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Evaluare



Procedural Guidance Manual for Evaluation of NSRF
Operational Programmes in Romania, 2007-2013

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Chapter 1: Introduction to Evaluation

This opening chapter aims to provide the user with a clear idea of what evaluation is and its role in the management of programmes funded by the EU Structural and Cohesion Funds. Some readers, such as those who have already been working in the evaluation area for some time, may be familiar with the concepts introduced in the chapter and may wish to skip directly to later chapters. For other readers, such as those who have just recently been assigned to work in an Evaluation Unit or other unit in a Managing Authority, the chapter will be of more immediate interest.

The structure of this chapter is as follows:

- Section 1.2 presents some definitions of evaluation;
- Section 1.3 explains the purposes for which evaluation is carried out;
- Section 1.4 explains the differences between monitoring and evaluation;
- Section 1.5 considers the broad questions that typically feature in evaluations of EU-funded programmes;
- Section 1.6 looks at the role of evaluation in the delivery of programmes funded by the EU Structural Instruments and at the different stages in the evaluation process (ex-ante, ongoing and ex-post).

1.1 What is Evaluation?

The concept of “evaluation” features widely in everyday life. People evaluate all the time; for example, they express opinions on the quality of food at restaurants visited or on films or television programmes watched. In a work setting, managers are often required to formally evaluate the performance of those reporting to them. What most uses of the term “evaluation” convey is the sense of making or forming a judgement on something. As one renowned evaluator put it “Evaluation is an elastic word that stretches to cover judgements of many kinds”.¹

Building on this notion of evaluation being about judgement, we can consider a number of definitions of evaluation put forward by evaluation experts and international bodies. For example:

- The European Commission has defined evaluation as a “judgement of interventions according to their results, impacts and needs they aim to satisfy”.² Note that the term “intervention” could refer to a policy, programme or project; the focus of this Manual is on programmes, and in particular, the programmes funded by the EU Structural Instruments under the 2007-2013 NSRF Operational Programmes;
- The United Nations Development Programme (UNDP) defines evaluation as “a selective exercise that attempts to systematically and objectively assess progress towards and the achievement of an outcome.”³

¹ Weiss, Carol H., *Evaluation* (1998), New Jersey: Prentice-Hall

² Communication on Evaluation: *Focus on Results: Strengthening Evaluation of Commission Activities*, (SEC(2000) 1051), available at http://ec.europa.eu/budget/evaluation/pdf/sec20001051_en.pdf

³ UNDP Evaluation Office, *Handbook on Monitoring and Evaluating for Results*, (1998), New York, available at: http://stone.undp.org/undpweb/eo/evalnet/docstore3/yellowbook/documents/full_draft.pdf#search=%22UNDP%20Evaluation%20Office%2C%20Handbook%20on%20Monitoring%20and%20Evaluation%20for%20Results%22

- Weiss defines evaluation as “the systematic assessment of the operation and/or the outcomes of a program or policy, compared to a set of explicit or implicit standards, as a means of contributing to the improvement of the program or policy.”⁴

Standing back from the various definitions presented above, we can identify a number of distinguishing features of evaluation:

- Evaluation can be applied at policy, programme or project levels; this Manual is concerned with programme evaluation;
- Evaluation should be systematic and objective; by systematic it is meant that evaluation should be based on careful planning and consistent use of research techniques; by objective it is meant that evaluation is not influenced by personal bias or subjective opinions;
- As already discussed, evaluation is about forming a judgement on a programme (or policy or project). However, as captured in the definitions above, this judgement is one that is based on certain standards or criteria, such as the outcome or impacts of the programme;
- The evaluation can focus on the operation of the programme or on its outcomes (see Weiss definition);
- The intention or purpose of the exercise is to improve the policy or programme under evaluation.

1.2 Why Evaluate: The Purpose of Evaluation

A number of reasons for undertaking evaluation can be identified. For example, the European Commission’s Directorate-General for the Budget lists four main purposes for carrying out evaluations as follows:⁵

- To contribute to the design of interventions;
- To assist in an efficient allocation of resources;
- To improve the quality of the intervention;
- To report on the achievements of the intervention.

Another way of looking at this is to say that evaluation is done for the purposes of planning an intervention (policy or programme), for improving the implementation of the intervention and for the purpose of establishing accountability to the taxpayer (Romanian or European in the case of EU monies) for the funds expended. There are other purposes for which evaluation might be done (such as for knowledge purposes) but these three purposes (planning, implementation and accountability) are the most relevant in the case of evaluation of EU-funded programmes.

Some commentators argue that evaluation serves an overarching learning purpose. In this vein, a good summary definition of the purpose of evaluation put forward in the Evalsed Guide is as follows:

To learn through systematic enquiry how to better design, implement and deliver public programmes and policies (Evalsed Guide, 2003)⁶

⁴ Weiss, op. cit.

⁵ European Commission (Directorate-General for the Budget) *Evaluating EU Activities A practical guide for the Commission services* (2004).

⁶ *Evaluation of Socio-Economic Development –The GUIDE* (2003), available from www.evalsed.info

We refer to this throughout as the *Evalsed Guide*.

1.3 Monitoring, Audit and Evaluation

Monitoring and evaluation are sometimes confused. This is not surprising as both monitoring and evaluation share a broad, common objective of helping to improve the performance of public policies and programmes. In addition, monitoring and evaluation functions are often assigned to a single administrative unit. This reflects the reality that monitoring and evaluation are complementary tools both used in the management of publicly-funded programmes.

Monitoring is a continuous, systematic process carried out during programme implementation with a view to providing management and implementation authorities and other parties with an indication of the degree of progress or otherwise of the programme. Monitoring is generally based on quantitative indicator data on the expenditure, activity and outputs of the programme. A number of differences between monitoring and evaluation can be identified:

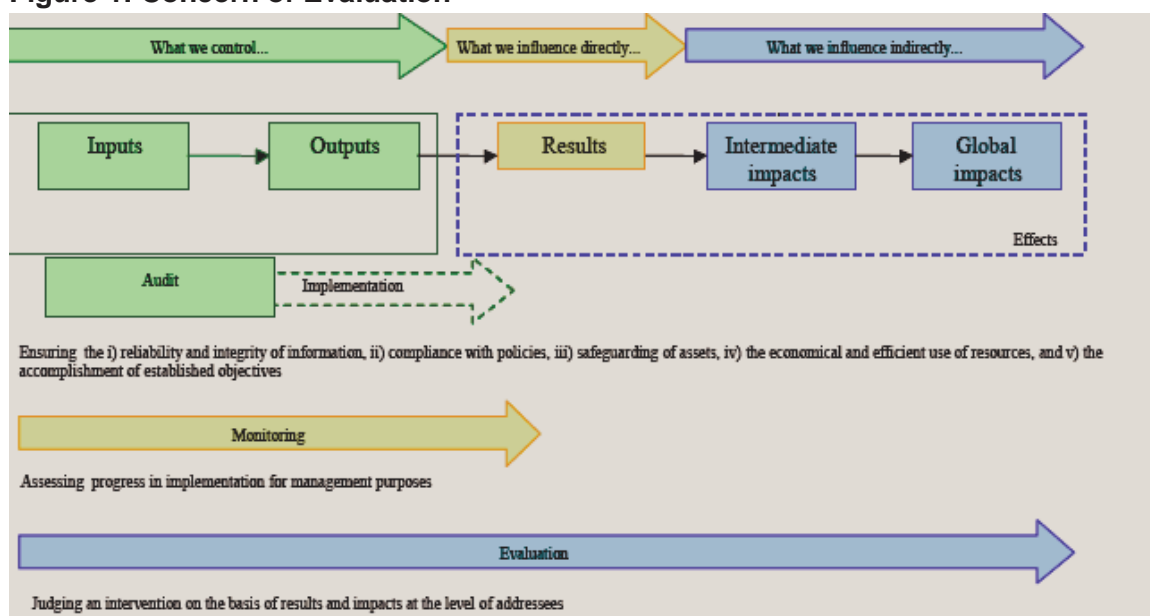
- Firstly, monitoring is continuous, i.e., an activity that is conducted at all stages in the lifetime of a programme. On the other hand, evaluation is a discreet activity, one that is carried out only at certain points;
- Secondly, the two processes differ in terms of scope. Monitoring is concerned largely with aspects of the programme that are within the control of the programme managers (i.e., programme expenditure and the activity or outputs generated by it). The focus is essentially on implementation. Evaluation goes further and is concerned with how the programme operates and the effects or outcomes it gives rise to. So, evaluation is the more comprehensive of the two practices.

Notwithstanding these differences, it is important to emphasise the strong linkages between monitoring and evaluation. Evaluations are often commissioned when monitoring data indicates a lack of progress in programme implementation.⁷ The task of the evaluator is to then explore the reasons why the programme is under-performing. The Evaluator will draw on the data generated by the programme monitoring system in conducting the evaluation (but may also collect additional or new data to better understand programme performance).

Audit covers both traditional financial audit which concentrates on whether resources have been spent as intended. However, the scope of audit activity has been gradually extended into the area of performance audit which overlaps somewhat with evaluation. The focus of performance audit is on what is termed the “3 e’s” of economy, effectiveness and efficiency of the programme or organisation in question. Evaluation is concerned with a broader range of issues including the process through which the results of the intervention came about and its longer-term impacts or outcomes. As Figure 1 illustrates, evaluation is concerned with the examination of factors outside the influence of the programme managers or policymakers, whereas both monitoring and audit focus on dimensions of performance which are essentially within their control.

⁷ Indeed the *Proposal for a Council Regulation laying down general provisions on the European Regional Development Fund, the European Social Fund and the Cohesion Fund* states that “during the programming period, Member States shall carry out evaluations linked to the monitoring of operational programmes in particular where the monitoring of programmes reveals a significant departure from the goals initially set...” [Article 46(3)].

Figure 1. Concern of Evaluation



Source: European Commission, Directorate-General for the Budget, Evaluating EU Activities A practical guide for the Commission services (2004)

1.4 Evaluation Criteria

As noted earlier in Section 1.2, the practice of evaluation is about forming a judgement (on a programme) on the basis of certain criteria or standards. In this Section, the criteria that generally feature in the evaluation of EU-funded programmes or similar interventions with a socio-economic development focus are outlined.

In evaluating a programme of this type, the following are the main criteria commonly used:

- The question of the relevance of, or need for, the programme;
- The effectiveness of the intervention;
- Programme efficiency;
- Issues concerned with the impact of the programme;
- Issues concerned with the sustainability of the programme.

The criteria are often referred to as the DAC criteria as formalised by the OECD for the evaluation of development aid.⁸

Table 1 below illustrates the type of questions that a programme evaluation might explore under these headings. This is cross-referenced against the main evaluation purposes discussed earlier and the different stages of the evaluation process discussed in the next section.

Table 1. Evaluation question by different criteria

Evaluation Criterion	Typical Questions	Evaluation Purposes	Evaluation Stage
Relevance	Is the programme appropriate to the needs it aims to address?	Planning	Ex-ante

⁸ The *DAC Principles for the Evaluation of Development Assistance*, OECD (1991), http://www.oecd.org/document/22/0,2340,en_2649_34435_2086550_1_1_1_1,00.html

	Are programme objectives still valid given changes in the socio-economic environment? Is State intervention in the sector or activity concerned justified? Can the programme be justified by reference to a clearly identified distortion or market failure?	Implementation	On-going
Effectiveness	Is the programme meeting its objectives? What factors are affecting programme performance?	Implementation	On-going Ex-post
Efficiency	Are programme outputs or benefits commensurate with costs incurred? Could the programme be implanted in a more cost-effective manner?	Implementation Accountability	On-going Ex-post
Impact	What difference has the programme made to its beneficiaries? Are there unintended side-effects?	Accountability	On-going Ex-post
Sustainability	Will programme benefits endure after funding has ceased?	Accountability Future planning	On-going Ex-post

Taken together, these evaluation or judgement criteria constitute a comprehensive approach to the evaluation of programmes financed by the EU Structural Instruments.⁹

The evaluation criteria form the building-block of the specific evaluation questions that feature in the terms of reference for evaluation projects (discussed later in Chapter 3).

1.5 Role of Evaluation in EU-funded Programmes

1.5.1 Evaluation Role

Evaluation is an important tool in the design and management of programmes financed by the EU Structural Instruments. Over the 2007 to 2013 period, a total of €308 billion will be invested by the European Union in cohesion and regional policy. Of this, Romania will benefit from an investment of €17.3 billion. Properly applied, evaluation can assist in maximising the benefits of this investment at a number of stages over the 2007 to 2013 period. For example:

- At the ex-ante stage (i.e., before the programmes are finalised), evaluation can help improve the relevance and guarantee the rationale of the programme design;
- On an ongoing basis, during programme implementation, evaluation can be used to assess performance, detect implementation problems and point to corrective measures;
- At the ex-post stage, evaluation can tell us what has been achieved and point to lessons for future periods.

In summary, and as stated on the European Commission's cohesion policy evaluation home page, "evaluation improves the effectiveness of programmes and provides knowledge on the impact of cohesion policy".¹⁰

⁹ Other criteria that could also be applied include the **rationality** (or justification) for the programme, and the **consistency** of the programme design.

To this end, for the 2007-2013 period, the regulations governing the Structural Funds provide for evaluation at the ex-ante, ongoing and ex-post stages. Evaluation of cohesion policy is undertaken on a partnership basis, with Member States responsible for ex-ante and ongoing evaluation, while the Commission is responsible for ex-post and other, thematic evaluations. As the Romanian authorities will be responsible for ex-ante and ongoing evaluation, the specific requirements and focus of these evaluation exercises are described in more detail below.

1.5.2 Ex-ante evaluation

Ex-ante evaluation is undertaken before programmes are finalised. For programmes funded by the EU Structural and Cohesion Funds, the relevant regulations require that an ex-ante evaluation be carried out by Member States.¹¹ In a programming context, the purpose of ex-ante evaluation “is to optimise the allocation of resources and improve the quality of programming”.¹² This corresponds to the planning purpose outlined in sub-section 1.3 above.

In terms of the evaluation criteria discussed in section 1.5 above, ex-ante evaluation will tend to focus on the issue of relevance (i.e. does this programme represent an appropriate response to the difficulties facing the region or sector covered? does this programme address a clearly identifiable market failure?). Issues of programme effectiveness, efficiency and impact might feature, to the extent that the evaluator may be in a position to express a view on the potential or likely effectiveness, etc., of the programme, based on experience with similar programmes or drawing on the results of previous evaluations.

The European Commission has produced a helpful guidance paper on ex-ante evaluation, listing six main questions to which an ex-ante evaluation should provide a response:¹³

Issues/Questions for ex-ante evaluation are presented in Figure 2.

Figure 2. Issues for ex-ante evaluation

- Does the programme represent an appropriate strategy to meet the challenges confronting the region or sector?
- Is the strategy well defined with clear objectives and priorities and can those objectives be realistically achieved with the financial resources allocated to the different priorities?
- Is the strategy coherent with policies at regional, national and Community level? How will the strategy contribute to the achievement of the Lisbon objectives?
- Are appropriate indicators identified for the objectives and can these indicators and targets form the basis for future monitoring and evaluation of performance?
- What will be the impact of the strategy in quantified terms?
- Are implementation systems appropriate to deliver the objectives of the programme?
- Are implementation systems appropriate to deliver the objectives of the programme?

The Commission recommends that in order to maximise the influence of the evaluation, the ex-ante should be undertaken contemporaneously with the programme design process. The ex-ante should be seen as an integral part of the formulation of the programme. An iterative,

¹⁰ See page headed *Evaluation of Cohesion Policy* at http://ec.europa.eu/regional_policy/sources/docgener/evaluation/evaluation_en.htm

¹¹ See Article 48 of Regulation 1083/2006

¹² *Draft Working Paper on Ex-ante Evaluation*, DG Regional Policy (check against final version and insert date), available from http://ec.europa.eu/regional_policy/sources/docoffic/working/sf2000_en.htm

¹³ DG Regional Policy, op cit.

interactive arrangement, is recommended where the evaluator provides regular, timely inputs to the programming authorities.¹⁴

1.5.3 On-going evaluation

On-going evaluation refers to evaluations carried out during the course of programme implementation. For the 2007 to 2013 programming period, the Structural Funds regulations (Article 48(3) of 1083/2006) requires as follows: *Member States shall carry out evaluations linked to the monitoring of Operational Programmes in particular where that monitoring reveals a significant departure from the goals initially set or where proposals are made for the revision of Operational Programmes.*

As in the case of ex-ante evaluation, the European Commission has produced a guidance paper on on-going evaluation.¹⁵ Based on the provisions of the new Structural Funds Regulations, the paper foresees two main functions of on-going evaluation. The first function is a strategic one, with evaluations focused on assessing the contribution of programmes to overall national and European policy goals (especially those related to the Lisbon process). The second function is an operational one, where performance-related evaluations are undertaken to support programme implementation (one of the evaluation purposes discussed above). The intention is that the results of such evaluations produce direct feedback into the implementation process and thus help to improve the quality of the programme.

The operational function requires a close link between the programme monitoring and evaluation processes. The monitoring systems should be designed such that they produce timely, reliable data that contributes effectively to the evaluation process, both in terms of informing decisions on the commissioning of evaluations and providing the necessary data inputs to evaluators.

The Commission's Working Paper envisages that on-going evaluation will focus largely on the evaluation criteria of relevance, effectiveness and efficiency (discussed above in section 1.5). An additional focus should be on consistency issues, both in terms of the internal consistency of programmes (i.e., the extent to which the various programme priorities complement one another or otherwise in support of programme objectives) and the wider issue of the consistency with national and EU policies.

A final point to note is that the Working Paper provides guidance in relation to the development of the Evaluation Plans at NSRF and Operational Programme level that are provided for in the Regulations (albeit on a non-mandatory, discretionary basis). The structure and content of these plans is discussed in the next chapter.

1.5.4 Ex-post evaluation

Ex-post evaluations are carried out at the end of the programming period. Under the provisions of the Structural Funds Regulations, ex-post evaluation is the responsibility of the European Commission in cooperation with Member States and Managing Authorities.¹⁶ The European Commission will most likely produce a guidance or methodological paper on the ex-post evaluation well in advance of the end of the 2007-2013 programming period.

¹⁴ The *ex-ante* process for the NSRF and Operational Programmes in Romania was organised along these lines.

¹⁵ *Evaluation during the programming period: on-going evaluation An integrated management tool*, DG Regional Policy (check against final version and insert date), available from

http://ec.europa.eu/regional_policy/sources/docoffic/working/sf2000_en.htm

¹⁶ Article 49(3) of Council Regulation 1083/2006 refers.

In terms of purpose, ex-post evaluation serves an accountability purpose, providing information on the achievements and socio-economic impact of programmes. Ideally, the findings of ex-post evaluation should also influence the design or planning of future programmes. Unfortunately, the timing of ex-post evaluation is generally such that this is difficult to achieve in practice (for example, the Regulations require that the ex-post evaluation be completed by end 2015 but the next generation of programmes may already be in place at that stage). In terms of evaluation criteria, the focus of ex-post evaluation is on the questions of programme efficiency, impact and sustainability.

Chapter 2: Evaluation Structures and Plans

This chapter describes the structures that have been established in Romania to oversee evaluation of the NSRF and its constituent Operational Programmes. The basic functional structure is that of an Evaluation Unit, one of which has been established at each of the OP Managing Authorities (with the exception of the Technical Assistance OP), with an Evaluation Central Unit (ECU) established at NSRF level in the Ministry of Public Finance's Managing Authority for the Community Support Framework. In section 2.2, the position or location of each of these units within the Managing Authority structure is presented. In section 2.3, the functions and main activities of these units, as agreed by the Evaluation Working Group, are presented (separately for the NSRF and OP-level units). In section 2.4, the desirable skill and qualification profiles of the staff working in these units is described.

2.1 Situation of Evaluation Function

2.1.1 NSRF Managing Authorities

The NSRF for Romania comprises 7 main Operational Programmes under the “Convergence” objective, as well as a number of cross-border cooperation programmes (with both EU and non-EU Member States) under the “European Territorial Cooperation” objective. These programmes and the responsible Managing Authorities are listed in Table 2.

Table 2. Operational Programmes in Romania

Operational Programme	Managing Authority
Transport Infrastructure	Ministry of Transport, Construction and Tourism
Environment	Ministry of Environment and Water Management
Competitiveness	Ministry of Economy and Trade
Regional	Ministry of European Integration
Human Resources Development	Ministry of Labour, Social Solidarity and Family
Administrative Capacity Development	Ministry of Administration and Interior
Technical Assistance	Ministry of Public Finance
Cross-Border Cooperation	Ministry of European Integration

2.1.2 Location of OP Evaluation Function

Each OP Managing Authority is to have an Evaluation Unit. In addition, there are two units dealing with the evaluation of the cross-border cooperation programmes (one with programmes with EU Member States, the other with non-EU Member States, both attached to the Ministry of European Integration). The charts below illustrate the location of these units within the Managing Authority structure and within the relevant Ministry as a whole.

