 1 of the OP ▶ Other supporting documents of the operational programme project
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Concentration of financial resources by specific objective:

Specific objectives	Budgetary weight allocated to each objective	Objective type (strategic and influential, sensitive and independent)
1		
2		
3		
4		

Consistency of allocations with Programme objectives and planned actions:

PA	Action	Category of intervention	Financial Allocation	%	Challenges addressed	Experience 2007-2013	Judgement
1							
2							
Total							

Support for Integrated actions analysis / disadvantaged areas / disadvantaged groups

PA	Allocation to ITI	Allocation to Target Groups most affected by poverty	Allocation to Geographic areas most affected by poverty	Challenges addressed	Experience 2007-2013	Judgement
1						
2						
Total						

Assessment of risk involved in financial implementation:

OPTA specific objectives	Actions / measures	Level of risk (high / medium / low)	Judgement
			The actions with higher potential of risk are (a) the novel ones, (b) those that in the last programming period have faced the higher risk of de-commitment, (c) those that entail more complex delivery

			mechanisms and (d) those which could attract more demand than expected.

Q4. Indicators

Evaluation question	Q4: To what extent are the indicators proposed in the Programme relevant and clear?
OP Chapters analysed	<ul style="list-style-type: none"> ▶ Chapter 2, 3
Feedback Priority	Second Priority
Methodology	<ul style="list-style-type: none"> ▶ <i>Common indicators:</i> <ul style="list-style-type: none"> ▶ Adequateness of the selection of the common output and results indicators, in terms of coverage of the Priority Axis of the Programme ▶ <i>Specific indicators:</i> <ul style="list-style-type: none"> ▶ Result indicators: relevance in terms of capacity to capture the most significant expected effects on participants or entities brought about by the programme at the level of Priority Axis as described in the related specific objectives of the Programme (e.g. the employment status of participants) ▶ Output indicators: relevance in relation to the envisaged actions included under each Priority Axis ▶ Clarity of the definition of each specific output and result indicators ▶ <i>Activities in support of Programming:</i> <ul style="list-style-type: none"> ▶ The programming will be supported through a helpdesk system. Any person interested can send an email describing their issue and they will receive an answer. The questions and answers will be grouped by categories / fields of interests and they will be available for any interested actors. ▶ Workshop on indicators: see section 2.4.3
Source of information	<p>Primary sources:</p> <ul style="list-style-type: none"> ▶ Minute of the expert panel ▶ Minute of the workshop <p>Secondary sources:</p> <ul style="list-style-type: none"> ▶ Regulation (EU) no 1303/2013 of the European Parliament and of the Council of 17 December 2013 laying down common provisions on the European Regional Development Fund, the European Social Fund, the Cohesion Fund, the European Agricultural Fund for Rural Development and the European Maritime and Fisheries Fund and laying down general provisions on the European Regional Development Fund, the European Social Fund, the Cohesion Fund and the European Maritime and Fisheries Fund and repealing Council Regulation (EC) No 1083/2006 ▶ of the European Parliament and of the Council of 17 December 2013 on the European Regional Development Fund and on specific provisions concerning the Investment for growth and jobs goal and repealing Regulation (EC) No 1080/2006 ▶ Result indicators 2014+, Pilot study in 12 European regions, DG Regional Development ▶ Partnership Agreement (2014-2020) ▶ Guidelines for the ex-ante evaluation 2014-2020, DG Regional development ▶ Proposal for Regulation of the European Parliament and Council regarding the Cohesion Fund and the abolition of Council (EC) Regulation no. 1084/2006

	<ul style="list-style-type: none"> ▶ Result indicators 2014+ ▶ Evaluations of OPTA 2007-2013 ▶ Other monitoring systems/ indicators in similar programmes ▶ Documents related to the operational programme project ▶ Statistical sources
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Coverage of specific objectives by common indicators

Priority Axis	Specific Objective addressed	Common Result indicator	Actions under the Priority Axis	Common Output indicator
1		1	A	1
			B	2
			C	3
2		2	A	1
			B	2
			C	3

Coverage of specific objectives by specific indicators

Priority Axis	Specific Objective addressed	Specific Result indicator	Actions under the Priority Axis	Specific Output indicator
1		1	A	1
			B	2
			C	3
2		2	A	1
			B	2
			C	3

Clarity and relevance of specific result indicators

PA	Indicator	Clarity						Relevance					General recommendations	
		Clarity of formulation and lack of ambiguity	Existence of Measurement Unit	Target values can be added up	Consensus among Stakeholders about the meaning	Synthesis	Comments	Relevance in relation to the specific objective	Ability to express the expected result given the means	Representativeness of the indicators in respect of the PA	Synthesis	Comments		

