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Ministry of Public Finance

Authority for Coordination of Structural Instruments (ACIS)

Improving the system of indicators used in monitoring and evaluation

Activity 1.1 Analysis of the system of indicators used in monitoring and evaluation

Operational Programme Technical Assistance

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1. NEEDS ASSESSMENT

The "Needs assessment questionnaire" distributed to OP Technical Assistance stakeholders was completed by one expert of the OPTA Managing Authority and one representative of ACIS[1]. Their answers provide details regarding the latest developments as well as concrete appraisals in respect to the system and the individual indicators used for monitoring and evaluation of OPTA.

As presented in the Methodology chapter, stakeholders views are deliberately reported as received. The chapter does not comment on their accuracy, validity or feasibility. However, it does provide preliminary conclusions (in text boxes) "consultants' perspective" on the views of the stakeholders.

Findings are presented in two sub-sections: (1) general design of the indicators system of OPTA, which includes observations for individual indicators and (2) institutional set-up, including references to resources, SMIS usage and communication.

Together with the outcomes of the analysis exercise, presented in the next chapters, the stakeholders' views provided the foundations for the conclusions and recommendations for improving the system of indicators of OPTA.

1.1. GENERAL DESIGN OF THE INDICATORS SYSTEM

In respect to the development of the general design of the system of indicators, the most significant modification indicated by stakeholders was the introduction of two new types of eligible activities under KAI 1.1[2] for which new or existing indicators were assigned:

- The first new eligible activity refers to co-financing additional expenditures for salaries of staff involved in the coordination, management and control of Structural and Cohesion Funds. The indicator assigned for monitoring the outputs of such projects is "*Total working time (of staff involved in the coordination, management and control of Structural and Cohesion Funds), for which co-financing is ensured (man-months)"*.
- The second new eligible activity refers to adding the National Growth Pole coordinators as potential beneficiaries under KAI 1.1[3]. The indicators assigned for monitoring the outputs of such projects are: programme indicators: *studies, analyses, reports, strategies (no.)*; *communication and promotion events (no.);* supplementary indicators defined by each applicant, which may refer to: *procurement of IT equipments*, *technical expertise/assistance days received by the Pole Coordinator (no.)*, *man-months for which remuneration was received by the Pole coordinator and supporting staff (no.)*; *renting work space dedicated to the activity of the Pole coordinator and supporting staff (no.)*; etc.

[1] See Annex A for the questionnaire template and list of respondents
[2] OPTA FDI was amended at the beginning of 2009 and in the second semester of 2009
[3] Idem

Given this change and the fact that the indicators reported in the Annual Implementation Reports (AIR) are only those agreed on with the EC[4], respondents noted that there will be no correlation between programme level indicators reported beginning with 2010 and the actual payments made under PA1.[5] In the view of the stakeholders, these changes affected both the balance of the system as a whole and the correlation between the different categories of indicators (input/ output/ result/ impact/ context) at the level of KAI 1.1. Suggestions are expected from the Consultants (and from the current project) in respect to relevant indicators for monitoring the two newly introduced interventions. Except for KA 1.1, respondents agreed that the indicators currently used are appropriate in terms of balance and correlation.

In respect to the manageability of the system and the different functions and procedures, one respondent assessed processing and monitoring indicators as difficult, defining and reporting as fairly difficult and collecting, analyzing, communicating and providing guidance as fairly simple. The other respondent considered all functions as fairly easy, except for defining and processing, which were marked as fairly difficult.

In respect to individual indicators, scores differ significantly: one respondent regards indicators as easily available (scores between 4/5), relevant for the purpose for which they are collected (scores between 4/5) and fairly sensitive (scores between 3/4). Also, all indicators were scored as easy to collect, monitor, measure, process and report (scores 4/5). The other respondent regards indicators as having little relevance, little sensitivity and availability (scores 1-3 and very few with 4). Scores are equally contrasting in respect to collecting, processing etc., which also received low scores (mostly 1-3). Since no explanations were provided in respect to any of the scores, it is impossible to indicate the reasons for the different views.

Among the suggestions for further improvement identified by the respondents, the following were marked as priorities:

- Supplementary indicators introduced in the FDI should be introduced in SMIS, in order to improve monitoring at project level and aggregation at programme level;
- A section regarding qualitative analysis of project implementation and indicators should be introduced in the project technical reports; a qualitative assessment at programme level could then be elaborated, based on it;
- Equal opportunities horizontal principle should be observed by introducing a breakdown to the indicator "Participant training days" – for men and women.

Preliminary conclusions

a) Starting from the opinions expressed by OPTA stakeholders (representatives of MA OPTA and ACIS), the immediate needs in respect to OPTA system of indicators refer to updating indicators, so as to integrate and reflect the newly introduced eligible activities.

b) Increasing manageability, by introducing supplementary indicators in SMIS, is the second important priority.

[4]Initially, reported indicators consisted of those included in the OP and detailed at the level of PA; after the initial programming, these were changed by the decision of the Monitoring Committee and exchange of letters between the MA and EC, without modifying the OP, since it was considered that the revisions do not affect the strategy, objectives and content of the PAs or their implementation (note made by respondent)

[5] The two new eligible activities amount to 88% of the allocation of PA1. However, none of the indicators are reported to the EC, for the reasons explained in the previous footnote.

c) *Introducing qualitative assessments of progress in the project monitoring reports may bring value added to the reporting exercise and may provide essential information to stakeholders. The nature of this qualitative assessment should, however, not impose additional burden on the beneficiary.*

1.2. INSTITUTIONAL SET-UP

Respondents confirmed that there are no procedures specifically devised for working with indicators. When asked about the procedures for collecting/ processing/ reporting/ measuring indicators, references were made to other existing procedures.

The financial and human resources currently allocated were considered insufficient for an adequate collection, processing and reporting of indicators. At the same time, respondents viewed the current distribution of responsibilities in respect to collecting, processing, reporting indicators as not enough clear and effective. Also, the lack of guiding principles for defining the technical assistance indicators negatively affects the activity from the point of view of working with indicators.

Moreover, the qualitative monitoring of project and programme level indicators was considered flawed by one of the respondents, because of the lack of expertise regarding the elaboration of qualitative assessments by the project managers and persons in charge of project verification and the programme monitoring officer within the MA.

The priorities identified for improving the institutional set-up refer to training in the following fields:

- Training for beneficiaries and MA personnel dealing with monitoring and with defining indicators;
- Training for beneficiaries and MA personnel on the elaboration of a qualitative assessment regarding indicators;
- Training MA staff involved in the programming phase of defining TA indicators;

Preliminary conclusions

a) *The survey has indicated the need for procedures dedicated to working with indicators. An implicit modus-operandi is currently functioning and the activities related to collecting, measuring, processing and monitoring of indicators are partially covered by other procedures. Nonetheless, this omission is perpetrates a vague allocation of responsibilities.*

b) *Based on the survey findings, there is an obvious need for training and instructions/ procedures specifically designed for working with indicators.*

c) *Training for beneficiaries in respect to using indicators but also in respect to overall monitoring and reporting requirements would improve the quality and reliability of the information received by the MA and would improve monitoring and evaluation at programme level. Guiding principles for TA indicators, preferably under ACIS coordination, would also improve the use of indicators.*

2. ANALYSIS OF THE INDICATORS SYSTEM

2.1. COVERAGE OF THE INDICATORS SYSTEM

2.1.1. SOCIO-ECONOMIC ENVIRONMENT

The main purpose of context indicators is to provide information on the current socio-economic environment in which the programme activities are carried out.

The context indicators were in the programming phase used for the analysis of the situation in terms of strengths and weaknesses in order to identify and quantify the needs in terms of technical assistance. In the implementation phase they are relevant in order to monitor the overall development in relevant areas of the sector.

In the OPTA a list of context indicators was not provided, but several potential TA specific context indicators could be identified through the screening exercise carried out by us at the level of the socio-economic analysis and SWOT in the programming document. We noticed that the analysis of the current situation within the OPTA was based mainly on qualitative information extracted from needs analyses (such as training needs analysis, the analysis of the evaluation culture, the analysis of SMIS users needs) or on surveys (such as IMAS survey on the readiness of Romanian institutions and companies to access EU funds or Gallup survey on population awareness regarding SI).

We found that the OPTA contains a detailed description of the situation at the time of programming, in terms of institutional set-up and previous efforts for the increase of administrative capacity of the structures involved in the management and implementation of SI.

Thus, we may draw certain ***preliminary conclusions*** as follows***:***

- Currently the monitoring system of the SOP Transport in Romania does not include formally any context indicators. This situation does not allow proper contextualisation of the programme interventions;
- The absence of context indicators limits the possibility for a continuous check on the relevance of identified needs and on the implementation of interventions financed from the OP;
- Strategic reporting at the programme level (annual implementation reports) is missing an important source of useful information.

Therefore, it would be advisable to consider ***the formal inclusion in the monitoring system of a number of context indicators*** reflecting the identified thematic fields addressed by the programme.

The analysis of the current situation described in OPTA offered us a clear view on the most important sectoral context indicators and their history.

In addition, a number of TA-related OPs from other EU Member States were analysed, to check for international good practice. Thus, he international benchmark analysis revealed context indicators are usually not defined (see technical assistance operational programmes for Bulgaria, Spain, Portugal and Italy). Only the Implementation Operational Programme of Hungary (the technical assistance operational programme) is mentioning two context indicators that were analysed during the programming period.

Nonetheless, a few potential context indicators might be identified as specific to technical assistance. Such indicators are considered to be contextual for the development of the OPTA and might be detected from the screening of the analysis of current situation and the SWOT analysis of the OPTA, even if they are not rigorously quantified. They are listed in the table below as potential, but they were further analysed against other technical assistance OPs from other EU Member States[6], to check for international good practice.

Finally, the following important references were considered in determining the proposed list of potential context indicators:

a) SWOT analysis; all four sub-sections (strengths, opportunities, weaknesses and threats) offer a series of the issues that have to be maximised or, on the contrary, alleviated, as well as of the ones that have to be taken into account or risk prevented;

b) the objectives set in the National Communication Strategy for Structural Instruments 2007-2013 and the Communication Plan financed through OPTA, as they are in direct correlation with PA3; OPTA is one of the programmes that leads to the achievement of targets established in the two documents; these targets should also be reflected by relevant context indicators within the OPTA and measured as such.

As a result, the Figure 2 encompasses the context indicators that were considered relevant for the OPTA.