Transport SOP

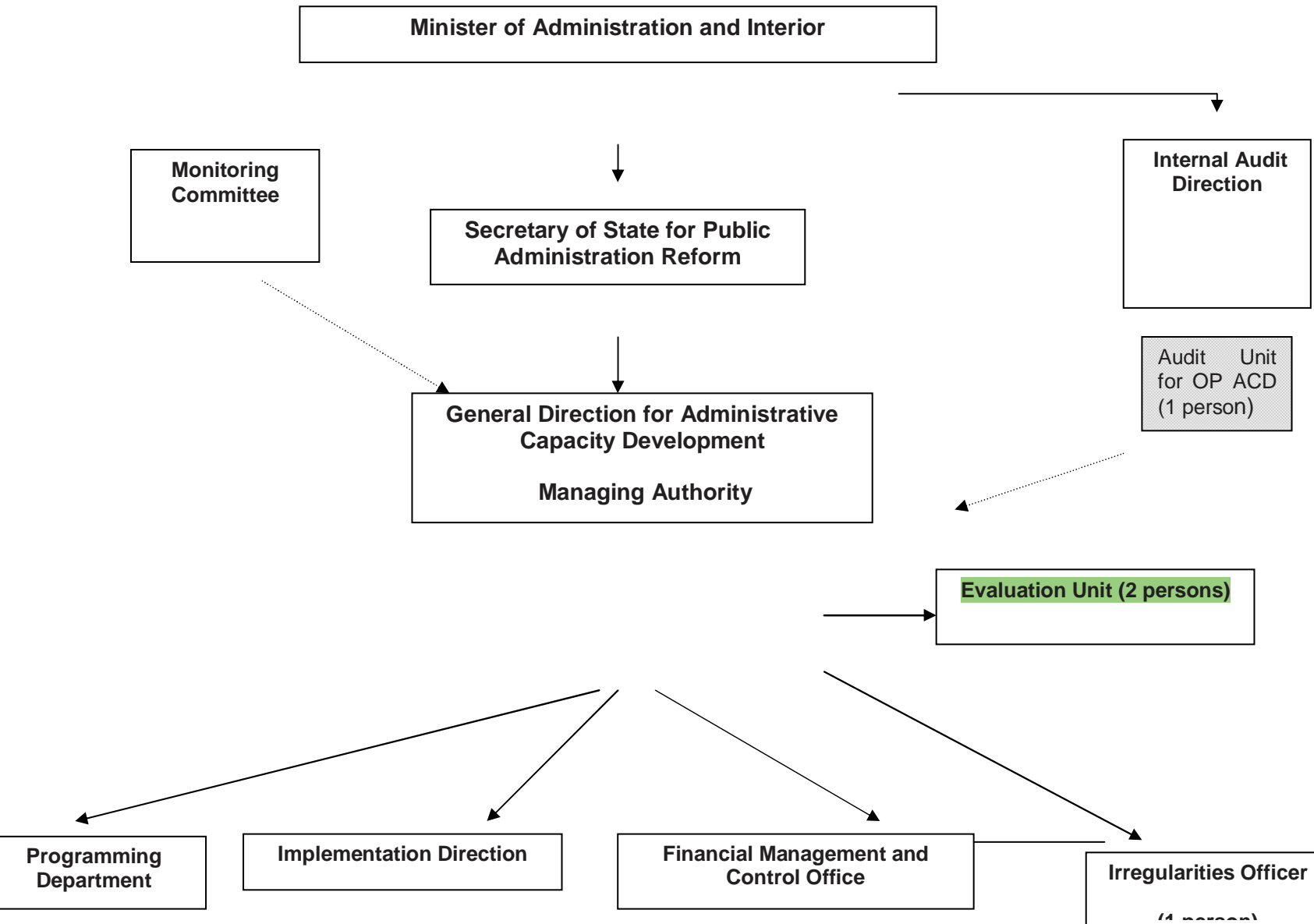
Environment SOP

Increasing Economic Competitiveness SOP

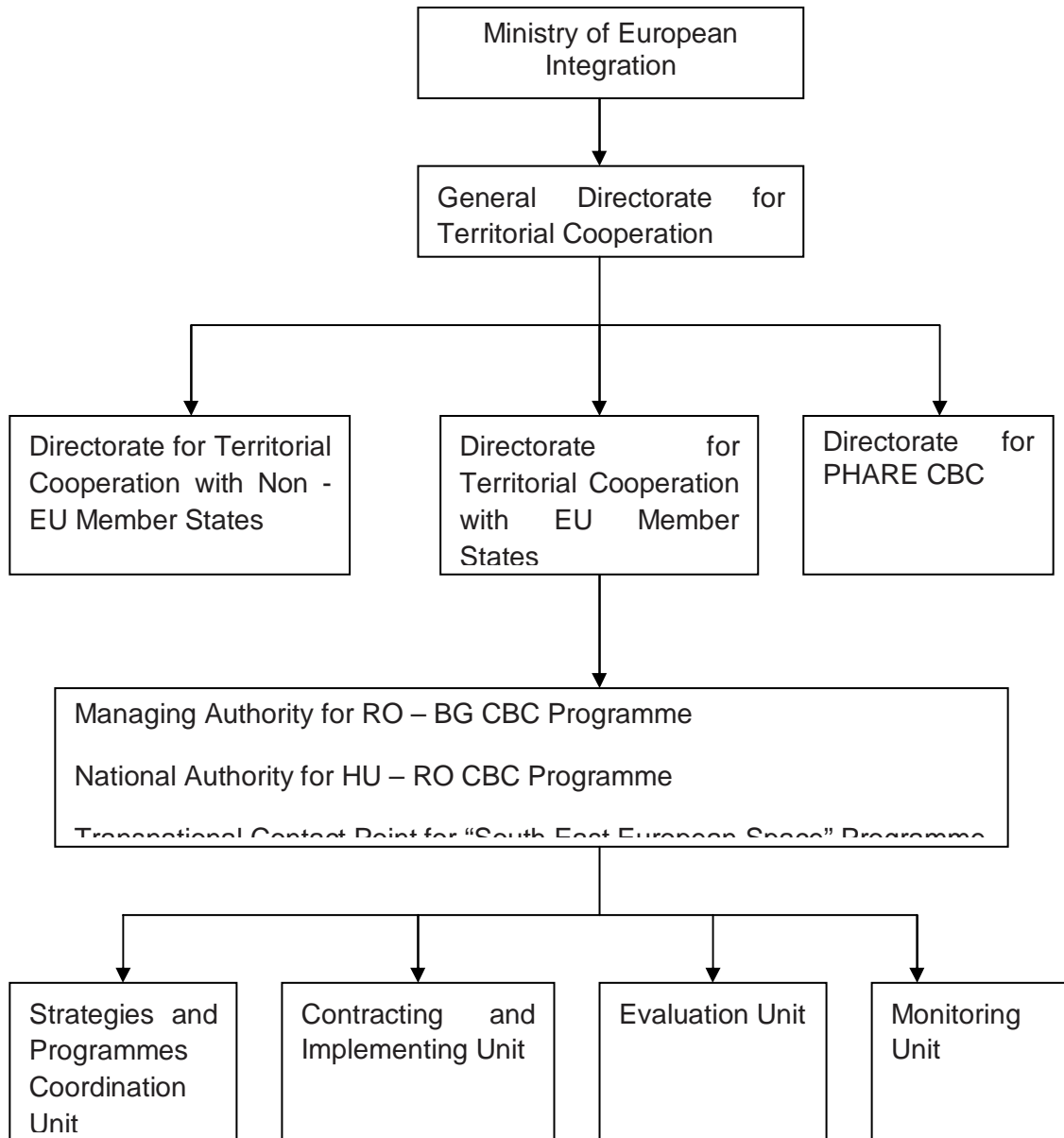
Regional OP

Human Resources Development OP

Administrative Capacity Development OP



Cross-Border/Territorial Cooperation (internal borders)



Cross-Border/Territorial Cooperation (external borders)

2.2 Functions and Main Activities of Evaluation Units

OP Evaluation Units

The agreed mandate for the OP Managing Authority Evaluation Units, as approved by the Evaluation Working Group, is attached as Annex 1. Subsequently, a number of additional functions were agreed. The agreed functions of the Units are now as follows:

- Evaluation Planning;
- Management of evaluations;
- Providing opinions and advice on project selection and appraisal issues
- Providing inputs to the OP Annual Implementation Report
- Participating in the work of the OP Monitoring Committee in an observer capacity
- Maintaining a source of OP evaluation documentation
- Other functions, including participation in the work of the EWG and in training and capacity building activities organised by the MACSF Evaluation Central Unit.

Each of these is discussed further below (most of the functions are addressed in more detail in later sections of this Manual).

Evaluation Planning

This function involves the preparation of an OP Evaluation Plan (Multi-Annual and Annual). The process through which these plans should be prepared and their structure and content is discussed in Chapter 3 of this Manual.

Evaluation Management

Within this function the MA Evaluation Units shall coordinate the interim (or on-going) and ad hoc evaluations of the Operational Programme. Each OP will be subject to two interim evaluations during implementation, in 2009 and 2012. The aim shall be to improve the quality, effectiveness and consistency of the assistance and the strategy and implementation of the Operational Programme. The interim evaluations will support the management process for the Operational Programmes by analysing problems arising during the implementation and proposing specific solutions to improve the operation of the system. Ad hoc evaluations could address either implementation or management issues of an individual Priority or Key Area of Intervention, or could be “thematic” in character. Both sets of evaluations will be conducted externally by independent evaluators.

Management of these evaluations will involve a number of activities or steps:

- Convening an OP Evaluation Steering Committee to oversee evaluation projects (discussed in Chapter 3 below);
- Preparing terms of reference for the evaluations (see Chapter 3);
- Preparing the full tender dossier of documentation for the procurement process and forwarding it to the Electronic System of Public Procurements (ESPP) www.e-licitatie.ro (see Chapter 4);¹⁷
- Participating in the Evaluation Commission that shall evaluate tenders and select Evaluators (see Chapter 4);
- Managing live evaluation projects, liaising with and assisting the evaluator and assessing the quality of their work (Chapter 5); and

¹⁷ Depending on the estimated value of the contract, the ESPP may forward the tender documentation to the Official Journal of the European Union. See Chapter 4.

- Managing the dissemination of completed evaluations and following-up the implementation of agreed evaluation recommendations (Chapter 6).

Project Selection and Appraisal

Evaluation Units should provide advice and assistance to the Managing Authorities and intermediate bodies on the procedures for project selection and the techniques used to evaluate or appraise project applications, where requested. These techniques include cost-benefit analysis (CBA), cost-effectiveness analysis (CEA) and multi-criteria analysis (MCA). The Units should aim to promote good practice in the application of these techniques. Where cost-benefit analyses are carried out, the Units should review them and express a view on their quality.

Annual Implementation Report

The units' input to the Annual Implementation Report (AIR) will take a number of forms. Firstly, the units will assist the OP monitoring units in the presentation and analysis of performance indicator data in the AIR. Secondly, the Evaluation Units will prepare the Chapter of the AIR dealing with the Evaluation Plan and progress with its implementation (discussed in Chapter 3).

Participation in OP Monitoring Committee

The Units will participate in the work of the OP Monitoring Committees in an observer or advisory capacity. This will assist them in identifying topics for inclusion in the OP Evaluation Plans. They will also take responsibility for presentation of the Plans to the Monitoring Committees and for reporting on progress with the implementation of the plans (Chapter 3). They will also deal with issues related to follow-up on agreed evaluation recommendations (Chapter 6).

Maintaining OP Evaluation Documentation

This function will involve the maintenance of a library of all OP evaluation documentation (including evaluation procedures and completed evaluation reports) to be readily made available for interested stakeholders.

Other functions

The other functions specified in the Mandate include participation in the work of the Evaluation Working Group on behalf of the Managing Authority and participation in training and evaluation capacity building activities as organised by the MACSF Evaluation Central Unit. Finally, the Mandate notes that other tasks may be assigned to the MA Evaluation Units from time to time by the Evaluation Central Unit.

Evaluation Central Unit

The agreed mandate of the Evaluation Central Unit (ECU) attached to the MACSF (the NSRF Managing Authority) in the Ministry of Public Finance is attached as Annex 2. The functions of the ECU mirror some of those of the OP units, especially as regards Evaluation Planning and Management. Additional, higher-level ECU functions include implementation of the National Evaluation Strategy and coordination of all evaluation of EU-financed programmes.

The Mandate lists the following ECU functions:

- Evaluation Planning
- Managing of evaluations
- Building evaluation capacity and awareness
- Acting as a source of evaluation expertise and documentation
- Implementation of the National Evaluation Strategy.

In addition, the Unit will participate as an observer in the work of the National Coordination Committee for the Structural Instruments.

Evaluation Planning

Similar to the OP unit, the ECU is charged with the development and updating of the NSRF and OP Evaluation Plans on an annual basis.

Evaluation Management

The main tasks of the ECU under this heading are as follows:

- Coordination and management of ex-ante and interim (or on-going) evaluations of the programmes financed by the EU Structural Instruments (and assistance with the ex-post evaluation, where requested by the European Commission);
- Coordination and management of the Phare pre-accession programme Interim Evaluation Scheme;
- Managing thematic and strategic evaluations that cut across the range of NSRF Operational Programmes. The various management activities specified in the Mandate are identical to those outlined above for the OP Evaluation Units;
- Managing evaluation Technical Assistance contracts and other evaluation contracts that support evaluation capacity building, such as those financed under the Phare 2005 evaluation project fiche.

Building Evaluation Capacity and Awareness

Under this function, a number of important tasks of a coordination and capacity-building nature are listed:

- Coordination of evaluation capacity building and awareness activities;
- Provision of evaluation training courses and seminars (through external consultants);
- Implementing action plans to promote awareness of the benefits of evaluation;
- Acting as a Source of Evaluation Expertise and Documentation.

As with the OP Units, the ECU is charged with maintaining a central repository of evaluation documentation, including manuals, periodicals, guides and completed evaluation reports. Other, important tasks include the development of evaluation guidelines, models and standards and informing the wider Romanian evaluation community about developments in the EU evaluation field.

Development of the National Evaluation Strategy

A National Evaluation Strategy, developed in 2006 by a Technical Assistance project under the direction of the MACSF ECU, was launched on 2 November, 2006. The Strategy shall be implemented over the 2007-2013 period and aims to embed evaluation practice in the management of all public interventions managed by the Romanian public administration, regardless of funding source. The Strategy will focus its activities in a number of discreet areas:

- Training in the conduct of evaluations to external evaluators in the academic, private and civil society sectors;
- Training in the management of evaluation to senior managers of public interventions throughout the public administration;
- Development of the capacity of the MACSF Evaluation Central Unit to act as a resource and networking base;
- Development of the networking capacity of the independent, external evaluation community;

- Promotion of the commissioning of evaluations as a means to improve the management and delivery of public interventions;
- Development and adoption of a sound regulatory framework for the embedding of evaluation practice throughout the public administration.

Evaluation activity of the NSRF Operational Programmes (covered in this Manual) will also come under the umbrella of the National Evaluation Strategy, as will the Phare Interim Evaluation Scheme and evaluation of other programmes funded under the 2007-2013 National Development Plan (the National Plan for Rural Development and the Fisheries OP).

The 2007-2013 National Evaluation Strategy will primarily be financed through a €30m contribution from the Operational Programme for Administrative Capacity Development and €4m from the 2005 Phare programme evaluation fiche.¹⁸

The Evaluation Central Unit will act as the key “driver” of the Strategy. A National Evaluation Strategy Implementation Committee will oversee implementation of the NES, to be chaired by the MACSF and to include members from key stakeholders such as the General Secretariat of the Government and the Managing Authority for the Administrative Capacity Development OP.

Skill Profiles of Evaluation Unit Staff

In Annex 3, the Job Descriptions of Evaluation Unit Staff at Managing Authority level are attached. The job descriptions for the two positions in each Unit (those of Head and Deputy Head of Unit) essentially identify the roles of each position in the implementation of the Units’ functions and associated tasks summarised above in Section 2.3 and set out in more detail in Annex 1.

The staff in both the NSRF and OP Evaluation Units can be thought of as Evaluation Managers. This title captures the core functions and activities that the Evaluation Unit staff will be responsible for. Of their nature, evaluation management skills are generally developed on an “on-the-job” basis. Formal, off-the-job training courses in the evaluation area are rather limited in the EU. In the area of evaluation management, there is probably no substitute for “learning by doing”. That being said, there are a number of desirable core “evaluation management” skills or competencies, including:

- A good understanding of the policy context for the programme in question;
- A knowledge of evaluation theory and methodology and an appreciation of the constraints that affect evaluation practice;
- Familiarity with various technical procedures required in evaluation management, particularly in areas such as public procurement and project management.

For the different Operational Programmes, there may be specific technical skills or areas of expertise that would be of value in the management of the evaluation process. Some indicative areas are listed in Table 3. These should be seen as desirable rather than essential. For new recruits to the units, they could be seen as representing future training or learning priorities.

Table 3. Expertise knowledge by Operational Programmes

Operational Programme	Desirable Areas of Expertise or Knowledge
Transport	Multi-criteria analysis Cost-benefit analysis

¹⁸ Including 3 projects, “Interim Evaluation Scheme,” “Development of a Professional Evaluation Community” and “Evaluation Facility.”

	Strategic Environmental Assessment
Environment	Multi-criteria analysis Cost-benefit analysis Strategic Environmental Assessment
Increasing Economic Competitiveness	Multi-criteria analysis Cost-benefit analysis Research and Development Policy Innovation Policy SME Policy Lisbon Agenda
Regional	Multi-criteria analysis Regional Development Theory (e.g., New Economic Geography)
Human Resources Development	Multi-criteria analysis Gender Impact Assessment Employment Policy
Administrative Capacity Development	Multi-criteria analysis Public Management Policy Human Resource Management
Cross-Border Cooperation	Multi-criteria analysis Cohesion Policy European Territorial Cooperation Policy

Chapter 3: Evaluation Planning

This chapter covers all of the steps involved in evaluation planning. Section 3.2 looks at role of Evaluation Plans or strategies in guiding the evaluation work carried out at the NSRF and OP levels respectively. The subsequent sections then look at the various stages in the planning of specific evaluation projects included in these Plans once agreed. These stages include: the definition of the scope of the evaluation (Section 3.3); decisions on the budget and timeframe for the evaluation (Section 3.4); the establishment, composition and roles of an evaluation Steering Committee (Section 3.5); and the drawing up of terms of reference for the evaluation (Section 3.6).

3.1 Evaluation Plans

3.1.1 Introduction

The Regulations governing the Structural and Cohesion Funds for the 2007 to 2013 period introduce, for the first time, the concept of an Evaluation Plan. Specifically, Article 48(1) of the Council Regulation (8216/06) provides that the Member States: *...may also draw up, where appropriate, under the Convergence objective, in accordance with the principle of proportionality set out in Article 11bis, an Evaluation Plan which shall present the indicative evaluation activities the Member State intends to carry out in the different phases of the implementation.*

While the drawing of such a plan is not mandatory, the formulation of an Evaluation Plan or strategy represents good practice in evaluation management. The task of organising the evaluation of a complex Operational Programme over a seven year period demands some form of planning instrument in order to identify evaluation priorities and to ensure that evaluation is integrated into the programme implementation system in an effective manner.

The Commission's Guidance Paper on ongoing evaluation suggests that Evaluation Plans be developed at both the national (NSRF) and Operational Programme (OP) levels.¹⁹ It further recommends that the plans should cover the whole programming period and include annual sections, to be updated on an ongoing basis. The Commission suggests the establishment of Steering Committees or groups to oversee the development and ongoing review of these plans. The Commission Working Paper also includes a suggested outline of an Evaluation Plan, which is attached as Annex 4. This structure should be used in the development of the Evaluation Plans at NSRF and OP level in Romania. An important point to note is the Commission's recommendation that the OP Plans be included as annexes to the national (NSRF) Plan.

3.1.2 NSRF Multi-Annual Evaluation Plan

Given the importance of a coordinated, systematic approach to evaluation of Structural interventions in Romania over the programming period, it is recommended that the NSRF Multi-Annual Evaluation Plan for the 2007 to 2013 period be prepared first. The Evaluation Working Group (EWG) would appear to be the obvious structure to oversee this process. As the EWG is comprised of representatives of the various OP Managing Authorities, this arrangement would ensure a coordinated approach across the NSRF as a whole. Once finalised by the EWG, the Multi-Annual Evaluation Plan should be approved by the National Coordination Committee for the Structural Instruments.

This Plan shall set out the overall "evaluation strategy" and identify the major evaluation themes over the programme period. It should also list, in an indicative way, evaluations to

¹⁹ *Evaluation during the programming period: on-going evaluation An integrated management tool*, DG Regional Policy, op. cit

be commissioned at NSRF level, following the structure recommended in the Commission's guidance paper. In the main, NSRF-level evaluations should take the form of synthesis reports or meta-evaluations with a focus on cross-cutting issues or themes. The evaluations could have either a policy or operational focus. Policy-related evaluations should focus on horizontal themes or issues, such as the contribution to, and consistency of, the programmes with national and EU policy goals. These might include evaluations relating to the horizontal principles (environment, equal opportunities) or on the contribution of the NSRF to the goals of the Lisbon process, given the requirement for strategic reporting under Article 29 of the General Regulation. Evaluations with an operational focus should aim to distil and disseminate good practice lessons drawn from experience across the various Operational Programmes, drawing on OP-level evaluation outputs. Examples of the types of operational themes or issues that might be the focus of NSRF evaluation work include:

- Links or synergies between national Sectoral Operational Programmes and the Regional OP;
- Coordination issues across the NSRF;
- Review of project selection systems and the application of project appraisal techniques across the Operational Programmes.

OP Multi-Annual Evaluation Plans

As emphasised above, the OP Multi-Annual Evaluation Plans should be closely linked to the overall NSRF Multi-Annual Evaluation Plan. This can be achieved through full participation by the OP Evaluation Units in the work of the EWG and active cooperation with the ECU. As in the case of the NSRF, the OP Multi-Annual Evaluation Plan should set out an evaluation strategy for the programming period. An important consideration to bear in mind is that of proportionality; the number and scope of evaluations listed in the Plans should be commensurate with the financial weight and complexity of the programmes.

The Plans should be presented in line with the format recommended in the Commission's guidance paper. The Plan should incorporate the agreed EWG intention to conduct two interim evaluations in 2009 and 2012. In the early years of the programme, other ad hoc evaluations with a focus on implementation issues could be considered. Thematic evaluation work could also be considered, as long as it is consistent with the content of the NSRF Plan.

Cross-Border Cooperation Evaluation Plans

Although the EU Council Regulation requires Evaluation Plans only under the Convergence objective, Evaluation Plans should be prepared for both the intra- and extra-EU cross-border programme "packages," reflecting the fact that the Evaluation Units are organised on this basis. In each case, the Plans should contain separate sections dealing with each of the different programmes.²⁰

Annual Evaluation Plans

As noted above, the Commission recommends that the Evaluation Plans should cover the whole programme period to be updated and revised on an annual basis. The Multi-Annual Evaluation Plans will be indicative in nature, especially for the later years of the programming period (given the obvious difficulty of specifying evaluation priorities so far in advance). In practice, the effective management of the evaluation process is best organised around a more specific and detailed Annual Evaluation Plan. This would be an operational document that could also serve as an annual work programme for the Evaluation Units. It should also be constructed in such a way as to meet the application requirements for

²⁰ Obviously, the content of these programme-specific sections will have to be agreed with the relevant counterpart in the partner country.

technical assistance funding (The Evaluation Units are considered beneficiaries for this purpose, see Section 4.3.1 of Chapter 4).

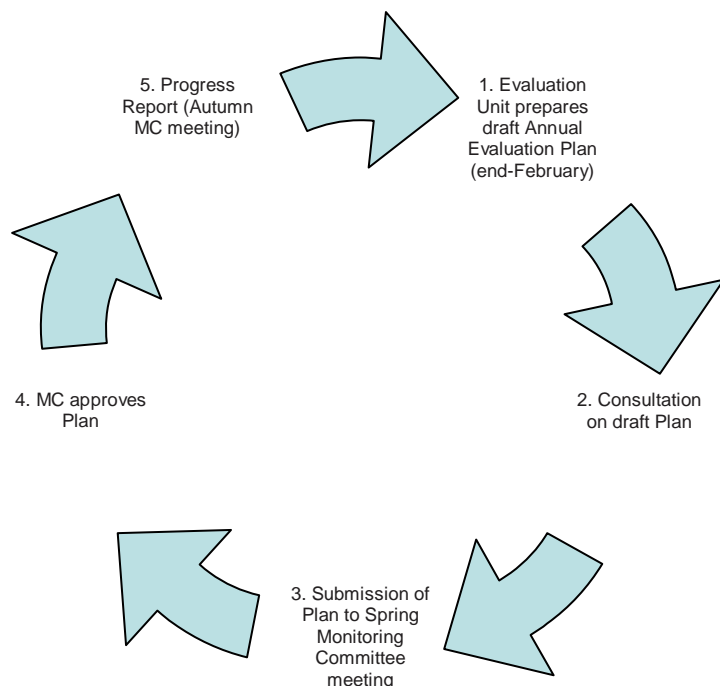
In line with the Commission's recommended format at Annex 4, these Annual Evaluation Plans would contain the following:

- A list of proposed evaluations to be undertaken over the following year;
- An outline of the main focus or scope of the evaluation (see Section 3.3 below)
- An indicative timetable and budget for each evaluation (see Section 3.4 below)
- Details of the composition of the Steering Committee for the evaluations (Section 3.5 below).

These Annual Evaluation Plans should be prepared in the following sequence:

- Based on the agreed Multi-Annual Evaluation Plan and taking account of the latest information on financial and physical progress from the OP monitoring system, each Evaluation Unit should prepare a draft Annual Evaluation Plan by end-February of each year;
- This draft Plan should form the basis of consultations with interested parties including monitoring units, intermediate bodies and other relevant stakeholders;
- Following these consultations, the draft OP/NSRF Annual Evaluation Plans should be revised as appropriate and signed-off by the head of the relevant Managing Authority for submission to the Spring meetings of the OP Monitoring Committees and the National Coordination Committee for the Structural Instruments respectively;
- The draft Plans should be discussed and approved (following any necessary revisions) by these Committees (in the specific case of the cross-border programmes, the Plan should be approved by the Joint Technical Secretariat);
- A progress report on the agreed Annual Evaluation Plan should be prepared by the Evaluation Units and placed on the agenda of the Autumn meetings of the OP Monitoring Committees and the NCC for the Structural Instruments.

