

Name	Position/Institution
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<b>OTHER KEY INSTITUTIONS</b>	
Silvia PISICĂ	Head of Employment and Labor Market Statistics Department
Septimia DOBRESCU	Expert, European Commission EU DG EMPL
Arjen DEIJ	Country Manager European Training Foundation
Martin BREMER	VAPRO (training organization for the Dutch chemical industries)
André PEER	Peer Consultancy B3224/201106/DG/responsible for the Striking Deals project VET Matra Project FNV Trade Union 2003-2006)
Sarau GHEORGHE	Advisor on Roma Issues Ministry of Education and Research Department for Pre-University Education
Serban IOSIFESCU	Head of National Agency for Quality in Pre University Education
Ana COSTIN	Director NATB
Nela Plugarescu	Expert NATB
Elisabeta MITROI	Expert Sectoral Committee Construction
Floriean RAICU	Expert Sectoral Committee Machinery and Regional TVET Committee ANCONAV
Catalin CROITORU	President National Education Trade Union Federation
Dan BAJAN	President Machinery Sectoral Committee CNSRL Fratia Trade Union

## Annex 1 Lesser remarks on the text of the SOP HRD

This Annex comprises some lesser remarks about the SOP November draft. Next to this, the ex ante evaluator has forwarded some questions on textual matters to the MA SOP HRD. Until this date, the MA SOP HRD did only provide for a partial answer. For that reason, these were not included in the next list.

Because the SWOT-analysis, the strategy, the (quantified) objectives, the coherence with other policies and the implementation are very central to the programme, there are no lesser remarks in these field. The remarks centre on the Current Situation Analysis and the Priority Axes.

### Current situation analysis

(5)

Analysis of the amount of enrolments in education:

- It is preferable to start with the gross enrolment rate (the relation between enrolment and population development) and then to mention the absolute figures (decrease in primary and gymnasias, increase in VET and HE).
- The forecasts of enrolment figures also shows a big decrease in the participation in HE for the coming decennia. (this also relates to p. 10)

(5)

A relevant aspect in the analysis of participation in education might be the increasing the compulsory age for education. An analysis is needed of the effects of the higher compulsory age for education with real participation. A brief analysis of this topic is included in the State of the Education report 2005 and 2006.

(8)

The program puts an emphasis on IVET as a component of the general education system and only occasionally as a skills/competence provider addressing to a fast changing labour market; the motivation of the students to follow this path of studies is not at all analysed even if an important part of the IVET students are not choosing it themselves, failing the high school entrance exams (university education is highly appreciated and in the significant expansion of the tertiary education, putting a pressure on the vocational pathways<sup>1</sup>).

(12)

Table 16 will be more informative when it also shows the total amount of teaching personnel and/or the teacher/student rates.

(15)

9.85 Million = active population, not employment

<sup>1</sup> Rising aspirations and uncertainties about the jobs for which the preparation is made (availability, salary) are factors that could in the near future reducing the attractiveness of the TVET pathway.

(17)

Not the total inactive population is interesting, but the share of them of the 15-64 age group.

(18)

The share of employment in services could not have increase with 7.6 percent points from 30.6% to 37.5%.

(18/21)

It should be clear education levels can be translated into ISCED levels (which seems to be low = 0.,1, medium = 2, to 4, high = 5 or 6). It should also be explained what is a very low level of education.

(21)

Jobs requiring higher qualifications are of course interesting for university trained young people, but not for those youth who will become unemployed.

(22)

Enhancing work force adaptability and entrepreneurship does not only favor both parties in recruitment situations (thus positively influencing the economic and social life), but enhances also labour productivity, working conditions and labour relations directly.

(23)

It is not clear how a comparison for the indicator on labour intensity, work pace and breaks and interruptions between EU15 and Romania, on which Romania scores lower than EU15 is indicating something about the growth of the services sector in Romania.

(28)

The remark that employed population will decrease and working age population will increase seems to point at a decrease in participation instead of an increase.

(36)

The texts on the social service system starts with a definition, which does not really add up to the content of the analysis.

(37)

The facts about physical violence at the workplace are not very relevant for women employment (the facts about sexual harassment might be, however).

## **Priority axes**

### *Priority Axis 1*

- The possible role in training provision of post-high schools is not sufficiently analysed even if they currently offer a diverse range of specialized programmes (two years duration) and are connected to the demands in the labour market. The same goes for the training programmes for technician supervisors (*maiștri*).
- The links between technical high schools (*licee tehnologice*) offer and the TVET schools (*școli de arte și meserii*) offer is not analysed from the perspective of the levels of voca-

tional qualifications (i.e. 135 individual qualification organised in 16 domains for the level 2 qualification /SAM and 19 broad vocational qualifications available for the level 3 qualification/*liceu tehnologic*); this is a possible consequence of ignoring the tradition of understanding IVET focused only on former professional and apprenticeship schools (SAM).