FIGURE 1 BENCHMARK OF CONTEXT INDICATORS

Fields targeted by the OPTA	Potential context indicators resulting from the OPTA	Context indicators analysed by the OPTA (IOP) - Hungary
- Implementation of SI and coordination of programmes - Human resources - Training - Evaluation	- Level of preparedness/ training (of the staff) in respect to the process of management and implementation of EU funds - Level of compliance with EU regulations and requirements - Level of preparedness/ training (of the staff involved in the management and implementation of SI) in respect to evaluation - Level of staff motivation	Operation of the institutional system

[6] OPs in full text were consulted for the following MS: Bulgaria, Hungary, Spain, Italy, Protugal, Lithuania (2007-2013);

Fields targeted by the OPTA	Potential context indicators resulting from the OPTA	Context indicators analysed by the OPTA (IOP) - Hungary
	- Staff turnover	
Single Management Information System	Absorption of the Structural Funds	Absorption of the community sources
Dissemination of information	- Level of awareness of the population in respect to EU funds - Level of readiness/preparedness of beneficiaries to access/implement EU funds	

FIGURE 2 PROPOSED LIST OF CONTEXT INDICATORS FOR OPTA

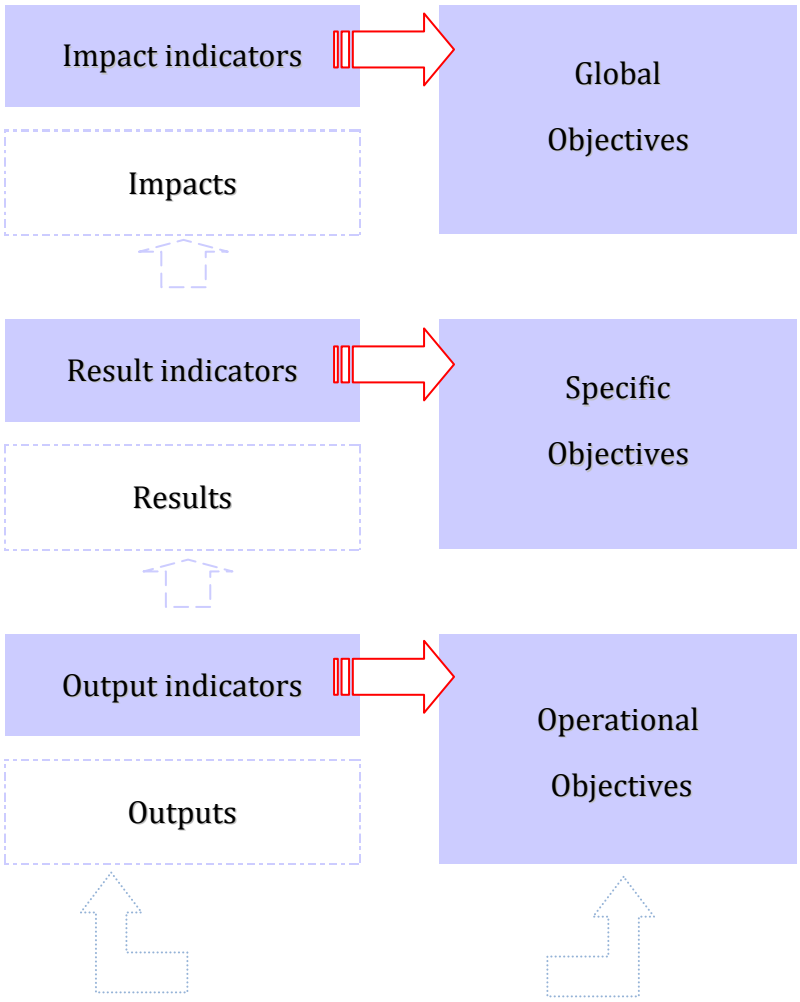
Context indicators suggested for the OPTA	Rationale	
	SWOT analysis	specific objective (SO) and expected results (R) of the AP
Level of staff motivation	[S] The increase with 75% of salaries of staff	[SO1] Ensuring support and appropriate tools for an efficient and effective Structural Instruments coordination and implementation during the 2007-2013 period and preparation of the future Structural Instruments programming period
Staff turnover	[T] Staff turnover	[SO1] Ensuring support and appropriate tools for an efficient and effective Structural Instruments coordination and implementation during the 2007-2013 period and preparation of the future Structural Instruments programming period
Absorption of the Structural Funds	[T] Low absorption	[SO1] Ensuring support and appropriate tools for an efficient and effective Structural Instruments coordination and implementation during the 2007-2013 period and preparation of the future Structural Instruments programming period [SO2] Ensuring coordinated delivery of general messages related to Structural Instruments at national level and implementation of ACIS's action plan for communication in line with the National Communication Strategy for Structural Instruments

Context indicators suggested for the OPTA	Rationale	
	SWOT analysis	specific objective (SO) and expected results (R) of the AP
Overall level of awareness of the population in respect to SI	[W] Low level of knowledge in respect to SI [W] Small number of materials [W] Difficult access to information [W] Insufficient access to information [T] Lack of public acceptance or lack of awareness of the public in respect to SI [T] Public perception on the management of EU funds	[SO2] Ensuring coordinated delivery of general messages related to Structural Instruments at national level and implementation of ACIS's action plan for communication in line with the National Communication Strategy for Structural Instruments [R] Population awareness level

2.1.2. OBJECTIVES COVERED

A key tool in analysing the consistency of the indicators at system level is to check their correlation with the objectives set at different levels of the OP.

The next figure describes how an intervention will contribute to the achievement of the operational, specific and global objectives of the Operational Programme.



As it could be seen in the figure, when the programme operation (a project or a group of projects) is implemented, the operational objectives can be achieved and measured as outputs. The subsequent results are the immediate effects of operations, which contribute to the achievement of the specific objectives. Impacts should contribute to reaching the overall objectives of the programme.

The indicators are used to assess at each level (output, result, impact) how far the expected objectives have been achieved.

By correlating the indicators with objectives it was expected to identify:

1) Indicators that remain "outside" objectives;
2) Indicators that were inappropriately assigned to a certain level of objectives;
3) Objectives that cannot be measured for lack of indicators.

The first step consisted in outlining the objectives of OPTA as well as the breakdown from global, to specific and operational objectives (the last two by the priority axis).

According to the objectives tree of OPTA, the general objective of the OP is "*To ensure support for the coordination and to contribute to sound, effective, efficient and transparent implementation and absorption of the Structural Instruments in Romania*". This is further broken down into 2 specific objectives (SO):

SO1:	Ensuring support and appropriate tools for an efficient and effective Structural Instruments coordination and implementation during the 2007-2013 period and preparation of the future Structural Instruments programming period	TECHNICAL ASSISTANCE
SO2:	Ensuring coordinated delivery of general messages related to Structural Instruments at national level and implementation of ACIS's action plan for communication in line with the National Communication Strategy for Structural Instruments	

Given the specificity of this OP, all the operations are supported through technical assistance resources.

By screening the OPTA, the following operation objectives were identified by each priority axis (PA) in order to achieve the above-mentioned specific objective:

PA1:	▪ ***Strengthening the coordination capacity for the implementation of the SI*** ▪ ***Development of an adequate administrative system through ensuring a common level of experience and knowledge of the stakeholders***
PA2:	▪ ***Ensuring an adequate function of SMIS*** ▪ ***Organizational and functional development of SMIS***
PA3:	▪ ***Ensuring, at national level, a coordinated dissemination of general messages regarding the SI*** ▪ ***Implementation of the ACIS Action Plan for communication, in accordance with the National Communication Strategy for SI***

The second step was to map the link between the objectives and existing output and result indicators in the OPTA and related FDI, so as to provide answer to the three tiers of analysis set out in the beginning of the subsection.

For the purpose of current analysis the link between indicators and objectives is graphically illustrated in the tables below and it starts with the programme interventions (activities).

FIGURE 3 **COVERAGE OF OPERATIONAL OBJECTIVES SOP T** (P=PROGRAMME, S=SUPPLEMENTARY)

	INTERVENTIONS	**OUTPUT INDICATORS**	**OPERATIONAL OBJECTIVES**
PA 1. Support for the implementation of Structural Instruments and coordination of programmes	*Reviews on the systems and general procedures related to certain areas of management and monitoring, certification and payment system, as well as control, based on weaknesses and needs identified at the level of all OPs;*	(P) Studies, analyses, reports, strategies	Strengthening the coordination capacity for the implementation of the SI
	Development of common standards and guidelines for all MAs	(P) Guidelines and other methodological documents	
	Elaboration and distribution of activity reports and guidelines with best practices for all institutions involved in the management of SI	Studies, analyses, reports, strategies	
	Analyses and studies concerning the effectiveness and efficiency of the systems put into place for the implementation of Structural Instruments	(P) Studies, analyses, reports, strategies	Development of an adequate administrative system through ensuring a common level of experience and knowledge of the stakeholders
	Studies regarding policies relevant for the SI field and studies concerning the impact of Structural Instruments such as macro-economic modelling, links between Structural Instruments and macroeconomic factors	(P) Studies, analyses, reports, strategies	
	Extensive support to the process of preparation for the future SI interventions	(P) Studies, analyses, reports, strategies	
	Events and activities connected to exchange of experiences and information at national and EU level	(P) Events based on exchange of experience regarding the implementation of funds and thematic aspects	
	Meetings and events related to key thematic issues	(P) Events based on exchange of experience regarding the implementation of funds and thematic aspects	
	Development and review of strategies and plans for accessing Structural instruments	(P) Studies, analyses, reports, strategies	
	Coordination of growth poles strategy	*no indicator defined*	Strengthening the coordination capacity for the
	Coordination at local level of SI interventions	*no indicator defined*	

	Partially financing of the staff involved in coordination, management and control of the Structural and Cohesion funds;	▪ (S) Total working time (of staff involved in the coordination, management and control of Structural and Cohesion Funds), for which co-financing is ensured (man-months)	implementation of the SI
PA 1. Support for the implementation of Structural Instruments and coordination of programmes	*Help-desk support for beneficiaries and potential beneficiaries*	*no indicator defined*	
	Methodological specific assistance and training sessions for people in charge of evaluation in each MA to give them common tools	▪ (P) Guidelines and other methodological documents ▪ (P) Participant training days – managing structures	Strengthening the coordination capacity for the implementation of the SI
	Methodological assistance on project evaluation	(P) Guidelines and other methodological documents	
	Meta evaluations reports and specific evaluation reports on specific items	(P) Studies, analyses, reports, strategies	
	Publication of the evaluation reports and dissemination of evaluations results	(P) Meetings of relevant committees and working groups	
	The ex-ante evaluation for NDP, NSRF and OPTA for the next programming period; ongoing evaluations of OPTA, NSRF and NDP; Ad hoc and strategic evaluations proposed by ECU and approved by the National Coordination Committee or, as the case may be, by the OPTA Monitoring Committee	(P) Studies, analyses, reports, strategies	
	Support to the Evaluation Central Unit and its activity especially	▪ (P) Events based on exchange of experience regarding the implementation of funds and thematic aspects ▪ (P) Meetings of relevant committees and working groups ▪ (P) Participant training days – managing structures ▪ (P) Participant training days – other structures	Development of an adequate administrative system through ensuring a common level of experience and knowledge of the stakeholders
	Support for the activities of the working group for the coordination of training in this field	▪ (P) Meetings of relevant committees and working groups	
	Creation and update of the database for the planning and monitoring of	▪ (P) Guidelines and other	

	the training in the field of EU funds management	methodological documents	
	Organization of training events, including training of trainers, training sessions delivery and elaboration of training materials	▪ (P) Participant training days – beneficiaries (no) ▪ (P) Participant training days – managing structures (no) ▪ (P) Participant training days – other structures (no)	
PA 1. Support for the implementation of Structural Instruments and coordination of programmes	*Elaboration of training activity reports and guidelines with best practices;*	▪ P) Studies, analyses, reports, strategies ▪ (P) Guidelines and other methodological documents	
	Review activities regarding the trainings impact	▪ (P) Studies, analyses, reports, strategies	Strengthening the coordination capacity for the implementation of the SI
	Employment of contractual staff by ACIS, OPTA Managing Authority, Certifying and Paying Authority and Audit Authority to support their functioning in connection to the management and control of Structural Instruments	*no indicator defined*	
	Support for carrying out the activities of ACIS, of the Certification and Paying Authority and of the Audit Authority	*no indicator defined*	Development of an adequate administrative system through ensuring a common level of experience and knowledge of the stakeholders
	OPTA management	▪ (P) Meetings of relevant committees and working groups ▪ (S) Meetings of MCC (no) ▪ (S) Meetings of the OPTA Monitoring Committee (no) ▪ (S) Meetings of the TA Coordination Committee (no.)	
	Organisation and functioning of NCC and its related (sub)committees and support for the coordination between their representatives including preparation of specific documents, needed for their work	▪ (S) Meetings of working groups (no) ▪ (S) Meetings of NCC (no)	
	Expertise and advice to improve the functioning of the OPTA MA, ACIS, Certifying and Paying Authority and Audit Authority	*no indicator defined*	