Procedure A – Preparation of Annual Evaluation Plans



Defining the Evaluation Scope

The scope or coverage of an evaluation is an important issue that needs to be considered before the preparation of the detailed terms of reference. The overall scope of the evaluations proposed should be elaborated in the Annual Evaluation Plans, discussed above.

The definition of the scope of the evaluation amounts to asking the question: What is going to be evaluated?²¹ There are a number of dimensions to evaluation scope, including the coverage of the evaluation (the entire programme or just some parts), the time-period to which the evaluation should refer and, of course, the breadth of the evaluation questions themselves. The range of policy issues to be considered in the evaluation is often one where it can be difficult to delimit the evaluation scope. This is because many EU-financed programmes, of their very nature, are influenced by, and impact on, a very wide range of policy domains (both domestic and EU). In addition, programme stakeholders may make suggestions to cover issues or topics in the evaluation that are of particular interest or relevance to them. Of course, timing and budget constraints may be such as to limit the scope of the evaluation. In any event, good practice suggests that it is important to try to limit the scope of the evaluation exercise to the most pressing areas where decisions on financial or other aspects of the programme need to be made or where policy changes may be in prospect. The *Evalsed Guide* suggests that “the evaluation should be confined to an examination of the programme and its most essential interdependencies with other public policies and interventions”.²²

Evaluation Budget and Timeframe

At the planning stage, some thought has to be given to the questions of: (i) how much the evaluation is likely to cost; and (ii) how long it will take to be completed? These questions are, of course, inextricably linked with that of the scope of the evaluation - the broader and more complicated the range of issues to be addressed in the evaluation, the longer it will take and the higher the cost.

In the early years of the programme period, it may prove difficult to accurately estimate ex-ante the cost of evaluations. However, as experience is acquired in commissioning and managing evaluations, it becomes easier to estimate a priori how much an “average” evaluation is likely to cost.

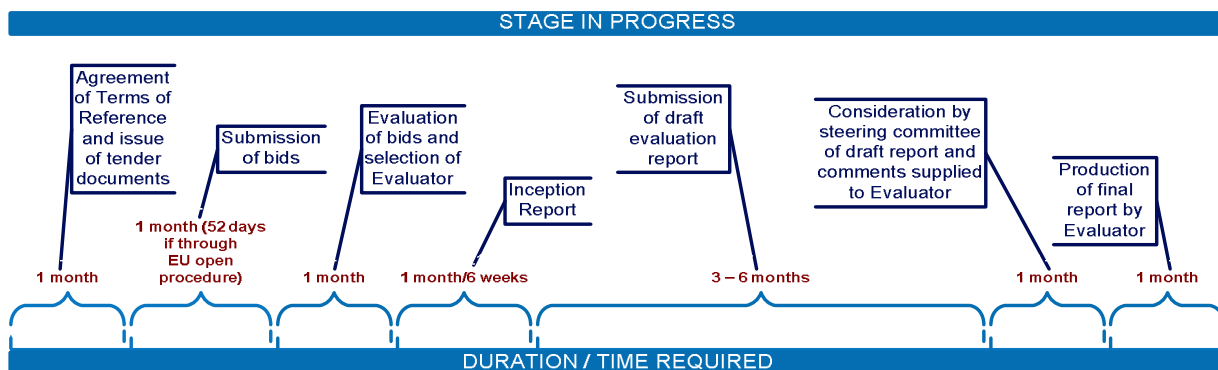
As regards the cost of evaluations of programmes funded by the EU Structural Funds, data for Ireland shows that the average cost of an Operational Programme Mid Term Evaluation in 2003 amounted to €230,000 (including VAT) in respect of total input of some 197 consultancy days (The number of consultancy days may be the more useful indicator as daily fee rates are probably a good deal higher in the older Member States). A typical Priority level ongoing evaluation project cost €163,000 in respect of a 121 days consultancy input.

The time needed to successfully take an evaluation project through to completion is generally underestimated. Experience from other EU Member States suggests that, for large scale programme or Priority Axis level ongoing evaluations, the initial planning needs to start at least one year in advance of the required completion date. The diagram below illustrates the various steps in the process and the estimated time needed at each. In particular, delays can arise at the procurement stage (minimum notice periods are in place for the submission of tenders under national and EU procurement guidelines, see Chapter 4). The time at which the necessary programme monitoring data will be available to the evaluation team also needs to be taken into account in setting the evaluation timetable. As

²¹ See *Evalsed Guide*, op.cit., page 40

²² See *Evalsed Guide*, op. cit, page 41

with any other project, potential risks to the execution of the evaluation need to be borne in mind with some safety margin built in to the timetable. All of these considerations highlight the value of developing an Evaluation Plan and commencing the planning of individual evaluation projects well in advance of the required completion date.



3.2 Evaluation Steering Committee

3.2.1 Introduction

As already discussed above and as agreed in the mandate for the OP Evaluation Units, an evaluation Steering Committee will be established in each case. The core functions of the Steering Committees relate to the management of the evaluation projects included in the agreed Evaluation Plans. In this section, composition and role of the Evaluation Steering Committee (ESC) is discussed.

3.2.2 Composition

The Head of the Managing Authority (NSRF or OP as appropriate) (or his or her designate) will act as Chair of the Evaluation Steering Committee. The other members will typically comprise a number of key programme “stakeholders,” such as representatives of the main intermediate bodies involved in programme implementation, as well as a representative of the ECU. The European Commission should also be offered committee membership. Another option that might be considered is the inclusion of an independent evaluation expert - such as an academic - on the committee. While other programme stakeholders might seek to participate in the ESC, it is important that the committee does not become unwieldy. Experience suggests that it is better to limit the membership of the ESC to the small number necessary for it to fulfil its core evaluation management functions. Other stakeholders can be consulted for their views on the Evaluation Plan directly by the Evaluation Unit or by the appointed evaluators for their input to particular evaluation projects which touch on areas or issues of particular interest to them.

3.2.3 Functions of Evaluation Steering Committee

The core functions of the ESC include:

- Deciding on the terms of reference for evaluation projects;
- Approving the composition of, and possible participation in, the Evaluation Commission for selecting evaluators to carry out projects; and
- Overseeing the evaluator’s work and ensuring the quality of the evaluation report.

These functions are further discussed as follows. Section 3.6 deals with the terms of reference. Issues related to evaluator selection are covered in Chapter 4 and the role of the ESC in overseeing the evaluator’s work is addressed in Chapter 5.

3.3 Developing the Evaluation Terms of Reference

3.3.1 Introduction

The various stages involved in planning the evaluation discussed above culminate in the development of the terms of reference (TOR) for evaluations. The drafting of the TOR for consideration by the Evaluation Steering Committee will be one of the key tasks of the Evaluation Unit staff.

The TOR document is important for two main reasons:

- Firstly, it serves as a guide to the evaluation, describing its purpose, scope, key questions and organisational features;
- Secondly, it plays a central part of the tender dossier for the procurement of the evaluation services and the contract with the evaluators.

Where the evaluation project has been signalled in advance in the OP or NSRF Annual or Multi-Annual Evaluation Plan and where sufficient time has been spent in consultation with stakeholders and in refining the scope, budget and timeframe for the project, the task of preparing the TOR should be relatively straightforward. Ideally, the terms of reference will be about formalising a consensus between programme managers and other key interested parties as to the purpose and focus of the evaluation. However, where the necessary preparatory work in planning the exercise and securing this level of agreement has not been carried out, the task of agreeing the TOR can be difficult and time-consuming.

TOR Structure

The main elements which the TOR for a programme evaluation will normally include are as follows:

- An outline of the scope of the evaluation and a description of the programme or parts of the programme to be evaluated;
- The evaluation questions or Terms of Reference proper;
- A summary of available knowledge or information sources on the programme to be evaluated;
- A summary of how the evaluation process will be organised and the key outputs required from the evaluator (and associated deadlines);
- Information on the desired content and format of proposals or tenders.

The content to be included under each of the sections listed above is elaborated on below.²³

Evaluation Scope and Programme Description

This section of the TOR should indicate the scope or coverage of the evaluation (i.e., state the components of the programme that are to be covered in the evaluation). This should be supplemented by a succinct summary of programme objectives and structure and an indication of the programme budget and its composition. (Note: the term “programme” is used here in the generic sense to refer to those elements of the programme that are the subject of the evaluation).

Evaluation Questions/Terms of Reference

²³ An example of a Request for Tender document based on this structure is attached as Annex 5. These TOR relate to an ongoing evaluation of investments in water services commissioned under the CSF for Ireland 2000-2006.

This section of the tender document is where the terms of reference or specific evaluation questions are presented. Based on the example in Annex 5, a suggested structure is as follows:

- A first section (headed Evaluation Context and Focus in the example) which explains the context for the evaluation and its main focus. In this section, the broad evaluation questions are introduced (relating to external developments, financial and physical progress, programme management and efficiency and environmental and socio-economic impacts in the example at Annex 5).
- A second section where the specific detailed evaluation questions or tasks to be carried out under the broad headings in the previous section are listed. For example, under the heading Programme Management and Efficiency in the Annex, six specific tasks are listed.
- A third section relating to evaluation conclusions and recommendations. In some instances, conclusions may be sought on particular issues (for example, where re-programming decisions need to be taken).

Information Sources

The purpose of this section (see Section 3 in Annex 5) is to provide prospective evaluators with an overview of the information that will be available to them for the purposes of conducting the evaluation. This part of the TOR should refer to programme monitoring data, progress reports as well as other potentially useful information such as policy documents and evaluation reports.

Organisation of the Evaluation

This part of the TOR (see section 4 in Annex 5 headed Timing and Organisational Aspects) should cover the following aspects:

- The reporting arrangements for the evaluator, including the composition of the Evaluation Steering Committee;
- The outputs required of the evaluator and the associated deadlines. Typically, an evaluator will be required to produce an inception report shortly after appointment. At a later stage, a full draft evaluation report is submitted. Following consideration by the Steering Committee, the evaluator is given some time to make any necessary changes and submit a revised, final report.
- The criteria that the Steering Committee proposes to use to assess the quality of the evaluation report.

Tender Requirements and Structure

This part of the TOR document should set out the information that consultants must provide in their bids or tender documents. Typically, consultants are asked to indicate their understanding or appreciation of the TOR, the general approach and methodologies they would propose to employ, the composition and experience of the evaluation team and the cost of their proposal (see Section 5 in Annex 5 headed Submission of Tenders). These headings will generally correspond to the selection criteria used to assess the bids (see Chapter 4, Section 4.4.3). In some instances, stipulations as to the length (e.g., maximum number of pages) and format of bids may be included. The deadline for submission of tenders should also be highlighted.

Selection Criteria

The criteria that will be used by the Evaluation Steering Committee to evaluate proposals are indicated in this part of the TOR document. The evaluation of tenders is addressed in Chapter 4 of this Manual.

Summary of Contractual Provisions

This section summarises the legal provisions applying to the tender and to any contract that might be entered into. These issues are dealt with in Chapter 4 of the Manual.

Chapter 4: Evaluation Tendering, Procurement and Contract Issues

4.1 Introduction and Chapter Structure

This Chapter of the Manual focuses on the process of commissioning an evaluation, from the point at which the terms of reference document has been finalised (discussed above in Chapter 3) to the point where an evaluator is appointed and the evaluation commences (see Chapter 5). Several steps need to be taken in order to successfully contract evaluation services under the relevant EU and national public procurement guidelines. The remainder of the Chapter outlines the tasks and groups them roughly as follows: planning the evaluation and determining the award procedure that will be used (Section 4.2); completing the tender documentation and advertising the tender competition (Section 4.3); evaluating the bids and selecting an evaluator (Section 4.4); entering into a contract with the selected consultants and publishing the award notice (Section 4.5).

4.2 Planning the Evaluation and Determining the Award Procedure

4.2.1 Introduction

The EU Treaties provide for free movement and non-discrimination on the grounds of nationality in the provision of goods and services. The Treaties express these provisions as broad principles. Procurement Directives adopted by the EU set out in law what Member States must do when exercising the public procurement function to give effect to the principles of the Treaty and to realise the benefits of the Internal Market.

The Directives impose obligations on contracting authorities to:

- advertise their requirements in the Official Journal of the European Union (OJEU) (for contracts with estimated values above the thresholds set out in the Directives),²⁴
- use procurement procedures that provide for open and transparent competition;
- apply clear and objective criteria, notified to all interested parties, in selecting tenderers and awarding contracts;
- use broadly based non-discriminatory technical specifications; and
- allow sufficient time for submission of expressions of interest and tenders.

Contracts with estimated values above the thresholds set out in the Directives must be advertised in the OJEU and these contracts must be awarded in accordance with the provisions of the Directives. The relevant Directive is 2004/18/EC, covering procurement procedures of public sector bodies. This covers contracts for all of the most commonly procured services, including evaluation and related services.²⁵ The relevant national legislation is Emergency Ordinance no. 34/2006 concerning the award of public procurement contracts and Government Decision no. 925/2006 which represents norms for application of the Emergency Ordinance 34/2006. The Public Procurement Guide represents another useful working instrument, approved though Order no. 155/2006 issued by the President of the National Authority for Regulating and Monitoring Public Procurements.

The Annual Programme of Public Procurements and Public Intent Notices (PINs)

²⁴ Apart from some defined exceptions.

²⁵ The thresholds in the Directives are revised by the Commission at two-yearly intervals and are published on the EU procurement website <http://simap.europa.eu/>. Full information on EU public procurement requirements, including the relevant directives, latest applicable thresholds and guidance documents, is available from this website.

Romanian legislation dictates that public bodies that wish to contract external services as a “contracting authority,” such as Managing Authority Evaluation Units, are obliged to notify the Ministry of Public Finance Central Unit for Verification of Public Procurement Contracts with regard to the intent to award services contracts.²⁶ The legislation requires that a final form of this programme be finalised after the approval of their own budget.²⁷ The legislation nevertheless allows sufficient flexibility in modifying/completing the annual programme of public procurements during the year.

The elaboration of the calendar of the annual programme of public procurements will take into account the deadlines foreseen by the legislation for submitting candidatures/tenders, the duration foreseen for examining and evaluating candidatures/tenders, the waiting period from the moment of announcing the result of the application of the procedure until the conclusion of the contract, any other deadlines that may influence the procedure. A template for the Annual Programme of Public Procurements is presented in Annex 6A, and a template for an award calendar is presented at Annex 6B.

Contracting authorities with an aggregated procurement requirement in excess of €750,000 without VAT for any product area of supplies or category of services are encouraged to publish an annual notice called a Prior Information Notice (PIN) in the OJEU (using the standard form adopted by the European Commission – CE Regulation no. 1564/2005). The PIN is normally submitted by the contracting authority at the start of the budgetary year and sets out the categories of products and services likely to be procured during the year.

Publishing a PIN allows the contracting authority to benefit from the reduction of the period between the date of sending the participation notice for publication and the deadline for submitting offers to 36 days.

Publishing a PIN doesn't force the contracting authority to make the respective public procurement. It is intended as an aid to transparency and is for the benefit of suppliers.

In order to publish the PIN, the contracting authority will use the standard form for filling in the intent notice from the Electronic System of Public Procurements (ESPP) www.e-licitatie.ro website, who will in turn both submit it to the National Authority for Regulating and Monitoring Public Procurements (NARMPP) for verification and, once verified by the NARMPP, forward it for publication in the OJEU within at most one working day from the receipt of the publication acceptance from NARMPP.²⁸

An agreed evaluation plan, which lists proposed evaluation projects, could form the basis for both an annual programme of public procurements and a PIN.

4.2.2 Determining the Award Procedure That Will Be Used

The types of award procedures that can be used by Managing Authority Evaluation Units in contracting evaluation services are:²⁹

²⁶ Only those contracts with an estimated value of 40.000 euros (without VAT) or above are submitted for procedural verifications.

²⁷ A template of the structure of the annual programme of public procurements is presented in annex 6A

²⁸ NARMPP has direct online access to forms filled in by the contracting authorities, and so the contracting authorities don't have any specific obligation to forward this notice to NARMPP.

²⁹ There are three other types of award procedure that are exceptions from the rule, and are not covered in this Manual. They can only be applied in the special cases foreseen by GEO 34/2006 (art. 94-95 for competitive dialogue, art. 110 for negotiation with a preliminary publication of a participation notice, and art. 122, respectively, for negotiation without the preliminary publication of a participation notice).

- Open tender – any interested economic agent can submit its offer;
- Restricted tender – any interested economic agents can submit their candidature. A “candidature” includes all documents used by an economic agent to demonstrate its capacity to run professional activities, its economic and financial situation, and its technical and/or professional capacity. Only candidates selected by the contracting authority have the right to submit offers, however. There are no impediments in applying this procedure, and it is recommended to use this procedure when there are reasons to believe that a large number of economic agents might be interested in submitting offers. In such circumstances the restricted tender allows the initial selection of a reduced number of tenderers so that the process of evaluating offers runs more efficiently and rapidly.
- Call for tender – a simplified procedure for services where the estimated value of the services contract is below 40.000 euros (without VAT).
- Framework Agreement represents a new method for awarding public procurement contracts, stipulated in Directive 18/2004/CE and EGO 34/2006, where one or more economic agents sign an agreement with a contracting authority that sets the essential elements/conditions (e.g. price and quantities of output envisaged) that will govern contracts (in this case evaluation contracts) that will be awarded in a specific period.

A framework agreement can only be concluded following the implementation of an award procedure as in the case of awarding a public procurement contract. The contracting authority is obliged to decide on the economic operator(s) that will be part of the framework agreement only following the application of selection and award criteria, the rules being the same as in the case of awarding a public procurement contract.

Contracting authorities are not allowed to abuse or inappropriately use framework agreements so that they impede and distort competition. Some general rules of framework agreements are:

- the duration of a framework agreement can only be greater than 4 years in exceptional cases,³⁰
- the contracts subsequently awarded can only relate to activity set in the framework agreement;
- the contracts subsequently awarded on the basis of a framework agreement can only be concluded between the contracting authority(ies) and the economic operator(s) that are parties to the framework agreement;
- when awarding a contract on the basis of the stipulations in a framework agreement, the contracting authority does not have the right to impose or accept substantial modifications of the elements/conditions agreed in the framework agreement.

The framework agreement can be concluded with one or several economic operators. If the contracting authority concludes a framework agreement with more than one economic operator, their number cannot be less than 3 (as long as there exists a sufficient number of economic operators that fulfilled the qualification and selection criteria and that presented appropriate offers).

The main obligations assumed by signatories of the framework-agreement towards the contracting authority is to implement evaluation services as foreseen in the respective framework agreement any time the contracting authority requests it. If the contracting authority signs a framework agreement with only one economic operator, then the agreement must foresee:

- the obligations that the economic operator assumes through the technical proposal;

³⁰ See the public procurement guidelines.

- the unit price that the economic operator foresees in the financial proposal and based on which the price of each contract will be subsequently awarded.

Each time the contracting authority intends to award a contract on the basis of a framework agreement it has the obligation to consult in writing the economic operator asking it to complete the offer according to necessities.

If a framework agreement is concluded with several economic operators and the subsequent contracts are to be awarded with an “internal” competition, the framework agreement must foresee:

- the elements/conditions that remain unchanged throughout the duration of the framework agreement;
- the elements/conditions that will be the object of the competition for the subsequent contracts.

4.3 Applying for Funding, Completing the Tender Documentation and Advertising the Tender Competition

4.2.3 Applying for Funding

Although evaluation is a function that is required within the terms of the General Regulations for Structural Funds, and it is also a function that is provided for within the terms of each OP, each Evaluation Unit must make an application to the Managing Authority for the necessary Structural Funds to cover the costs of evaluations. The application must provide the rationale and justification for the anticipated evaluation activities (Evaluations are funded from the Technical Assistance Priority Axis).

There is an obvious connection between the content of the application and the activities that are scheduled for in the Evaluation Plan. Although it impossible to provide exact guidance about the timing for future applications, the application process should be completed sufficiently far in advance to make sure that sufficient funding is available to meet the cost of the planned evaluation activities. It is not envisaged that applications, for any programmes, will be made for the full duration of the programme but rather that they are submitted on an annual basis. However in the case of evaluation it is possible to foreseen that a multi annual application, which reflects the intent of both the OP Annual Evaluation Plans and Multi-Annual Evaluation Plans, may be the most appropriate course of action. The final decision about the timing of the application should be left to the Head of each OP Evaluation Unit.

In terms of making the application for structural funds, it is envisaged that every applicant will use the same application form regardless of the aims of the project. In relation to evaluation it is likely that some parts of the form will not be specifically relevant to the proposed evaluation activities. It will not be necessary to prepare or adapt an evaluation specific application form but rather that the sections of the form relevant to the activities should be completed and the non-relevant sections left blank. In the longer term it is envisaged that there will be a full e-government solution which will provide a fully electronic internet based application process. However in the interim a version of the application form will be downloadable from the website of the CSFMA which will contain the instruction for the electronic completion and submission of the form. A copy of the prototype of the application form is attached at Annex 9.

4.2.4 Completing the Tender Documentation

The tender documentation for open and restricted tender contracts should contain at least:

- General information concerning the contracting authority (address, contact persons and contact points, communication means, etc) – a template is presented in Annex 6C;
- Terms of Reference – (the method for elaborating the terms of reference was presented in Section 3.6);

- Instructions concerning the deadlines that need to be observed and the formalities that need to be fulfilled for participation in the award procedure;
- The minimum requirements for qualification as well as the documents to be presented by the tenderers to prove that they meet the qualification and selection criteria (see Section 4.4.2 below);
- Instructions concerning the way to elaborate the offer;
- Detailed information concerning the award criteria that will be applied in order to choose the winning offer (The relative weighting for each criterion should be given. If it is not technically possible to indicate these weightings in advance, they must be listed in descending order of importance);
- information concerning the method of contesting the award;
- Contractual clauses – (a template is presented in Annex 6D);
- Forms that the tenderers are requested to complete;
- The Common Procurement Vocabulary – the CPV is a classification code developed by the EU Commission to describe thousands of types of works, supplies and services.³¹

For “Call for tender” contracts, the tender documentation should include:

- The deadline set for receiving offers;
- The address for sending the offers;
- the language or the languages for elaborating the offer;
- the minimum qualification criteria (where relevant);
- a brief description of the public procurement contract to be awarded;
- the award criteria.

When a competition between economic operators that have signed the framework agreement is started, for each contract to be awarded, the contracting authority sends an invitation and the terms of reference, to the economic operators that have signed the framework agreement, to submit offers.

4.2.5 Advertising the Tender Competition

The tendering procedure for both open and restricted tenders begins with forwarding a participation notice for publication on the web page of the Electronic System of Public Procurements (ESPP) www.e-licitatie.ro. When the participation notice is sent for publication the deadline for submitting offers must also be set. The National Authority for Regulating and Monitoring the Public Procurements (NARMPP) verifies the participation notice before publication.³²

Participation notices for contracts with an estimated value of greater than 125,000 euros without VAT are forwarded by the ESPP operator for publication in the Official Journal of the European Union within one working day from the receipt of the publication acceptance from the NARMPP.³³ Participation notices for contracts with an estimated value equal to or less than 125,000 euros without VAT are published only in the ESPP. If it so wishes, however, the contracting authority (in this case the Evaluation Unit) also has the right to publish the participation notice in OJEU even if the estimated value does not exceed 125,000 euros.

³¹ The CPV can be accessed on the <http://simap.europa.eu/> website and the appropriate code should be used for describing the subject of the contract on the standard forms when advertising the tender.

³² NARMPP has direct online access to forms filled in by the contracting authorities so the contracting authorities don't have any specific obligation to forward this notice to NARMPP.

³³ After being forwarded to OJEU, the notice is automatically published in ESPP too.

Within one working day after publication of the notice in ESSP, the Evaluation Unit is obliged to forward the respective notice to be published by the Autonomous Administration “Official Journal.”