- The analysis fails to point out the consequences of the differences in the logic of TVET programmes (initial - concerned both with labour market and further educational opportunities; continuous – concerned primary with labour market demands) and the differences in using the qualification system (i.e. in qualification units, in certification requirements etc.).
- Even if Romania has created recently a national framework for vocational qualifications for both initial and continuing training, the curricula of IVET qualifications still has to be approved by the Ministry of Education (why not functioning following the related training standards?). In the framework of intervention PRIORITY AXIS 1.4 there is lacking the important issue of evaluation and validation of prior learning. The role of NATB should be mentioned also as the organization in charge of developing methodologies on the validation of prior learning in Romania. Some consultations in this respect with NATB would be needed.
- Counselling and guidance are still seen as separate systems in initial TVET and CVT. There could be promoted some interventions in the field of co-ordination.
- Studies in CVT are important. To the idea of the ex ante evaluator these studies should preferably relate to sectors of industry instead of regions, counties and companies.

#### *Priority Axis 2*

- Contrary to PRIORITY AXIS 1, the introduction to PA2 does not care about the health sector (being important for the co-ordination with the ROP). Health is mentioned in intervention 2.3, however.
- The analysis fails to distinguish in the institution building process (new structures at local, regional and national level, funding and performance measures) the market driven mechanisms involving student choice.
- As the EC remarks in its position paper and the MA agrees upon in its Working Draft Position Paper the problem of early school leaving seems very prominent with Roma children. This might lead to the conclusion to put activities in this field under the PRIORITY AXIS 6. This may make it easier to develop integrated projects for this target group.
- Also an analysis of the reasons for early school leaving (pupils being fed up with school, a failing school system or the perspective of a job?) is needed for.
- It is also important to identify the potential beneficiaries of the measures (i.e. the graduates of compulsory education of Schools of Arts and Trades leaving the system with only level 1 qualification in both urban and rural areas facing the reduction of low skilled occupations).

#### *Priority Axes 3, 4 and 5*

No remarks

#### *Priority Axis 6*

- Intervention 6.1 seems to be written from the perspective of the NGO's instead of from that of the target groups. It seems better, e.g. to skip the first sentence of the description of this intervention (as it was not in the April draft).

- The texts on equal opportunities mention possible operations in the fields of women's rights, protection against sexual harassment, domestic violence and human trafficking. The operations, however, only mention domestic violence. On p. 98 (regarding the Equal Opportunities horizontal objective) this is again defined a little bit differently.

## **Annex 2 Stakeholders survey**

### **Context and introductory remarks**

The current report was elaborated within the framework of the Ex-ante evaluation of the HRD Sectoral Operational Program (part of Romania's National Development Plan 2007-2013). It has been mainly carried out by the short-term national experts (Magda Balica and Ciprian Fartusnic – Institute of Education Sciences) under the supervision of the key expert Douwe Grijpstra (Research voor Beleid/Panteia Holland).

One of the tasks was to ask relevant stakeholders about their opinion on the HRD SOP, especially on the SWOT analysis, the strategy and the activities that are planned. A list of stakeholders has been identified as representatives in the carrying out of the programme.

Most of the stakeholders were involved somehow in the planning process (and will also be involved in the programme itself). The task of the ex ante evaluation was to check and give the opportunity to stakeholders to express their views once again.

The survey aimed at investigating in detail the opinions of relevant stakeholders in the area of HRD field (involved in the design/implementation/monitoring/evaluation of specific policies) about the HRD SOP, especially on the SWOT analysis, the strategy and the main planned activities within the program. The selection of the stakeholders was made in direct relation with the activities that were foreseen to be carried out and the institutions expected to be involved. Other criteria used:

- level of decision making (persons with the highest positions within the organisations participating to the investigation were contacted, interviews being carried out directly with them or with the ones appointed by them);
- level of representation (organisations with a recognized high level of influence on other organisations were contacted – from the public, private or non-governmental sector);
- attitude regarding the investigation (only the persons when contacted fully accepting to offer feed back to our investigation were interviewed);
- general knowledge of the program (only the persons with a minimum knowledge of the program were interviewed).

We are fully aware that the large scale of the program makes the list of the key organisations/stakeholders participating in the research far from being exhaustive. At the same time, we believe that a more in-depth investigation of the organisations/stakeholders not willing to cooperate with us (from various reasons) would have added important data for the ex-ante evaluation process. However, given the existing time constraints, we consider that the main findings of the current research succeed in capturing a realistic picture of the current situation and are a valuable complementary source of information in addition to the others (see ex-ante interim reports for details).

### **Methodology of the research**

The activities of the present report started after the review of the first ex-ante interim report by the MA and intermediate bodies for the SOP. The analysis of the general intervention logic of the programme indicated the organisations that were involved in the planning process and are expected to be involved in the programme itself, as key implementing

agents. To this list we have added the organisations that could play an important role in all the phases of the program (development, implementation, monitoring or evaluation) but were less/not at all explicitly included in the draft version of the SOP available at that time.

A total number of 12 organisations have been contacted, by the means of e-mail being requested to input to the ex-ante evaluation by the means of a phone interview carried out at a commonly agreed time/date in the foreseen period (maximum time, two weeks). In order to structure the phone discussion a range of documents has been attached to the mail, including the questions to be answered and relevant excerpts from the SOP (objectives and priorities of intervention of the program, SWOT analysis, description of the financial allocations by priority axes etc). The organisations contacted were informed that the main scope of the research is to check and create a new opportunity to express the opinions expressed during the previous stages of the program.