Clarity and relevance of specific output indicators

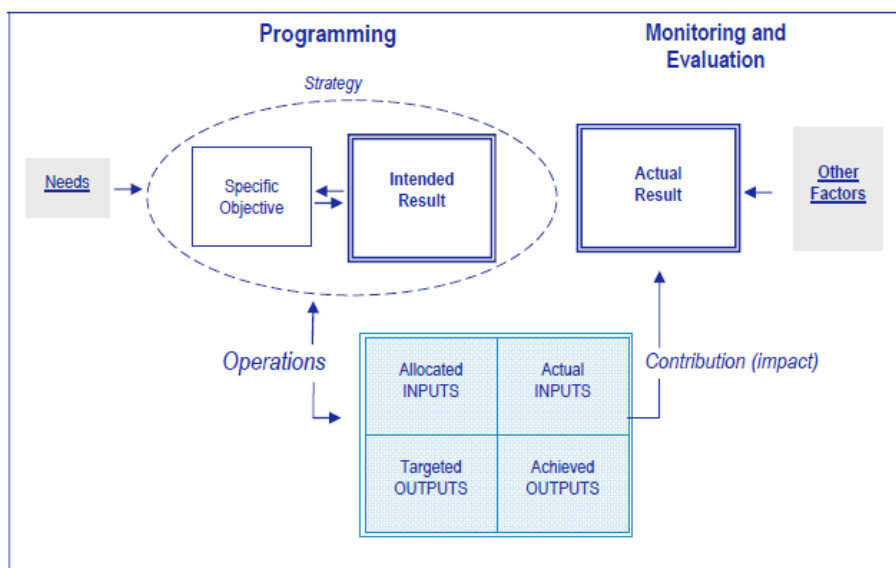
PA	Indicator	Clarity						Relevance					General recommendations	
		Clarity of formulation and lack of ambiguity	Existence of Measurement Unit	Target values can be added up	Consensus among Stakeholders about the meaning	Synthesis	Comments	Capacity to measure the "product" of the planned actions	Capacity to influence the values of result indicators	Representativeness of the indicators in respect of the action	Synthesis	Comments		

Q5.1. Estimated outputs

Evaluation	Q5.1: How will the estimated outputs contribute to results?
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question	
OP Chapters analysed	▶ Chapter 2, 3
Feedback Priority	Second Priority
Methodology	<ul style="list-style-type: none"> ▶ Firstly, the relevance of output indicators will be assessed in relation to measures / operations / actions, and the relevance of result indicators will be assessed in relation to objectives and priorities. The assumptions underlying the results chains (linking the expected outputs to results) will be examined and the plausibility of assumptions will be checked. If necessary, adjustments will be proposed. ▶ Secondly, statistical validation will be done, in terms of analysis of data sources, reliability and robustness of indicators through the identification of extreme values with potential to affect their value
	▶
Source of information	Primary sources: <ul style="list-style-type: none"> ▶ Minute of the expert panel ▶ Minute of the workshop Secondary sources <ul style="list-style-type: none"> ▶ Guidelines for the ex-ante evaluation 2014-2020, DG Regional development ▶ Result indicators 2014+, Pilot study in 12 European regions, DG Regional Development ▶ Partnership Agreement (2014-2020) ▶ Prior analyses performed to improve the system of indicators related to the socio-economic development in Romania ▶ Other monitoring systems/ indicators in similar programmes ▶ Common Strategic Framework ▶ Evaluations of OPTA 2007-2013 ▶ Draft Operational Programmes for 2014 - 2020

Results chain used to assess the intervention logic (example):



Source: Guidance document on Monitoring and Evaluation - European Regional Development and Cohesion Fund, December 2012

Assessment of assumptions underlying the results chain:

Specific Objectives	Actions	Causal links between proposed actions, their outputs and intended results	Judgement and recommendations
		YES / NO	
		YES / NO	

Synthesis of clarity and relevance of specific indicators

PA	Indicator	Type	Clarity	Relevance

- Significant changes expected or indicator to be replaced
- Minor changes expected
- No changes

Q5.2. Influence of the external factors

Evaluation question	Q5.2: To what extent are the results influenced by external factors, including by other instruments?
OP Chapters analysed	▶ Chapter 2, 3
Feedback priority	Second priority
Methodology	<ul style="list-style-type: none"> ▶ The list of external factors that could be related to the achievement of intended results will be prepared. Each factor will be associated with relevant result indicators. ▶ The likely influence of external factors on intended results will be evaluated. In the process of assessment the closer look at these aspects will be taken: (a) the factors which in the past have produced a higher degree of divergence from desired results; (b) specific areas such as policy shifts at national level, new economic trends, changes in competitiveness at national and regional level etc. ▶ The lessons learned from the previous programming period will be assessed and the comparison to other Member States will be provided in order to identify the external factors which have had the highest influence on the achievement of results. ▶ If necessary, the recommendations will be provided.
Source of information	Primary sources: <ul style="list-style-type: none"> ▶ Sectoral expert panel from the field of information management systems for structural instruments, continuous professional training, IS communication, and from fields that cover horizontal matters (equality of chances, durable development) ▶ Workshop to involve the team in charge with the elaboration of the Operational Programme (indicators component) as also with its monitoring, from the current and future period Secondary sources:

	<ul style="list-style-type: none"> ▶ Guidelines for the ex-ante evaluation 2014-2020, DG Regional development ▶ Result indicators 2014+, Pilot study in 12 European regions, DG Regional Development ▶ Partnership Agreement (2014-2020) ▶ Draft Operational Programmes for 2014 - 2020 Prior analyses performed to improve the system of indicators related to the socio-economic development in Romania ▶ Other monitoring systems/ indicators in similar programmes ▶ Common Strategic Framework ▶ Evaluations of OPTA 2007-2013
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Assessment of probable influence of external factors on intended results:

Actions	Result indicators	Relevant external factors that could influence the intended results	Degree of influence (high/medium / low)	Experience 2007-2013	Benchmarking	Judgement and recommendations
1		1) political stability 2) demographic changes 3) public procurement procedures 4) changes of relevant legal requirements 5) changes in the field of regional competitiveness 6) economic changes etc.				
2						
3						
4						

Q5.3. Target values of the indicators

Evaluation question	Q5.3: Are quantified target values of the indicators realistic, having in mind the funding available?
OP Chapters analysed	▶ Chapter 2, 3
Feedback priority	Second priority
Methodology	<ul style="list-style-type: none"> ▶ The first step of the assessment will be to verify if the target values of indicators are associated with concrete actions / measures supported in line with the OPTA. ▶ The next step encompasses the evaluation of similar experience in other Member States in order to identify what target values for indicators of the OPTA were established, which problems were the most important ones seeking to achieve the planned results. ▶ The last step will be the assessment of the plausibility of the targets indicators when compared to corresponding baselines, past experience and relevant trends. If necessary, the recommendations on modifying the target values will be provided.

Source of information	<p>Primary sources:</p> <ul style="list-style-type: none"> ▶ Sectoral expert panel in fields relevant to selected actions (e.g. professional training, communication, equal opportunities, information management systems) ▶ Workshop to involve the team in charge with the elaboration of the Operational Programme (indicators component) as also with its monitoring, from the current and future period <p>Secondary sources:</p> <ul style="list-style-type: none"> ▶ Guidelines for the ex ante evaluation 2014-2020, DG Regional development ▶ Result indicators 2014+, Pilot study in 12 European regions, DG Regional Development ▶ Partnership Agreement (2014-2020) ▶ Draft Operational Programmes for 2014 - 2020 Prior analyses performed to improve the system of indicators related to the socio-economic development in Romania ▶ Studies regarding the construction of a system of monitoring and evaluation of the World Bank ▶ Other monitoring systems/ indicators in similar programmes ▶ Evaluations of OPTA 2007-2013 ▶ Studies on standard unit costs ▶ Benchmarking with similar Programmes from Member States ▶ Relevant academic articles
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Assessment of the quantified target values for indicators:

Actions / measures	Budgetary resources allocated	Target values for indicators	Experience 2007-2013	Benchmarking	Plausibility of the targets indicators (high / medium / low)	Recommendations
1			Unit costs from previous similar interventions; Achieved values of indicators in relation to committed resources Problems related to the achievement of target values	Experiences of similar interventions in other Member States		
2						
3						

Q6. Performance

Evaluation question	Q6: To what extent the selected indicators and intermediate and final targets (milestones) for the performance framework are adequate?
▶ Performance framework is not applicable to the Operational Programme Technical Assistance	

Q7: Human resources and administrative capacity

Evaluation question	Q7: To what extent are the human resources and administrative capacity adequate to manage the Programme?
OP Chapters analysed	<ul style="list-style-type: none"> ▶ Chapter 7
Feedback priority	Second priority
Methodology	<ul style="list-style-type: none"> ▶ The human resources and administrative capacity will be analysed based on a multi-dimensional framework which will cover the structures, human resources and tools designed for 2014-2020 and those in place for 2007-2013 in relation of the different phases of the Programme lifecycle: Management, Programming, Implementation, Evaluation and Monitoring, Financial Management and Control ▶ There will be analysed the institutional arrangements proposed in the future programming period for the management and control of implementation (including the implementation of the integrated territorial approaches), considering the experience of the current programming period in the purpose of identifying the possible blockages that may prevent the management, monitoring and evaluation of the operational programme, and the adoption of some preventive measures will be recommended; therefore, where information is available, checks will be done on: <ul style="list-style-type: none"> ▶ the number of persons involved in the monitoring and evaluation of the programme, ▶ the capacity of such persons to solve the assigned tasks (e.g. information related to the project, advice for beneficiaries etc.) ▶ the administrative capacity of the management authority, including their capacity to implement integrated territorial investments,
Source of information	<p>Primary sources:</p> <ul style="list-style-type: none"> ▶ Interviews with a sample of beneficiaries from the current programming period ▶ Focus group with the representatives of the Management Authority as also with the personnel involved in monitoring the Programme for the current and future period <p>Secondary sources:</p> <ul style="list-style-type: none"> ▶ Legislative framework ▶ Available procedural framework ▶ Evaluations of OPTA 2007-2013 ▶ Relevant documents regarding the measures of cost simplification ▶ Consultative documents related to this operational programme

Aspects checked:

<i>Design 2014-2020 and Functioning 2014-2020</i>			
<i>Programme Functions</i>	<i>Structure</i>	<i>Human Resources</i>	<i>Systems and Tools</i>
Programme management	<ul style="list-style-type: none"> ▶ Architecture of the administrative organisation ▶ Clarity of assignment of responsibilities and tasks between MA, CA, AA, and IB ▶ Supervisory bodies, such as Monitoring Committees, auditing tasks, partnership with 	<ul style="list-style-type: none"> ▶ Ability to detail tasks and responsibilities at the level of job descriptions, to estimate the number and qualifications of staff, and to fulfil the recruitment needs. ▶ Availability of experienced, skilled and motivated staff to carry out the programme 	<ul style="list-style-type: none"> ▶ Availability of instruments, methods, guidelines, manuals, systems, procedures, forms, etcetera: all job-aids that can enhance the effectiveness of the functioning of the system and simplify the day to day interaction amongst different actors ▶ Systems and tools enabling organisations to transform tacit and implicit knowledge (within
Project selection			
Evaluation and Monitoring			