4.2.6 Notice periods

Open tender contracts advertised in the OJEU – OJEU Notices must be drawn up in accordance with the standard forms set out in EU Directive 2001/78/EC of 13 September 2001 (or any revised version published on the EU public procurement website). National advertisements must not appear before the date of dispatch to the OJEU and must not contain any information additional to that in the OJEU advertisement.

The period between the date when the participation notice is forwarded to the OJEU and the deadline for submitting offers must be at least 52 days.³⁴ This period can be reduced in cases where an intent notice (PIN) was published referring to the services contract to be awarded.³⁵ In this case, the period may be reduced to up to 36 days. If the participation notice is sent in electronic format to OJEU, the periods of 52 days (or 36 days as above) can be reduced by a further 7 days.³⁶

Open tender contracts not advertised in the OJEU – the period between the date when the participation notice is forwarded to the ESPP and the deadlines for submitting offers must be at least 28 days. If after filling in the standard notice forms, the contracting authorities also attach an electronic file containing the entire award documentation, there is the possibility of an additional reduction of 5 more days.

Restricted tenders contracts advertised in the OJEU – the period between the date when the participation notice is sent to OJEU and the deadline for submitting the candidatures must be at least 37 days.³⁷

Restricted tender contracts not advertised in the OJEU – the period between the date when the participation notice is sent to ESPP and the deadline for submitting candidatures must be at least 16 days.

Call for tender contracts are published in the ESPP only, and the contracting authority has the obligation to forward for publication in the ESPP the invitation to participate at least 10 days prior to the deadline for submitting offers.

4.2.7 Receiving Clarification Requests and Requesting Clarifications of Tenders

Any interested economic operator has the right to request and obtain the award documentation (if the award is being made under an open tender).³⁸ There may be

³⁴ When setting the deadlines for submitting offers, the contracting authorities will also take into account the error margin of 3 working days necessary for NARMPP to verify the notices and for the operator ESPP to forward them to OJEU.

³⁵ See section on PINs below.

³⁶ Moreover, if after filling in the standard notice forms, the contracting authorities also attach an electronic file containing the entire award documentation, there is the possibility of an additional reduction of 5 more days. Conditions for availing of these potential time reductions are set out in Article 38 (5) and (6) of the Directive 2001/78/EC of 13 September 2001.

³⁷ The period of 37 days may be reduced in specific situations. Please see the public procurement guidelines.

³⁸ If the award documentation is not available from the ESPP, the contracting authority must make this documentation available to any economic operator as soon as possible after receiving a request, but in no case later than 4 days from the respective request.

situations when, for different reasons, potential tenderers ask for clarifications with regard to the award documentation. In such a situation, the contracting authority must answer clearly, completely and without ambiguities within a period of time that should not exceed 3 working days from the receipt of such a demand. In order to avoid the situation where one tenderer would obtain an incorrect advantage over the others, the contracting authority will send the answers – with the questions – to all the potential tenderers it knows to have obtained the award documentation, taking measures to reveal the identity of the one having requested the respective clarifications.

Contracting authorities may also seek additional information from tenderers to clarify their bids. In open or restricted procedures, the most competitive or advantageous tenderers are frequently asked to make a presentation on their proposals. These presentations are used as an aid to understanding and for purposes of elaboration and clarification. Any dialogue with tenderers that could be construed as "post tender negotiation" on price, however, or which result in significant changes to criteria or tender specifications, is to be avoided. Such negotiations, outside the exceptional and clearly defined circumstances where EU rules permit, could contravene the EU procurement Directives.

4.3 Evaluating the Bids and Selecting an Evaluator

Evaluation Units should ensure that proper procedures are in place for opening tenders to prevent abuse or impropriety at this stage. The Evaluation Unit should designate an Evaluation Commission for the award of each contract (this is a task that could be completed by some members of the Evaluation Steering Committee, see Chapter 3). The first task of the Commission is to open the offers. During the opening session no offer may be rejected except those that have been submitted:

- after the date and deadline for submission;
- at another address than the one stated in the participation notice.

The opening session is finalised with the minutes, which are signed by all the members of the Evaluation Commission. This is to ensure that, in the case of any dispute, there is a clear and formal independently vouched report of the tenders received.

4.3.1 Determining the Eligibility of Tenderers

The entire evaluation and award process must be demonstrably objective and transparent and based solely on the published criteria. The first stage in evaluating offers received is to determine whether the offers meet the eligibility criteria. Tenders which do not comply with the eligibility requirements specified in the tender document should be rejected.

The Evaluation Commission will analyse and evaluate the offers after the session for opening offers to determine eligibility. Criteria used to determine the eligibility of the tenderer can be grouped into categories just as:

- The relations between the tenderer and the legal and financial authorities – The Evaluation Commission is obliged to exclude from the procedure any tenderer that has been sentenced in the past 5 years for participation in criminal activities, corruption, fraud and/or money laundering. The evaluation commission also has the right to exclude from the procedure any tenderer that:
 - is bankrupt, in liquidation or the object of a legal procedure for declaring it bankrupt or in liquidation;
 - has not fulfilled its obligations of payment of taxes and social security contributions in Romania or in the country where it is registered;
 - was convicted in the previous three years for unprofessional conduct;
 - presents false information or doesn't present the information requested by the contracting authority as regards its own situation relating to the cases foreseen above.

- The economic and financial situation of the tenderer – Relevant documents can be used for demonstrating the financial and economic situation of the tenderer, such as appropriate bank declarations or accounts.
- The tenderer's technical and/or professional capacity – Technical and/or professional capacity can be proved by means of relevant documents such as:
 - a list of main services delivered during the previous 3 years (mentioning values, periods of delivery and beneficiaries);
 - information concerning the qualifications of the management staff as well as those of the persons responsible for implementing the services contract;
 - a declaration referring to the average annual number of staff employed in the previous 3 years;
 - information regarding the proportion of the contract that will be assigned to subcontractors and their specialization.

The minimum criteria that the tenderers need to meet in order to be qualified under the financial and economic situation and the technical and/or professional capacity need to be mentioned in the participation notice. For an open tender the qualification criteria are not used for reducing the number of candidates (as with a restricted tender, for instance) but for setting a minimal “threshold” over which it is considered that there exists a sufficient level of resources, capacity and abilities that should allow for the competent implementation of the contract.

4.3.2 Evaluating the offers

The offers are evaluated by members of the Evaluation Commission (which should include persons with the necessary skills for this analysis.) For evaluations of a more technical nature (e.g. evaluations of environmental infrastructure programmes), it may be wise to include independent sectoral experts on both the Evaluation Steering Committee and the Evaluation Commission.

The winning offer is chosen after applying the award criteria stipulated in the participation notice and in the award documentation. The award criteria for the public procurement contract may be either a) the lowest price (provided that it meets the terms of reference), or b) the “most economically advantageous offer” (MEAT – meaning the highest score following consideration of a set of criteria for which relative weights are set).

Evaluation tenders are generally awarded on the basis of MEAT criterion, which combines the tender price with various criteria that capture the technical quality or merit of the proposal. These criteria, as well as their relative weight, must be clearly defined in the award documentation.

Four suggested criteria are:

- Understanding, analysis and coverage of terms of reference;
- Comprehensiveness and quality of the methodological approach proposed;
- Extent of relevant evaluation experience and resources allocated; (Resources allocated refers to the input, expertise and responsibilities of the persons employed on the evaluation);
- Cost of tender.³⁹

³⁹ These criteria, all with equal weight, are used extensively to evaluate tender proposals in Ireland. The criteria may be sub-divided for the purpose of scoring if it assists in the evaluation but this must not involve a departure from the pre-established criteria and weighting. Note that ‘value for money’ or ‘cost effectiveness’ is not included as a specific criterion, as the overall evaluation of tenders under these four criteria will lead to a selection of the tender that represents the best “value for money.”

This approach would represent good practice for evaluations commissioned under both open tender, restricted tenders, “call for tenders” and individual contracts as part of a framework agreement.

Evaluation of the tenders is best achieved through the use of a scoring system or marking sheet based on the criteria (which may be weighted equally or not). Tenders are then assessed under each criterion.⁴⁰ Marks should be awarded as follows:

The cost criterion (tender price) should be awarded on a strict pro-rata basis, with the lowest cost tender awarded full marks (out of 100) and the other tenders marked accordingly;

Points in respect of the technical quality criteria (understanding of terms of reference, methodology and experience/resources allocated) should be awarded on a scale of 1 to 10 on the basis of a set of indicative, qualitative ratings (e.g., 9/10 points denotes an “excellent” rating whereas 3-4 points is deemed “poor”).

The completed “tender assessment sheets” should include summary comments that highlight the strengths and weaknesses of each proposal under the assessment criteria and seek to explain the marks awarded under each.

The marking and awarding of scores to the tenders should be carried out at a meeting of the Evaluation Commission. The tenders should be sent to member of the Evaluation Commission at least 10 days in advance of the meeting, in order to give them time to familiar themselves with the tenders.

The different stages of the selection processes should be fully set out in the recommendation document submitted to the Evaluation Steering Committee, who should take the formal decision to appoint the evaluator. This separates the appraisal function (evaluating and marking the tenders) with the decision-making function (in line with good practice in project selection).

4.3.3 Evaluating Restricted Tenders

Selection of the candidates is made by the Evaluation Commission on the basis of the eligibility criteria mentioned above (presented in point 4.4.2 and used in restricted tenders as selection criteria). In this case the criteria are used for reducing the number of candidates and not only in order to set a minimal “threshold” above which it is considered that there exists a sufficient level of resources, capacities and skills to allow the competent execution of the contract. The Evaluation Unit is obliged to indicate in the participation notice the selection criteria and the applicable rules, and both the minimum and maximum number of candidates it intends to select.⁴¹

4.3.4 Communicating the result of the first phase

The participants should be informed on the results of this first phase after the candidates have been selected. The Evaluation Unit is obliged to inform the candidates not selected on the reasons for that decision. The Evaluation Unit is also obliged to send, at the same time,

⁴⁰ The system used to score the tenders received in response to the TOR from Annex 6 is attached as Annex 7 (an open tender). This includes the blank scoring sheet used in respect of one of the five tenders received, a summary score sheet showing the points awarded to all of the tenders, and a formal recommendation to the Evaluation Steering Committee on the award of the tender, which explains how the scoring system was applied.

⁴¹ The minimum number indicated in the participation notice cannot be smaller than 5. If the number of candidates fulfilling the selection criteria is smaller than the minimum number indicated in the participation notice, the contracting authority has the right to either cancel the procedure or continue the procedure only with those candidates fulfilling the requested criteria if their number is sufficient to ensure a real competition (at least 3).

an invitation to the second phase of the restricted tender to all selected candidates. The invitation of participation must contain at least the following:

- reference to the restricted tender competition under discussion;
- the deadline for submitting the offers;
- the address for sending the offers;
- the language or the languages used for elaborating the offers;
- the date and hour set for opening the offers;
- notes concerning the additional documents that the economic operators need to present in order to verify the declarations or for completing the documents presented during the first phase (demonstrating the technical and economic-financial skills).

In the case of a contract for which the participation notice was published in OJEU, the period between the date when the invitation of participation is sent and the deadline for submission of offers must be at least 40 days.⁴²

In the case of a contract for which the participation notice is not published in OJEU, the period between the date when the invitation of participation is sent and the deadlines for submitting the offers must be at least 22 days.⁴³

Second phase of the restricted tender

The second phase of the restricted tender runs according to the rules stipulated for the open tender (starting with the phase when the offers are received and opened.) The method of evaluating the offers and communicating the final result is identical to the one foreseen for the open tender. It is nevertheless important to specify that using qualification criteria is completely inappropriate considering that a selection of tenderers is already made during the first phase of the procedure.

4.3.5 Framework agreements

The Evaluation Unit should set a deadline for submitting the offers. The contracting authority then awards each contract to the tenderer that has presented the best offer on the basis of the award criteria stipulated in the framework agreement.

4.4 Concluding the evaluation contract and publishing the award notice

4.4.1 Communicating the result

Evaluation tender proposals are normally submitted on a confidential basis. In order to preserve the integrity of the process and to respect the commercial and competitive positions of tenderers, details of tenders must be kept confidential at least until the assessment process is concluded.

Once the award decision is taken, tenderers must be informed of the result by the Evaluation Unit not later than 3 working days after the issuing of the decision. The European Court of Justice (ECJ) has interpreted the EU Remedies Directives as requiring that unsuccessful tenderers for contracts covered by the EU procurement Directives must have the opportunity to have a contract award decision rescinded if their rights have been infringed or an award decision is deemed unlawful (Alcatel – Case C-81/98). This requires that unsuccessful

⁴² The period of 40 days may be reduced in certain situations. Please see the public procurement guidelines.

⁴³ In emergencies the period may also be reduced to up to 12 days, see the Public Procurement Guidelines.

tenderers for contracts covered by the EU Directives be notified promptly of the outcome of a tendering procedure and that a contract is not formally awarded before an interval, during which an unsuccessful tenderer can seek a review of the decision if s/he feels that the process has been unfair or unlawful, has elapsed. This implies that any notification to the tenderer deemed successful during this interval must be provisional and not constitute a contractual arrangement.

For contracts awarded as a result of open and restricted tenders of a value in excess of €125,000 without VAT, contracting authorities are required to provide certain information, and in particular:

- any eliminated candidate or tenderer it must be informed promptly (within 3 working days) of the reasons for rejection and of the characteristics and relative advantages of the successful tenderer as well as the name of the successful tenderer; and
- certain information on the contract awarded, including the name of the successful contractor(s) and the price paid must be submitted for publication in the EU Journal not more than 48 calendar days after the award. The information must be set out in accordance with the relevant model notice annexed to the Directives.

For each contract a contracting authority is required to prepare a written report containing fundamental information, as outlined in Article 43 of the public sector procurement Directive 2004/18/EC, on the award procedure adopted. This report, or the main features of it, may be requested by the EU Commission at any time. This report should comprise at least the following elements:

- the title and headquarter of the contracting authority;
- the object of the public procurement contract;
- the title/name of the tenderers participating in the procedure;
- the title/name of the tenderers rejected and the reasons for their rejections;
- the title/name of the tenderer whose offer was declared winner and the reasons for that decision;
- the justification for canceling the award procedure (if such a decision was reached).

Apart from observing legal obligations where the provisions of the procurement Directives apply, where contracts are awarded on the basis of the most economically advantageous tender it is good practice to adopt a voluntary constructive policy on de-briefing unsuccessful candidates. It is recommended that unsuccessful tenderers be given an objective assessment of the comparative strengths and weaknesses of their tenders having due regard to commercial sensitivity and the need to avoid compromising the rights or competitive situation of other tenderers. There are important benefits from giving constructive feedback to unsuccessful bidders. For contracting authorities it can:

- identify ways of improving the process for the future;
- encourage better bids in the future;
- help establish the contracting authority as a fair, open and ethical buyer; and
- encourage continued participation by suppliers which promotes competition.

For tenderers it can:

- generate confidence and reassurance about the integrity of the process;
- help improve future performance;
- help them understand and operate the different procedures and practices that might apply in the public sector.

It should also be borne in mind that voluntary disclosure of information can avoid the need for recourse to formal measures such as the EU Remedies Directives.

4.4.2 Concluding the services contract

Concluding the contract is possible only after ensuring a period of “standstill” that cannot be smaller than:

- 15 days after the result of the tender competition (where the value of the public procurement contract is bigger than 40.000 euros without VAT);
- 7 days after the result of the tender competition (for “call for tender” contracts where the value of the public procurement contract is smaller than 40.000 euros (without VAT)).

After the expiration of the “standstill” period the Evaluation Unit is obliged to conclude the services contract with the tenderer whose offer was declared the winner.

A template for an evaluation contract is included as Annex 6D. The terms of reference and the evaluator’s proposal or tender document are normally included as appendices and should be referred to in the body of the contract.

4.4.3 Publishing the award notice and finalising the public procurement dossier

The Evaluation Unit is obliged to publish the award notice within 48 days after concluding the contract. Particulars of the Contract Award Notice should include the type of contract, the procedure and award criteria used, the number of tenders received, the name of the successful tenderer, the value of the contract or the range of tender prices, and justification for the negotiated procedure, if used.

For publishing the award notice the contracting authority will use the Internet address of the Electronic System of Public Procurements (ESPP) www.e-licitatie.ro. The award notice is verified by ESPP before being published by the National Authority for Regulating and Monitoring Public Procurements (NARMPP).

If the value of the contract is greater than €125.000 without VAT, the ESSP operator is obliged to forward the notice for publication in the OJEU within one working day of receiving acceptance of publication from NARMPP. After being sent to OJEU, the notice is also automatically published in the ESSP. Where the value of the contract is less than €125.000 without VAT, the award notice is only published in the ESSP (but also in the OJEU if the Evaluation Unit so wishes).

Within one working day after publication of the notice in ESSP, the Evaluation Unit is obliged to forward the respective notice to be published by the Autonomous Administration “Official Journal.”⁴⁴

A “public procurement dossier” for each contract is kept by the Evaluation Unit as long as the contract produces legal effects and in no case for a period of less than 5 years from the date of finalisation of the contract. The public procurement dossier must contain:

- General information (such as the contract title, the procedure applied, the date the procedure was launched, the person responsible for updating the dossier, etc.);
- Proof of the existence of funds;
- The calculation note that determined the estimated value, without VAT;
- Registrations that prove that the intent notice was sent (where relevant);
- Intent notice (PIN), where relevant;

⁴⁴ The notice published at national level must replicate identically the notice published in the OJEU, and must also mention the date when it was sent to the European Commission.

- Registrations that prove that the participation notice or the participation invitation was sent;
- The participation notice and/or participation invitation;
- The award documentation and the report on the award procedure;
- The justification note of the award procedure;
- Justification note concerning the acceleration of the award procedure (where relevant);
- The signed contract/framework agreement;
- The award notice (where relevant);
- Registrations that prove the award notice was sent.

The public procurement dossier may be filled in during the implementation of the contract with:

- proof that the contract was fulfilled – acknowledgements of receipt, preliminary and final reports, etc;
- proof of payments.

Chapter 5: Managing an Evaluation Project

This section of the Manual is focused on the management of evaluation projects from the point at which the evaluator is appointed to the completion of the final evaluation report. In Sections 5.2 and 5.3 respectively, the role of the Evaluation Unit and the Evaluation Steering Committee are outlined. Both have a role to play in assessing the quality of the evaluator's work, which is considered in Section 5.4.

5.1 Role of Evaluation Unit

- As set out in the mandate for the Managing Authority Evaluation Units (Annex 1), the main overall function of the Units at this stage of the process is to monitor and supervise the activities undertaken during evaluation exercises. As the direct point of contact between the evaluator and the Managing Authority, the Evaluation Unit is responsible for:
 - organising the ESC kick-off meeting;
 - liaising with the evaluators contracted to provide evaluation services;
 - providing contact details and facilitating appropriate levels of access to key stakeholders for evaluators;
 - ensuring access for evaluators to all relevant monitoring and other data;
 - reacting to “early warning” reports issued by evaluators;
 - ensuring evaluators meet deadlines for report submission;
 - reviewing inception reports and any other interim outputs and, following any necessary revisions by the Evaluator, submitting them to the Evaluation Central Unit and Evaluation Steering Committee for their consideration and approval;
 - judging the quality of draft and final evaluation reports submitted to it under the terms of an evaluation contract, through a process of analysing, assessing and grading evaluation reports (considered further in Section 5.4).

To discharge these responsibilities effectively, the Evaluation Unit should maintain regular contact with the evaluator. One of the staff of the Unit should be designated as “project manager” for the evaluation and should be the first point of contact for the evaluator with the Unit and the Managing Authority. (On the evaluator's side, standard practice is that a “project director” or “team leader” is nominated to liaise with the client. Such an arrangement is sometimes specified as a requirement in the terms of reference document). Ideally, this project manager should also act as secretary to the Evaluation Steering Committee. The Unit project manager should endeavour to establish a good working relationship with his/her opposite number. They should act to assist the evaluator in sourcing information and facilitating contact with other officials (e.g., in monitoring and policy units). If the Unit project manager suspects that the evaluator's progress is unsatisfactory, this should be drawn to the attention of the Head of the Evaluation Unit.

5.2 Role of Evaluation Steering Committee

5.2.1 Meeting Schedule

As discussed in Chapter 3, a core function of the Evaluation Steering Committee (ESC) is to oversee the evaluator's work and ensure the quality of the evaluation report. The composition of the ESC, which will be chaired by the Head of the Managing Authority, was also discussed in Chapter 3.

The desirable number and frequency of ESC meetings depends on the complexity and duration of the evaluation project. For most evaluation projects, a schedule of about 4 to 5 meetings might be organised at the following stages:

- A kick-off meeting, following appointment of an evaluator;
- A (possible) second meeting to discuss the Inception Report;
- A meeting to discuss the draft evaluation report;
- A final meeting to approve the evaluation report.

At the kick-off meeting, the evaluator may seek to clarify questions raised in the terms of reference. For its part, the ESC can take the opportunity to clarify aspects of the general approach and methodology proposed by the evaluator. The outcome of the meeting should be agreement or confirmation on future project milestones and associated dates for associated committee meetings.

A second meeting may be held to consider the Inception Report submitted in advance by the Evaluator. The Inception Report is normally submitted between one and two months after the kick-off meeting. At the inception stage, the evaluation team should have completed a desk review of relevant documentation and acquainted itself with available monitoring and other data sources. On the basis of this work, the Inception Report sets out in detail the methodological approach for the remainder of the project and templates for proposed data collection work (e.g., questionnaires to be used in beneficiary surveys or focus group discussions) as well as an associated work plan.

From the Steering Committee's perspective, the purpose of the meeting is to ensure that the evaluator has fully understood the scope of the brief and has proposed a feasible methodological approach and well thought-out work plan. Any misunderstandings can then be rectified at this early stage before the fieldwork gets under way. For some, relatively straightforward evaluation projects, it may prove possible to dispense with the Inception Report through a written procedure.

Various meetings may be held over the course of the project to discuss interim evaluation outputs. However, it is important to confine such meetings to consideration of substantive outputs. It can sometimes be useful to organise a meeting when the evaluator has completed the fieldwork and is in a position to discuss emerging findings with the committee. This can help avoid surprises at the draft report stage.

The purpose of the meetings at draft and final report stage is to assess the quality of the evaluation reports. The criteria that should be used to inform this assessment are discussed below at Section 5.4.

5.2.2 Format of Steering Committee Meetings

It is important that the work of the ESC is carried out in an efficient and focused manner. Other than at the kick-off stage, meetings should be convened only where there is a substantive output from the evaluator or, exceptionally, where problems arise with the conduct of the evaluation that demand the urgent attention of the Steering Committee. Other, more routine matters should be dealt by email or through written procedure.

To facilitate the efficient working of the ESC, the Evaluator should be required to submit interim evaluation outputs (inception and draft reports) to the Evaluation Unit two weeks in advance of the date of Steering Committee meetings. (For the final report, a three-week interval should be specified). This will allow time for the Unit to review the Evaluator's work (2/3 days) and request any necessary revisions from the Evaluator (2/3 days) before circulation to the ESC members (at least 1 week in advance of the meeting date or 2 weeks in the case of the final evaluation report). This being the case, members should take the necessary time to study the circulated documents so that they are in a position to contribute effectively to the ESC discussion.

In terms of the conduct of the meetings, the following good-practice suggestions should be borne in mind:

- The first half-hour or so of the meeting should be confined to the ESC members with the aim of establishing an overall view on the main issues that need to be discussed with the Evaluator. The Chair should aim to distil the key points emerging with a view to conveying these to the Evaluator when he/she joins the meeting;
- Where, as recommended, documents have been circulated in advance, there is no purpose served in the Evaluator making a detailed presentation of his/her report. The working assumption should be that members have familiarised themselves with the circulated reports; a short introductory intervention by the Evaluator should suffice to open the discussion;
- Members should engage fully in the meeting and contribute in a proactive manner to the discussion;
- At the end, the Chair should summarise the discussion and identify the issues that need to be addressed by the Evaluator at the next stage. The date of the next meeting and the deadline for any required deliverables from the Evaluator should be confirmed.