A total number of ten organisations have answered in due time and positively to our request but only eight organisations were available for the interviews in the period allocated for this activity (57%). Several organisations claimed the lack of time for participating to the interviews, indicating some sources of information for acquiring an accurate view on organisation's position towards SOP. At the same time, three organisations replied that they will have a written response but have not sent the document in due time.

The interviews were conducted by the local short-term experts and, in most of the cases (6 out of 8), were made by phone. Two face to face interviews were conducted based on the explicit request of the organisations' representatives who participated to the research. The length of the interviews varied significantly (from 20 to 75 min.). However, in all the cases the interviews covered all the subjects included in the interview question list. The nature of the research did not require other specific documents/proofs from the interviewees, the main outcome of the exercise being the recorded interviews.

In addition to the interviews with Romanian stakeholders, there have also been two interviews with Dutch consultants who were involved in projects on HRD with the social partners in Romania.

At the end of this Annex one can find the list of the questions included in the structured interview) and a list of the organisations that have been included in the research, together with the name, position and the coordinates of the persons that were contacted.

#### **Socio-economic and SWOT- analysis**

In general, the interviewed stakeholders find the SWOT analyses clear, synthetic and realistic. The realities presented in the analysis are perceived as generally well known.

Some of the interviewed persons suggested that in their opinion there is an important threat missing in the analyses regarding the **legislation** as a barrier for many possible and innovative initiatives. At the same time, the foreign consultants interviewed working with Romanian bodies in different projects have evaluated the changes in the legislation very frustrating.

The legislation in the field of continuing education is still very complex and bureaucratic, with a lot of formal obstacles in implementation. The lack of clarity in legislation and also the ambiguous implementation methodologies might be the cause for delays in the development of the Program in Romania.

*The best way to frustrate activities is to start with changing laws, especially in the field of education. This is a very lengthy and sensible process.*

*The Labour Code is an important factor, especially because it secured the position of workers (employers tried to diminish the effects of the Labour Code, but this did not work out).*

Some of the social partners interviewed suggested that in their opinion there is an important threat missing in the analyses: the Sectoral Committees are not formally organised for the moment. The staff needs to be developed and there is a need for much more training and information regarding the ESF opportunities. Another weakness mentioned by them was that social partners are not so active and experienced at the regional and local level, especially in the rural areas, although they see the work force development in this areas as a priority for the next years.

A joint meeting on 2<sup>nd</sup> of November with all actors from the side of education and the representatives of MLSSF made the last corrections on SWOT analyses. In this meeting, the main corrections to the SWOT analyses were the following:

- Weakness added:
  - low access to education of children in rural education and other isolated areas;
  - limited capacity of schools to offer continuing education programs at the local level;
  - low participation to education of young persons aged between 18-24 years;
- Strengths added:
  - the experiences in pre-ESF in HRD;
- Threats added:
  - The non-attractiveness of teaching career might work as a resistance to changes;
  - low competitiveness of the economy in rural areas;
  - low managerial capacity at the school level in some areas.

Some other interviewed stakeholders expressed that in the SWOT analyses the sectoral approach is not included sufficiently.

*The real need for training can only be discerned at the subsectoral level. At the same time, it is not possible to arrange a bipartite structure at the level of the whole metal industry. At this level employers organizations and trade unions do not see the win-win situations. This whole way of thinking (subsectoral parital foundations) has also been laid down in the NAPE.*



### **Relevance of the strategy**

Some of the interviewed stakeholders find the priorities very generally defined. This is appreciated as a good thing because there is space for flexibility and offers to the applicants much more freedom to address their need under different priorities. At the same time, overlapping of priorities and general definitions make it difficult to find precisely the expectations and role of social partners in the framework of different priorities. But anyway, in general, the stakeholders agreed that priorities offer a lot of opportunities and flexibility for all to apply under different priority umbrellas.

Even so, some of the interviewed stakeholders thought that it will maybe be the most experienced institutions in developing European programs so far that will continue to be among best applicants. In this case, social partners would probably not have so much initiative in building and leading partnerships for applications, but certainly they expect a lot of invitations from other organizations (schools, universities, central public authorities etc.).

Other stakeholders, in particular the representatives of NATB express the opinion that there is a lack of balance between IVET and CVT measures and the focus on initial vocational education seems to not be consistent with the data provided in the analyses, especially on the low participation rate in CVT in Romania. The focus on modernising Public Employment Services seems also to be not enough justified. At one hand it was highlighted that the NAE benefited already from many other former capacity building programs for institutional development. On the other hand, no other key public institution with direct responsibilities for LLL was seen as deserving to be modernised. In this case, the budgetary allocation seems to be unbalanced between IVET measures and CVT and LLL.

The NATB formulated some proposals regarding the priorities and measures, as following:

- The need to emphasize the activities and measures regarding the institution building and support for Sectoral Committees in order to be able to act actively in NQF development;
- The need for more visibility of social partners in all other measures related to VET;
- Sectoral Committees should be eligible bodies for application, even in this moment not many of them have officially established, having judicial status, or prepared staff. In the future, Sectoral Committee should be able to access the grants for their developments and involvement in NQF development activities and CVT or IVET;
- There is a need for increasing quality in accreditation of CVT providers and strengthen the local commissions and also for accreditation of the centres in charge with evaluation of informal and non-formal competences. This can be done by financing training of the evaluators used.