Financial Management and Control	stakeholders/NGO's, etc.	<ul style="list-style-type: none"> ▶ functions Favourable towards recruiting and retaining such professionals. 	<ul style="list-style-type: none"> ▶ the heads of individual people) into explicit knowledge that can be shared across organisations. Systems and tools making make organisations less vulnerable (e.g. when key staff is leaving), reduce the risk of malfunctioning and enhance overall effectiveness.
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Administrative organization and approach to implementation

Administrative organization (resources and capacity)		
Aspect checked	Findings	Recommendations
<ul style="list-style-type: none"> ▶ Is there a clear allocation of functions within each body (and application principle of separation of functions between MA, CA, and AA)? 		
<ul style="list-style-type: none"> ▶ Are there sufficient human resources available for implementing each function? 		
<ul style="list-style-type: none"> ▶ Are there Instruments available to simplify, facilitate and qualify the interaction among the different actors? 		
Approach to OP implementation		
Aspect checked	Findings	Recommendations
<ul style="list-style-type: none"> ▶ Coordination and alignment between OPTA and other EU funds to ensure complementarities and synergies and avoid duplication of actions; 		
<ul style="list-style-type: none"> ▶ Simplification of projects application procedures in order to avoid the situation where potential beneficiaries hesitate to apply for OPTA funding because of the administrative requirements, thus having a negative effect on absorption; 		
<ul style="list-style-type: none"> ▶ Capacity building programme for beneficiaries in order to ensure understanding of how to access and use of Technical Assistance (i.e. adequate information provision prior to tendering rounds, potentially including pro-active engagement of providers on the part of CFOs through, for example, information sharing or pre-tendering events); 		
<ul style="list-style-type: none"> ▶ Use of evaluation and monitoring as part of decision making 		
<ul style="list-style-type: none"> ▶ Developing a dedicated infrastructure specifically to support and oversee OPTA implementation for a interventions which are at risk of poor implementation; 		
<ul style="list-style-type: none"> ▶ Involvement of partners in an effective and efficient manner in order to ensure real needs is addressed. 		
<ul style="list-style-type: none"> ▶ Approach to Integrated Territorial Development 		
<ul style="list-style-type: none"> ▶ Integration of Simplified Costs Options (e.g. unit costs, lump sums and flat charges) 		
<ul style="list-style-type: none"> ▶ Measures that are aimed at reducing the administrative burdens 		

Q8: Procedures

Evaluation question	Q8: To what extent are the monitoring and data collection procedures adequate to perform evaluations?
OP Chapters analysed	<ul style="list-style-type: none"> ▶ Chapter 7
Feedback priority	Second priority