5.2.3 Quality Assurance

A core function of the Evaluation Steering Committee is the assessment of the quality of the evaluation report provided by the evaluator. It is important to try to base this assessment on objective criteria rather than on considerations such as the political “acceptability” or otherwise of the evaluation findings. To this end, a wide array of quality standards and assessment frameworks has been developed. One such set of 10 quality standards, used by the European Commission, is set out at Annex 8. The framework is somewhat complex and probably intended for use by evaluation experts. For Steering Committee representatives with limited evaluation experience, a simpler system, such as the four questions (or criteria) below, might be more useful:

- Does the evaluation report comprehensively address the terms of reference?
- Is the overall analytical approach adequate and are the methodologies used robust?
- Are the conclusions and recommendations of the evaluation supported by the analysis carried out?
- The structure, presentation and clarity of the report.⁴⁵

The quality standards should be included in the terms of reference for the evaluation. Under each criterion, the quality dimension is assessed in a qualitative manner, with the evaluation report rated as excellent, good, fair or poor as appropriate based on the Steering Committee’s assessment. The work of the ESC should be informed by the prior assessment of the Evaluation Unit, which should be submitted at least one week in advance of the ESC meeting. The purpose of the ESC discussion is then on whether to accept or modify the Unit’s assessment. The involvement of an evaluation expert in the work of the Steering Committee can be particularly useful at this stage.

It is also important that the Evaluator be given feedback on the quality of the evaluation report in the form of, for example, a debriefing meeting with the Evaluation Unit once the final evaluation report has been submitted and the quality assessment process completed. This can help improve the quality of future evaluations.

⁴⁵ This is how the Commission’s framework was adapted and simplified in Ireland.

Chapter 6: Dissemination of the Evaluation Report and Follow-Up

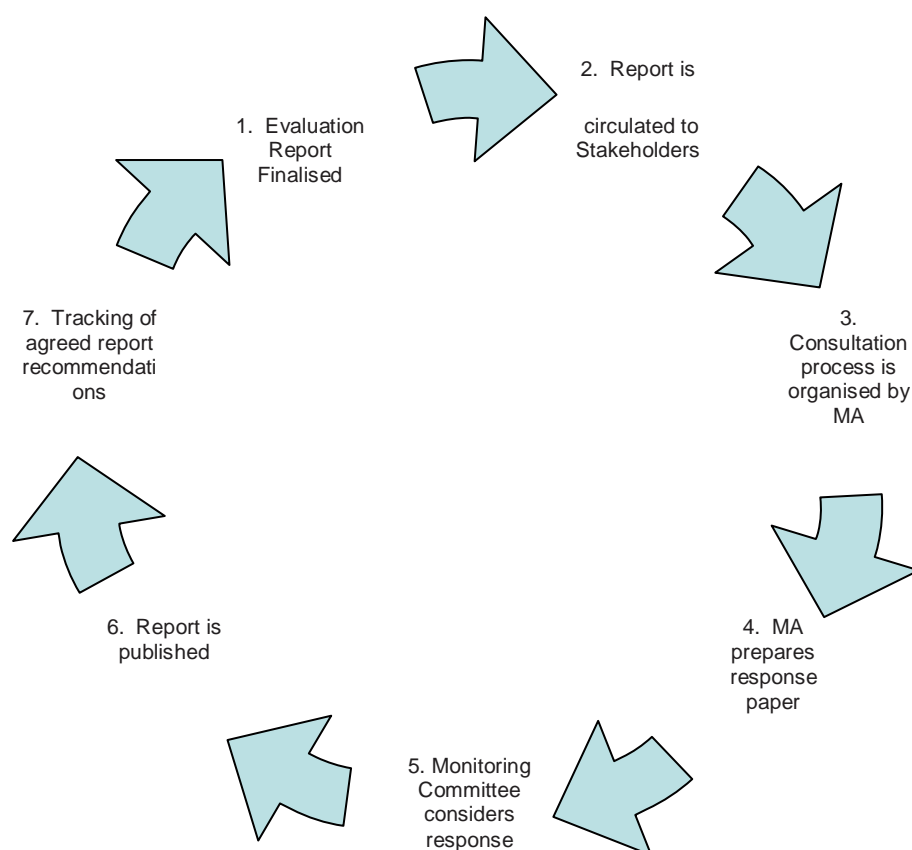
6.1 Introduction

This Chapter focuses on the functions to be discharged once the final evaluation report has been approved by the Evaluation Steering Committee (ESC). Assuming the report is of good quality, this stage is crucial in ensuring that the report is utilised. This Section is structured as follows:

- Section 6.2 considers the circulation of completed evaluation reports and the subsequent roles of the OP Managing Authority and Monitoring Committee in taking forward and addressing the evaluation recommendations;
- Section 6.3 covers the processes of follow-up and of tracking the implementation of agreed evaluation recommendations; and
- Section 6.4 deals with the publication and wider dissemination of completed evaluation outputs.

The various stages involved in the process are illustrated below.

Procedure B – Stages in the Follow-Up Process



6.2 Addressing the Evaluation Recommendations

Once the final version of the evaluation report is submitted to the Evaluation Unit, the Unit or the Managing Authority should arrange for its immediate circulation to key stakeholders. At this stage, the “key stakeholders” are those organisations or units with an interest in the overall conclusions and, in particular, the recommendations contained in the report. Obviously, the definition of these stakeholders will depend on the nature and scope of the evaluation recommendations. In most cases, other Managing Authority units (e.g.,

monitoring or programming), intermediate bodies and other policymaking units in the Ministry concerned will need to have sight of the report.

At this stage of the process, the focus should be on the core issue of whether the recommendations contained in the recommendations table in the evaluation report can, or should be, implemented. Given that political and other factors may come into play here, it is recommended that the Managing Authority (as distinct from the Evaluation Unit) should take charge of this stage of the consultation process. Initially, the MA should aim to establish the positions of the key interested or affected parties on the acceptability or otherwise of the evaluation recommendations. Depending on the thrust of the recommendations, this may require meetings with some or all of the stakeholders. Some recommendations may be such as to require consultation with the European Commission. Based on these consultations and taking account of other relevant factors (including policy developments), the Managing Authority should prepare a paper setting out an agreed response to the evaluation recommendations table. For each recommendation in the table, this paper should indicate whether it is proposed to accept in full, accept in part, defer for later consideration or reject. Where a recommendation is proposed to be implemented in full or in part, the paper should specify the responsible authority and a timeframe for its implementation. The decision paper should then be placed on the agenda for the next OP Monitoring Committee meeting. Copies of the final evaluation report should also be circulated to committee members with the papers for the meeting.

The Monitoring Committee should be invited to consider the decision paper submitted by the Managing Authority and introduced by it to the meeting. The Monitoring Committee may exercise its discretion as to whether to implement the response as proposed or to vary it. However, assuming that the Managing Authority has consulted widely with all relevant interested parties, the decision paper should be approved without too much difficulty.

6.3 Follow-Up and Monitoring of Agreed Evaluation

6.3.1 Recommendations

Where the Monitoring Committee has determined that a specific course of action is necessary, the Managing Authority will report to each Monitoring Committee meeting on the progress achieved in implementing the agreed decisions. An updated version of this report should be updated for each Monitoring Committee meeting and should deal with each recommendation until such time as the Committee's decision is fully implemented or until such point as the Committee decides otherwise. As agreed in their Mandate (Annex 1), the tracking of progress and the compilation of the follow-up reports is an agreed Evaluation Unit responsibility.

6.3.2 Publication and Dissemination

Once the Monitoring Committee has approved the report (including recommendations), the report should be published on the websites of the OP Managing Authority and the Evaluation Central Unit (ECU). The Evaluation Unit should endeavour to disseminate completed reports as widely as possible. A circulation list of interested parties to whom copies of the reports are sent by post should be maintained by each Unit and expanded over time.

Annex 1. Mandate for 2007-2013 NSRF Managing Authorities' Evaluation Units

As per the Model for Evaluation of the Romanian National Strategic Reference Framework 2007-2013 and Operational Programmes during their implementation, approved by the Evaluation Working Group at its second meeting on 12 April 2006, 6 of the 7 Operational Programme Managing Authorities will have Evaluation Units⁴⁶. This document represents the mandate for the MA Evaluation Units.

Functions of the Managing Authority Evaluation Units

The Managing Authority Evaluation Units shall perform the following functions:

- Evaluation Planning
- Managing evaluations
- Providing opinions and advice on project selection and appraisal issues
- Providing inputs to the OP Annual Implementation Report
- Participating in the work of the OP Monitoring Committee in an observer capacity
- Act as a source of OP evaluation documentation and expertise

Other functions.

1. Evaluation Planning

Within this function the MA Evaluation Units shall prepare an:

OP Multi-Annual Evaluation Plan, to be updated annually;

OP Annual Evaluation Plan.

2. Managing Evaluations

Within this function the MA Evaluation Units shall coordinate the interim and ad hoc evaluations of the Operational Programme.

Interim evaluations – The OP will be subjected to two interim evaluations during its implementation, in 2009 and 2012. The aim shall be to improve the quality, effectiveness and consistency of the assistance and the strategy and implementation of the Operational Programme. The interim evaluations will support the management process for the Operational Programmes by analysing problems, which occur during the implementation and propose specific solutions to improve the operation of the system. The interim evaluations will be conducted externally, by independent evaluators.

Ad-hoc evaluations – can address either implementation or management issues of an individual Priority or Key Area of Intervention, or can be “thematic,” by looking at a particular theme as it affects the OP. Ad hoc evaluations will be conducted externally, by independent evaluators. They will be triggered:

- wherever monitoring data reveals a departure from goals initially set for any Priority or Key Area of Intervention (as per guidance from DG Regio);⁴⁷

⁴⁶ The Technical Assistance OP will not have its own Evaluation Unit. The Evaluation Central Unit within the MACSF will perform the evaluation function for the Technical Assistance OP.

⁴⁷ *Evaluation during the programming period: on-going evaluation An integrated management tool*, DG Regional Policy (check against final version and insert date), available from

- according to the OP Multi-Annual Evaluation Plan or Annual Evaluation Plan;
- when a request is made by the Monitoring Committee;
- when a request is made by the Evaluation Working Group.

Specific objectives, evaluation questions, tasks and expected results of the ad hoc evaluations will be defined separately for each evaluation to be conducted.

Managing the interim and ad hoc evaluations will involve:

- convening and acting as Secretariat to an OP Evaluation Steering Committee, which should convene for each evaluation exercise. The core membership of the Committee will remain the same for the duration of its existence, with additional members to be invited on to the Committee as suits the MA for each evaluation. All Evaluation Steering Committees will include members from the MACSF Evaluation Central Unit and the head of the Evaluation Unit in each MA.
- contracting out the evaluations (at either the OP or Priority Axis/Key Area of Intervention level) to independent evaluators from either the private, academic or civil society sectors (or consortia representing a mix thereof). This will involve:
- compiling all the necessary documentation (including the terms of reference) for the evaluation project and submitting it to the ESPP;
- liaising with the MACSF Evaluation Central Unit on contractual issues.

Once contracted, the MA Evaluation Units shall monitor and supervise the activities undertaken during evaluation exercises, through a process of:

- organising the kick-off meeting of key stakeholders and the evaluators;
- liaising with all contractors contracted to provide evaluation services;
- providing contact details for stakeholders, and facilitating appropriate levels of access to key stakeholders for evaluators;
- ensuring proper access for evaluators to all relevant monitoring and other data;
- reacting to “early warning” reports issued by evaluators;
- quality controlling all evaluation reports submitted to it under the terms of an evaluation contract, through a process of analysing, assessing and grading evaluation reports. As part of this process, the MA Evaluation Units will:
- endorse inception reports, where produced, and submit them to the MACSF Evaluation Central Unit for approval;
- ensure evaluators meet deadlines for report submissions;
- comment on draft reports;
- assess and grade final evaluation reports;
- distributing Evaluation Reports;
- disseminating evaluation reports to all key stakeholders and organising debriefing meetings on evaluation findings;
- tracking progress on implementation of evaluation recommendations, through setting a schedule for implementing authorities to report on implementation progress.

3. Project Selection and Appraisal

Within this function, the Units may provide advice and assistance to the Managing Authorities and intermediate bodies on the procedures for project selection and the techniques used to evaluate or appraise project applications, when called upon. The Units

should aim to promote good practice in the application of these techniques. Where cost-benefit analyses are carried out, for example, the Units could be responsible for expressing a view on their quality.

4. Annual Implementation Report

Within this function, the units' may:

- assist the OP monitoring units in the presentation and analysis of performance indicator data in the AIR;
- prepare the Chapter of the AIR dealing with the OP Evaluation Plans and progress with their implementation.

5. Participation in OP Monitoring Committee

Within this function, the Units will:

- participate in the work of the OP Monitoring Committee in an observer or advisory capacity;
- presentation of and reporting on the progress in implementing the OP Multi-Annual and Annual Evaluation Plans to the Monitoring Committee;
- deal with issues related to follow-up on agreed evaluation recommendations.

6. Source of OP Evaluation Documentation and Expertise

Within this function the MA Evaluation Units shall:

- maintain a library of all OP evaluation documentation (including evaluation procedures and completed evaluation reports) to be readily made available for interested stakeholders.

7. Other functions

The MA Evaluation Units should also:

- attend and contribute to meetings of the Evaluation Working Group on behalf of the Managing Authority;
- participate in training and evaluation capacity building activities as organised by the MACSF Evaluation Central Unit;

Other tasks may be assigned to the MA Evaluation Units from time to time by the Evaluation Central Unit of the MACSF.

Annex 2. Mandate of the Evaluation Central Unit

This is the Mandate for the Evaluation Central Unit (ECU) within the Managing Authority of the Community Support Framework (MACSF).

It is based on the Government Decision No 1269/18.10.2005 for modification and completion of the Government Decision No 208/2005 on the setting up and functioning of the Ministry of Public Finance which assigns to the MPF the responsibility to coordinate the management of EU funded programmes, and the “Regulation for organizing and functioning of the MACSF General Directorate” of August 10th 2005, and the subsequent “Manual of Working Procedures for MACSF(NAC)” of September 30th 2005 (Chapter B, NAC Management and Organisation), assign specific tasks to the ECU.

Functions of the Evaluation Central Unit

The ECU shall perform the following functions:

1. Evaluation Planning

Within this function the ECU shall:

- prepare an NSRF Annual Evaluation Plan;
- prepare and annually update the NSRF Multi-Annual Evaluation Plan;
- prepare a plan of training activities for its staff in up to date evaluation methodologies and in developments in the evaluation field at the EU or other levels.

2. Managing of Evaluations

Within this function the ECU shall:

- coordinate the ex-ante and interim evaluations of the programmes and the projects financed by the EU Structural Instruments, using, as guidance, Methodological Working Papers provided by the European Commission;
- manage the contract for interim evaluation of the Phare pre-accession programme (and the Transition Facility);
- contract out evaluations of EU-funded programmes to independent evaluators from either the private, academic or civil society sectors (or consortia representing a mix thereof). This will involve:
 - drafting and finalising the tender documentation (including the terms of reference) for evaluation projects and forwarding it to the ESPP for publication;
 - receiving proposals from tenderers;
 - convening and participating in an Evaluation Commission in order to choose successful tenders;
 - liaising with the Technical Assistance Directorate on contractual issues;
 - once contracted, the ECU shall monitor and supervise the activities undertaken during evaluation exercises, through a process of:
 - organising the kick-off meeting of key stakeholders and the evaluators;
 - liaising with all contractors contracted to provide evaluation services;
 - providing contact details for stakeholders, and facilitating appropriate levels of access to key stakeholders for evaluators;
 - ensuring proper access for evaluators to all relevant monitoring and other data (this will involve efficient liaison with both the Programming and Monitoring Units);
 - react to “early warning” reports issued by evaluators.

- quality control all evaluation reports submitted to it under the terms of an evaluation contract, through a process of analysing, assessing and grading evaluation reports. As part of this process, the ECU will:
- endorse inception reports, where produced, and submit them to the Directorate for Technical Assistance for approval;
- ensure evaluators meet deadlines for report submissions;
- comment on draft reports;
- assess and grade final evaluation reports.
- distribute evaluation reports ;
- disseminate evaluation reports to all key stakeholders and organise debriefing meetings on evaluation findings;
- track progress on implementation of evaluation recommendations, through setting a schedule for implementing authorities to report on implementation progress;
- interface with the Directorate for Technical Assistance and other units of the MACSF.

3. Building Evaluation Capacity and Awareness

Within this function the ECU shall:

- coordinate activities for building both evaluation capacity and awareness for the programmes and projects financed from both community funds and other sources, including Romanian national funds and funds from other bilateral or multi-lateral donors.
- ensure that there is enough capacity in the Romanian private, academic and civil society sectors to conduct all the independent evaluation work that shall be provided for within the sphere of the pre-accession funds (Phare Interim Evaluation, etc.), the Transition Facility and the Structural Funds;
- provide training courses for local evaluation companies, as well as holding regular seminars, briefings, etc., with stakeholders in the private, academic and civil society sectors on issues such as the EU evaluation cycle and standard evaluation methodologies;
- coordinate and implement evaluation awareness activities;
- draft and implement action plans for promoting awareness of the benefits and need for evaluation.

4. Source of Evaluation Documentation and Expertise

Within this function ECU shall:

- maintain a central repository of all evaluation documentation, including manuals, periodicals, guides and completed evaluation reports to be readily made available for interested stakeholders;
- elaborate evaluation guidelines, models and standards, as part of its status as the main driver of evaluation activity in Romania, through its hands-on management of the EU evaluation process;
- be the main reference point for EU evaluation developments, either in the academic or policy fields. The ECU will periodically inform the wider Romanian evaluation community about these developments, through seminars, etc.

5. Oversee Implementation of the National Evaluation Strategy

Within this function the ECU shall:

- oversee implementation of the 2007-2013 National Evaluation Strategy. The Strategy will aim to instil proper evaluation procedures and practices in all public administration bodies funded not only by EU sources, but also by Romanian government sources.

6. Other functions

Other tasks may be assigned to the ECU from time to time by the NAC.

Annex 3. Job Descriptions of MA Evaluation Units' staff

A full-time expert staff complement of two is necessary for the MA Evaluation Units to carry out their responsibilities during implementation of the 2007-2013 NSRF Operational Programmes.

The workload and division of responsibilities for the MA Evaluation Units are:

a) Head of MA Evaluation Unit

The key tasks of the Unit Head should be overall responsibility for management of the MA Evaluation Unit and the implementation of the OP Evaluation Plan. Specific tasks of the Head should include:

- being the key liaison point with major stakeholders, such as the OP Monitoring Committee. The Head should represent the MA Evaluation Unit at meetings of the Evaluation Working Group, and participate in any other evaluation coordination events as organised by the Evaluation Central Unit of the MACSF;
- convening and chairing the OP Evaluation Steering Committee;
- attending and reporting to meetings of the OP Monitoring Committee;
- drafting the OP Multi-Annual Evaluation Plan and Annual Evaluation Plans and submitting them to the MACSF Evaluation Central Unit and the OP Monitoring Committee for approval;
- quality controlling all evaluation reports submitted to the MA Evaluation Unit under the terms of an evaluation contract, through a process of:
- endorsing inception reports, where produced, and submitting them to the MACSF Evaluation Central Unit for approval;
- ensuring evaluators meet deadlines for report submissions;
- commenting on draft reports;
- assessing and grading final evaluation reports.
- tracking progress on implementation of evaluation recommendations, through setting a schedule for implementing authorities to report on implementation progress.
- participating in training and evaluation capacity building activities as organised by the MACSF Evaluation Central Unit.

b) Deputy Head of the MA Evaluation Unit

The deputy head of the Unit should primarily assist the Unit head in the execution of his/her tasks, and should also be specifically tasked with:

- financing of evaluation activities – applying for evaluation projects from the Managing Authority;
- acting as Secretariat to the OP Evaluation Steering Committee;
- commissioning of evaluation contracts, under the close direction of the Unit Head, with specific tasks related to:
 - preparing tender documentation, drafting ToRs;
 - convening and participating in the Evaluation Commission for the choosing of successful tenderers;
 - presenting recommendations to the Evaluation Commission on the basis of the tenders received;
 - liaising on contracting procedures with the Managing Authority;

- managing implementation of evaluation contracts – ensuring evaluators present interim reports, draft reports, final reports, etc. on time and which meet quality criteria, etc.;
- facilitating suitable levels of access for consultants to key stakeholders during the course of their evaluation work;
- manage the Unit repository, which should hold all relevant evaluation materials (including evaluation reports, periodicals, EC evaluation guidelines, documents, etc.)
- managing the distribution of evaluation report materials to stakeholders, organising the debriefing meetings, and managing the follow-up of recommendations implementation process;
- once contracted, monitoring and supervising the activities undertaken during the evaluation exercise, through a process of:
 - organising the kick-off meeting of key stakeholders and the evaluators;
 - liaising with all contractors contracted to provide evaluation services;
 - providing contact details for stakeholders, and facilitating appropriate levels of access to key stakeholders for evaluators;
 - ensuring proper access for evaluators to all relevant monitoring and other data;
 - disseminating evaluation reports to all key stakeholders and organising debriefing meetings on evaluation findings.

Annex 4. Suggested Outline of an Evaluation Plan

The Evaluation Plan may consist of two main parts:⁴⁸

I. Co-ordination of an Evaluation Plan

Evaluation Plans should be well structured and coherent. For plans developed at the NSRF level, the links and complementarities with the OP Evaluation Plans should be demonstrated. Evaluation Plans drawn up at the OP level could be included as annexes to the national Evaluation Plan. Co-ordination mechanisms such as, for example, the establishment of an Evaluation Plan steering group, division of human resources tasks as well as a mechanism for a possible revision of the Evaluation Plan should be proposed and explained.

II. Specific evaluation activities

This part should cover the following TEN ITEMS:

- Indicative list of evaluation activities to be carried out during the programming period (titles);
- Thematic scope of each evaluation:
- policy- or performance-oriented type of evaluation;
- covering an Operational Programme or a group of programmes (in case of the NSRF Evaluation Plan);
- covering a specific part/themes of a programme or a group of programmes (in case of the NSRF Evaluation Plan);
- covering “potential risk areas” identified on the basis of past experience in specific interventions fields;
- Justification for the selected thematic scope of each evaluation (strategic or operational needs of Managing Authorities);
- Main evaluation questions to be considered;
- Potential use of each evaluation (publication and availability of evaluation reports, presentation and distribution of results, monitoring the use of recommendations);
- Indicative timetable;
- External or internal evaluation;
- Financial resources planned for each evaluation;
- Management structure (including an evaluation steering group, consultation, etc.);
- Distribution of human resources tasks for/within each evaluation.

⁴⁸ Taken from European Commission Working Paper

Annex 5. Example Terms of Reference

Evaluation of Water Services Investment in the National Development Plan (NDP) and Community Support Framework (CSF) for Ireland, 2000 to 2006

Request for Tender

Section 1: Evaluation Scope and Programme Description

Introduction

This Request for Tender (RFT) document refers to an evaluation of investment in the provision of water, wastewater and related infrastructure facilities under the National Development Plan (NDP) and Community Support Framework (CSF) for Ireland, 2000 to 2006. Specifically, the evaluation covers four measures under the Environmental Infrastructure Priority (or sub-programme) of the Economic and Social Infrastructure Operational Programme (ESIOP) and the Rural Water measures under the two regional Operational Programmes (namely the Border, Midland and West and Southern and Eastern regional programmes). A summary description of the measures follows.

ESIOP

As set out in the Operational Programme (OP) document, the key objectives of the Environmental Infrastructure Priority as they relate to water services investment are as follows:

- To provide a water supply and waste water infrastructure to support development;
- To secure compliance with EU and national water quality and waste water standards;
- To remedy existing, and prevent future, water pollution; and
- To preserve and protect water resources from point pollution for a range of beneficial uses, including tourism, agriculture, fishing, food and aquaculture development.