Another opinion mentioned was that the role of social partners is not sufficiently visible in the strategy. *The priority 4 Modernising the Public Employment Services seems to be not very viable without a strong partnership with employer's organisations and trade unions.* According to one of the interviewed representatives, *institution building activities for social partnership and consolidation of Sectoral Committees are a priority issue for the moment in Romania*, as far as Sectoral Committee should play an important role in NQF development and implementation. Therefore, the need for such institution building activities is seen as not enough addressed in the analysis or at the priorities level. *It would be very important that the ESF programs would help the Sectoral Committees to develop their capacities in*

*order to manage successful project at the sectoral level. The sectoral level is the key issue for development of LLL for the moment in Romania.*

In general, stakeholders involved found the budget allocation well balanced. The only suspicion relates to the priority 1 Education and training in support for growth and development of knowledge based society. There is an unbalance between the ambitious targets of this priority and the share of the budget allocated (19%) for this priority.

#### **Involvement of stakeholders in drafting the SOP**

The interviewed stakeholders have been involved in various ways in the consultation process for the SOP.

*According to the representatives of NATB they received a draft and a call for feedback on SOP in July 2006. The request was difficult because NATB did not have access at that time to other introductory documents or discussions in order to understand the way of choosing the axes and priorities or what are the mechanisms of drafting the SOP. The NATB sent anyway their feedback, but in the next version of SOP received in August, the proposals were not taken into consideration. The last consultation where NATB was invited was related to the SOP and was initiated by NCDTVET on 30 of October 2006. NATB reiterate their views, but not many of their interventions were taken on board.*

Other stakeholders agreed that their involvement in the SOP design was non-systematic and rather unilateral. That means that the consultation process started for some of them very late (namely end of October). They received the document and were asked for feedback, without an introductory meeting or an overview about what have been done before. The expected feedback was on individual basis, not a meeting with other actors. This produced the situation that a lot of feedback from individual parties ended in a lot of overlapping and contradictions in the same paper. At the same time, the possible role of SOP in overcoming specific barriers faced by consulted organizations was limited explored.

Only on 2<sup>nd</sup> of November, a joint meeting took place with all actors from the MoER side and the representatives of MLSSF and last corrections on SWOT analyses have been done during a hard working day. <sup>1</sup>

Other social partners representatives were not directly involved in the consultation process but they were represented indirectly through the NATB, while others were not involved at all, even they have some information about the process.

#### **Future involvement of stakeholders in implementing the SOP**

Most of the interviewed social partners expressed their willingness to be involved in the ESF awareness campaign addressed to the social partners. They also find a good idea to establish in their organization a help desk information for those interested in applying for ESF in their sectors and the regional and local networks.

<sup>1</sup> At the other hand: not all of these changes have been included in the SOP.

The NATB already acted as a key actor in promoting ESF to the social partners and there is willingness to continue this activity in their Sectoral Committee networks. It already informed members of Sectoral Committees and of their board on the SOP. It also invited representatives of Sectoral Committees to the conference on PHARE Grant schemes that was organised by the Managing Authority for SOP HRD and where aspects regarding ESF were discussed. At the same time, many of activities included in the complement program targeted to NATB should be turned to the Sectoral Committees and other bodies. This is because the NATB as an institution with limited staff and diverse tasks will not possibly cover all type of activities; Sectoral Committees, social partners, local commissions for accreditation and centres for evaluation of competences acquired in non formal or informal context should be important actors.

The foreign consultants interviewed expressed also their willing for future cooperation in the field of ESF. They think that there are a lot of activities of foreign trade unions and employer's organization going on in Romania. An advantage of involving these kinds of organizations is that they will have structural contacts with their Romanian counterparts. They will keep in touch with developments, even after a project has been finished. For instance, there will be new projects in the metal sector in Romania in collaboration with the Dutch trade unions (FNV Bondgenoten), aiming at the development of training centres.

Another example of cross-country cooperation is Vapro (the Dutch organization for vocational training in chemical industries) , organising two projects in Romania in the field of ESF. Some of the activities developed under the project are the following:

- Practical training in ESF for the chemical sector (employers organisations, trade unions, companies). Writing project proposals, building administrative capacity, documentation, reporting, declaration, etc.) . 4-5 days. Part of the project is simulation.
- A wider training for all sectoral committees. A conference will be organised for all sectoral committees and for officials of MLSSF as a kind of kick-off meeting. 50,000 EUR.

Above-mentioned example could be used as a good ground for further involvement of social partners in ESF. (*Good examples have a big influence*). There are also similar initiatives of other Member States of the EU.

#### **Last remarks by stakeholders**

In general, the interviewed stakeholders seemed to be not optimistic, neither pessimistic about the capacity for absorption of funds, but they hope that Romania already have an experience with the European programs so far and this is a good base for the future.

Other opinions are related to the role of Social Partners in the future.

*Social partners should be much more involved in the process especially through the Sectoral Committees, but many of them are not yet entirely established.*

*In the future the Romanian social partners will need ESF financial support to set up their own projects. It would be disastrous when they will be not or only marginally involved in.*

*In the future the Romanian social partners will need ESF finances to set up their own projects. It would be disastrous when they will be not or only marginally involved in ESF.*

The majority of interviewed representative appreciated that a consistent and active awareness campaign on ESF (information and training) is needed and should start very soon. The reaction of beneficiaries of the ESF grants will be rather unexpected and it is important to learn in the near future how they will apply under the different priorities of SOP.