	INTERVENTIONS	OUTPUT INDICATORS	OPERATIONAL OBJECTIVES
Priority Axis 2 Further development and support for the functioning of the Single Management Information System	*Elaboration of studies and analyses regarding the functioning of SMIS and its digital network*	(P) Studies, analyses, reports, strategies	*Ensuring an adequate function of SMIS*
	Elaboration, testing and installation of new versions of SMIS, including transfer of data	(P) SMIS versions	
	Elaboration of procedural guides	(P) Guidelines and other methodological documents (no)	
	Maintenance activities for the functioning of SMIS and its digital network	(P) SMIS related applications	
	Employment of contractual staff for SMIS Central Unit and coordination network;	*no indicator defined*	
	Support to carrying out the activities of SMIS Central Unit	(P) Meetings of relevant committees and working groups	
	Expertise and advice to support the SMIS Central Unit	*no indicator defined*	
	Organisation of SMIS training events, including train of trainers	▪ (P) Events based on exchange of experience regarding the implementation of funds and thematic aspects ▪ (P) Participant training days – managing structures (no)	*Organizational and functional development of SMIS*
	Organisation of regular meetings and seminars for SMIS presentation	▪ (P) Events based on exchange of experience regarding the implementation of funds and thematic aspects	
	Assessment of the IT&C needs	▪ (S) Structures endowed with equipment (no	
	Endowment with hardware and software of the institutions involved in the Structural Instruments system and IT&C services for SMIS operation	▪ (S) Structures endowed with equipment (no	

	INTERVENTIONS	OUTPUT INDICATORS	OPERATIONAL OBJECTIVES
Priority Axis 3 - Dissemination of information and promotion of Structural Instruments	Organization of campaigns and events (seminars, conferences) to promote a greater understanding of the EU funds and the implementation and monitoring arrangements in Romania	(P) Communication and promotion events (no)	
	Preparation, publication, translation and distribution of materials with information and promotion of the Structural Instruments	(P) Publicity and information materials (no of copies)	*Ensuring, at national level, a coordinated dissemination of general messages regarding the SI*
	Publicity actions and publication and dissemination of materials related to OPTA	▪ (P) Communication and promotion events (no) ▪ (P) Publicity and information materials (no of copies)	
	Carrying out opinion polls	▪ (P) Studies, analyses, reports, strategies	
	National information campaigns on TV, radio or other media	▪ (P) Mass-media campaigns (no)	
	Analysis of impact and most effective means for the promotion and publicity activities	▪ (P) Studies, analyses, reports, strategies	
	Functioning of the Information Centre, including communication about the Centre and its services	*no indicator defined*	*Implementation of the ACIS Action Plan for communication, in accordance with the National Communication Strategy for SI*
	Construction and maintenance of the web page	*no indicator defined*	
	Organisation of events connected to the activity of the Centre	*no indicator defined*	

FIGURE 4 **COVERAGE OF SPECIFIC OBJECTIVES OPTA** (P=PROGRAMME, S=SUPPLEMENTARY)

	INTERVENTIONS	**RESULT INDICATORS**	**SPECIFIC OBJECTIVES**
PA 1. Support for the implementation of Structural Instruments and coordination of programmes	*Reviews on the systems and general procedures related to certain areas of management and monitoring, certification and payment system, as well as control, based on weaknesses and needs identified at the level of all OPs;*	*no indicator defined*	Ensuring support and appropriate tools for an efficient and effective Structural Instruments coordination and implementation during the 2007-2013 period and preparation of the future Structural Instruments programming period
	Development of common standards and guidelines for all MAs	*no indicator defined*	
	Elaboration and distribution of activity reports and guidelines with best practices for all institutions involved in the management of SI	*no indicator defined*	
	Analyses and studies concerning the effectiveness and efficiency of the systems put into place for the implementation of Structural Instruments	*no indicator defined*	
	Studies regarding policies relevant for the SI field and studies concerning the impact of Structural Instruments such as macro-economic modelling, links between Structural Instruments and macroeconomic factors	*no indicator defined*	
	Extensive support to the process of preparation for the future SI interventions	*no indicator defined*	
	Events and activities connected to exchange of experiences and information at national and EU level	*no indicator defined*	
	Meetings and events related to key thematic issues	*no indicator defined*	
	Development and review of strategies and plans for accessing Structural instruments	*no indicator defined*	
	Coordination of growth poles strategy	*no indicator defined*	
	Coordination at local level of SI interventions	*no indicator defined*	
	Partially financing of the staff involved in coordination, management and control of the Structural and Cohesion funds;	*no indicator defined*	
	Help-desk support for beneficiaries and potential beneficiaries	*no indicator defined*	
	Methodological specific assistance and training sessions for people in charge of evaluation in each MA to give them common tools	*no indicator defined*	
	Methodological assistance on project evaluation	*no indicator defined*	
	Meta evaluations reports and specific evaluation reports on specific items	*no indicator defined*	
	Publication of the evaluation reports and dissemination of evaluations results	*no indicator defined*	
	The ex-ante evaluation for NDP, NSRF and OPTA for the next programming period; ongoing evaluations of OPTA, NSRF and NDP; Ad hoc and strategic evaluations proposed by ECU and approved by the National Coordination Committee or, as the case may be, by the OPTA Monitoring Committee	*no indicator defined*	
	Support to the Evaluation Central Unit and its activity especially	*no indicator defined*	

	Support for the activities of the working group for the coordination of training in this field	*no indicator defined*	Ensuring support and appropriate tools for an efficient and effective Structural Instruments coordination and implementation during the 2007-2013 period and preparation of the future Structural Instruments programming period
	Creation and update of the database for the planning and monitoring of the training in the field of EU funds management	*no indicator defined*	
	Organization of training events, including training of trainers, training sessions delivery and elaboration of training materials	*no indicator defined*	
	Elaboration of training activity reports and guidelines with best practices;	*no indicator defined*	
	Review activities regarding the trainings impact	*no indicator defined*	
	Employment of contractual staff by ACIS, OPTA Managing Authority, Certifying and Paying Authority and Audit Authority to support their functioning in connection to the management and control of Structural Instruments	*no indicator defined*	
	Support for carrying out the activities of ACIS, of the Certification and Paying Authority and of the Audit Authority	*no indicator defined*	
	OPTA management	*no indicator defined*	
	Organisation and functioning of NCC and its related (sub)committees and support for the coordination between their representatives including preparation of specific documents, needed for their work	*no indicator defined*	
	Expertise and advice to improve the functioning of the OPTA MA, ACIS, Certifying and Paying Authority and Audit Authority	*no indicator defined*	

	INTERVENTIONS	RESULT INDICATORS	SPECIFIC OBJECTIVES
Priority Axis 2 Further development and support for the functioning of the Single Management Information System	*Elaboration of studies and analyses regarding the functioning of SMIS and its digital network*	*no indicator defined*	Ensuring support and appropriate tools for an efficient and effective Structural Instruments coordination and implementation during the 2007-2013 period and preparation of the future Structural Instruments programming period
	Elaboration, testing and installation of new versions of SMIS, including transfer of data	*no indicator defined*	
	Elaboration of procedural guides	*no indicator defined*	
	Maintenance activities for the functioning of SMIS and its digital network	*no indicator defined*	
	Employment of contractual staff for SMIS Central Unit and coordination network;	*no indicator defined*	
	Support to carrying out the activities of SMIS Central Unit	*no indicator defined*	
	Expertise and advice to support the SMIS Central Unit	*no indicator defined*	
	Organisation of SMIS training events, including train of trainers	*no indicator defined*	
	Organisation of regular meetings and seminars for SMIS presentation	*no indicator defined*	
	Assessment of the IT&C needs	▪ (S) Unplanned SMIS downtime (hours/month) ▪ (S) Network availability (%) ▪ (S) Percentage of packet loss (%) ▪ (S) Latency for 1000 packets (ms)	
	Endowment with hardware and software of the institutions involved in the Structural Instruments system and IT&C services for SMIS operation	▪ (S) Unplanned SMIS downtime (hours/month) ▪ (S) Network availability (%) ▪ (S) Percentage of packet loss (%) ▪ (S) Latency for 1000 packets (ms)	

	INTERVENTIONS	RESULT INDICATORS	SPECIFIC OBJECTIVES
Priority Axis 3 - Dissemination of information and promotion of Structural Instruments	Organization of campaigns and events (seminars, conferences) to promote a greater understanding of the EU funds and the implementation and monitoring arrangements in Romania	(P) Population awareness level (%)	Ensuring coordinated delivery of general messages related to Structural Instruments at national level and implementation of ACIS's action plan for communication in line with the National Communication Strategy for Structural Instruments
	Preparation, publication, translation and distribution of materials with information and promotion of the Structural Instruments		
	Publicity actions and publication and dissemination of materials related to OPTA		
	Carrying out opinion polls		
	National information campaigns on TV, radio or other media		
	Analysis of impact and most effective means for the promotion and publicity activities		
	Functioning of the Information Centre, including communication about the Centre and its services	▪ (P) Websites visits ▪ (P) Requests received by the Information Centre	
	Construction and maintenance of the web page		
	Organisation of events connected to the activity of the Centre		

The following could be observed from analysing the link between objectives and indicators at the level of OPTA:

- all the indicators currently in use can be associated with one of the objectives of the programme, operational or specific, and there are no indicators that remain "outside" of these objectives;
- no *output indicators* have been inappropriately assigned to the operational objectives;
- in respect to the third tier of the analysis "objectives that cannot be measured for lack of indicators it could be observed that formally, there are no *impact indicators* established to assess the achievement of long – term, widespread effects OPTA, therefore the global objective of the OPTA is currently reflected in the system of indicators only indirectly, through output and result indicators. In addition, a number of operational and specific objectives can be only partially measured because of lack of either output or result indicators for the following interventions:
    - OUTPUT
        - Coordination of growth poles strategy (PA1)
        - Coordination at local level of SI interventions (PA1)
        - Help-desk support for beneficiaries and potential beneficiaries (PA1)
        - Employment of contractual staff by ACIS, OPTA Managing Authority, Certifying and Paying Authority and Audit Authority to support their functioning in connection to the management and control of Structural Instruments (PA1)
        - Support for carrying out the activities of ACIS, of the Certification and Paying Authority and of the Audit Authority (PA1)
        - Expertise and advice to improve the functioning of the OPTA MA, ACIS, Certifying and Paying Authority and Audit Authority (PA1)
        - Employment of contractual staff for SMIS Central Unit and coordination network (PA2)
        - Expertise and advice to support the SMIS Central Unit (PA2)
        - All intervention under KAI 3.2 (PA3)
    - RESULT:
        - All the intervention under PA1; KAI 2.1, KAI 2.2, KAI 2.3 (PA2) and KAI3.2 (PA3)

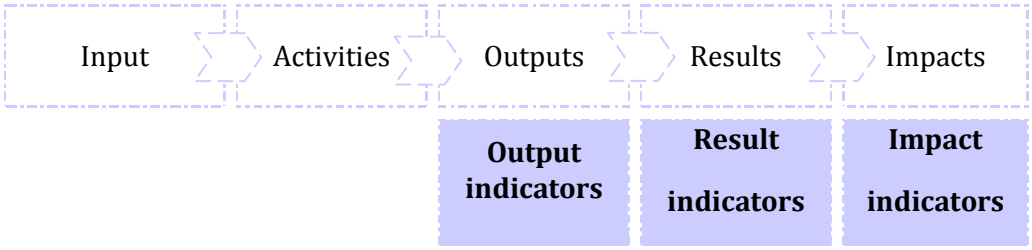
Preliminary remarks

The overall conclusion is that additional indicators, especially result indicators, are necessary in order to better capture the main interventions supported and to fill in the identified gaps.