These objectives are to be achieved through the following 4 water services infrastructure measures:

- Waste Water Treatment measure
- Water Supply Measure
- Management and Rehabilitation of Infrastructure Measure
- Infrastructural Support for Expanded Economic Activity Measure

It should be noted that the Waste Water Treatment Measure is co-funded by the European Regional Development Fund (ERDF) and by the Cohesion Fund. Overall responsibility for all four measures lies with the Department of Environment, Heritage and Local Government, with individual schemes and projects managed by the local authorities. The Managing Authority for the ESIOP is the Department of Transport.

Regional Operational Programmes

Each of the two regional Operational Programmes contains a Rural Water Measure under the Local Infrastructure Priority (or sub-programme). These measures are co-financed by the European Regional Development Fund (ERDF).

As stated in the OP programme complement documents, the specific objectives of these measures are to:

- Improve the quality, reliability and efficiency of the Region's water services infrastructure in rural areas;

- Remedy capacity constraint and provide new water treatment facilities;
- Protect public health by ensuring compliance with the standards for drinking water; and
- Facilitate the balanced and diversified development of rural areas and improve the lifestyles of rural communities within the region.⁴⁹

A summary description of the measures is attached as Annex 2 (NOT PROVIDED AS PART OF THIS EVALUATION MANUAL). As with the ESIOP measures, overall responsibility for these measures lies with the Department of Environment, Heritage and Local Government, with the local authorities responsible for implementation of individual projects. The Managing Authorities for the regional OPs are the respective regional assemblies (Border, Midland and West and Southern and Eastern).

Financial Allocations

The table below sets out the original planned levels of public investment in each of the six measures.

Summary Financial Table⁵⁰

€ Million

Measure	Total NDP	Total CSF	Total ERDF	Matchi ng Public	Cohesion Fund	Cohesion Fund matching	Non EU Co-financed Public	Total NDP exp to end 2003
1	2= 3+6+7+8	3= 4+5	4	5	6	7	8	9
Waste Water	1,694.97	125.15	71.1	54.05	285.05	81.2	1,203.57	1,428.05
Water Supply	579.32	-	-	-			579.32	239.23
Management and Rehab of Infrastructure	862.16	-	-	-			862.16	111.27
Infrastructural Support	702.05	-	-	-			702.05	218.60
Rural Water (BMW)	394.67	46.42	34.82	11.61			348.25	118.19
Rural Water (S&E)	166.87	46.34	23.17	23.17			120.53	83.29
Total	4,400.04	217.91	129.09	88.83	285.05	81.2	3,815.88	2,198.64

Note: Table refers only to public expenditure.

The 2004 exchequer allocation to the measures amounts to an estimated €439.154 million, augmented by estimated non-exchequer expenditure of €85 million (total gross NDP expenditure of €524.154 million).

Section 2: Terms of Reference

2.1: Evaluation Context and Focus

⁴⁹ A new, additional objective relating to the protection and enhancement of the environment is subject to the approval of the *OP Monitoring Committees*.

⁵⁰ Note: Data provided refer to the original Operational Programme multi-annual financial forecasts, which have been the subject of revision in some cases.

This evaluation forms part of the agreed work programme of the NDP/CSF Evaluation Unit.⁵¹ Investment in water services infrastructure accounts for a significant proportion of NDP/CSF resources and these investments are of strategic importance to the achievement of overall NDP/CSF objectives. Against this background, it is considered appropriate to carry out an evaluation of these measures at this stage, with a focus on both programme management issues and on the economic and environmental impact of the measures.

The evaluation is intended to be comprehensive in nature, focusing on the following four broad evaluation issues:

- Relevant developments in the external and policy environment
- Financial and physical progress
- Programme management and efficiency
- Environmental and socio-economic impacts.

2.2 Analysis

Under these four broad evaluation headings, the Evaluator will be required to undertake the analytical tasks specified below. The specific tasks identified should not be seen as inhibiting the Evaluator from pursuing other relevant issues that may arise from the analysis carried out.

2.2.1: Review of External and Policy Developments

This should include:

A review of relevant developments in the external environment of the measures since 2000. This should include a review of trends in the demand for water and wastewater services and an analysis of explanatory factors (e.g., demographic factors, housing construction, non-residential demand). In undertaking this analysis, the results of studies at both national and Dublin region level of water and wastewater needs should be utilised. A summary of trends in the quality of drinking water, water quality of lakes and of effluent quality standards should also be undertaken, on the basis of relevant reports by the Environmental Protection Agency (EPA).

A succinct review of relevant developments in environment policy generally and in water policy specifically at both domestic (e.g., Water Services Bill) and EU level (e.g., the Water Framework Directive and the Drinking Water Directive).

2.2.2: Financial and Physical Progress

This should include:

- A review of financial progress at measure level compared to OP forecasts up to end 2004.⁵² This analysis should be carried out on a cumulative basis as well as looking at

⁵¹The NDP/CSF Evaluation Unit is an independent Unit under the aegis of the Department of Finance (Managing Authority for the NDP/CSF). The Unit is responsible for ongoing evaluation of the National Development Plan (NDP) and Community Support Framework (CSF). The Unit undertakes or commissions evaluations of the NDP/CSF Operational Programmes as well as providing advice and assistance to the European Commission, government departments, regional assemblies and other bodies on programme monitoring and evaluation issues generally. The Unit is part funded by the European Union Structural Funds.

⁵² Information on financial and physical progress to end 2004 will not be available until February 2005. Up to that point, data on the position to end-June 2004 will be available to the Evaluator.

trends over the first five years. This analysis should highlight Structural Funds expenditure in the case of the EU co-financed measures. For the ESIOP measures, the analysis should be carried out at a national and NUTS II regional level and at NUTS II and III level in the case of the regional OPs. Expenditure in areas involving co-operation with Northern Ireland should also be highlighted.

- An assessment of the physical progress of the measures to end 2004 on the basis of the performance indicators (output, result and impact) specified in the programme complement documents and any other information made available by the Department of Environment, Heritage and Local Government or individual local authorities to the Evaluator. Where data availability permits, the analysis should be carried at NUTS II level (ESIOP measures) and at NUTS III level (regional OPs), as well as at the national level. As part of this work, the Evaluator should identify and analyse any constraints affecting physical progress.

2.2.3: Programme Management and Efficiency

Under this heading, the Evaluator will be expected to undertake the following tasks:

- A review of the overall arrangements for programme and project monitoring and management, including the roles of the implementing department and the local authorities. The question of the number of delivery agencies involved in programme implementation and the efficiency of these arrangements should be reviewed.⁵³
- A review of the efficiency of the measures, to be carried out on the basis of an analysis of the economic and environmental benefits achieved in relation to expenditure incurred.
- An analysis of the application of the Polluter Pays Principle in the implementation of the measures.
- A review of the procurement methods used under the measures, to include an analysis of progress in the adoption of Public Private Partnership (PPP) approaches.
- A review of the project appraisal techniques and of the overall project selection procedures under the measures and an assessment of their compliance with good practice in this area on the basis of relevant EU and domestic guidance.⁵⁴
- A review of the indicators used for programme monitoring in terms of the criteria of comprehensiveness, relevance, reliability and timeliness and the realism of the indicator targets.⁵⁵

2.2.4: Analysis of Socio-Economic Impacts

On the basis of an analysis of a sample of completed projects, the Evaluator will be required to produce an assessment of the economic and environmental impacts of the measures, having regard to the measure objectives and the effects envisaged in the programme documents (e.g., facilitation of sectoral development in tourism and manufacturing, housing development, rural development, reduction in pollution, improvement in water quality etc.). The Evaluator will be required to propose a method for the selection of the sample for the prior agreement of the Evaluation Steering Committee in an inception report (see Section 4.2).

⁵³ This issue was raised in the ESIOP mid-term evaluation report.

⁵⁴ See in particular (i) *Guide to cost-benefit analysis of investment projects* (prepared for DG Regional Policy, European Commission, 2002); (ii) *Guidelines for the Appraisal and Management of Capital Expenditure Proposals in the Public Sector*, Department of Finance, July 1994; and (iii) *Proposed Working Rules for Cost-Benefit Analysis*, CSF Evaluation Unit, June 1999.

⁵⁵ See CSF Evaluation Unit, *CSF Performance Indicators: Proposals for 2000-2006 Programming Period*, October 1999 (available at:

http://www.eustructuralfunds.ie/html/press_releases/evaluation_publications_guidance.htm

2.3: Conclusions and Recommendations

The Evaluator will be expected to formulate appropriate findings and to draw conclusions in relation to the analytical tasks set out above. In turn, the Evaluator should formulate appropriate recommendations arising from the evaluation conclusions. As indicated in the CSF, any such recommendations should be stated clearly and should be numbered and stratified in order of priority. Similarly, where options for future action are available, these should be identified and ranked. Account must be taken of the cost implications of recommendations, having regard to the opportunity cost of public expenditure generally. Recommendations on financial reallocations must respect the existing capital funding envelope for the measures.

Section 3: Information Sources

A number of important sources of information on the measures are summarised below. It is important that desk-based analysis of these reports and information sources be complemented through consultation with the Department of the Environment, Heritage and Local Government, relevant local authorities, the Department of Finance, the regional OP Managing Authorities and the European Commission (DG Regio). In particular, more detailed information will be available from the Department of Environment, Heritage and Local Government and the local authorities.

Programme Documents

These include the text of the Operational Programmes, namely the ESIOP and the regional OPs. The texts of the original programme documents are available at www.ndp.ie. On foot of the mid-term review, revised text was approved as an addendum to the ESIOP document (attached as appendix 1). Minor revisions to the regional OP text have also been made (see appendix 2).

The OP Programme Complement documents include a more detailed description of the measures, including the agreed performance indicators. The latest text, which is currently the subject of revision on foot of the mid-term evaluation and review process, can be found at www.ndp.ie (ESIOP measures) and at the regional assembly websites (www.bmw.ie and www.seregassembly.ie) in the case of the rural water measures.

Some general information on water services activity is also available on the website of the Department of the Environment, Heritage and Local Government at www.environ.ie. The website of the Water Services National Training Group (www.wsntg.ie) contains information on the procedures for the management and procurement of water services projects.

OP Progress Reports

An important source of information is the regular measure/priority level progress reports prepared by the implementing department and submitted to the OP Managing Authorities for inclusion in the six-monthly OP Monitoring Committee reports and the annual implementation reports prepared by the OP Managing Authorities. These reports contain aggregate information on expenditure outturns and physical progress as measured by the performance indicators. At the time of writing, the latest annual implementation reports relate to the year 2003.⁵⁶ The reports covering progress to end June 2004 will be available by early November 2004.

Evaluations

⁵⁶ Available on request.

The measures were evaluated as part of the mid-term evaluations of the relevant Operational Programmes in 2003. The completed evaluations are available at www.ndp.ie. The overall NDP/CSF mid-term evaluation is also available at this website. The report Economic Evaluation of Water Supply and Waste Water Projects prepared for the Department of Environment, Heritage and Local Government by DKM Economic Consultants should also be consulted.⁵⁷

Section 4: Timing and Organisational Aspects

4.1 The Evaluation Steering Committee

This evaluation will be overseen by a Steering Committee chaired by the Department of Finance (NDP/CSF Managing Authority). The other organisations represented on the Evaluation Steering Committee (ESC) are as follows:

- Managing Authority, ESIOP (Department of Transport)
- Managing Authority, S&E Regional OP (Southern and Eastern Regional Assembly)
- Managing Authority, BMW Regional OP (BMW Regional Assembly)
- Department of Environment, Heritage and Local Government
- European Commission (DG Regio)
- NDP/CSF Evaluation Unit

The functions of the Steering Committee will be to select the Evaluator to carry out the work (see section 6 below), to oversee his/her work and to exercise a quality control function (see 4.3 below) in relation to the evaluation report.

4.2 Outputs Required and Deadlines

The Evaluator will be required to produce the following outputs at the intervals specified below:

- An Inception Report, within 6 weeks of date of appointment
- A complete Draft Evaluation Report, within 5 months of appointment
- A Final Evaluation Report, within 1 month of date of meeting of Evaluation Steering Committee to consider the draft report.

On foot of initial scoping work, the Inception Report should outline in detail the Evaluator's approach to the project and a work programme. The report should propose a methodology for the selection of a sample of projects for impact assessment (see section 2.2.4 above). The Final Evaluation Report should include a self-contained executive summary, to include main conclusions and recommendations, not exceeding 15 pages in length.

For budgeting purposes, tenderers should work on the basis that the Evaluator will be required to attend four meetings of the Evaluation Steering Committee (one on appointment, one on production of the Inception Report, one before submission of the Draft Report and one at Draft Report stage). They will also be expected to report regularly to the NDP/CSF Evaluation Unit on progress with the evaluation.

Fifteen (15) copies of all interim draft reports will be required. Fifty (50) copies of the final report will be required. A copy of all reports in an agreed electronic format will also be required.

⁵⁷ This report includes *ex-post* cost-benefit analyses of 14 projects funded by the Cohesion Fund and is available at www.environ.ie

4.3 Assessment Criteria

The assessment of the quality of the evaluation report by the Evaluation Steering Committee will be based on the following criteria or questions, which have been adapted from the quality criteria recommended by the European Commission:

- Does the evaluation report comprehensively address the terms of reference?
- Is the overall analytical approach adequate and are the methodologies utilised robust?
- Are the conclusions and recommendations of the evaluation supported by the analysis carried out?
- The structure, presentation and clarity of the report.

Section 5: Submission of Tenders

Consultants are required to submit written tenders for this evaluation. Tender documentation (exclusive of CVs) should not exceed 20 pages and should include the following:

A summary of the Consultants understanding of the issues involved in the project.

The general approach and methodologies that will be employed to meet the terms of reference.

The names, qualifications, experience and proposed responsibilities of those to be engaged on the project. The daily rate which will be charged in respect of each of these people and the number of days for which each will be involved in the project should be clearly stated. Expertise/experience relevant to the evaluation should be clearly indicated.

Nomination of a person to liaise with the NDP/CSF Evaluation Unit and the Evaluation Steering Committee.

An all-inclusive tender price for the cost of providing the evaluation, including a breakdown of the fee charged for each individual and an estimate of other expenses. The price should be inclusive of VAT at 21% and be denominated in euro. This price should hold good for 3 months from the final date for receipt of tenders (see below).

An outline of the method and phasing of payments.

Confirmation of acceptance of the General Conditions of Tender and Contract that follow in Section 8.

A statement from the tenderer that none of the excluding circumstances outlined in Annex 3 (NOT PROVIDED WITH THIS EVALUATION MANUAL) apply to him/her.

The NDP/CSF Evaluation Unit requires that all information provided pursuant to this invitation to tender be treated in strict confidence by tenderers. Information supplied by tenderers will be treated as contractually binding. However, the NDP/CSF Evaluation Unit reserves the right to seek clarification or verification of any such information. See also Section 8 (General Conditions of Contract and Tender) below.

The NDP/CSF Evaluation Unit will not be liable in respect of any costs incurred by suppliers in the preparation of tenders, including an electronic copy, or any associated work effort.

Twelve (12) copies of the tender should be sent by registered post or recorded delivery service or delivered by hand so as to arrive at the following address not later than noon (12.00 pm local time) on Monday, 22nd November:

Ms. Maureen Bird

NDP/CSF Evaluation Unit
Fredrick Buildings (3rd Floor)
South Frederick Street
Dublin 2, Ireland

The tender envelopes should be clearly marked “Tender for Evaluation of Water Services Investment in the NDP/CSF”, with the name and address of the tenderer clearly indicated on the front of the envelope, which should be sealed. Tenders that are delivered late will not be considered. Late delivery of tenders occasioned through the use of agents will not be entertained.

An electronic version of the tender document should also be sent by email to Maureen_Bird@csfunits.gov.ie

Section 6: Selection Process and Award Criteria

Tenders will initially be evaluated by reference to the following qualification criteria:

- Completeness of tender documentation as specified at Section 5 above; and
- Stated ability of the Consultant(s) to meet all the requirements specified in the terms of reference, including adherence to the evaluation timetable as set out at Section 4.2 above.

To be eligible for inclusion in the award process, a tender must meet these qualification criteria. The contract will be awarded on the basis of the most economically advantageous tender applying the following criteria, which have equal weight:

- Understanding, analysis and coverage of terms of reference;
- Comprehensiveness and quality of the methodological approach proposed;
- Extent of relevant evaluation experience and resources allocated; (Resources allocated refers to the input, expertise and responsibilities of the persons employed on the evaluation)
- Cost of tender.

The Evaluation Steering Committee may shortlist Consultants for interview on the basis of the written tenders before taking a final decision on tender selection.

Section 7: Additional Information

A meeting will be held for all persons and/or organisations considering the making of written submission in response to this request for tender at which additional information or clarification can be sought on the content of this document. The meeting will take place at Buswells Hotel, Molesworth Street, Dublin 2 on Thursday, 28th October, at 11.30 am.

In the interests of equity, all queries of substance will have to be raised at this meeting.

Further information (except in relation to purely factual or procedural matters) should not be sought, nor will requests for individual meetings be entertained.

Section 8: General Conditions of Tender and Contract

Annex 6-A – Annual Programme of Public Procurements Template

Contracting authority

.....

APPROVED

Manager

Contracting Authority

THE ANNUAL PROGRAM OF PUBLIC PROCUREMENTS

No.	Object of the contract / Framework Agreement	CPV code	Estimated value without VAT (Lei and Euro)	Intent notice (if the case)	Procedure applied	Estimated date for the start of the procedure	Estimated date for the finalisation of the procedure	Person in charge with the procedure
1							
2	Evaluation services for contract no. ...	74131400-0 or (?) 74121200-5	720.000 RON (200.000 EUR)	-	Open tender	25.05.2007	15.09.2007	Ion Ionescu
....								

Approved

Drafted

Financial – accounting department

.....

74131400-0 Performance review services

74121200-5 Auditing services

Annex 6-B – Template of an Award Calendar (for an Open Tender Procedure)

No.	Steps to follow	Foreseen date
1.	Sending for publication the intent notice, if the case	
2.	Elaborating the award documentation	
3.	Sending for publication the participation notice	
4.	Receiving the offers	
5.	Opening the offers and drafting the minutes for the opening of the session	
6.	<p>Verifying the minimum qualification requirements (if requested) as well as verifying the offers</p> <p>A reasonable period for any clarifications on documents as well as the presented information will be taken into consideration</p>	
7.	Evaluating the offers and choosing the winning offer (or, in exceptional cases, deciding on the necessity to cancel the procedure)	
8.	Notifying on the result of the implementation of the procedure	
9.	<p>Signing the contract¹</p> <p>The „standstill” period will be considered</p>	
10.	Sending for publication the award notice, if the case	
11.	Finalising the public procurement contract	

1 In order to avoid any unforeseen delays, it is recommendable to take into consideration the possibility of submitting contestations, which would determine a postponement of certain deadlines with approximately 30 days.

Annex 6-C – Procurement Information Fiche Template

I. a. CONTRACTING AUTHORITY

Title:		
Address:		
City:	Zip code:	Country:
Contact person:	Phone:	
In the attention of ...		
E-mail:	Fax:	
Internet address/es (if the case): Address of the contracting authority:		

The contracting authority purchases on behalf of another contracting authority
 Yes No

Any other information and/or clarifications may be obtained:	
	<input type="checkbox"/> at the address mentioned above <input type="checkbox"/> other: (specify / address/fax/hours)
Deadlines for receiving clarifications requests:	
	Date:
	Hour:
	Address :
Deadline for sending the answers to clarifications:	
The institutions responsible for solving the disproof	
Title:	
Address:	
City:	Zip code: Country:
E-mail:	Phone:
Internet address:	Fax:

I.c. Financing source:

The financing sources of the contract to be awarded will be specified 	As per the case, project/programme financed from community funds YES <input type="checkbox"/> NO <input type="checkbox"/> If YES, make reference to project/programme
--	--

II: OBJECT OF THE CONTRACT

II.1) description

II.1.1) Title of the contract: <hr/>		
II. 1.2) Title of the contract and location of works, the place for delivery or implementation (Choose a single category – works, products or services – that largely correspond to the object of the contract or procurement c)		
(a) Works <input type="checkbox"/>	(b) Products <input type="checkbox"/>	(c) Services <input type="checkbox"/>
Execution <input type="checkbox"/> Design and execution <input type="checkbox"/> Implementation through any means corresponding to the requirements specified by the contracting authority <input type="checkbox"/>	Buying <input type="checkbox"/> Leasing <input type="checkbox"/> Renting <input type="checkbox"/> Piece by piece payment (with instalments) <input type="checkbox"/>	Category of the service 2A <input type="checkbox"/> 2B <input type="checkbox"/> (The services category comprising the object of the contract is mentioned)
Main location of delivery <hr/> <hr/> <hr/>	Main location of delivery <hr/> <hr/> <hr/> Code CPV	Main location for implementation <hr/> <hr/> <hr/>

Code □□□□□□□□	CPV □□□□□□□□	Code □□□□□□□□	CPV □□□□□□□□
II. 1. 3) The procedure is finalised with : Public procurement contract: <input type="checkbox"/> Framework agreement: <input type="checkbox"/>			
II. 1.4. The duration of the public procurement contract years □□ months □□ days □□ (from the award of the contract) or starting with □□ / □□ / □□□□ (dd/mm/yyyy/)			
II.1.5. Information regarding the framework agreement (if the case)			
Framework agreement with several operators <input type="checkbox"/> No. □□□ or, if the case, the maximum no. □□□ of participants to the respective framework agreement		The framework agreement with only one operator <input type="checkbox"/>	
The duration of the framework agreement: Duration in years □□ or months □□□			
The possibility to restart the competition with those having signed the framework agreement YES <input type="checkbox"/> NO <input type="checkbox"/>			
II.1.7) Division in lots yes <input type="checkbox"/> no <input type="checkbox"/> The offers are submitted for: one lot <input type="checkbox"/> one or more <input type="checkbox"/> all lots <input type="checkbox"/> Other information concerning the lots:			
II.1.8) The alternative offers are accepted YES <input type="checkbox"/> NO <input type="checkbox"/>			

II.2) The quantity or the objective of the contract

II.2.1) Total quantities / delivery of services / works (any supplements or options will be included, if existing)

(the annex containing information concerning min – max. quantities / the objective of the contract should be specified)

II.2.2) Options (if existing) yes no

The description of these options, if existing:

III. Specific conditions of the contract

<p>III.1 Other special conditions referring to the contract (as per the case)</p> <p>III.1.1. Reserved contract (if YES, short description)</p> <p>III.1.2. Other (if YES, please describe)</p>	<p style="text-align: center;">YES <input type="checkbox"/> NO <input type="checkbox"/></p> <p style="text-align: center;">YES <input type="checkbox"/> NO <input type="checkbox"/></p>
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III: PROCEDURE

III.1) Selected procedure	
<p>Open tender <input type="checkbox"/></p> <p>Restricted tender <input type="checkbox"/></p> <p>Accelerated restricted tender <input type="checkbox"/></p> <p>Competitive dialogue <input type="checkbox"/></p>	<p>Negotiation with participation notice <input type="checkbox"/></p> <p>Negotiation without participation notice <input type="checkbox"/></p> <p>Call for offers <input type="checkbox"/></p> <p>Competition of solutions <input type="checkbox"/></p>

III.2) Final phase of the electronic tender YES NO

<p>If YES, additional information concerning the electronic tender</p> <hr/> <hr/>
--

<p>III.2.) Legislation applied (to be filled in with the current legislation afferent to public procurements – GEO 34/2006; GD 925 /2006, as per the case, other normative acts (–</p>
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see www.anrmap.ro)