The majority of the interviewed stakeholders mentioned the need for a much more in depth analyses and specific measures related to the sectors in the future:

*The real need for training can only be discerned at the subsectoral level. At the same time, it is not possible to arrange a bipartite structure at the level of the whole metal industry. At this level employers organizations and trade unions do not see the win-win situations. This whole way of thinking (subsectoral parital foundations) has also been laid down in the NAPE.*

*For VET and CVT the sectoral level is the right level. Economic developments are also sectoral. The social partners in a specific sector know what are the training needs of employees (and also of unemployed who are looking for a job in a certain sector).*

Other remarks are coming from the foreign consultants working in project with social partners in Romania. They see the current activities as a good ground for developments under ESF:

*There are a lot of activities of foreign trade unions and employers organization going on in Romania. An advantage of involving these kinds of organizations is that they will have structural contacts with their Romanian counterparts. By that way, they will keep in touch with developments, even after a projects has been finished.*

*There will be new projects in the metal sector in Romania in collaboration with the Dutch trade unions (FNV Bondgenoten), aiming at the development of training centres.*

## Interview guide

Dear Madam/Sir,

As you will know, the Human Resources Development Sectoral Operational Programme (HRD SOP) for Romania 2007-2013, is the most important tool to lay down the strategy for using the European Structural Funds in providing for the human resources for the National Development Plan. Panteia Holland is appointed to carry out the ex ante evaluation of the several SOP's falling under the NDP. I am the key expert for the ex ante evaluation of the HRD SOP. I will be assisted

by local experts from the Institute for the Study of Education and by some of my own colleagues with Research voor Beleid, a company which is part of Panteia.

One of our tasks is to ask relevant stakeholders about their opinion on the HRD SOP, especially on the SWOT analysis, the strategy and the activities which are planned (being described in the document enclosed in this message). You have been identified as a (representative of an) important stakeholder in the carrying out of the programme.

Of course we know most of you were involved somehow in the planning process (and will also be involved in the programme itself), but our task as an ex ante evaluator is to check and give you the opportunity to express your views (once again). We would like you to answer the following questions:

### 1. Socio-economic / sector- and SWOT- analysis:

- Does the analysis provide for a realistic picture of the Romanian situation (at sectors and regions level)?
- Do you agree with the main conclusions of the SWOT analysis? Please provide a short justification.
- What aspects of the SWOT do you consider not sufficiently supported by facts?
- In your opinion, is there other available and quantified data that could be important for this SWOT analyses?

### 2. Relevance of the strategy

- Is the proposed strategy (objectives, priorities and measures) sufficiently relevant in relation to the identified problems, needs and potentials from the analysis (*Strengths & Weaknesses*)?
- Is the proposed strategy, including the strategic objectives sufficiently relevant in relation to the identified trends and future challenges (*Opportunities & Threats*)?
- Can the relevance of the strategy be further improved by other elements of the analysis?

### 3. Financial allocation

- Is to your your opinion, the share allocated to each priority balanced and in accordance with the priorities identified?

### 4. Partnership

- Have you been involved in the process of strategy development? If yes, please describe briefly your role and contribution?
- In your opinion, social partnership dimension is sufficiently taken into account in the strategy's design?

### List of interviewed stakeholders

1.	Petru Dandea	Vicepresident Cartel-Alfa	Address: Splaiul Independentei, Nr 202A, etaj 2, Sector 6, Bucharest, 060041 Phone: +4 021 317 1045; Fax: + 4 021 312 3481 E-mail: <a href="mailto:alfa@cartel-alfa.ro">alfa@cartel-alfa.ro</a> , <a href="mailto:international@cartel-alfa.ro">international@cartel-alfa.ro</a> , <a href="mailto:dandea@cartel-alfa.ro">dandea@cartel-alfa.ro</a>
2.	Nela Plugarescu	Expert NATB	Address: P-ta. Valter Maracineanu nr. 1-3, Intrarea B, etaj 2, cam. 164-166, Sector 1, 010155 Bucharest Phone: +40 21 315.78.46 Phone/Fax: +40 21 315.78.55, E-mail: <a href="mailto:nela.plugarescu@cnfpa.ro">nela.plugarescu@cnfpa.ro</a>
3.	Ana Costin	Director NATB	Address: P-ta. Valter Maracineanu nr. 1-3, Intrarea B, etaj 2, cam. 164-166, Sector 1, 010155 Bucharest Phone: +40 21 315.78.46 Phone/Fax: +40 21 315.78.55, <a href="mailto:ana.costin@cmfpa.ro">ana.costin@cmfpa.ro</a>
4.	Elisabeta Mitroi	Sectoral Committee Construction	Address: Str. Justinian nr. 11, sector 2, Bucharest Phone: +40 21 212.37.61/62/63/64 E-mail: <a href="mailto:elisabeta.mitroi@cmc.org.ro">elisabeta.mitroi@cmc.org.ro</a>
5.	Silviu George Didilescu	President National Authority for Handicapped persons	Address: Calea Victoriei Nr. 194, Sector 1, Bucharest Phone: +40 21-212 5438 Fax: +4 021-212 5443 E-mail: <a href="mailto:presedinte@anph.ro">presedinte@anph.ro</a>
6.	Serban Iosifescu	President Romanian Agency for Quality Assurance in Pre-university Education	Address: Strada Spiru Haret nr. 10-12 București E-mail <a href="mailto:aracip@mec.edu.ro">aracip@mec.edu.ro</a> , <a href="mailto:siosifescu@yahoo.com">siosifescu@yahoo.com</a> Phone: +4021/3104213 Fax: +4021 319 20 96 <a href="http://aracip.edu.ro">http://aracip.edu.ro</a>
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11.	Liviu Bogdan	HRD manager	Address: Str. Smardan no.1, Galati Phone: +40 236 801 052 <a href="mailto:Liviu.bogdan@mittalsteel.com">Liviu.bogdan@mittalsteel.com</a>
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## **Annex 3 Analysis of the role of social partners within the SOP HRD, in the field of CVT**