2.1.3. INTERVENTION LOGIC

The "intervention logic" was built on the cause-effect relationship among inputs, activities, outputs, results and impacts. Thus, resources *(inputs)* are used to undertake the concrete interventions *(activities)* that will generate the *outputs*, which lead to the achievement of the direct and immediate effects of interventions *(results)* that contributes to longer-term and broader effects *(impact)*.

The above-described relationship provides the structure around which the measurement of performance by the use of indicators could be constructed. Different types of indicators correspond to each stage of the causal chain (see below figure).



The following tables show the causal link between the output and result indicators for each PA of OPTA in order to better understand whether there are indicators that fall outside the logical pattern. As in the OPTA impact indicators were not identified, the last causal relation (result indicators- impact indicators) is not treated.

For the purpose of current analysis the causal link between indicators is graphically illustrated in the tables below and it starts with the programme interventions (activities), which generate the effects without presenting the outputs and results that are measured.

FIGURE 5 INTERVENTION LOGIC OPTA (P=PROGRMME, S=SUPPLEMENTARY)

	INTERVENTIONS	OUTPUT INDICATORS	RESULT INDICATORS
PA 1. Support for the implementation of Structural Instruments and coordination of programmes	*Reviews on the systems and general procedures related to certain areas of management and monitoring, certification and payment system, as well as control, based on weaknesses and needs identified at the level of all OPs;*	(P) Studies, analyses, reports, strategies	*no indicator defined*
	Development of common standards and guidelines for all MAs	(P) Guidelines and other methodological documents	*no indicator defined*
	Elaboration and distribution of activity reports and guidelines with best practices for all institutions involved in the management of SI	Studies, analyses, reports, strategies	*no indicator defined*
	Analyses and studies concerning the effectiveness and efficiency of the systems put into place for the implementation of Structural Instruments	(P) Studies, analyses, reports, strategies	*no indicator defined*
	Studies regarding policies relevant for the SI field and studies concerning the impact of Structural Instruments such as macro-economic modelling, links between Structural Instruments and macroeconomic factors	(P) Studies, analyses, reports, strategies	*no indicator defined*
	Extensive support to the process of preparation for the future SI interventions	(P) Studies, analyses, reports, strategies	*no indicator defined*
	Events and activities connected to exchange of experiences and information at national and EU level	▪ (P) Events based on exchange of experience regarding the implementation of funds and thematic aspects ▪ (P) Events based on exchange of experience regarding the implementation of funds and thematic aspects	*no indicator defined*
	Meetings and events related to key thematic issues	(P) Events based on exchange of experience regarding the implementation of funds and thematic aspects	*no indicator defined*
	Development and review of strategies and plans for accessing Structural instruments	(P) Studies, analyses, reports, strategies	*no indicator defined*
	Coordination of growth poles strategy	*no indicator defined*	*no indicator defined*
	Coordination at local level of SI interventions	*no indicator defined*	*no indicator defined*
	Partially financing of the staff involved in coordination, management and control of the Structural and Cohesion funds;	▪ (S) Total working time (of staff involved in the coordination, management and control of Structural and Cohesion Funds), for which co-financing is ensured (man-months)	*no indicator defined*
	Help-desk support for beneficiaries and potential beneficiaries	*no indicator defined*	*no indicator defined*

	Methodological specific assistance and training sessions for people in charge of evaluation in each MA to give them common tools	▪ (P) Guidelines and other methodological documents ▪ (P) Participant training days – managing structures	*no indicator defined*
PA 1. Support for the implementation of Structural Instruments and coordination of programmes	*Methodological assistance on project evaluation*	(P) Guidelines and other methodological documents	*no indicator defined*
	Meta evaluations reports and specific evaluation reports on specific items	(P) Studies, analyses, reports, strategies	*no indicator defined*
	Publication of the evaluation reports and dissemination of evaluations results	(P) Meetings of relevant committees and working groups	*no indicator defined*
	The ex-ante evaluation for NDP, NSRF and OPTA for the next programming period; ongoing evaluations of OPTA, NSRF and NDP; Ad hoc and strategic evaluations proposed by ECU and approved by the National Coordination Committee or, as the case may be, by the OPTA Monitoring Committee	(P) Studies, analyses, reports, strategies	*no indicator defined*
	Support to the Evaluation Central Unit and its activity especially	▪ (P) Events based on exchange of experience regarding the implementation of funds and thematic aspects ▪ (P) Meetings of relevant committees and working groups ▪ (P) Participant training days – managing structures ▪ (P) Participant training days – other structures	*no indicator defined*
	Support for the activities of the working group for the coordination of training in this field	▪ (P) Meetings of relevant committees and working groups	*no indicator defined*
	Creation and update of the database for the planning and monitoring of the training in the field of EU funds management	▪ (P) Guidelines and other methodological documents	*no indicator defined*
	Organization of training events, including training of trainers, training sessions delivery and elaboration of training materials	▪ (P) Participant training days – beneficiaries (no) ▪ (P) Participant training days – managing structures (no) ▪ (P) Participant training days – other structures (no)	*no indicator defined*
	Elaboration of training activity reports and guidelines with best practices;	▪ P) Studies, analyses, reports, strategies ▪ (P) Guidelines and other methodological documents	*no indicator defined*
	Review activities regarding the trainings impact	▪ (P) Studies, analyses, reports, strategies	*no indicator defined*
	Employment of contractual staff by ACIS, OPTA Managing Authority, Certifying and Paying Authority and Audit Authority to support their functioning in connection to the management and control of Structural Instruments	*no indicator defined*	*no indicator defined*
	Support for carrying out the activities of ACIS, of the Certification and Paying Authority and of the Audit Authority	*no indicator defined*	*no indicator defined*

	OPTA management	▪ (P) Meetings of relevant committees and working groups ▪ (S) Meetings of MCC (no) ▪ (S) Meetings of the OPTA Monitoring Committee (no) ▪ (S) Meetings of the TA Coordination Committee (no.)	*no indicator defined*
	Organisation and functioning of NCC and its related (sub)committees and support for the coordination between their representatives including preparation of specific documents, needed for their work	▪ (S) Meetings of working groups (no) ▪ (S) Meetings of NCC (no)	*no indicator defined*
	Expertise and advice to improve the functioning of the OPTA MA, ACIS, Certifying and Paying Authority and Audit Authority	*no indicator defined*	*no indicator defined*

	INTERVENTIONS	OUTPUT INDICATORS	RESULT INDICATORS
Priority Axis 2 Further development and support for the functioning of the Single Management Information System	*Elaboration of studies and analyses regarding the functioning of SMIS and its digital network*	(P) Studies, analyses, reports, strategies	*no indicator defined*
	Elaboration, testing and installation of new versions of SMIS, including transfer of data	(P) SMIS versions	*no indicator defined*
	Elaboration of procedural guides	(P) Guidelines and other methodological documents (no)	*no indicator defined*
	Maintenance activities for the functioning of SMIS and its digital network	(P) SMIS related applications	*no indicator defined*
	Employment of contractual staff for SMIS Central Unit and coordination network;	*no indicator defined*	*no indicator defined*
	Support to carrying out the activities of SMIS Central Unit	(P) Meetings of relevant committees and working groups	*no indicator defined*
	Expertise and advice to support the SMIS Central Unit	*no indicator defined*	*no indicator defined*
	Organisation of SMIS training events, including train of trainers	▪ (P) Events based on exchange of experience regarding the implementation of funds and thematic aspects ▪ (P) Participant training days – managing structures (no)	*no indicator defined*
	Organisation of regular meetings and seminars for SMIS presentation	▪ (P) Events based on exchange of experience regarding the implementation of funds and thematic aspects	*no indicator defined*
	Assessment of the IT&C needs	▪ (S) Structures endowed with equipment (no)	▪ (S) Unplanned SMIS downtime (hours/month) ▪ (S) Network availability (%) ▪ (S) Percentage of packet loss (%) ▪ (S) Latency for 1000 packets (ms)
	Endowment with hardware and software of the institutions involved in the Structural Instruments system and IT&C services for SMIS operation	▪ (S) Structures endowed with equipment (no	▪ (S) Unplanned SMIS downtime (hours/month) ▪ (S) Network availability (%) ▪ (S) Percentage of packet loss (%) ▪ (S) Latency for 1000 packets (ms)

	INTERVENTIONS	OUTPUT INDICATORS	RESULT INDICATORS
Priority Axis 3 - Dissemination of information and promotion of Structural Instruments	*Organization of campaigns and events (seminars, conferences) to promote a greater understanding of the EU funds and the implementation and monitoring arrangements in Romania*	(P) Communication and promotion events (no)	(P) Population awareness level (%)
	Preparation, publication, translation and distribution of materials with information and promotion of the Structural Instruments	(P) Publicity and information materials (no of copies)	
	Publicity actions and publication and dissemination of materials related to OPTA	▪ (P) Communication and promotion events (no) ▪ (P) Publicity and information materials (no of copies)	
	Carrying out opinion polls	▪ (P) Studies, analyses, reports, strategies	
	National information campaigns on TV, radio or other media	▪ (P) Mass-media campaigns (no)	
	Analysis of impact and most effective means for the promotion and publicity activities	▪ (P) Studies, analyses, reports, strategies	
	Functioning of the Information Centre, including communication about the Centre and its services	*no indicator defined*	▪ (P) Websites visits ▪ (P) Requests received by the Information Centre
	Construction and maintenance of the web page	*no indicator defined*	
	Organisation of events connected to the activity of the Centre	*no indicator defined*	

The following preliminary conclusions could be drawn:

- The system of indicators of OPTA does not follow the logical pattern previously explained, as most output indicators do not "lead" to any result indicator
- there are a number of programme interventions (activities) whose outputs cannot be measured due to the lack of "*output indicators",* consequently limiting the measurement of result indicators:
    - the activity of growth poles coordinator (PA1/KAI 1.1)
    - support for beneficiaries and potential beneficiaries (PA1/KAI 1.1)
    - employment of contractual staff (PA1/KAI 1.4; PA2/KAI 2.2)
    - expertise and advice to improve the functioning of the OPTA MA, ACIS, Certifying and Paying Authority and Audit Authority and SMIS Central Unit (PA1/KAI 1.4; PA2/KAI 2.2)
    - All intervention under KAI 3.2 (PA3)

- there are a number of programme interventions (activities) whose result cannot be measured due to the lack of *"result indicators":* all the intervention under PA1; KAI 2.1, KAI 2.2, KAI 2.3 (PA2) and KAI3.2 (PA3)
- following the revision process of SOP T indicators conducted in 2008-2009[7], a series of initial programme indicators were modified and introduced in the Framework Document for Implementation as supplementary indicators. This lead to the situation to have two indicators which are measuring the same output.
- Some result indicators were incorrectly assigned as output indicators (e.g. "Requests received from helpdesk")

As a general conclusion, the system of indicators at the level of OPTA does not follow the logical pattern explained in the beginning of this section, as a large number of gaps were identified and previously presented.