IV. QUALIFICATION AND/OR SELECTION CRITERIA

IV.1) Personal situation of the candidate / tenderer	
Declarations concerning the eligibility	Compulsory demand: submission of form A and/or Legal certificate / equivalent certificate
Declaration concerning the lack of compliance to art. 181 Requested <input type="checkbox"/> Not requested <input type="checkbox"/>	Compulsory demand: filling in form B (It should be mentioned if there is a request for confirmation of payment of taxes)
IV.2) Capacity to implement professional activity (registration)	
Legal/natural Romanian persons	Compulsory demand: Certifying certificate issued by the commerce registry office , Licence for functioning / other equivalents
Foreign natural/legal persons	Compulsory demand: Documents that prove a registration form / certification or professional belonging
IV. 3.) Financial – economic situation	
Information concerning the financial – economic situation Requested <input type="checkbox"/> Not requested <input type="checkbox"/>	If demanded, the following information must be presented: The result of the financial exercises for the last 3 years Declaration on the turnover for the last 3 years professional risk assurance
IV.4.) Technical and/or professional capacity	
Information concerning the technical capacity Requested <input type="checkbox"/> Not requested <input type="checkbox"/>	If demanded, one must present information concerning: Example: The list of main deliveries/implementation of services/works from the last 3 years / 5 years in the case of works Requested <input type="checkbox"/> Not requested <input type="checkbox"/> The filling in of the form C1/C2/C3 is mentioned
Information concerning the subcontractors	Depending on each case, it is compulsory to fill in the form D with the information on

	subcontractors and their specialty.
IV.7. If applicable, the method of selection/pre-selection	<ul style="list-style-type: none"> - the method of selection/pre-selection will be clearly mentioned - the criteria for selection/pre-selection will be detailed <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p>

V. PRESENTATION OF THE OFFER

V.1) Language for drafting the offer	Romanian language is mentioned and/or another language of international circulation
V.2) Validity of the offer	The period of validity estimated as being sufficient for finalisation within a reasonable period necessary for evaluating and signing the contract will be mentioned
V.3) Warantee of participation Requested <input type="checkbox"/> Not requested <input type="checkbox"/>	If requested, the following will be mentioned: <ul style="list-style-type: none"> - The quantum of the participation guarantee – a fix sum equal with max. 2% from the estimated value of the contract to be awarded. - The validity period for the participation warantee, which must be at least equal to the validity period of the offer. - The constitution form of the participation warantee to be accepted will be mentioned. In the case of the bank guarantee letter, its filling in according to form 11 is mentioned.
V.6) The presentation method of the technical proposal	<ul style="list-style-type: none"> - the forms to be filled in shall be mentioned so that the information from the technical proposal allows the easy identification of the correspondence with the minimum technical specifications from the terms of reference. <p>Note: If the award criterion is “the economically most advantageous offer” the elements of the</p>

	<p>technical proposal will be presented in a detailed and complex manner in correlation with the evaluation factors described through the calculation algorithm.</p> <p>It may be requested to fill in a table containing technical characteristics/specifications/other demands to be met mentioning the afferent form;</p>
V.7) The presentation method of the financial proposal	<p>- The payment deadlines will be mentioned or any other elements necessary for elaborating the financial proposal.</p> <p>- the form that needs to be filled in will be mentioned and/or other forms that contain the detailed cost elements that constitute the financial proposal.</p> <p>The forms are elaborated so that they allow the calculation corresponding to the financial proposal.</p>
V.9) The presentation method of the offer	<p>- The following will be mentioned: the address of the contracting authority, the name of the department/service that registers (room, person responsible)</p> <p>- The deadline for submitting the offer, respectively day/month/year – hour limit is mentioned.</p> <p>- The method of presentation / packing / sealing/marketing the envelopes containing documents as well as samples/drafts, as per the case.</p>
V.10) The possibility of withdrawing or modifying the offer	<p>- The conditions for modifying and withdrawing the offer are mentioned in correlation with the deadline for submitting the offer;</p> <p>- The circumstances for declaring the offers delayed are mentioned (submission at another address / submission after the deadline/ hour limit mentioned at point V.9)</p>
V.11) Opening the offers	<p>Date, hour and place of opening the offers</p> <p>Conditions for participants at the opening session.</p>

VI. AWARD CRITERIA

V.1) The lowest price	<input type="checkbox"/>
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VI.2) The economically most advantageous offer <input type="checkbox"/>			
Evaluation factor	Weight	Evaluation factor	Weight
1.....	6.....
2.....	7.....
3.....	8.....
4.....	9.....
5.....	10.....

Details concerning the calculation algorithm

.....
.....
.....

VII. AWARDING THE CONTRACT/CONCLUDING THE FRAMEWORK CONTRACT

VII.1 Adapting the price of the contract YES <input type="checkbox"/> NO <input type="checkbox"/>	If YES, the method of adjusting the price of the contract will be mentioned
VII.2. The warantee of good execution YES <input type="checkbox"/> NO <input type="checkbox"/>	If yes, the following will be mentioned: - the quantum of the warantee of good execution expressed in percentage and no more than 10% - the method of constituting the waranter of good execution

Annex 6-D – Contract Template

no. _____ date _____

Preamble

Based on the GEO no.34/2006 concerning the award of the public procurement contracts, contracts for concession of public works and services approved with modifications and completions through the Law no. 337/2006, the present contract of products delivery was concluded, between

..... (title of the contracting authority),
address of its headquarters phone/fax
..... registration number fiscal code
..... treasury account
represented by (name of
the manager), position.....

in capacity of purchaser, on one side

and

..... title of the economic
operator..... address of its headquarters
..... phone/fax
registration number fiscal code account
(treasury, bank)
represented by (name of the
manager) position.....

in capacity of provider, on the other side.

2. Definitions

2.1 – The terms used in the present contract will be interpreted as follows:

contract – it means the present contract and all its annexes.

purchaser and provider - contracting parties, as defined in the present contract;

price of the contract – the price that the purchaser needs to pay to the provider on the basis of the contract for all obligations assumed through the contract;

services – activities that represent the object of the contract;

products – equipments, machines, tools, replacing parts and any other goods stated in the annex/annexes of the present contract and that the provider has the obligation to provide along with the services delivered as per the case;

force majeure - an event beyond the control of the parties, which is not due to the error or fault of any of them, which could not have been foreseen at the moment of contract conclusion, and that makes impossible the execution, and respectively, the fulfilment of the contract; such events are considered to be: wars, revolutions, fires, floods or any other natural catastrophe, restrictions that follow a quarantine, embargo, the above enumeration is not exhaustive, but indicative. Force majeure is not considered an event similar to the ones above that, without creating the impossibility of execution, makes extremely costly the execution of the obligations of one party;

j. day – calendar day; year - 365 days.

(other terms may be added if the parties wish to define them for the contract)

3. Interpretation

3.1 Unless the contract stipulates otherwise, the words in singular will also include the plural form, and the other way around, where this is allowed by the context.

3.2 The word “day” or “days” or any other reference to days represents calendar day, unless otherwise mentioned.

Compulsory clauses

4. Main object of the contract

4.1 – The provider assumes the obligation to delivername of the services, during the agreed period/periods and according to the obligations assumed in the present contract.

4.2 – The purchaser assumes the obligation to pay the price agreed in the present contract for delivered services.

5. Price of the contract

5.1 The price agreed for the fulfillment of the contract, payable by the purchaser according to the payment graphic is oflei, or as per the case.....euro, to which the VAT is added.

6. Duration of the contract

6.1 – The duration of the present contract is of..... months, starting with

(the period and the date should be written)

6.2. The present contract stops producing effects at date

(the date when the contract ceases should be written)

7. Execution of the contract

7.1 – The execution of the contract starts after the constitution of the good execution warrantee on the date of

(the date when the contract becomes valid should be written)

8. Documents of the contract

8.1 - The documents of the contract are:

(the documents that the parties consider as being part of the contract should be mentioned)

9. Main obligations of the provider

9.1- The provider should deliver the services at the standards and performances presented in the technical proposal, annex to the contract.

9.2. The provider assumes the obligation to implement the services as per the implementation graph from the technical proposal.

9.3 – The provider assumes the obligation to compensate the purchaser against:

for any reclamations or actions taken to justice that derive from offending intellectual property rights (patents, names, registered trade marks, etc) related to the equipments, materials, installations or instruments used for or in relation to the goods purchased, and

for damages – interests, costs, taxes and afferent expenditures of any nature with the exception of the situation when such a breach results from respecting the terms of reference elaborated by the purchaser.

10. Main obligations of the purchaser

10.1 – The purchaser assumes the obligation of paying the price to the provider within the deadlines agreed from the issuing of the invoice. The foreign currency payments will be done with the respect of the legal stipulations.

(the payment deadline from the issuing of the invoice should be mentioned and, as per the case, the payment graph)

10.2 – If the purchaser does not pay the invoices within 14 days from the expiry of the agreed period, the provider has the right to cease the delivery of services and to beneficiate of an update of the sum at the payment level for the payment day. The provider will restart the delivery of the services as soon as the purchaser pays the invoice.

11. Penalties for lack of fulfillment of obligations out of own fault

11.1 – In case the provider does not fulfill its obligations assumed through the contract out of its own fault, the purchaser has the right to deduct from the price of the contract a certain percentage as penalty.

(the percentage for each day/week of delay until the effective implementation of obligations should be mentioned)

11.2 – In case the purchaser does not pay the invoices within 28 days from the expiry of the agreed period, it has the obligation to pay as penalty, a sum equivalent to a percentage from the payment lacking.

(the same percentage stipulated for clause 11.1 for each day/week of delay until the effective fulfillment of obligations should be mentioned)

11.3 – The lack of fulfillment of obligations assumed through the present contract by one of the parties, out of its own fault and repeatedly, gives the right to the harmed party to consider the contract cancelled and claim the payment of damages-interests.

11.4 – The purchaser reserves the right to cancel the contract at any moment without any compensation through a written notification addressed to the provider if the later goes bankrupt on the condition that this cancellation does to harm or affect the provider's right of action or compensation.. In this case, the provider has the right to claim only the part corresponding to the part of the contract fulfilled until the date of unilateral denunciation of the contract.

Specific clauses

12. The warrantee of good execution of the contract

12.1 - (1) The provider assumes the obligation to constitute the warrantee of good execution of the contract in a total of, for the period of and, anyway, until the contract becomes effective.

(the method of constitution, the sum, and the period of constitution of the warrantee of good execution should be mentioned)

12.2 – The purchaser assumes the obligation to issue the warrantee of participation and issue the order to start the contract only after the provider proves the constitution of the warrantee of good execution.

12.3 - The purchaser has the right to issue claims over the warrantee of good execution within the limits of the damage created if the provider does not execute, executed with delays or inappropriately the obligations assumed in the present contract. Before issuing a claim over the warrantee of good execution, the purchaser has the obligation to notify it to the provider, mentioning at the same time all obligations that have not been respected.

12.4 – The purchaser assumes the obligation to return the good execution warrantee within ...from the fulfillment of the obligations assumed.

(the method and the deadline are mentioned)

13. Other responsibilities of the provider

13.1 - (1) The provider has the obligation to implement the services foreseen in the contract with due professionalism and readiness according to the assumed commitment and in conformity with the technical proposal.

(2) The provider assumes the obligation to monitor the implementation of services, to ensure human resources, materials, installations, equipments and anything alike, either temporary or definitely as asked by and for the contract, as far as the necessity of ensuring them is foreseen in the contract or may be reasonably deducted from the contract.

13.2 - The provider is fully responsible for the execution of services as per the implementation graph agreed. At the same time, it is responsible for the security of all operations and implementation methods used and for the qualification of the personnel used on the entire duration of the contract. (the annex containing the implementation graph is mentioned)

14. Other responsibilities of the purchaser

14.1 – The purchaser assumes the obligation to make available to the provider any facility and/or information that this later asked for in the technical proposal and that it considers necessary for the fulfillment of the contract.

15. Acceptance and verifications

15.1 – The purchaser has the right to verify the method of implementation of services in order to establish their conformity to the stipulations from the technical proposal and the terms of reference.

15.2 – The verifications will be made according to the stipulations from the present contract. The purchaser has the obligation to notify in writing to the provider the identity of its representatives in this sense.

(the annex containing the method of verification and reception of services should be mentioned)

16. Start, finalisation, delays, cessation

16.1 - (1) The provider has the obligation to start the implementation of services within the shortest delay from the receipt of the order to start the implementation of the contract.

(the maximum date of start of the contract should be mentioned)

(2) In case the provider registers delays and/or additional costs exclusively due to the purchaser, the parties will agree together on:

a) the prolongation of the period of implementation of the service, and

b) the total of the afferent expenditures that will be added to the price of the contract....., if the case.

16.2 - (1) The services delivered on the basis of the contract or, as per the case, any phase that foreseen to be finalised within the period set in the implementation graph, must be finalised within the deadline agreed by the parties, deadline that starts being calculated from the start of the delivery of services

(2) Should:

any reasons of delay, which are not due to the provider, and

other unusual circumstances with potential to happen in another way than through the breaching of the contract by the provider,

give the right to the provider to ask for the prolongation of the period of implementation of services or of any of their phase, then the parties will revise together the implementation period and will sign an additional document.

16.3 – If the provider does not respect the graph of implementation during the fulfillment of the contract, it has the obligation to notify this aspect in due time to the purchaser. The modification of the date/periods of implementation in the delivery planning needs the agreement of both parties through an additional document.

16.4 – Any delay in the fulfillment of the contract gives the right to the purchaser to claim penalties from the provider unless the purchaser agrees to a prolongation of the execution period.

17. Adjusting the price of the contract

17.1 – For the services implemented, the payments due by the purchaser to the provider are the tariffs mentioned in the financial proposal, annex to the contract.

17.2 – The price of the contract is updated using the agreed adjustment formula. (the adjustment formula should be mentioned)

18. Amendments

18.1 – The contracting parties have the right to agree on the modification of the clauses of the contract during the implementation of the contract through an additional document only when some circumstances appear that harm their legitimate interests and that could not have been foreseen at the date of conclusion of the contract.

19. Subcontractors

19.1 – If the provider subcontracts parts of the contract to designated subcontractors, it has the obligation to conclude contracts with designated subcontractors with the same conditions used for its contract with the purchaser.

19.2 - (1) The provider has the obligation to present when it signs the contract all the contracts signed with the designated subcontractors.

(2) The list of subcontractors with identity details becomes annex to the contract.

19.3 - (1) The provider is fully responsible for the way it implements the contract.

(2) The subcontractor is fully responsible for the way it fulfils its part of the contract.

(3) The provider has the right to claim damages-interests to subcontractors if they don't fulfil their part of the contract.

19.4 – The provider may change any subcontractor only if it has not fulfilled its part of the contract. Changing the subcontractors will not change the price of the contract and must be notified to the purchaser.

20. Cessation

20.1 – The provider can't transfer totally or partially parts of the obligations assumed through the contract without previously obtaining the written agreement of the purchaser.

20.2 – The cessation will not exonerate the provider from any responsibility related to the warrantee or any other obligations assumed through the contract.

21. Force majeure

21.1 – Force majeure is ascertained by a competent authority..

21.2 – Force majeure exonerates the contracting parties from the fulfillment of the obligations assumed through the present contract for the entire period of its validity.

21.3 – The fulfillment of the contract will be suspended during the validity of the force majeure, but without harming the rights of the parties valid until its occurrence.

21.4 – The contracting party to invoke the force majeure has the obligation to notify its production to the other party, immediately and fully and take any measures at its disposal to limit the consequences.

21.5 – If it is estimated that the force majeure acts or will act for a period longer than 6 months, each party will have the right to notify to the other party the rightful cessation of the contract without any party claiming to the other one damages-interests.

22. Settling disputes

22.1 – The provider and the purchaser will make efforts to solve amiably, through direct negotiations, any misunderstanding or dispute that may appear within or related to the contract.

22.2 – If alter 15 days from the start of the unofficial negotiation, the purchaser and the provider don't succeed in settling amiably a contractual dispute, each of them may ask for a solution either through the arbitrage of the Chamber of Commerce and Industry of Romania or of the Romanian law courts.

(the method of settling disputes should be mentioned)

2. The language that governs the contract

23.1 – The language of the contract is Romanian.

24. Communications

24.1 - (1) Any communication between the parties referring to the fulfillment of the present contract must be sent in writing.

(2) Any written document must be registered when it's sent and received.

24.2 – The parties may also communicate via phone, fax or e-mail on the condition of receiving in writing the communication.

25. Law aplicable to the contract

25.1 – The contract will be interpreted according to the laws from Romania.

The parties understood to conclude today the present contract in two originals, one for each party.

(the date of signature by both parties should be mentioned)

Purchaser

Provider

.....

.....

(authorized signature)

(authorized signature)

LS

LS

Annex 7. Tender Assessment Example

Evaluation of Sector X Investment in the NDP/CSF

Recommendation to Steering Committee on Selection of Tender

Introduction

Following our assessment of the proposals received in response to the Request for Tender for the above evaluation, and taking account of the discussion at the Steering Committee meeting on 6th December last, the NDP/CSF Evaluation Unit is now in a position to make a recommendation on the appointment of an Evaluator.

Tender Process

The Request for Tender (RFT) was notified (under the open procedure) to the Official Journal of the European Communities in September 2004. It was also advertised through the Government procurement portal, www.etenders.gov.ie. An information meeting for consultants and interested parties was held on 28th October. Five tenders (all deemed eligible) were received on or before the closing date of 22nd November 2004. Copies of the tender documents were circulated to committee members in advance of the meeting of 6 December 2004.

Assessment Process

Taking account of the discussion at the Steering Committee meeting, the Evaluation Unit has now scored and ranked the tenders under the 4 criteria set out in the RFT document. These criteria, which have equal weight, are as follows:

Understanding, analysis and coverage of terms of reference;

Comprehensiveness and quality of the methodological approach proposed;

Extent of relevant evaluation experience and resources allocated; (Resources allocated refers to the input, expertise and responsibilities of the persons employed on the evaluation)

Cost of tender.

Each tender was awarded a score of between 0 and 10 under each criterion, with the score then multiplied (i.e., weighted) by 10 to yield a total score of up to a possible maximum of 100. Scores were allocated to the "cost" criterion on a strict pro-rata basis, with the lowest cost tender awarded 100 points. The points awarded should not, of course, be seen as representing an absolute score; for each criterion they reflect an assessment of the relative merit of a tender compared with that of competing proposals. However, by way of explanation, the scores in respect of the non-cost criteria can be taken to approximate to the following qualitative ratings:

9/10 points: excellent

7/8 points: good to very good

5/6 points: adequate

3/4 points: poor

2 points or less: very poor

It should be noted that the cost criterion captures the (relative) cost of the tender and not a broader “value for money” assessment. (This is picked up in the overall score, which incorporates both the cost and other quality criteria.)

Results of Assessment Process/Recommendation

Members will find attached a summary sheet setting out the scores awarded to each tender. This is followed by detailed Tender Assessment Forms, which set out the basis for the scores awarded to each of the proposals.

On the basis of this assessment, the Unit recommends that the contract to carry out the evaluation be awarded to Team A. (340 points). Having regard to the scores awarded and the fact that this tender scores highest on 3 out of the 4 selection criteria, the Unit considers that this proposal represents the most economically advantageous tender. This recommendation is in line with the consensus that emerged clearly from the discussion at the Steering Committee meeting.

Steering Committee members are asked to consider this recommendation. Your approval of the Unit’s recommendation will be assumed in the absence of an indication to the contrary by Thursday, 16th December next. Any objection to this recommendation has to be made on the basis of explicit reference to the criteria used in the assessment process.

NDP/CSF Evaluation Unit

10 December 2004

Evaluation of Sector X Investment in the NDP/CSF

Summary of Weighted Scores Awarded to Tenders

Selection Criteria	Tender (lead partner)				
	Team A	Team B	Team C	Team D	Team E
Understanding, analysis and coverage of terms of reference	90	70	60	40	40
Comprehensiveness and quality of the methodological approach proposed	80	60	50	50	40
Extent of relevant evaluation experience and resources allocated	70	90	90	60	50
Cost of tender	100	80	95	81	76
Total	340	300	295	231	206

Annex 8 – Quality Assessment Template

Criterion	Interpretation	Rating			
		Excellent	Good	Fair	Poor
Meeting needs	The evaluation report adequately addresses the requests for information formulated by the commissioners and corresponds to the terms of reference				
Relevant scope	The rationale of the programme, its outputs, results, impacts, interactions with other policies and unexpected effects have been carefully studied				
Open process	The interested parties – both the partners of the programme and the other stakeholders – have been involved in the design of the evaluation and in the discussion of the results in order to take into account their different points of view				
Defensible design	The design of the evaluation was appropriate and adequate for obtaining the results (within their limits of validity) needed to answer the main evaluative questions				
Reliable data	The primary and secondary data collected or selected are suitable and reliable in terms of the expected use				
Sound analysis	Quantitative and qualitative data were analysed in accordance with established conventions, and in ways appropriate to answer the evaluation questions correctly				
Credible results	The results are logical and justified by the analysis of data and by suitable interpretations and hypotheses				
Impartial conclusions	The conclusions are justified and unbiased				
Clear report	The report describes the context and goal, as well as the organisation and results of the programme in such a way that the information provided is easily understood				
Useful recommendations:	The report provides recommendations that are useful to stakeholders and are detailed enough to be implemented				

Annex 9 – Prototype Application Form for Structural Funds

GUVERNUL ROMÂNIEI

FORMULARUL CERERII DE FINANȚARE

★ ★ ★ ★ ★ ★ ★ ★ ★ ★ ★ ★ ★ ★ ★ ★

INSTRUMENTELE STRUCTURALE ALE UE

FORMULAR COMUN PENTRU TOATE PROGRAMELE OPERAȚIONALE

finanțate din

Fondul European de Dezvoltare Regională (FEDR)

Acest formular al cererii de finanțare trebuie completat atât pentru cererile de finanțare în cazul proiectelor cât și în cazul schemelor de grant luate în ansamblu. Solicitățile individuale de grant vor avea un format mai simplu și vor fi elaborate de către administratorii schemelor de granturi.

Informații detaliate referitoare la completarea cererii de finanțare sunt prezentate în Ghidul Aplicantului – acestea vor trebui verificate de către AM-uri conform prevederilor din manualul privind eligibilitatea cheltuielilor, programul complement etc.

INSTRUMENTELE STRUCTURALE ALE UE

ELEMENTE COMPONENTE ALE FORMULARULUI COMPLET AL CERERII DE FINANȚARE

1. Informații privind solicitantul
2. Descrierea proiectului
3. Obiective cuantificabile
4. Concordanța cu politicile UE
5. Valoarea proiectului/ Surse de Finanțare
6. Lista de verificare și certificare

Anexă specifică pentru intervențiile FEDR

Instrucțiunile detaliate pentru solicitanți cu privire la toate secțiunile se găsesc în Ghidul Aplicantului.

ÎNREGISTRAREA CERERII DE FINANȚARE	
Se completează de către Autoritatea de Management/ Organismul Intermediar	
Instituția	
Data înregistrării	Număr de înregistrare.....
Numele și prenumele persoanei care înregistrează.....	Semnătura.....