### **Brief presentation of the context of the analysis**

*Recent initiatives of the government for consolidating the policy framework that should stimulate participation and quality in CVT provision had a positive impact on increasing the accessibility of CVT and the recognition of its outcomes. However, the financing and organisation of CVT remains mainly a responsibility of enterprises and individuals. Moreover, the main costumers of CVT in Romania remain these individuals. Recent reports are highlighting the fact that "although Romanian enterprises are experiencing new skill needs and pressure for productivity gains, they tend in general to resort to passive strategies (laying off surplus labour, solving skill gaps with existing internal resources) rather than promoting active development of existing staff and recruitment of new staff" <sup>1</sup>.*

*The role of the government is mainly focusing on the overall design of CVT policies, quality assurance of the CVT provision and the organisation and financing of CVT for specific disadvantaged categories of adults. Government investment in CVT (even for disadvantaged groups) is rather limited. Romania has no national training fund and few financial incentives for individuals or organisations willing to participate to training. This is an indicator of the roles that specific institutions should play, taking into account the shared responsibility policy approach for CVT provision in Romania.*

Many studies are pointing out that the involvement of social partners in the development of CVT initiatives and policies, but also in the implementation of different programs in the area, is essential<sup>2</sup>. Most individual employers and employees are unable to address their CVT needs in an efficient way on their own and the existence of active stakeholders that can represent collective labour market interest is crucial in this respect<sup>3</sup>. Private companies, training providers and NGOs are other key actors but social partners are in a privileged position in order to promote development and cohesion.

### **The present contribution of social partners to CVT**

The interviews with stakeholders show that the main challenges faced by social partners are linked with the insufficient institutional development and level of representation, especially at the national level. This is more clear in the case of employers organizations but, for specific sectors of the economy, applies also to trade unions. At the same time, social partners are not so active and experienced at the regional and local level, especially in the rural areas, although there is a clear consensus that the work force development in this areas is one of the highest priorities for the next years.

Other challenges are represented by the lack of adequate resources to create projects and programs in the HRD field. So far the funding of social partners initiatives was always a tough issue; the SOP HRD is seen by many representatives of the social partners as an im-

<sup>1</sup> Deij, A. (coord) *Peer Review Report. From consultations to initiatives activating the role of social partners in continuing training in Romania*, European Training Foundation, 2004 (p.11)

<sup>2</sup> See for example *Country Monograph on education and training and labour market policies in Romania*, Romanian National Observatory, 2004.

<sup>3</sup> Deij, A. (coord) *Peer Review Report. From consultations to initiatives activating the role of social partners in continuing training in Romania*, European Training Foundation, 2004 (p.12)



portant opportunity to address this challenge and focus on specific roles within concrete project developments. Involving social partners in ESF seems to be a politically very sensitive matter. However, social partners in Romania have limited capacities to use modern policy tools (i.e. conduct a lobby campaign).

Many external observers noticed the level of distrust among parties in the social field. The cooperation with international social partners could assure a successful transfer of policies and best practices. The experts interviewed offered concrete examples of how such a cooperation could be in the benefit of existing initiatives. The SOP HRD mentions the importance of trans-national cooperation in a more general context.

The ongoing process of setting up Sectoral Committees, even assisted directly by NATB and other organisations is slow and far from the foreseen pace. Assuring good information on this process to all actors at the sectoral level is a first condition for improvements in this field.

Regarding the social partners involvement, some respondents appreciated that, at least in the field of education, trade unions sometimes became too strong and pushing, which would not support the reforms for a better school. A respondent stated "*trade unions are at the moment blocking factors for the reforms*", and will most probably agree to many priorities especially in the field of social assurance measures that suppose decentralization of the system.

The central problem seems to be that there is nothing behind the central trade unions and employers organizations. At the national level there are no own experiences with the situation in sectors and regions. There is little experience in the field of social dialogue except on the basic level of Collective Agreements (wages, rights and obligations). There is no dialogue about pensions, education, working conditions. Trade unions are involved in discussions, but are not always active and need to be stronger. Employers' organizations are even weaker, because they only developed after the fall of communism. Structures are weak. Social partners have not developed an own vision. They have no idea how to use subsidies. As a consequence of this, public officials determine, in most of the cases, what should be done.

Last but not least, it is important to observe that the links of trade unions within the bigger companies and to the (sub)sectoral level are relatively weak. The short-term agenda emerging from this situation is to find feasible interventions by which this situation could be turned into one in which social partners support activities strengthening the sectors.