The following graphics broadly reflects the cause-effect relationship among outputs, results and impact of infrastructure financed under OPTA through the five dimensions of technical assistance:

a) **Management**: the administrative capacity of the institutions involved in the coordination, management and control of the Structural Instruments, which, at this moment, is reflected only in output results (such as studies, analyses, reports, strategies, guidelines, experience exchange events, participant training days-management structures - indicators linked to the OPTA first specific objective: ensuring support and appropriate tools for an efficient and effective SI coordination and implementation during the 2007-2013 and preparation of the future SI programming period);

b) **Beneficiaries capacity:** the beneficiaries and potential beneficiaries capacity to access funds and efficiently use them, reflected directly in output indicators such as participant training days – beneficiaries;

c) **Evaluation**: improved capacity of the evaluation units within MAs reflected as direct outputs, such as experience exchange events, meetings of evaluation working group, studies, analyses, guidelines;

d) **IT System:** further development of the SMIS IT system and improved capacity of the SMIS coordination network reflected both in output and result indicators.

e) **Awareness**: the population level of awareness regarding the Structural Instruments, reflected in output and result indicators.

In other words, the projects financed through OPTA will result in increasing the administrative capacity of the institutions involved in the coordination, management and control of SI, in increasing the capacity of the (potential) beneficiaries of the SI, improving the level of preparedness of staff in respect to evaluation, further development of the SMIS IT system and in increasing the level of public awareness related to the SI.

A logical system of indicators would therefore be able to reflect the investments (through input indicators, in this case financial allocation), the outputs resulting from the TA projects (through

[7] Between 2008 -2009 was conducted a consultation process between SOP T MA and ACIS with the purpose to standardize information and carrying out a system that allows the organizing and comparing data, as well as bottom-up aggregation at different levels of OP and NSRF.

output indicators, such as, for example: *Studies, analyses, reports, strategies* and *Communication and promotion events*), the effects (through result indicators such as *Population awareness level*) and the impact (in the case of OPTA no impact indicators were assigned).

The figures below show the causal link between the input, output, result indicators and the five thematic areas.

FIGURE 6 LOGIC OF INTERVENTION OF OPTA SYSTEM OF INDICATORS

INPUTS -financial allocation -no of contracted projects	OUTPUTS	RESULTS	THEMATIC AREAS
Priority Axis 1 – Support for the implementation of Structural Instruments and coordination of programmes			
KAI 1.1 Support to the management and implementation of Structural Instruments	(P) Studies, analyses, reports, strategies (P) Guidelines and other methodological documents (P) Events based on exchange of experience regarding the implementation of funds and thematic aspects (P) Meetings of relevant committees and working groups (S) Total working time (of staff involved in the coordination, management and control of Structural and Cohesion Funds), for which co-financing is ensured (man-months)	No indicator to measure the result	**MANAGEMENT**
KAI 1.2 Evaluation	(P) Studies, analyses, reports, strategies (P) Guidelines and other methodological documents (P) Events based on exchange of experience regarding the implementation of funds and thematic aspects (P) Meetings of relevant committees and working groups (P) Participant training days – managing structures (P) Participant training days – other structures	No indicator to measure the result	**MANAGEMENT** **EVALUATIONS**
KAI 1.3 Horizontal training in the field of the management of programmes/projects	(P) Studies, analyses, reports, strategies (P) Guidelines and other methodological documents (P) Meetings of relevant committees and working groups (P) Participant training days – managing structures (no) (P) Participant training days – other structures (no) (S) Training sessions (no) (P) Participant training days – beneficiaries (no)	No indicator to measure the result No indicator to measure the result	**MANAGEMENT** **BENEFICIARY CAPACITY**
KAI 1.4 Functioning of OPTA Managing Authority, ACIS, the Certifying and Paying Authority and the Audit Authority	(P) Events based on exchange of experience regarding the implementation of funds and thematic aspects (P) Meetings of relevant committees and working groups (S) Meetings of working groups (no) (S) Meetings of NCC (no) (S) Meetings of MCC (no) (S) Meetings of the OPTA Monitoring Committee (no) (S) Meetings of the TA Coordination Committee (no.)	No indicator to measure the result	**MANAGEMENT**

INPUTS -financial allocation -no of contracted projects	OUTPUTS	RESULTS	THEMATIC AREAS
Priority Axis 2 – Further development and support for the functioning of the Single Management Information System			
KAI 2.1 Development and maintenance of the SMIS and its digital network	(P) Studies, analyses, reports, strategies (P) Guidelines and other methodological documents (no) (P) SMIS versions (P) SMIS related applications	No indicator to measure the result	**MANAGEMENT IT SYSTEM**
KAI 2.2 Functioning of SMIS Central Unit and its coordination network	(P) Meetings of relevant committees and working groups (P) Request received from helpdesk	No indicator to measure the result	**MANAGEMENT IT SYSTEM**
KAI 2.3 Training of the users, distribution of procedural guides and user manuals and information activities related to SMIS	(P) Events based on exchange of experience regarding the implementation of funds and thematic aspects (P) Participant training days – managing structures (no)	No indicator to measure the result	**MANAGEMENT IT SYSTEM**
KAI 2.4 Supply of IT&C goods and services	(S) Structures endowed with equipment (no)	(S) Unplanned SMIS out of duty period (hours/month) (S) Network availability (%) (S) Percentage of packet loss (%) (S) Latency for 1000 packets (ms)	**IT SYSTEM**

INPUTS -financial allocation -no of contracted projects	OUTPUTS	RESULTS	THEMATIC AREAS
Priority Axis 3 – Dissemination of information and promotion of Structural Instruments			
KAI 3.1 Dissemination of general information and publicity activities regarding the Structural Instruments allocated to Romania	(P) Studies, analyses, reports, strategies (P) Communication and promotion events (no) (P) Publicity and information materials (no of copies) (P) Mass-media campaigns (no)	(P) Population awareness level (%)	**AWARENESS**
KAI 3.2 Operation of the Structural Instruments Information Centre	No indicator to measure the output	(P) Websites visits (P) Requests received by the Information Centre	**AWARENESS**

2.2. BALANCE

In order to assess the balance of the indicators system of OPTA, two main issues were analyzed:

1) **Proportionality**[8]
2) **Distribution by types of indicators** (input, output, result, impact).

This was done in line with the guidelines provided by the EC Working Document No. 2[9]:

[8] See DG Regional Development, Indicative Guidelines on Evaluation Methods: Monitoring and Evaluating Indicators, Working Document No.2, Aug.2006, p.21 [Note: this section will be reformulated in the final version of the Analysis Report and the methodological notes will be moved to the cover section.]

"The indicator systems of complex programmes (e.g., within the Convergence Objective) with a high number of priorities and measures will necessarily be more difficult to manage than the system of a smaller programme. The challenge is to design indicator systems as complex as necessary and as small as possible under the specific circumstances of a specific programme. The aim is not to achieve an equal coverage of all programme and priority objectives. The impact and result indicators should cover priorities or measures which represent the bulk of expenditure or are of strategic importance from the point of view of programme objectives or the information needs of the potential users."

The following aspects were extracted as being the most relevant for the analysis

- Generally, result and impact indicators need most care and are not necessary to be assigned to every intervention financed under the programme. Since OPTA does not have impact indicators, result indicators were given careful consideration and were chosen as the first criterion.
- Complexity of the intervention should be taken into account: in the sense of this analysis, a complex intervention, within OPTA, is one with several possible results and/or with long term or complicated implementation[10].
- The system of indicators should take into account the scale of the intervention; therefore, financial allocation was one of the criteria for analysis.

Funds[11] (MEUR)	Input (allocation)	**Categories**									
		Output			Result			Impact	**Total**		
		P	S	TOTAL	P	S	TOTAL		P	S	TOTAL
Axis 1: 103	49%	7	7	14	0	0	0	0	7	7	14
Axis 2: 67	31%	8	1	9	0	4	4	0	8	5	13
Axis 3: 43	20%	4	0	4	3	0	3	0	7	0	7
Total funds: 213	100% (0.9% of NSRF)	19	8	27	3	4	7	0	22	12	34
TOTAL			27			7		0		34	

(P=Programme, S=Supplementary)

Following the analysis of the proportionality of the indicators system based both on the quantitative data provided by the previous table (number of indicators) and on qualitative

[9] DG Regional Development, Indicative Guidelines on Evaluation Methods: Monitoring and Evaluating Indicators, Working Document No.2, Aug.2006, p.21

[10] Own interpretation, starting from the EC understanding of a complex programme

[11] Based on: OPTA (RO version) Chapter 4 - Financial Plan (Financial plan of the OP TA giving, for the whole programming period, the amount of the total financial allocation of each fund in the operational programme, the national counterpart and the rate of reimbursement by priority axis), pg. 63-63

information, such as number and types of interventions (activities) supported by each PA, it was outlined that:

- Priority Axis 1 has the largest allocation (marked in the Figure below by ++) and supports 28 interventions (marked by ++);
- Priority Axis 2 has an average allocation (0), and supports a number of 11 interventions (++);
- Priority Axis 3 has a small allocation (marked with --) and supports a number of 9 (+).

The analysis is synthesized in the following table:

FIGURE 7 BALANCE OF OPTA SYSTEM OF INDICATORS

	Priority Axis 1	**Priority Axis 2**	**Priority Axis 3**
Complexity	**++**	**++**	**+**
Financial allocation	**++**	**0**	**--**
Ideal number of indicators	**High (40%)**	**Medium-High (30%)**	**Small (10%)**
Existing number of indicators	**41.17%%**	**26.4%%**	**11.7%%**
Conclusion	**Proportion seems appropriate**	**Proportion seems appropriate**	**Proportion seems appropriate**

In respect to analyzing the **distribution between the output/result indicators**, the following observations can be made:

- Priority Axis 1 has no result indicators. Any recommendation regarding potential result indicators should be carefully made and attention should be paid to the need to avoid unnecessarily overload and costs;
- Priority Axis 2 is well balanced, having both output and results indicators. Caution is necessary in interpreting this information, since the previous chapter signals that some interventions do not have any output and result indicators;
- Priority Axis 3 has the smallest number of indicators. However, KAI 3.2 does not have any output indicator; as such, quality of both output and result indicators should be carefully assessed before any recommendation is made regarding the indicator system of this PA.