INFORMAȚII PRIVIND SOLICITANTUL

1.1 SOLICITANT

Numele organizației:

Cod unic de înregistrare:

Adresa postala:

Adresa posta electronica(dacă este cazul)

1.2 TIPUL ORGANIZAȚIEI: Public/ Privat

Este necesară formularea unei liste cu posibile tipuri de organizații – drop out list

În cazul în care solicitantul este o companie vă rugăm să completați următorul tabel:

Anul înființării companiei	Anul n-1	Anul n-2	Anul n-3
Număr de angajați			
Cifra de afaceri			
Rezultatul net bilanțier			

1.3 PERSOANA AUTORIZATĂ ÎN MOD OFICIAL SĂ DEPUNĂ CEREREA DE FINANȚARE

Nume

Funcție
Număr de telefon
Număr de fax
Adresă de e-mail

1.4 PERSOANA DE CONTACT

Nume
Funcție
Număr de telefon
Număr de fax
Adresă de e-mail

1.5 BANCA

Banca/ Sucursala:
Cod IBAN:

1.6 SPRIJIN ACORDAT ÎN PREZENT SAU ANTERIOR DE CĂTRE UNIUNEA EUROPEANĂ

Ati mai beneficiat de asistență nerambursabilă din partea UE sau de împrumut din partea BEI? Da/Nu

Daca da, vă rugăm să specificați sprijinul UE/BEI primit în ultimii 5 ani

Numele proiectului și nr. de referință

Vă rugăm să specificați dacă pentru proiectul ce constituie obiectul prezentei cereri de finanțare a mai fost solicitat sprijin financiar din instrumente structurale?

Numele programului operațional și nr. de înregistrare a proiectului

2. DESCRIEREA PROIECTULUI

2.1 TITLUL PROIECTULUI

.....

2.2 LOCAȚIA ACTIVITĂȚILOR AFERENTE PROIECTULUI

De inserat rubrici pentru țară, regiune, județ, municipalitate (trebuie inclusă posibilitatea de a selecta mai multe locații/municipalități).

2.3 AXA PRIORITARĂ A PROGRAMULUI OPERAȚIONAL ȘI DOMENIUL MAJOR DE INTERVENȚIE

Nota pentru AM: Aceasta rubrica s-ar putea să nu poată fi completată corect de către beneficiar. Credeți că este bine să fie completată de către AM ulterior?

Inserați rubrici care prezintă PO, Axele Prioritare, domeniile majore de intervenție, operațiunile și activitățile din cadrul operațiunilor

Pentru fiecare operațiune/ activitate se va specifica tipul de ajutor de stat aferent.

2.4 CALENDARUL ACȚIUNILOR

Data începerii proiectului, din punct de vedere financiar:

Data finalizării din punct de vedere financiar al proiectului:

Fazele implementării proiectului:

Completați tabelul de mai jos cu descrierea fazelor implementării proiectului și datele la care acestea se vor realiza:

Faza	De la....	Pana la....
1.	_____ luna _____ an	_____ luna _____ an
2.	_____ luna _____ an	_____ luna _____ an
3.	_____ luna _____ an	_____ luna _____ an
4.	_____ luna _____ an	_____ luna _____ an

2.5 DESCRIEREA PROIECTULUI (inclusiv necesitatea și cererea existentă pentru implementarea unui astfel de proiect)

.....
.....
.....

2.6 OBIECTIVELE PROIECTULUI

Impactul socio-economic ce se dorește a fi atins prin intermediul proiectului

.....
.....
.....

VALOAREA ADĂUGATĂ A PROIECTULUI

Specificați dacă în lipsa obținerii finanțării prin prezenta cerere de finanțare, proiectul se va încadra într-una din situațiile de mai jos:

Proiectul se va realiza oricum: Da/Nu

Proiectul se va realiza, dar într-o perioadă mai lungă de timp:
Da/Nu

Proiectul se va realiza, dar la o scară redusă Da/Nu

Proiectul nu va mai fi implementat Da/Nu

2.8 TAXA PE VALOAREA ADĂUGATA

Pentru activitatea ce urmează a fi desfășurată în cadrul proiectului pentru care solicitați finanțare conform prezentei cereri, organizația este plătitoare de TVA ?

Da/Nu

Vă rugăm să prezentați o dovadă scrisă de la Administrația Financiară în care să se precizeze și baza legală pentru statutul referitor la TVA / scutire.

3. OBIECTIVE CUANTIFICABILE

3.1 AXA PRIORITARĂ DIN PO/OBIECTIVELE DOMENIULUI DE INTERVENȚIE

Completați valoarea prognozată a indicatorilor (results and outputs) din tabel.

INDICATORI	VALOARE la sf implem
Rezultat imediat	

Rezultate	

Descrieți/ cuantificați orice rezultat imediat adițional sau rezultat direct din implementarea proiectului care nu este inclus

în tabelul de mai sus, dar care poate aduce valoare adăugată pentru proiect (includeți maxim 5 asemenea indicatori).

Note pentru Autoritățile de Management:

Autoritatea de Management va realiza o listă cu indicatori pe tipuri de proiecte, corespunzătoare fiecărui domeniu major de intervenție din Programul Operațional, indicatori care vor apărea și în SMIS. Indicatorii vor fi de tip „output” și „result”. Nu se vor include indicatori de impact la momentul completării cererii de finanțare. Acest tip de indicatori vor fi calculați de către AM-uri la nivelul PO!

4. CONCORDANȚA CU POLITICILE UE ȘI LEGISLAȚIA NAȚIONALĂ

4.1 AJUTORUL DE STAT

Proiectul va implica ajutor de stat de tip de-minimis?

Da/Nu

Dacă „da”, specificați rolul pe care îl îndepliniți:

administrator al schemei de minimis

beneficiar al schemei de minimis

Dacă sunteți administrator, vă rugăm să furnizați detalii privind modul în care va fi respectat pragul maxim pentru totalul cumulată al contribuției publice naționale și comunitare (150,000 EUR pe o perioadă de 3 ani), inclusiv modul în care se vor efectua înregistrările (ANEXA)

Dacă sunteți beneficiar , vă rugăm să furnizați detalii cu privire la întregul ajutor primit (din fonduri naționale și comunitare) primit în ultimele 36 luni.

Data acordării ajutorului	Organizația care acorda ajutorul	Activitate sprijinită	Valoare asistență

4.2 AUTORIZAȚII ȘI AVIZE

4.2.1 Autorizația de construire

Este necesara obținerea autorizației de construire? Da/Nu

Daca da, au fost obținute toate aprobările necesare? Da/Nu

În caz afirmativ, vă rugăm să atașați o copie a autorizației și condițiilor aplicabile

În cazul în care autorizația va fi obținuta la o data ulterioară, vă rugăm să specificați termenul estimat pentru obținere:

4.2.2 Acordul de mediu

Este necesară obținerea acordului de mediu pentru proiect? Da/Nu

S-a obținut deja acordul de mediu pentru proiect? Da/Nu

Daca da, vă rugăm să anexați o copie a acordului și a rezultatelor evaluării asupra mediului efectuată de autoritățile relevante.

4.2.3 Evaluarea de Impact asupra Mediului

Este necesară o Evaluare de Impact asupra Mediului pentru proiect? Da/Nu

Daca da, vă rugăm să anexați o copie a avizului, un rezumat non-tehnic și secțiunea din document din care să rezulte condițiile impuse.

4.2.4 Vă rugăm să explicați modul în care proiectul va respecta principiul “poluatorul plătește” (dacă este cazul)

În cazul în care proiectul nu respecta acest principiu, vă rugăm să prezentați motivele pentru aceasta

.....
.....
Explicați modul în care proiectul contribuie la obiectivele de dezvoltare durabilă – includeți referiri la măsurile de integrare adiționale pentru mediu (de exemplu, auditul de mediu, managementul de mediu, monitorizarea specifică de mediu) și furnizați detalii și copii ale altor documente relevante.

.....
.....

4.3 EGALITATEA DE ȘANSE

Toate proiectele finanțate ar trebui să aducă o contribuție pozitivă la egalitatea de șanse pentru toți. Subliniați modul în care egalitatea de șanse a fost integrată în elaborarea și implementarea proiectului, menționând orice componentă specifică care arată acest lucru.

.....
.....
.....
.....
.....

Organizația solicitantului are o politică de egalitate de șanse ? Da/Nu

Daca da, vă rugăm să explicați modul în care proiectul va fi în concordanță sau va extinde politica de egalitate de șanse a solicitantului.

Daca nu, explicați modul în care va fi dezvoltată o asemenea politică privind egalitatea de șanse și modul de implementare prevăzut.

.....
.....
.....

5. VALOAREA PROIECTULUI/ SURSE DE FINANȚARE

5.1 VALOAREA PROIECTULUI

DETALIEREA COSTURILOR ELIGIBILE ALE PROIECTULUI PE FIECARE AN

Vă rugăm să prezentați cheltuielile eligibile identificate pentru fiecare activitate a proiectului în parte, pe fiecare an de implementare.

Note pentru Autoritățile de Management:

Fiecărei operațiuni/ activități îi corespunde o anumită schemă de ajutor de stat (aceasta fiind pre-definită în cadrul aplicației). Aceste conexiuni vor fi precizate în Ghidul aplicantului, însă ele vor fi selectate în mod automat în cererea de finanțare. În cazul în care pentru o anumită operațiune se aplică mai multe tipuri de ajutor de stat, se vor deschide mai multe ferestre cu tabele conform celor de mai sus, care vor trebui completate de solicitanți în funcție de activitatea desfășurată.

În tabelele de mai sus, va fi calculat un total al costurilor eligibile pentru fiecare activitate în parte / schema de ajutor de stat. Pentru a calcula valoarea totală a finanțării UE pentru fiecare activitate se va aplica rata de intervenție specifică schemei de ajutor de stat aplicată la totalul obținut prin adunarea cheltuielilor eligibile pentru fiecare activitate în parte, așa cum este menționat mai sus.

Valoarea totală de care poate beneficia un anumit solicitant se poate calcula prin însumarea granturilor permise pentru fiecare activitate din operațiunea respectivă.

Grantul total va fi calculat automat, fie direct – în cadrul cererii de finanțare – fie prin crearea unei aplicații specifice "calculator de grant".

Total Grant = $x_1 + x_2 + \dots + x_n$ as case may be depending on the activity defined by MA

Investment activity - Regional aid

grant for this activity (x_1) = total eligible expenditure * intervention rate

Category of expenses	2007	2008	...2015	Total eligible	Rata standard de interventie			Bucharest
					small	medium	large	
In-kind contribution					70%	60%	50%	-10% din rata standard de interventie
- details*	-	-	-					
land acquisition (capped to 10% of total)								
building acquisition								
other works on site								
building and construction								
acquisition of equipment								
intangible assets				capped to 50% for large companies				
professional fees**				capped to ...				
other costs (include ...)								

wage costs***								
Total								

Note:

* Contributia in natura (in kind contribution) va trebui limitata la 50% din totalul contributiei proprii eligibile a beneficiarului. Totodata, principiile referitoare la limitele maxime de eligibilitate (conform manualului de eligibilitate) se aplica si pentru contributia in natura (ex: valoare eligibila pentru terenuri – max. 10% din valoare totala eligibila proiect).

Calculul contributiei in natura urmeaza sa fie realizat de catre beneficiar, prin luarea in calcul a ratei de interventie (medie) pe operatiunea respectiva – atunci cand sunt eligibile mai multe activitati in cadrul aceleiasi operatiuni/proiect, AM vor trebui sa stabileasca o rata medie a interventiei pe total operatiune, special pentru acest scop.

** cheltuielile de acest tip asociate investitiei initial, precum cheltuielile cu managementul proiectului, taxe de arhitectura, cheltuieli cu proiectul tehnic sau studii de fezabilitate, taxe cu autorizatii etc

*** Doar in cazul in care cheltuielile cu investitia initiala nu pot fi estimate, totalul se poate calcula ca suma a costurilor aferente noilor joburi create (conform Regulamentului pentru ajutorul de stat regional)

Consultancy and studies – SME aid

grant for this activity (x2) = total eligible expenditure * intervention rate

Category of expenses	2007	20082015	Total eligible	Rata standard de interventie		
					small	medium	Bucharest
In-kind contribution	-	-	-		50%	50%	50%
consultancy costs*							
feasibility study							
technical studies							
market studies							
other studies (check!)							
Total							

Note:

* any type of consultancy, including changing of business, HR - identification of skills for the labor force

Training activity – Training aid

grant for this activity (x3) = total eligible expenditure * intervention rate

Category of expenses	2007	20082015	Total eligible	Rata standard de interventie			disadvantaged workers
					small	medium	large	

General training					80%	80%	60%	+10% la rata standard de interventie
In-kind contribution	-	-	-					
salaries								
-of trainees (capped to 50% of total)								
-of trainers								
travel costs (trainers; trainees)								
consumables (materials& supply)								
Premises*								
depreciation of tools & equipment								
cost of guidance&counselling**								
other costs								
Total 1								
project management costs***								
Total 2								
Specific training								

salaries					45%	45%	35%	+10%
of trainees								
of trainers								
travel costs (trainers; trainees)								
consumables								
Premises*								
depreciation of tools&equipment								
cost of guidance&counselling**								
other costs								
Total 1								
project management costs***					45%	45%	35%	+10%
Total 2								

Note:

*only in case of the provider, if he had to rent the premises for the specific purpose of the training

**for the training project

***not capped by the regulation, since it does not constitute aid, but can be considered eligible and MAs may/should cap the values

Employment activity – Employment aid

grant for this activity (x4) = total eligible expenditure * intervention rate

Category of expenses	2007	2008	...2015	Total eligible	Rata standard de interventie		
					small	medium	large
INCREASE IN WORKFORCE							
salaries / wage costs for the additional workforce					65%	65%	50%
AID FOR DISADVANTAGED*							
disadvantaged worker costs					50%	50%	50%
AID FOR DISABLED*							
aid for recruiting disabled people					60%	60%	60%
aid for workplace adaptation							

depreciation of equipment							
employing staff for the assistance of disabled							
project management costs							
other costs							
Total							

Note:

*See definition from the regulation

AID

increase in workforce wage costs

disadvantaged worker costs x 50%

disabled worker costs (incl. worker recruitment costs and purchase of equipment for disabled people) x 60%

The aid intensities are valid only for increasing the net workforce, if they are not disabled or disadvantaged.

CUMULATION

Cumulation of aid is not required in case the workers are disabled or disadvantaged.

The issue of cumulation refers only to the employment associated with investment aid. Easiest for us would be to exclude claiming for employment costs if beneficiary has had aid for the associated investment. Otherwise, measure all eligible costs and apply percentage. If not, rely on the declaration of the beneficiary.

No aid and de minimis

grant for this activity (x) = total eligible expenditure * intervention rate

Category of expenses*	2007	2008	...2015	Total eligible
In-kind contribution	-	-	-	
land acquisition(capped to 10% of total)				
building acquisition				
other works on site				
building and construction				
acquisition of equipment				
intangible assets				
professional fees (capped to ...)**				
consultancy costs & studies***				
other costs (include ...)				

In-kind contribution	-	-	-	
wage costs				
additional costs for disabled or disadvantaged				
Total				

Note:

*eligibility is limited as per the conditions in the Regional Aid Guidelines

**associated with the investment, such as project management costs, architects fees, suveyors, other professional fees, planning permission and legal fees

***associated with the investment, such as project management costs, architects fees, suveyors, other professional fees, planning permission and legal fees

Are there other types of expenditure that will be considered eligible? MAs should define separately for each application.

5.2. PACHETUL DE FINANȚARE A PROIECTULUI

Prezentați modul în care costul proiectului va fi atins. Confirmarea scrisă a cofinanțării trebuie să fie furnizată de fiecare organizație în parte și trebuie să fie atașată la această cerere. În coloana "Data Confirmării" scrieți data la care confirmarea a fost sau va fi obținută.

DETALIEREA PACHETULUI DE FINANTARE

NR. CRT.	SURSE DE FINANȚARE	COST TOTAL (RON)	COST ELIGIBIL (RON)	Data confirmării
I	VALOAREA TOTALA A PROIECTULUI	Se completeaza de	Se calculeaza ca total la cheltuielile	

		catre beneficiar	eligibile de la 5.1	
II	CONTRIBUTIA BENEFICIARULUI	Diferenta I-II	Diferenta I-II	
1	Surse Publice	Se calculeaza ca si diferenta intre Total proiect – col.2	Se calc ca si diferenta intre Total eligibil si Grant	
1.1	Contributia in numerar	Se calculeaza ca diferenta ca diferenta intre 1-1.	Se calculeaza ca diferenta ca diferenta intre 1-1.2	
1.2	Contributia in natura	Conform declaratiei beneficiarului din tabelul 5.1. (total)	Conform declaratiei beneficiarului din tabelul 5.1. (total)	
2	Surse Private	Se calculeaza ca si diferenta intre Total proiect – col.2	Se calc ca si diferenta intre Total eligibil si Grant	
2.1	Contributia in numerar	Se calculeaza ca diferenta intre 2-2.2	Se calculeaza ca diferenta intre 2-2.2	
2.2	Contributia in natura	Conform declaratiei beneficiarului din tabelul 5.1.	Conform declaratiei beneficiarului din tabelul 5.1.	

		(total)	(total)	
3	Surse din sectorul de Voluntariat (ONG)	Se calculeaza ca si diferenta intre Total proiect – col.2	Se calc ca si diferenta intre Total eligibil si Grant	
3.1	Contributia in numerar	Se calculeaza ca diferenta intre 3-3.2	Se calculeaza ca diferenta intre 3-3.2	
3.2	Contributia in natura	Conform declaratiei beneficiarului din tabelul 5.1. (total)	Conform declaratiei beneficiarului din tabelul 5.1. (total)	
III	GRANT	Egal cu col.2	Se calculeaza automat	
1	- UE	Egal cu col.2	Se calculeaza automat	
2	- buget de stat	Egal cu col.2	Se calculeaza automat	

In cazul in care este un singur beneficiar tabelul de mai sus va fi completat in functie de natura acestuia (public/ privat).

In cazul in care proiectul este realizat in parteneriat apar doua cazuri:

- Daca sunt de aceeasi natura se vor introduce linii suplimentare corespunzatoare categoriei beneficiarului (public/privat)

- Daca sunt de naturi diferite se va completa corespunzator la public, respectiv la privat, iar daca sunt mai multi parteneri de acelasi tip se vor introduce linii suplimentare

6. LISTA DE VERIFICARE ȘI CERTIFICARE

6.1 LISTA ANEXELOR

În continuare se poate găsi o listă a posibilelor anexe/ documente de clarificare menționate oriunde în acest formular. Se recomandă folosirea ei pentru a vă asigura că ați atașat toate documentele care corespund acestui formular de cerere pentru un grant.

ANEXE	FEDR
Harta locației activității proiectului	x
Statut sau documente de asociere / Extras de la Registrul Comerțului cu informații despre acționari, capital sociali etc	x
Bilanțurile oficiale pe ultimii trei ani ¹ - inclusiv Contul de Profit și Pierdere	x
Adeverința că solicitantul nu are datorii la bugetul de stat (obținută de la Administrația Financiară)	x
Cazierul fiscal al persoanei autorizate să depună cererea de finanțare și al persoanei responsabile de proiect	x
Studiu de fezabilitate ²	x
Plan de afaceri/ Planul proiectului ³	x
Analiza de risc (poate fi integrată în Planul de afaceri) ⁴	x
Hotărârea AGA/CA de aprobare a cheltuielilor ce vor fi efectuate sau hotărârea Consiliului Local, Județean sau orice alt act oficial al organizației	x
Documente de confirmare a co-finanțării	x
Detalii privind contribuția în natură ⁵	x
Aviz de mediu / Evaluarea de mediu	x
Autorizația de construcție și condițiile anexate acesteia, precum și alte avize/aprobări solicitate de lege ⁶	x
Titlu de proprietate pentru teren/ imobil + informații cu privire la valoarea respectivelor active ⁷ sau act de concesiune, dacă este cazul	x
Declarație ca solicitantul nu a beneficiat de ajutor public pentru achiziționarea respectivelor imobile, astfel: în	x

ultimii 10 ani pentru clădiri și în ultimii 6 ani pentru terenuri 8	
Proiectul tehnic 9	x
Alte documente pe care solicitantul le considera utile în sprijinul cererii de finanțare	

Note pentru Autoritățile de Management:

1: doar dacă este cazul (pentru sectorul privat)

2: aplicabil pentru investițiile productive și proiectele de infrastructura

3: Un model de plan de afaceri/ plan al proiectului va fi pus la dispoziția solicitanților. Planul de afaceri va trebui să conțină minim următoarele informații:

O descriere detaliată a proiectului (premise și context), precum și rezultatele anticipate SI MOD DE IMPLIMENTARE

Studii de piață, evaluări (studiile realizate pentru identificarea nevoilor și modului în care proiectul poate răspunde acestor necesități)

Previziuni de cash-flow pentru perioada de referință a proiectului (inclusiv detalii privind veniturile previzionate – cele care decurg implicit din natura proiectului, cât și veniturile ocazionale)

Analiza cost-beneficiu / analiza decalajelor (această analiză va fi solicitată doar pentru proiectele majore și pentru investițiile productive. Gradul de detaliere al unei asemenea analize va varia în funcție de dimensiunea proiectului)

Resursele materiale alocate proiectului

Managementul implementării proiectului (personalul implicat, poziția acestuia în cadrul organizației și a proiectului, experiența relevantă, planuri viitoare de recrutare, procedurile care vor fi urmate; în cazul schemelor de granturi: prezentarea procedurilor de evaluare și selecție a proiectelor aplicanților individuali, descrierea modului în care se va face cererea de proiecte, descrierea modului în care se va face managementul și monitorizarea schemei de granturi, descrierea modului în care se vor face plățile individuale)

Lucrările prevăzute a fi realizate în vederea implementării proiectului, beneficiarii finali cărora li se adresează proiectul;

În cazul schemelor de granturi pentru IMM-uri se va completa următorul tabel cu detalii despre populația IMM vizată

Estimarea nr. de companii implicate sau care vor primi ajutor	Număr	...din care cu proprietate/	...din care cu proprietate/	...din care cu proprietate/
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prin proiect		conduse de femei	conduse de populație Roma	conduse de persoane cu dizabilități
Companii cu 1 – 9 angajați				
Companii cu 10 – 49 angajați				
Companii cu 50 – 250 angajați				
Companii cu peste 250 angajați				
Total				

Mecanismele de control și monitorizare

Modul în care proiectul completează, integrează și îmbunătățește serviciile/procedurile/afacerile existente

Modul în care proiectul relaționează cu alte programe operaționale/ strategii / intervenții

Precizați partenerii implicați în derularea proiectului (financiară și implementare) - denumire, mod de implicare

În anexa la Planul de afaceri/ Planul proiectului se pot solicita CV-urile persoanelor implicate în managementul implementării proiectului, modele de solicitare de grant pentru schemele de granturi.

4: analiza de risc va fi solicitată și interpretată în funcție de complexitatea proiectului; aceasta poate fi cuprinsă în Planul de afaceri/Planul proiectului

5: este necesară prezentarea de detalii, inclusiv – după caz – rapoarte ale evaluatorilor independenți

6: doar pentru proiectele care implică realizarea de clădiri și achiziționarea/alte operațiuni de terenuri

7: titlurile de proprietate vor trebui însoțite de un raport de evaluare (independent) ale respectivelor imobile sau terenuri

8: conform regulilor de ajutor de stat

9: pentru proiecte majore, dar și pentru investiții productive care implică achiziția/alte operațiuni de terenuri și/sau clădiri

Autoritățile de Management vor stabili măsura în care aceste documente sunt necesare și gradul lor de detaliere în funcție de mărimea proiectului, tipul operațiunii / domeniului major de intervenție.

6.2 CERTIFICATE

Confirm că informațiile incluse în acest formular și detaliile prezentate în documentele anexate sunt corecte, după știința și cunoștința mea, și grantul pentru care am aplicat este minimul necesar proiectului pentru a se derula conform descrierii.

De asemenea, confirm că nu am la cunoștință nici un motiv pentru care proiectul ar putea să nu se deruleze sau ar putea fi întârziat, altele decât acele motive declarate și angajamentul poate fi făcută respectând calendarul activităților indicat în documentul Programului Operațional la care face referire respectivul proiect.

Înțeleg că dacă aplicația nu este completă cu privire la toate detaliile relevante și toate aspectele, inclusiv această secțiune, ar putea fi respins.

Data

Funcția ocupată în organizație

Nume (litere mari de tipar)

Semnătura