### **Examples of success**

A fact is that good examples have a big influence. A good example of assistance to social partners could be found in the information section. The types of operations that will be promoted will aim at improving the capacity of social partners to provide reliable public information and civic advisory services, encouraging initiatives to activate local community in the public life, monitoring the activities of public institutions and participate to the decision process, etc. The operations will support trade unions and employers' organisations to develop their capacity to elaborate strategies, action plans and self-regulation aiming to increase their impact in society.

Another specific example of social partners assistance given could be found in the networking measures and activities jointly undertaken by the social partners. Thus, under this key area of intervention Regional Pacts and Local Partnerships on Employment and Social Inclusion will be supported and the programme will contribute to the financing of its Permanent Technical Secretariats, in line with the Community regulations.

The real need for training can only be discerned at the subsectoral level. At the same time, it is not possible to arrange a bipartite structure at the level of the whole metal industry. At this level, employers organizations and trade unions do not see the win-win situations. This whole way of thinking (subsectoral parital foundations) has also been laid down in the NAPE. An example of a social partners activity at the subsectoral level is given below.

The project started when the largest Dutch trade union, FNV, saw the importance of VET as an activity for the trade unions in Romania. FNV carried out a survey which sectors should be interesting. At the end there were six sectors left. They selected the metal sector, but made the analysis to go even deeper, to select only a few good defined subsectors: the shipbuilding and the aviation industries. FNV began to set up meetings with the trade unions and employers in these subsectors. At this level the social partners will agree to discuss with each other (and not only to talk about the partition of funding), because it is easy to see there are common interests (win-win situations; for instance because of large restructuring in the past; one has to compete on the market). There is also a link with specific regions. Since 2000, many of the companies in these sectors have been taken over by western or far eastern multinationals. Besides the Dutch trade unions, also Dutch companies were involved, sometimes being the owner of Romanian companies.

More concrete, the employers and the trade unions together founded a foundation for training the employees. There was a bipartite structure. At some moment, there was even funding for an interim director. The foundation was financed by money coming from collective agreements: 0.21% of total salaries were invested in the foundation. The foundation acted according to Romanian legislation by buying training activities from public (initial VET, NAE) and private parties.

At the same time this project was running, the ETF assisted the Sectoral Committees to develop the qualification structure in Romania. Even if for the time being, only some of the sectors are active, expertise starts to be developed within this structures: by a divers array of training programs and study visits, members of the Sectoral Committees are acquiring essential competencies for their future roles<sup>1</sup>.

#### **Assessing the social partners input in the SOP HRD**

As part of the social dialogue, promoting initiatives for and developing capacity building of social partners are areas that need to be strengthened. The operations promoted under this key area of intervention shall support the improvement of capacity of social partners and civil society, i.e. trade unions, employers' organizations, Sectoral Committees. The SOP highlights that trade unions and employers' organizations should continue their efforts in

<sup>1</sup> For details on ETFs programs in the field of social partners in Romania, please see the section on Romania on [www.etf.eu.int](http://www.etf.eu.int)

building capacity especially in developing activities in the field of education, life long learning, employment measures and social inclusion. The ESF operations funded under this key area of intervention shall strengthen partnership between social partners, Sectoral Committees, civil society, not only among themselves, but also with public authorities and institutions and other key economic actors in order to deliver the best development strategies at national, regional and local level. However, no concrete form of assistance is detailed to support these developments.

The SOP HRD acknowledges that the development of qualifications is organised with the direct involvement of relevant social partners and social partners' role in validating qualifications (Sectoral Committees<sup>1</sup>). However some of the National Adult Training Board initiatives in this area (acting as National Authority for Qualifications) were not considered by the SOP. Since qualifications are not anymore linked to the type of provider (schools or private providers) or to the type of training (initial or continuing VET), it is highly recommended that the SOP HRD emphasizes the activities and measures regarding the institution building and support for Sectoral Committees in order to be able to act actively in NQF development in more concrete terms (in the current version, the issue is presented in a rather general way: *at system level, some of these issues (e.g. involvement of social partners, local authorities, and other stakeholders – SOP HRD p.17)* will be addressed through the implementing of NQF and of the new instruments for quality assurance in education.

At the same time there is a clear need for more visibility of social partners in all other measures related to VET, but little examples of specific assistance offered by the SOP HRD in this area are given (in the current version it is pointed out that *there is a need for a more active promotion of the active role of social partners and bilateral dialogue – SOP HRD p.26*).

Civic partnerships (foundations, associations and other civil society structures) and social partnerships (employers, trade unions, sectoral/professional structures) are in most of the cases undistinguished in the SOP HRD; this situation has a negative impact on the overall logic of the interventions, under using/diminishing the specific potential of these two types of organisations. Example: *A characteristic of the social welfare system in Romania is the increasing participation and contribution of non-governmental organizations and other social partners in social protection actions, in a situation where the Government cannot ensure but a limited financial support to cater for the social needs of the population and a small number of organizations – SOP HRD, p. 39.*

Compared to the civic partnership, information about the social partners is rarely detailed in the SOP (i.e. information about areas of residence, profile, previous experience in the HRD area etc.). A good example is the presentation of the thematic meetings initiated separately for submitting the SOP HRD to public debate (SOP, p. 128): while the areas are listed, it is rather unclear to which areas social partners attended (i.e. Roma population).