None of the Pas have any impact indicators associated.

The overall conclusion is that OPTA is not well balanced as regard the distribution by types of indicators (output, result, impact).

However, any recommendation in this respect should be made in relation to the findings and conclusions of all the other components of the analysis. A special attention should be paid to the fact that, as mentioned in the previous sections, the system contains a number of indicators that overlap, and therefore the necessary number of indicators for the measurement of programme performance could be lower.

2.3. MANAGEABILITY

This section assesses the main processes involved in working with OP TA indicators, namely collecting, measuring, processing, monitoring and communicating/reporting. The analysis covers also briefly the institutional context, the procedures and the resources available for running the above mentioned processes, from the specific OP TA viewpoint.

Institutions in charge with OP TA indicators	Types of indicators	Role	
		Direct	Indirect
Managing Authority for OP TA	- Financial - Performance	- Defining - Collecting - Processing - Measuring (Analysing) - Monitoring - Communication	-

Institutions

The MA role for the OP TA has been assigned to the Technical Assistance Directorate (DAT) within ACSI which functions within the Ministry of Public Finance (MoFP). OP TA has **no Intermediary Bodies**, which implies that the MA has a direct role in all indicator-related processes. In addition, most beneficiaries are structures within MoPF or under the authority of the MoFP, which should, in principle, allow better institutional coordination. The fact that ACIS itself is the main beneficiary of OP TA also creates good premises for internal coordination.

In terms of indicator related processes, the **direct connection of the MA with project beneficiaries** should allow more accurate and on time data flow. No intermediaries would also usually imply better communication and reporting.

In addition to managing OP TA indicators, through the MA, the Technical Assistance Directorate has also the mandate to coordinate TA indicators across NSRF, by leading the Technical Assistance Coordination Committee (CCAT). Such mandate implies that OP TA indicators should be analysed also in conjunction with the TA indicators for the other OPs.

Procedures

As in the case of the other OPs, there are no explicit instructions or internal regulations dedicated to the indicators' collection (same applies to monitoring, reporting or other processes). References to these can nonetheless be found in other procedures.

Resources

Given the fact that no procedures have been designed to deal specifically with indicators, no resources are earmarked for the collection, monitoring and reporting of indicators. These tasks are the responsibility of the staff involved in related activities.

2.3.1. DEFINING INDICATORS

As in the case of other OPs, an initial list of programme indicators for OP TA was defined during the programming exercise, and passed through the ex-ante evaluation. In time, the list of indicators for OPTA was modified and

additional (supplementary) indicators were added, based on the consultations between OPTA MA and ACIS. The purpose of this exercise was to reflect better the newly introduced eligible activities, to monitor in more detail the existing operations and to provide a common and coherent approach in respect to TA activities.

New indicators for new activities

One supplementary indicator was introduced to reflect the eligible interventions, which were added in subsequent versions of the FDI, such as the 75% staff bonus for staff involved in the coordination of SI (e.g. *Total working time (...), for which co-financing is ensured (man-months)).*

However, for other newly added activities, such as the support for growth pole coordination, there were no suggestions for supplementary indicators (see Objectives covered).

Deeper breakdown for existing activities

Other indicators were chosen to further detail the existing operations (for example, programme indicator "*Meetings of relevant committees and working groups"* was further detailed by the introduction of supplementary indicators "*Meetings of working groups (no.)", "Meetings of NCC (no.)", "Meetings of MCC (no.)", "Meetings of the OPTA Monitoring Committee (no.)", "Meetings of the TA Coordination Committee (no.)"*.

While such an approach may provide useful information for the internal use of each of the committees and working groups, at the same time it goes against the principle of keeping the indicator system as simple as possible. From a management perspective, there seems to be little advantage, if any, for this further breakdown.

Common TA approach – use of action categories

In order to provide coherence throughout NSRF, only one „Action Category", 700 – Technical assistance was attached to all TA specific indicators, while using the SMIS. This implies that all OP TA indicators have the same action category, and that OP TA indicators can be aggregated also with the TA indicators from other OPs.

However, the use of only one action category makes it impossible to identify the focus of different interventions – for example to distinguish between support for management and support for increasing the general awareness.

This problem was noticed by the OP TA MA and discussed during the TA Coordination Committee. As a result, an agreement was reached that, for reporting purposes, TA will be split in five categories: Management and coordination; Beneficiary support; Evaluation; IT system; Information and publicity. This reporting categorization is currently enforced, and data is aggregated for each category, not only for OP TA , but at NSRF level.

An obvious choice would be then to split the existent action category into the five reporting categories (AC 701-705) in order to gain more information on the focus of intervention and to align existent TA reporting with the monitoring activity.

However, the main difficulty arising from assigning five different action categories stems from SMIS usage, which only allows one AC for a given project. In the case of OPTA, this may often be too narrow to encompass all activities comprised in a complex project, which may contain altogether the elaboration of studies for management purposes, training (for MAs and beneficiaries alike) and communication and promotion activities.

One solution, in line with the SMIS logic, is to assign the action category to a TA project based on the most important (critical) focus of that respective project. This should not be necessarily based on the type of activity with the largest financial allocation (although financial input should not be neglected), but on the main aim of the project, in relation to the planned interventions of the KAI and PA of which it belongs.

For instance, in the case of a complex project related to developing the Cost-Benefit-Analysis (CBA) methodology, which implies drafting the methodology to facilitate the evaluation of projects, training for both MAs and beneficiaries and also awareness activities, the normal choice is to assign it to the action category Evaluation, as the principal goal is to improve the evaluation capacity regarding infrastructure projects.

Clarifying definitions, labels and measurement units

As part of the initiative to improve the indicator system, also for the OP TA there is further scope for improving definitions, labels and measurement units.

Some indicators do not have the measurement unit specified; others have the measurement unit expressed in brackets at the end of the definition, which seems far more appropriate. Therefore, it is advisable to provide a minimum level of standardization, and place all measurement units at the end of the definitions, in order to provide improved accuracy and consistency.

2.3.2. COLLECTING INDICATORS

The collection process refers to the indicators defined and included in the Framework Document for Implementation (both initial programme indicators and supplementary ones).

As in the case of other OPs, most of the output indicators are collected based on project level information, provided by beneficiaries through SMIS. Feeding in the SMIS in due time is therefore an obvious precondition for the collection of such indicators.

For the collection of the supplementary indicator referring to *Total working time...* (KAI 1.1), specific reporting is required in order to aggregate the working time of all staff that is benefitting from the 75% bonus. However, this type of reporting is not difficult and it is provided by the System Coordination Directorate (SCD), also within ACSI.

As regards result and context indicators, the collection process varies from simple data reporting from institutional structures (see KAI 2.4 IT related result indicators, which are collected from the SMIS Unit within SCD, or number of *website visits* which is automatically processed by an embedded counter behind the website), to more complex data gathering, which requires specific surveys (see indicator related to *population awareness level*). Such surveys require significant effort, as they need to be externalised through public procurement. Therefore, it is likely and efficient to calculate such complex result or context indicators only at a manageable frequency (e.g. once a year for large surveys).

2.3.3. PROCESSING AND MEASURING INDICATORS

Processing and measuring indicators for OP TA should allow:

- the aggregation of data from lower to higher level and the generation of monitoring reports (**vertical aggregation**).
- the overall monitoring of the same intervention fields at NSRF level (e.g. Studies, analyses, reports, strategies), which implies **horizontal aggregation** of TA across OPs.

Vertical aggregation

In the case of OP TA, there are no critical issues related to vertical aggregation. Project level indicators are easy to sum up at programme level (e.g. number of studies, number of events etc.). The only debatable issue seems to be the breakdown of programme level indicators to reflect different project level outputs (see comment on splitting the type of committees and working groups). This temptation should be resisted, in order to ensure the required simplicity of an indicator system. The solution is to agree at project level to cumulate outputs in broader activities, fully compatible with programme indicators.

Horizontal aggregation

The logic of TA is to provide horizontal support. This implies a close link in between OP TA and the TA Priority Axes within each of the other OPs. When managing TA indicators for OP TA, a close view should be kept on the way in which such indicators can be used to reflect TA across NSRF.

In the case of other OPs, the use of action categories allows both the simplification of the indicator system and the easy horizontal aggregation. This applies only partially in the case of OP TA. As mentioned earlier, the fact that only one AC can be assigned per project, according to its main focus of intervention, means that aggregation by AC will not be 100% accurate in terms of reporting. Aggregating AC 703 Evaluation may include activities of a different nature, such as training or awareness events. Therefore, in the case of TA, there is a need to keep enough indicators to reflect the correct nature of intervention, if such aggregation is needed for reporting.

For instance, the indicator participant training days needs to be split in *participant training days – managing structures*, *participant training days - beneficiaries*, *participant training days – other structures*. This seems at a first glance redundant, and would suggest keeping only one indicator with multiple action categories, as done for other OPs. However, if there is a need to report correctly the training days provided to participant beneficiaries, the only way to allow horizontal aggregation is by keeping a distinct indicator (see previous comment on complex TA projects with only one AC assigned).

However, the aggregation by action categories is still important, even if it is not reflecting the "pure" nature of the interventions within them. Such aggregation would be valuable for providing a very good estimate of the raw categories of TA interventions across NSRF, which is now calculated outside the monitoring system.

Therefore officialising the use of "Action Category" as it is currently provided by SMIS, by using the five categories defined earlier, would bring value added also for OP TA monitoring.

2.3.4. PROGRESS MONITORING

Monitoring progress in the case of OP TA is done only at NUTS I level, as no breakdown is provided at regional level. It is true that regional IBs are benefiting also from TA (see ROP for instance), but TA management is done at MA level.

TA monitoring (including OP TA) is done both through the formal monitoring system, and through the activity of the TA Coordination Committee, which is reuniting periodically all actors involved in managing TA across NSRF.

While the majority of interventions are very easy to follow in terms of progress at project level(e.g. number of events or meetings), some interventions are more difficult to monitor in a specific time frame (e.g. awareness of population).

As the TA interventions do not imply and infrastructure works, the use of the Discrete Physical Parts facility of SMIS is not very relevant for OP TA.

2.3.5. COMMUNICATION

In the case of OP TA, the communication of indicators is not only a question of transparency, but one of the main pillars of its structure, as an entire Priority Axis is dedicated to it.

The communication activities within OP TA target three levels of stakeholders:

a) OP TA beneficiaries and their staff – structures involved in the management and implementation of SI

b) Potential/current beneficiaries of the other OPs

c) Public at large

Communication in respect to indicators must therefore be tailored for each category, according to their respective needs.

As a result, the management structures would be interested to have the most sophisticated level of internal communication in terms of indicators, in order to follow closely the progress of TA. The potential/current beneficiaries would be interested in how much support they can receive through TA and how this support is reflected through indicators (e.g. targets). Last but not least, the population would probably want to follow context indicators (e.g. absorption) or result indicators (e.g. level of awareness) that can be digested easily or have a more meaningful significance at a larger level.