Methodology	<p>▶ Monitoring The ultimate goal of monitoring is to continuously provide management and main stakeholders of an ongoing intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds, based on systematic collection of data on specified indicators. A monitoring system is composed of:</p> <ul style="list-style-type: none"> ▶ human resources within the involved institutions; ▶ indicators; ▶ comprehensive data collection and processing procedures including intra and inter-institutional cooperation procedures; ▶ data reporting and dissemination procedures. ▶ a monitoring system is supported by a data storage and processing electronic system (SMIS in Romania the 2007-2013 programming period). <p>The monitoring procedures developed by the MA will be analysed using the following criteria:</p> <ul style="list-style-type: none"> ▶ the provisions regarding monitoring and reporting are implemented; ▶ management and maintenance of the system are sound ▶ data is timely collected ▶ quality of data ▶ administrative Burden ▶ previous experience ▶ procedures ensure the public access on information on the performance of the programme ▶ (if the case) procedures provide for specific arrangements for integrated territorial approaches <p>▶ Guide on indicators Based on findings from the analysis of the system the indicators guide will be drafted. This guide will constitute the main working instrument for the unit managing the monitoring system and becomes an integral part of the monitoring procedures. The applicants and beneficiaries will be adequately informed on the monitoring procedures, including the relevant provisions of the guide. The guide will be based on indicator fiches drafted for each indicator, to contain the following information:</p> <ul style="list-style-type: none"> ▶ Label of the indicator ▶ Definition of indicator ▶ Link to objective/measure/operation ▶ Type of indicator ▶ Unit of measurement ▶ Baseline ▶ Target ▶ Source ▶ Frequency (when and how often) ▶ Collection method ▶ Responsible actor for collection ▶ Comments on availability/cost (especially if it is a qualitative indicator) ▶ Responsible actor for analysis and data quality check ▶ Use for reporting (in which types of reports the indicator will feed in e.g. for MC, AIR, more often for decision making) – to be taken into account at point 9. ▶ Use for evaluation: yes/no, further data needed in this context ▶ Use for programming: how is the indicator and its values used to improve programming <p>▶ Evaluation Plan The key issue in producing effective evaluations (in other words evaluations whose results are used by the programme decision-makers) is that these evaluations answer a real “information need”. The “information needs”, stemming both from the EU level (e.g. Art. 50 (5) of CPR, in accordance to which the 2018 and final implementation reports should contain information on programme effectiveness) but also from the programme level (e.g. identifying with a view to adopting adequate solutions the “why?”s and “how come?”s behind a bottleneck) will be one of the key starting points for drafting the evaluation plan. In this context, the main aspects to be developed in the plans are:</p> <ul style="list-style-type: none"> ▶ Potential information needs, based on EU requirements and experience in the implementation of the 2007-2013 operational programmes; ▶ Consequently, a series of evaluation themes will be identified, on which additional information is needed in order to feed into the policy-making/programme making/improving process; ▶ At the same time, their schedule will be set, in such a manner that evaluation reports are available when information is needed. Considering the experience in the 2007-2013 programming period, proposals will be made as regards the type and starting point of the public procurement process, for avoiding situations when information needed is not available on time. ▶ Considering the above, the evaluations will be classified in “types”: e.g. strategic/operational/horizontal (at program level) or at priority level/ad-hoc/impact (theory-based and counterfactual) etc. ▶ Depending on the type of evaluation, specific methodologies to be used upon plan’s implementation will be indicated (particularly for impact evaluations - theory-based and counterfactual); ▶ Based on the methodologies recommended and type of evaluation, data needs will be estimated. A comparison on existing data in the monitoring system will be carried out and
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	<p>conclusions on data needed to be collected drawn; this will be particularly important when counterfactual impact evaluations will be recommended;</p> <ul style="list-style-type: none"> ▶ Based on the above, the financial resources needed for each evaluation will be estimated; ▶ A separate chapter in the plan will tackle the issue of the “evaluation function”, its position in the Managing Authority (especially the link to the decision makers) and its capacity to implement the plan. Based on types of evaluations to be carried out and methods to be applied, recommendations will be made for ensuring adequate evaluation capacity within the MA. <p>▶ Drafting the evaluation plan will be an iterative process, its final version being agreed after rounds of discussions with the stakeholders. These rounds of consultations are the most important in the light of the necessity for “more effective evaluations” in Romania (whose results correspond to an information need): wide consultations will ensure the collection of these needs and increase awareness of the benefits of evaluation for the effectiveness and efficiency of the programme.</p> <p>▶</p>
<p>Source of information</p>	<p>Primary sources of information:</p> <ul style="list-style-type: none"> ▶ Minutes of interviews ▶ Minute of the focus group <p>Secondary sources:</p> <ul style="list-style-type: none"> ▶ The programme monitoring and data collection procedures ▶ Evaluations of OPTA 2007-2013 ▶ Relevant documents of technical assistance ▶ Information and publications regarding the practices of other Member States ▶ Relevant annual reports of implementation of the current programming period ▶ Guidelines for the ex-ante evaluation 2014-2020, DG Regional development ▶ European Evaluation Helpdesk: Draft ideas on minimum requirements for the Evaluation Plan. Working Paper for the Good Practice Workshop: From Ongoing Evaluation towards the Evaluation Plan. Vienna, 14 May 2012. ▶ Statistical data

Monitoring and data collection procedures

Aspects	Details	Findings and recommendations
<p>The provisions of the CPR and EU Social Fund regarding monitoring and reporting are implemented</p>	<ul style="list-style-type: none"> ▶ Monitoring Committee is set in accordance with the provisions of the CPR; ▶ Milestones for data reporting are considered (annual/final implementation reports, especially for 2016 and 2018, progress report on the implementation of Partnership Agreement); ▶ Requirements for electronic transmission of data are taken into consideration. 	
<p>Management and maintenance of the system are sound</p>		
<p>Sound management and maintenance</p>	<ul style="list-style-type: none"> ▶ It is clear who will manage the system and the tasks of the unit/person in charge are clearly set and coherent; ▶ It is clear who will maintain the system and the tasks of the unit/persons in charge are clearly set and coherent; ▶ Procedures provide for steps for assessing and 	

	<p>adjusting the system, including piloting of data collection methodologies, where the case (especially as regards adjusting targets, when/if needed) (based also on Data quality assurance processes – see “quality of data”)</p> <ul style="list-style-type: none"> ▶ Procedures provides for capacity building measures of personnel involved, as well as of stakeholders of the monitoring process (e.g. project owners, other departments of the MA involved and external institutions such as INS) 	
Data is timely collected		
<p>Timely collection: Procedures are capable of ensuring timely data collection so that data can be taken into account in the decision-making, reporting and evaluation system (both output and result indicators)</p>	<ul style="list-style-type: none"> ▶ For each indicator the source of data is identified (i.e. Sources are who or what provide data—not the method of collecting data) ▶ For each indicator the data collection method is clear (e.g. primary collection through surveys, secondary collection through project progress report or from other institutions possessing the data) ▶ In the latter case, data collection inter-institutional protocols are in place to ensure that needed data is transmitted on time; ▶ Time and frequency of data collection are available 	
Quality of data		
<p>Qualitative data</p>	<ul style="list-style-type: none"> ▶ Procedures in place ensure the quality of data, more precisely that: ▶ Data is reliable: the data collection system is stable and consistent across time and space (measurement of the indicators is conducted the same way every time) ▶ Data is valid: indicators are measuring, as directly and succinctly as possible, actual and intended performance levels ▶ Procedures in place contain clear and consistent methodology for data processing and, where the case, aggregation; ▶ Consistency checks are provided for (linking administrative sources) ▶ Data quality assurance processes such as supportive supervision and data auditing are provided for. 	
Administrative Burden		
<p>Collection of data related to beneficiaries</p>	<ul style="list-style-type: none"> ▶ Use of public sources of information in order to reduce the administrative burden of beneficiaries in respect of provision of monitoring data 	
Previous experience		
<p>Lessons learned 2007-2013</p>	<ul style="list-style-type: none"> ▶ Planned procedures take into consideration the blockages identified during the current programming period. 	
Procedures ensure the public access on information on the performance of the programme		