The communication related to indicators should be easily handled by the MA given the fact that OP TA has several assigned tools and institutions to deal with communication activities, such as the Information Center. It is true though that due to delays, such instruments were not yet deployed until the end of 2010.

FIGURE 8 SYNTHESIS OF THE ANALYSIS OF THE SYSTEM OF INDICATORS

OUTPUT INDICATORS								
LEVEL	Crt no	Indicators	Type[12]	Recommendation		Rationale		
						COVERAGE	**BALANCE**	**MANAGEABILITY**
KAI 1.1	1.	Studies, analyses, reports, strategies	P	Revise	Use of indicator: *Studies, analyses, reports, strategies (number)*	-	-	The indicator is defined broad enough to allow processing/ measurement and communication/ reporting within OPTA
	2.	Guidelines and other methodological documents	P	Revise	Use of indicator: *Guidelines and other methodological instruments (number)*	-	-	The indicator is defined broad enough to allow processing/ measurement and communication/ reporting within OPTA
	3.	Events based on exchange of experience regarding the implementation of funds and thematic aspects	P	Revise	Use of indicator: *Events based on exchange of experience regarding the implementation of funds and thematic aspects (number)*	-	-	The indicator is defined broad enough to allow processing/ measurement and communication/ reporting within OPTA

[12] P=programme, S=supplementary

	4.	Meetings of relevant committees and working groups	P	Revise	Use of indicator: *Meetings of relevant committees and working groups (number)*	-	-	The indicator is defined broad enough to allow processing/ measurement and communication/ reporting within OPTA
	5.	Total working time (of staff involved in the coordination, management and control of Structural and Cohesion Funds), for which co-financing is ensured (man-months)	S	Keep	-	-	-	The indicator is defined broad enough to allow processing/ measurement and communication/ reporting within OPTA
	*	Total functioning time for which financing is ensured (months)	*	Add	-	Following the intervention logic the indicator is required to measure the output of the activity related to the functioning of the Pole Coordinator Unit		
KAI 1.2	6.	Studies, analyses, reports, strategies	P	Revise	Use of indicator: *Studies, analyses, reports, strategies (number)"*	-	-	The indicator is defined broad enough to allow processing/ measurement and communication/ reporting within OPTA

	7.	Guidelines and other methodological documents	P	Revise	Use of indicator: "*Guidelines and other methodological instruments (number)"*	-	-	The indicator is defined broad enough to allow processing/ measurement and communication/ reporting within OPTA
	8.	Events based on exchange of experience regarding the implementation of funds and thematic aspects	P	Revise	Use of indicator: *Events based on exchange of experience regarding the implementation of funds and thematic aspects (number)*	-	-	The indicator is defined broad enough to allow processing/ measurement and communication/ reporting within OPTA
	9.	Meetings of relevant committees and working groups	P	Revise	Use of indicator: *Meetings of relevant committees and working groups (number)*	-	-	The indicator is defined broad enough to allow processing/ measurement and communication/ reporting within OPTA
	10.	Participant training days – managing structures	P	Revise	Use of indicator: Participant training days – managing structures (number)	-	-	The indicator is defined broad enough to allow processing/ measurement and communication/ reporting within OPTA

	11.	Participant training days – other structures	P	Revise	Use of indicator: Participant training days – other structures (number)	-	-	The indicator is defined broad enough to allow processing/ measurement and communication/ reporting within OPTA
KAI 1.3	12.	Studies, analyses, reports, strategies	P	Revise	Use of indicator: *Studies, analyses, reports, strategies (number)"*	-	-	The indicator is defined broad enough to allow processing/ measurement and communication/ reporting within OPTA
	13.	Guidelines and other methodological documents	P	Revise	Use of indicator: "*Guidelines and other methodological instruments (number)"*	-	-	The indicator is defined broad enough to allow processing/ measurement and communication/ reporting within OPTA
	14.	Meetings of relevant committees and working groups	P	Revise	Use of indicator: *Meetings of relevant committees and working groups (number)*	-	-	The indicator is defined broad enough to allow processing/ measurement and communication/ reporting within OPTA

	15.	Participant training days – beneficiaries (no)	P	Revise	Use of indicator: *Participant training days - beneficiaries (number)*	-	-	The indicator is defined broad enough to allow processing/ measurement and communication/ reporting within OPTA
	16.	Participant training days – managing structures	P	Revise	Use of indicator: *Participant training days – managing structures (number)*	-	-	The indicator is defined broad enough to allow processing/ measurement and communication/ reporting within OPTA
	17.	Participant training days – other structures	P	Revise	Use of indicator: *Participant training days – other structures (number)*	-	-	The indicator is defined broad enough to allow processing/ measurement and communication/ reporting within OPTA
	18.	Training sessions (no.)	S	Remove		It overlaps with indicators 15, 16, 17, its use become redundant	-	-
	19.	Events based on exchange of experience regarding the implementation of funds and thematic aspects	P	Revise	Use of indicator: *Events based on exchange of experience regarding the implementation of funds and thematic aspects (number)*	-	-	The indicator is defined broad enough to allow processing/ measurement and communication/ reporting within OPTA

KAI 1.4	20.	Meetings of relevant committees and working groups (*composed of the supplementary indicators*)	P	Revise	Use of indicator: *Meetings of relevant committees and working groups (number)*	-	-	The indicator is defined broad enough to allow processing/ measurement and communication/ reporting within OPTA
	21.	Meetings of working groups (no.)	S	Remove	-	It overlaps with indicator (21); its use become redundant	-	-
	22.	Meetings of NCC (no.)	S	Remove	-	It overlaps with indicator (21); its use become redundant	-	-
	23.	Meetings of MCC (no.)	S	Remove	-	It overlaps with indicator (21); its use become redundant	-	-
	24.	Meetings of the OPTA Monitoring Committee (no.)	S	Remove	-	It overlaps with indicator (21); its use become redundant	-	-
	25.	Meetings of the TA Coordination Committee (no.)	S	Remove		It overlaps with indicator (21); its use become redundant	-	-

	*	Total amount of advisory services received (expertise and advice) (man-days)	*	Add	-	Following the intervention logic the indicator is required to measure the output of the interventions financing the delivery of advisory services to structures responsible with the management and implementation of the SI	-	-
KAI 2.1	26.	Studies, analyses, reports, strategies	P	Revise	Use of indicator: *Studies, analyses, reports, strategies (number)"*	-	-	The indicator is defined broad enough to allow processing/ measurement and communication/ reporting within OPTA
	27.	Guidelines and other methodological documents	P	Revise	Use of indicator: "*Guidelines and other methodological instruments (number)"*	-	-	The indicator is defined broad enough to allow processing/ measurement and communication/ reporting within OPTA
	28.	SMIS versions	P	Revise	Use of indicator: *SMIS versions (number)*	-	-	The indicator is defined broad enough to allow processing/ measurement and communication/ reporting within OPTA

	29.	SMIS related applications	P	Revise	Use of indicator: *SMIS related applications (number)*	-	-	The indicator is defined broad enough to allow processing/ measurement and communication/ reporting within OPTA
KAI 2.2	30.	Meetings of relevant committees and working groups	P	Revise	Use of indicator: *Meetings of relevant committees and working groups (number)*	-	-	The indicator is defined broad enough to allow processing/ measurement and communication/ reporting within OPTA
	31.	Requests received from helpdesk	P	Remove	Monitor as result indicator	Incorrectly assigned as output indicator	-	-
	*	Total amount of advisory services received (expertise and advice) (man-days)	*	Add	-	Following the intervention logic the indicator is required to measure the output of the interventions financing the delivery of advisory services to structures responsible with the SMIS functioning and development	-	-

KAI 2.3	32.	Events based on exchange of experience regarding the implementation of funds and thematic aspects	P	Revise	Use of indicator: *Events based on exchange of experience regarding the implementation of funds and thematic aspects (number)*	-	-	The indicator is defined broad enough to allow processing/ measurement and communication/ reporting within OPTA
	33.	Participant training days - managing structures (no.)	P	Keep	-	-	-	The indicator is defined broad enough to allow processing/ measurement and communication/ reporting within OPTA
KAI 2.4	34.	Structures endowed with equipment (no.)	S	Keep	-	-	-	The indicator is defined broad enough to allow processing/ measurement and communication/ reporting within OPTA
KAI 3.1	35.	Studies, analyses, reports, strategies	P	Revise	Use of indicator: *Studies, analyses, reports, strategies (number)*	-	-	The indicator is defined broad enough to allow processing/ measurement and communication/ reporting within OPTA

	36.	Communication and promotion events (no.)	P	Revise	Use of indicator: *Participants at events organized*	-	-	The indicator is not defined broad enough to allow processing/ measurement and communication/ reporting within OPTA
	37.	Publicity and information materials (no of copies)	P	Revise	Use of indicator: *Publicity and information materials (no of titles)*	-	-	The indicator is not defined broad enough to allow processing/ measurement and communication/ reporting the various information materials and events
	38.	Mass-media campaigns (no.)	P	Keep	-	-	-	The indicator is defined broad enough to allow processing/ measurement and communication/ reporting within OPTA
Kai 3.2	*	Total functioning time for which financing is ensured (months)	*	Add	-	Following the intervention logic the indicator is required to measure the output of the activity of the Information Centre	-	-

RESULT INDICATORS								
LEVEL		Indicators	Type [13]	Recommendation		Rationale		
						COVERAGE	BALANCE	MANAGEABILITY
KAI 1.1	*	Value of implemented projects for which support is ensured by the Pole Coordinator (euro)	*	Add	-	Following the intervention logic the indicator is required to measure the result of the interventions supporting the Pole Coordinator Unit	-	-
	*	Staff turnover (%)	*	Add	-	Following the intervention logic the indicator is required to measure the result of the interventions ensuring co-financing for staff involved in the management and implementation of the SI	-	-
KAI 1.2	*	Increase in the level of knowledge (of staff involved in the coordination, management and control of SI) (%)	*	Add	-	Following the intervention logic the indicator is required to measure the result of interventions designed for building a common evaluation culture and increasing the institutional capacity in respect to evaluation	-	-

[13] P=programme, S=supplementary

RESULT INDICATORS								
LEVEL		Indicators	Type [13]	Recommendation		Rationale		
						COVERAGE	BALANCE	MANAGEABILITY
						activity		
KAI 1.3	*	Degree of satisfaction of training participants (%)	*	Add	-	Following the intervention logic the indicator is required to measure the result of interventions financing training activities	-	-
KAI 2.1	*	SMIS downtime (hours/month)	*	Add	-	It contributes to measuring the results of the activities of development and maintenance of SMIS	-	-
	*	Degree of user satisfaction (%)	*	Add	-	Following the intervention logic the indicator is required to measure the result of interventions financing the development and functioning of users/beneficiaries services – SMIS helpdesk	-	-
2.2	*	Requests received from helpdesk	*	Add / Revise	Use of indicator: Requests answered by the helpdesk (number)	Following the intervention logic the indicator is required to measure the result of interventions focusing on the development and	Incorrectly assigned as output indicator	-

RESULT INDICATORS								
LEVEL		Indicators	Type [13]	Recommendation		Rationale		
						COVERAGE	BALANCE	MANAGEABILITY
						functioning of the helpdesk for SMIS users		
2.3	*	Degree of satisfaction of training participants (%)	*	Add	-	Following the intervention logic the indicator is required to measure the result of interventions financing training activities	-	-
2.4	1.	Unplanned SMIS downtime (hours/month)	S	Revise	Use of indicator: *SMIS downtime (hours/month)*	-	-	-
	2.	Network availability (%)	S	Keep	-	-	-	-
	3.	Percentage of packet loss (%)	S	Keep	-	-	-	-
	4.	Latency for 1000 packets (ms)	S	Keep	-	-	-	-
KAI 3.1	5.	Population awareness level (%)	P	Keep	-	-	-	The indicator is defined broad enough to allow processing/ measurement and communication/ reporting within OPTA
KAI 3.1	*	Website visits (no)	*	Add	-	It contributes to measuring the results of the activities	-	-

RESULT INDICATORS								
LEVEL		Indicators	Type [13]	Recommendation		Rationale		
						COVERAGE	BALANCE	MANAGEABILITY
						focusing on dissemination of general messages regarding the Si		
KAI 3.2	6.	Requests received by the Information Centre	P	Keep	-	-	-	-
	7.	Website visits	P	Keep	-	-	-	-
	*	Degree of user satisfaction (%)	*	Add	-	It contributes to measure the result of interventions financing the development and functioning of the Information Centre	-	-
	*	Number of IC visitors	*	Add	-	It contributes to measure the result of interventions financing the development and functioning of the Information Centre	-	-

FIGURE 9 RESULTS OF THE OVERALL ANALYSIS OF THE SYSTEM OF INDICATORS

PROGRAMME	1.	TA projects (number)
PA 1 Support for the implementation of structural instruments and coordination of programmes		**INPUT INDICATORS**
	1.	TA Projects
	OUTPUT INDICATORS	
	1.	Studies, analyses, reports, strategies (number)
	2.	Guidelines and other methodological instruments (number)
	3.	Events based on exchange of experience regarding the implementation of funds and thematic aspects (number)
	4.	Meetings of relevant committees and working groups (number)
	5.	Total working time (of staff involved in the coordination, management and control of Structural and Cohesion Funds), for which co-financing is ensured (man-months)
	6.	Total functioning time for which financing is ensured (months)
	7.	Participant training days (number) - Participant training days – beneficiaries (number) - Participant training days – managing structures (number) - Participant training days – other structures (number)
	8.	Total amount of advisory services received (expertise and advice) (man-days)
	RESULT INDICATORS	
	1.	Value of implemented projects for which support is ensured by the Pole Coordinator (euro)
	2.	Staff turnover (%)
	3.	Increase in the level of knowledge (of staff involved in the coordination, management and control of SI) (%)

	4.	Degree of satisfaction of training participants (%)

PA 2. Further development and support for the functioning of the Single Management Information System	**INPUT INDICATORS**	
	1.	TA Projects (number)
	OUTPUT INDICATORS	
	1.	Studies, analyses, reports, strategies (number)
	2.	Guidelines and other methodological instruments (number)
	3.	SMIS versions (number)
	4.	SMIS related applications (number)
	5.	Meetings of relevant committees and working groups (number)
	6.	Total amount of advisory services received (expertise and advice) (man-days)
	7.	Events based on exchange of experience regarding the implementation of funds and thematic aspects (number)
	8.	Participant training days - managing structures (no.)
	9.	Structures endowed with equipment (no.)
	RESULT INDICATORS	
	1.	SMIS downtime (hours/month)
	2.	Degree of user satisfaction (%)
	3.	Requests answered by the helpdesk (number)
	4.	Degree of satisfaction of training participants (%)
	5.	Network availability (%)
	6.	Percentage of packet loss (%)
	7.	Latency for 1000 packets (ms)

PA 3. Dissemination of information and promotion of Structural Instruments	**INPUT INDICATORS**	
	1.	TA projects (number)
	OUTPUT INDICATORS	
	1.	Studies, analyses, reports, strategies (number)
	2.	Participants at events organized (no.)
	3.	Publicity and information materials (no of titles)
	4.	Mass-media campaigns (no.)
	5.	Total functioning time for which financing is ensured (months)
	RESULT INDICATORS	
	1.	Website visits (number)
	2.	Population awareness level (%)
	3.	Requests received by the Information Centre (number)
	4.	Degree of user satisfaction (%)
	5.	IC visitors (number)

CONTEXT INDICATORS

Level of staff motivation
Staff turnover
Absorption of the Structural Funds
Overall level of awareness of the population in respect to SI

3. ANALYSIS OF INDIVIDUAL INDICATORS

The analysis of the individual indicators consisted of the examination of the output and result indicators **upshot from the analysis at system level**. Indicators that were rejected after the analysis of the system were considered inherently flawed so as to make their individual analysis unnecessary. The reasons for their rejection, as well as suggestions for their replacements (where appropriate) were presented in the previous section.

The list of indicators subject to the current individual analysis includes the original programme indicators and supplementary indicators, introduced as an update through the common effort of OPTA MA and ACIS-ECU during the implementation so far. As no impact or context indicators are included in the current system, such categories are not covered by the analysis in the case of OPTA.

Although OPTA also lacks officially assigned input indicators, the analysis takes into account the financial allocation at the level of KAI/PA/OP, as input indicator (taking into consideration EC-WD2 guidelines). At the level of OPTA, this is well established and the budget committed to each project is clearly defined as well.

This list of output and result indicators was assessed against the four criteria for quality indicators as set out in the ToR, based on the DG Regional Policy Guidelines namely: "relevance", "sensitivity", "availability" and "cost". Each indicator will be marked wit h "+" and "-", for each of the criteria.

Relevance: (+) little relevance; (++) relevant

Sensitivity: (+) low sensitivity (the indicator has very limited response when changes occur in the variable to be measured and can be influenced by a lot of external factors); (++) sensitive (the indicator fully responsive to the changes in the variable to be measured and is not influenced by external factors).

Availability: (+) limited availability (it is difficult to collect/update regularly, due to calculation method, source etc.) (++) available (does not pose any difficulties for collection/update)

Cost: (+) high costs (specific studies, surveys at MA/ACIS etc.), (++) low cost (no additional costs for collection, other than regular reporting requirements and input into the electronic system)

Comments have been made in relation to each of the above issues. The analysis of the individual indicators output and result indicators can be found in **ANNEX I and ANNEX II.**

NOTE: All output and result indicators should be considered as resulting from the project/intervention for which they are employed for monitoring. For example, the "Degree of user satisfaction" should be interpreted as "Degree of user satisfaction as a result of the project/intervention".

- There are indicators that have little sensitivity: for example, indicators like *"Population awareness level"*, which can be influenced by a large number of external factors and do have the capacity to reflect the changes in the variable to be measured.

Overall, the individual indicators of OPTA have scored relatively high *for the criteria of relevance and sensitivity.* In terms of availability and cost, the new proposed indicators require specific studies / surveys for collection and update and significant costs.

4. SUMMARY RECOMMENDATIONS

4.1. NEEDS ASSESSMENT

1) It is recommended to update indicators, so as to integrate and reflect the newly introduced eligible activities.
2) For increased manageability, it is recommended to introduce supplementary indicators in SMIS.
3) It is recommended to provide training and instructions/ procedures specifically designed for working with indicators, both for staff and for beneficiaries.

4.2. ANALYSIS OF THE INDICATORS SYSTEM

1) It is advisable that **new output and result indicators be introduced to fill the gaps in coverage**.
2) Given that the European Commission underlines the utility of context indicators and that the need for this type of indicators has precisely resulted from the analysis performed, it is recommended that **context indicators be introduced and properly defined** for OPTA.
3) Some indicators should be re-labelled slightly, for improved manageability;
4) For the easiness of implementing the recommendations presented under *Fig. 9 Results of the Overall analysis of the system of indicators and Fig. 10 Final recommended list of indicators OP-Transport in SMIS*

LIST OF INDICATORS USED AS PARAMETERS OF SMIS

The recommended list of indicators for OP Transport is built based on the findings, conclusions and recommendations of all the previous chapters and aims at bringing improvements both at the level of the system and at the level of individual indicators.

FIGURE 10 FINAL RECOMMENDED LIST OF INDICATORS OPTA IN SMIS

Crt. No.	SMIS Code	Indicator	UM	SMIS Code	Action Category	Type	Core indicator [14]
OUTPUT INDICATORS							
1.	700	Studies, analyses, reports, strategies	No.	700	Technical Assistance	Simple	-
2.	701	Guidelines and other methodological instruments	No.	700	Technical Assistance	Simple	-
3.	702	Events based on exchange of experience regarding the implementation of funds and thematic aspects	No.	700	Technical Assistance	Simple	-
4.	703	Meetings of relevant committees and working groups	No.	700	Technical Assistance	Simple	-
5.	*	Total working time (of staff involved in the coordination, management and control of Structural and Cohesion Funds), for which co-financing is ensured	Man-months	*	*	Simple	-
6.	*	Total functioning time for which financing is ensured	Months	*	*	Simple	-
7.	704	Participant training days	No.	700	Technical Assistance	Composed (7)=(8)+(9)+(10)	-
8.	705	Participant training days – beneficiaries	No.	700	Technical Assistance	Simple	-
9.	706	Participant training days – managing structures	No.	700	Technical Assistance	Simple	-
10.	707	Participant training days – other structures	No.	700	Technical Assistance	Simple	-

[14] Cf. Documentului de lucru nr. 7

11.	*	Total amount of advisory services received (expertise and advice)	Man-days	*	*	Simple	
12.	708	Participants at events organised	No.	700	Technical Assistance	Simple	-
13.	709	Publicity and information materials	No. (of titles)	700	Technical Assistance	Simple	-
14.	710	Mass-media campaigns	No.	700	Technical assistance	Simple	-
15.	711	Website visits	No.	700	Technical Assistance	Simple	-
16.	712	Requests received by the Information Centre	No.	700	Technical Assistance	Simple	-
17.	713	SMIS versions	No.	700	Technical Assistance	Simple	-
18.	714	SMIS related applications	No.	700	Technical Assistance	Simple	-
19.	715	Requests answered by the helpdesk	No.	700	Technical Assistance	Simple	-
20.	716	Population awareness level	%	700	Technical Assistance	Simple	-
21.	*	Structures endowed with equipment	No.	*	*	Simple	-
22.	*	Value of implemented projects for which support is ensured by the Pole Coordinator	Euro	*	*	Simple	-
23.	*	Staff turnover	%	*	*	Simple	-
24.	*	Increase in the level of knowledge (of staff involved in the coordination, management and control of SI)	%	*	*	Simple	-

25.	*	Degree of satisfaction of training participants	%	*	*	Simple	-
26.	*	SMIS downtime	hours/ month	*	*	Simple	-
27.	*	Degree of user satisfaction	%	*	*	Simple	-
28.	*	Network availability	%	*	*	Simple	-
29.	*	Percentage of packet loss	%	*	*	Simple	-
30.	*	Latency for 1000 packets (ms)	%	*	*	Simple	-
31.	*	IC visitors	No.	*	*	Simple	-