Monitoring for communication and accountability	<ul style="list-style-type: none"> ▶ Mechanism are provided for effective publication and dissemination of monitoring results (e.g. active dissemination against passive dissemination – e.g. publication on programme webpage of annual implementation reports) 	
(if the case) Procedures provide for specific arrangements for integrated territorial approaches		
Specific monitoring and evaluation systems for IT approaches	<ul style="list-style-type: none"> ▶ If it is the case, the procedures contain specific arrangements for the monitoring and evaluation of integrated approaches, based on criteria presented above (except 6). 	

Q9: European strategy for smart, sustainable and inclusive growth

Evaluation question	Q9: To what extent does the Programme contribute to the European Union strategy for smart, sustainable and inclusive growth, considering the selected thematic objectives and priorities, taking into account the national and regional needs?		
OP Chapters analyzed	<ul style="list-style-type: none"> ▶ Chapter 1 		
Feedback priority	Second priority		
Methodology	<ul style="list-style-type: none"> ▶ Given the nature of the OPTA, its contribution to the EU 2020 Strategy is in nature indirect, therefore a qualitative analysis of the contribution to the European Union strategy for smart, sustainable and inclusive growth is more appropriate than a quantitative one. ▶ A qualitative judgement will be provided in relation to the contribution to the achievement of the quantified targets as presented in the National Reform Programme, taking into account is horizontal contributions as well as the contribution to specific OPs. 		
Source of information	<p>Primary sources:</p> <ul style="list-style-type: none"> ▶ Minutes of the interviews <p>Secondary sources:</p> <ul style="list-style-type: none"> ▶ The Strategy 2020 ▶ The Partnership Agreement ▶ The recommendations of the Council for the National Reform Programme 2013The strategy regarding the consolidation of the public administration capacity - 		

Analysis of contribution to national targets:

National Reform Programme		OP TA contribution		
EU Headline target	Quantified target	Horizontal	OPs supported	Qualitative judgement
Employment rate in %	70%			High / Medium / Low
R&D in % of GDP	2%			
CO2 emission reduction targets	19%			
Renewable energy	24%			
Energy efficiency – reduction of energy consumption in Mtoe	10.00			
Early School leaving in %	11.3%			
Tertiary education in %	26.7%			

Reduction of population at risk of poverty or social exclusion in number of persons	580,000			
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Q10: Other relevant instruments

Evaluation question	Q10: Which is the relation of the Programme with other relevant instruments (policies, strategies)?
OP Chapters analyzed	▶ Chapter 8, 9
Feedback priority	Second priority
Methodology	▶ A qualitative analysis of the contribution of the Programme to the quantified objectives expressed in the strategies identified under Q.1.2.
Source of information	Primary sources: ▶ Minute of the interviews Secondary sources: ▶ The Procurement of Innovation Platform ▶ The Strategy for consolidating public administration capacity 2013-2020 ▶ The strategy regarding the marine basin of the Black Sea ▶ European Union Strategy for the Danube Region ▶ Other relevant documents

For strategies and instruments identified in Q1 (sample):

Strategy For Consolidating Public Administration Capacity 2013-2020		OP Technical Assistance expected contribution	
Target description	Quantified target	Quantitative Contribution	Qualitative judgement
			High / Medium / Low

Q11.1: Equal opportunities

Evaluation question	Q11.1: Are the planned measures to promote equal opportunities between men and women and to prevent discrimination adequate?
OP Chapters analysed	▶ Chapter 11
Feedback priority	Second priority
Methodology	▶ Analysis of OP elements related to the application of the Equal opportunities and non-discrimination principle in the 7 key phases of Programme implementation.
Source of	Secondary sources:

information	<ul style="list-style-type: none"> ▶ Needs analysis – Section 1 of the OP ▶ Relevant regulations in the field of equality of chances and non-discrimination ▶ Evaluation of the way the provisions from the field of equal opportunities have been transposed in the framework related to Structural Instruments in Romania ▶ Documents related to the operational programme
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Aspects checked:

STAGE	ASPECTS TO BE CHECKED IN THE OP	OP
PHASE 1: PROGRAMMING OF STRUCTURAL INSTRUMENTS		
1. Inception of programming	At an early stage of programming, review of data availability on EO, identification of missing data; warning to responsible authorities for improving the data availability.	
2. Operational Programme - Context analysis	The „Context analysis” of the OP includes a dedicated section containing an analysis of the specific context of the programme in terms of EO, including 1) Relevant equal opportunities issues; 2) Gender differences and other relevant issues concerning discrimination	
3. Operational Programme - Strategy development	The „Socio-economic analysis” of OP includes a dedicated section on equal opportunities issues relevant for the programme and how the programme can tackle /solve them.	
	Prioritization of aspects and, consequently, the identification of priority axes /key areas of intervention/measures to be taken in order to apply the equal opportunities have been made based on the socio-economic analysis.	
4. Operational Programme- Indicators	Objectives aimed at by the OP in terms of application of equal opportunities principle are properly mirrored by the output, result and impact indicators, as well as by their targets.	
5. Operational Programme– Design of interventions	Existence of targeted interventions or positive actions	
	Mainstreaming actions having an indirect positive impact on equal opportunities.	
PHASE 2: CALLS FOR PROPOSALS		
1. Call for proposals – Preparation	It has involved the specific expertise for preparation of Applicants' Guidelines, so as to get a positive impact (direct or indirect) in terms of equal opportunities and/or prevention of any forms of discrimination	
2. Applicants' Guidelines – explanations of EQUAL OPPORTUNITIES principle	The Guidelines contain clear wording on the concept and terminology of equal opportunities and non-discrimination, related to the OP approach in this respect	
3. Financing application form – contents	In the financing application there is a requirement for the applicant to show that it understands the equal opportunities topic and considers it	
4. Financing application form – Monitoring requirements	FA clearly specifies that successful applicants will become part of the monitoring system related to the equal opportunities and in this case they should provide a series of qualitative/quantitative information	
5. Launch of call for proposals – information and publicity	Information and publicity activities related to the calls for proposals cover equal opportunities and non-discrimination issues in order to raise the awareness level in terms of EQUAL OPPORTUNITIES among potential beneficiaries.	
	The use during the information and publicity activities of good practice examples (web pages, flyers, etc.)	

STAGE	ASPECTS TO BE CHECKED IN THE OP	OP
6. Submission mechanism	One considers the barriers for the process of submitting financing applications by the representatives of certain vulnerable groups.	
7. Launch of calls – project generation	Make available for the beneficiaries the specific expertise required for preparation/ improvement of the project proposals in terms of EO.	
PHASE 3: PROJECT SELECTION		
1. Eligibility criteria	Compliance with the legal requirements is considered an eligibility criterion	
2. Evaluation and selection criteria	Evaluation and selection/prioritization criteria intended to encourage the participation of women and /or of other vulnerable groups in the project: additional significant scoring of projects which clearly embed the equal opportunities principle.	
3. Tools / training sessions for project evaluators	Availability of clear guidelines for evaluators of financing applications to assess the treatment regarding application of the equal opportunities principle in the proposed project;	
	Training sessions provided to evaluators of specific financing applications for assessing the treatment regarding the application of the equal opportunities principle in the proposed project;	
	Existence and implementation of the calibration of the financing applications evaluation process, namely to ensure a common approach to assigning the equal opportunities related score among evaluators.	
4. Contracting project evaluators	Selection of evaluators of financing applications with particular experience in equal opportunities	
	Insertion of provisions related to equal opportunities in the assistance services contract for evaluation of financing applications, as a result of specifications in the related tender book	
PHASE 4: FINANCIAL MANAGEMENT AND CONTROL		
1. Financial allocation	Explicit indication of the funding share allocated to actions with positive impact in terms of equal opportunities, separating gender and other discrimination issues, specified in terms of targeted/ positive actions	
2. Structures	Existence of dedicated structure or mechanisms at Programme level in relation to the equal opportunities principle	
	- Equal Opportunities councillor - Participation to Monitoring Committees	
PHASE 5: MONITORING		
1. System of indicators	Existence within the programme system of indicators of context indicators necessary for its analysis and monitoring	
	Existence of programme indicators necessary for monitoring the programme performance in terms of implementation of equal opportunities principle	
	Existence of project indicators necessary for monitoring the project performance in terms of implementation of equal opportunities principle	
	Consistency between equality indicators at project level and those at programme level, so as data necessary for monitoring at programme level is collected.	

STAGE	ASPECTS TO BE CHECKED IN THE OP	OP
2. Reporting requirements	Quality of information on the application of the „equal opportunities” principle presented in AIRs	
	Existence of additional reporting requirements concerning equal opportunities (EO) at Programme level, other than those in the Annual Implementation Reports.	
3. Implementation manuals	Existence, within the tools used to support the beneficiaries in the implementation of their projects of a set of complete information in terms of fostering/embedding the equal opportunities principle at project level.	
PHASE 6: EVALUATION		
1. Planning of evaluations	Multi-annual/Annual Evaluation Plans provide for, are dedicated or include equal opportunities issues.	
2. Evaluations performed	Thematic evaluations on equal opportunities or general evaluations covering the equal opportunities topics are performed.	
PHASE 7: PARTNERSHIP		
1. Partnership with the stakeholders relevant for EO	Involvement of representatives of vulnerable groups in all stages of the programme management and implementation cycle.	

Q11.2: Sustainable development

For the scope of this evaluation question, the team will use the definition provided for sustainable development in Fiche 26 of the European Commission, published on 29 November 2013. Accordingly, by sustainable development it is understood “a description of specific actions that take into account environmental protection requirements, resource efficiency, climate change mitigation and adaptation, disaster resilience and risk prevention and management, in the selection of operations”.

Relevant evaluation question	Q11.2: Are the planned measures to promote sustainable development ¹ adequate?
OP Chapters analysed	<ul style="list-style-type: none"> ▶ Chapter 11
Methodology	<ul style="list-style-type: none"> ▶ Analysis of OP elements related to the application of the sustainable development principle in the 7 key phases of Programme implementation.
Source of information	<p>Secondary sources</p> <ul style="list-style-type: none"> ▶ Needs analysis – Section 1 of the OP Relevant principles in the field of durable development, on national and EU level ▶ Documents related to the operational programme

¹ According to the Structure of the OP, from 29.11.2013, the sustainable development refers at: “Specific actions to take into account environmental protection requirements, resource efficiency, climate change mitigation and adaptation, disaster resilience and risk prevention and management”

Aspects checked

STAGE ASPECTS TO BE CHECKED IN THE OP OP

PHASE 1: PROGRAMMING OF STRUCTURAL INSTRUMENTS

- | | | |
|----|--|--|
| 1. | Inception of programming | At an early stage of programming, review of data availability on sustainable development, identification of missing data; warning to responsible authorities for improving the data availability. |
| 2. | Operational Programme - Context analysis | The „Context analysis“ of the OP includes a dedicated section containing an analysis of the specific context of the programme in terms of sustainable development

The „Socio-economic analysis“ of OP includes a dedicated section on sustainable development issues relevant for the programme and how the programme can tackle /solve them. |
| 3. | Operational Programme - Strategy development | Prioritization of aspects and, consequently, the identification of priority axes /key areas of intervention/measures to be taken in order to apply the sustainable development principle have been made based on the socio-economic analysis. |
| 4. | Operational Programme- Indicators | Objectives aimed at by the OP in terms of application of sustainable development principle are properly mirrored by the output, result and impact indicators, as well as by their targets.

Existence of targeted interventions or positive actions |
| 5. | Operational Programme– Design of interventions | Mainstreaming actions having an indirect positive impact on sustainable development. |

PHASE 2: CALLS FOR PROPOSALS

- | | | |
|----|--|--|
| 1. | Call for proposals – Preparation | It has involved the specific expertise for preparation of Applicants' Guidelines, so as to get a positive impact (direct or indirect) in terms of sustainable development |
| 2. | Applicants' Guidelines – explanations of sustainable development | The Guidelines contain clear wording on the concept and terminology of sustainable development, related to the OP approach in this respect |
| 3. | Financing application form – contents | In the financing application there is a requirement for the applicant to show that it understands the sustainable development topic and considers it |
| 4. | Financing application form – Monitoring requirements | FA clearly specifies that successful applicants will become part of the monitoring system related to the sustainable development and in this case they should provide a series of qualitative/quantitative information |
| 5. | Launch of call for proposals – information and publicity | Information and publicity activities related to the calls for proposals cover sustainable development

The use during the information and publicity activities of good practice examples (web pages, flyers, etc.) |
| 6. | Launch of calls – project generation | Make available for the beneficiaries the specific expertise required for preparation/ improvement of the project proposals in terms of sustainable development. |

PHASE 3: PROJECT SELECTION

- | | | |
|----|--|---|
| 1. | Eligibility criteria | Compliance with the legal requirements is considered an eligibility criterion |
| 2. | Evaluation and selection criteria | Evaluation and selection/prioritization criteria intended to encourage sustainable development: additional scoring of projects which clearly embed the principle. |
| 3. | Tools / training sessions for project evaluators | Availability of clear guidelines for evaluators of financing applications to assess the treatment regarding application of the sustainable development principle in the proposed project;

Training sessions provided to evaluators of specific financing applications for assessing the treatment regarding the application of sustainable development principle in the proposed project;

Existence and implementation of the calibration of the financing applications evaluation process, namely to ensure a common approach to assigning the sustainable development related score among |

STAGE	ASPECTS TO BE CHECKED IN THE OP	OP
	evaluators.	
4. Contracting project evaluators	<p>Selection of evaluators of financing applications with particular experience in sustainable development</p> <p>Insertion of provisions related to sustainable development in the assistance services contract for evaluation of financing applications, as a result of specifications in the related tender book</p>	

PHASE 4: FINANCIAL MANAGEMENT AND CONTROL

1. Financial allocation	Explicit indication of the funding share allocated to actions with positive impact in terms of sustainable development
2. Structures	<p>Existence of dedicated structure or mechanisms at Programme level in relation to sustainable development</p> <p>- Environmental Authority</p> <p>- Participation to Monitoring Committees</p>

PHASE 5: MONITORING

1. System of indicators	<p>Existence within the programme system of indicators of context indicators necessary for its analysis and monitoring</p> <p>Existence of programme indicators necessary for monitoring the programme performance in terms of implementation of sustainable development principle</p> <p>Existence of project indicators necessary for monitoring the project performance in terms of implementation of sustainable development principle</p> <p>Consistency between equality indicators at project level and those at programme level, so as data necessary for monitoring at programme level is collected.</p>
2. Reporting requirements	<p>Quality of information on the application of the „ sustainable development“ principle presented in AIRs</p> <p>Existence of additional reporting requirements concerning sustainable development at Programme level, other than those in the Annual Implementation Reports.</p>
3. Implementation manuals	Existence, within the tools used to support the beneficiaries in the implementation of their projects of a set of complete information in terms of fostering/embedding the sustainable development principle at project level.

PHASE 6: EVALUATION

1. Planning of evaluations	Multi-annual/Annual Evaluation Plans provide for, are dedicated or include sustainable development issues.
2. Evaluations performed	Thematic evaluations on sustainable development or general evaluations covering the sustainable development topics are performed.

PHASE 7: PARTNERSHIP

1. Partnership with the stakeholders relevant for sustainable development	Involvement of representatives of vulnerable groups in all stages of the programme management and implementation cycle.
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