<sup>1</sup> The Sectoral Committees are structures for social dialogue organized at the level of sectors of activity and are set up by the National Adult Training Board, through the common agreement of the representative social partners at sector level. The Sectoral Committees contribute to the development and upgrading of the qualifications by sectors of activity.

The SWOT analysis includes only one reference on social partners, in the category of *weaknesses* ("low degree of involvement of the social partners in specific human resources development programmes" – SOP, p.46); however, beyond this rather general statement, specific strong points/opportunities but also threats could be identified, as the interviews with social partners are indicating. However, we see this as information missing rather than a lower degree of importance attached to this aspect.

The outcomes of this study indicate that the role of social partners is not sufficiently visible in the strategy. According to one of the interviewed representatives, *institution building activities for social partnership and consolidation of Sectoral Committees is a priority issue for the moment in Romania*, as far as Sectoral Committees should play an important role in NQF development and implementation. Therefore, the need for such institution building activities is seen as not enough addressed in the analysis and in the strategy. It would be very important that the ESF programs would help the Sectoral Committees to develop their capacities in order to manage successful project at the sectoral level. The sectoral level is the key issue for development of LLL for the moment in Romania.

The NATB is acting as a key actor in promoting ESF to the social partners and there is will to continue this activity in their Sectoral Committee networks. The NATB already informed members of Sectoral Committees and of their board on the SOP HRD and invited representatives of Sectoral Committees at the conference on PHARE Grant schemes, organised by the Managing Authority for the SOP HRD, where aspects regarding ESF were discussed.

At the same time, many of activities included in the Programme Complement targeted to the NATB should be turned to the Sectoral Committees and other bodies. This is because the NATB, as an institution with limited staff and divers tasks, probably cannot cover all types of activities; Sectoral Committees, social partners, local commissions for accreditation and centres for evaluation of competences acquired in non formal or informal context should be important actors.

The role of social partners is not sufficiently visible in the strategy; the relevant key area of intervention 3.3. is rather diffuse, and also directs itself strongly at the NGO's who are active in the field of employment and social inclusion. An international expert raises doubts on leaving the process of developing HRD programs to NGO's. Each NGO will develop its own methodologies and structures. Instead the government (central and local) has to set up common structures everywhere, supported by the social partners. This seems also to be the position of the EU. For VET and CVT the sectoral level is the right level. Economic developments are also sectoral. The social partners in a specific sector know what are the training needs of employees (and also of unemployed who are looking for a job in a certain sector). There are a lot of activities of foreign trade unions and employers organization going on in Romania. An advantage of involving these kinds of organizations is that they will have structural contacts with their Romanian counterparts. By that way, they will keep in touch with developments, even after a project has been finished.

The Priority Axis 4 Modernising the Public Employment Services seems e.g. to be not very useful outside a strong partnership with employer's organisations and trade unions. The institution building activities for social partnership and consolidation of Sectoral Committees is a crucial issue for the moment in Romania. The need for such institution building activi-

ties is not enough addressed in analyses or at the level of the priorities. It would be very important that the ESF programs would help the Sectoral Committees to develop their capacities in order to manage successful project at the sectoral level. The sectoral level is the key issue for development of LLL for the moment in Romania.

It should be noticed that some of the interviewed persons who were not involved in the process of consultation for the elaboration of the SOP HRD seem to find it a good idea that the Sectoral Committees will be involved in the awareness campaign addressed to the social partners (i.e. managing a help desk information for those interested in applying for HRD ESF active in the field of a specific sector).

### **Interventions where more attention should be paid to the role of the social partners**

In the case of foreseen assistance and support with a view to drawing up action plans for encouraging and developing partnerships, the partnerships nature is loose and not taking into account the overall objectives of the program. The SOP is not capitalizing the experience of PHARE HRD previous programs where not the partnerships as such but their structure (with a limited cooperation among companies and an overrepresentation of public authorities as project partners) raised barriers in extending the impact outside project promoters' organisations.

When identifying and implementing paths towards boosting the interest of employers and other stakeholders in increasing investments in human resources and increasing the Corporate Social Responsibility, the SOP overlaps two distinct activities: creation of incentives for investing in HRD at company level and interventions aiming at increasing the social dimension of businesses.

The SOP develops the social partners' internal capacity to build human resources development capability, emphasizing standards and certification. However, merely emphasizing the standards, certification and competence awareness are necessary but not sufficient steps for development of a such capacity; a good opportunity here was to propose the direct involvement of companies in (by the Sectoral Committees initiatives or others) the process of designing and validating qualifications and propose a different heading for increasing the competences of people working for HRD departments.

A specific role social partners should play is related to promotion of *apprenticeship training*, in the new legal context set up by the apprenticeship law (279/2005), taking into account the existing methodological norms for applying the regulations related to the Law on Apprenticeship at the workplace and the list with the qualifications for which apprenticeship programs at work place can be organised (funded from the unemployment fund). Besides organising as such apprenticeship programs at the company level, facilitating access to these programs to students at risk of early school leaving, to those integrated in a second chance program or to those with long period of unemployment by the means of own networks and resources could be another example on the active role employers and trade unions can play. At the same time, other disadvantaged categories of persons, with lower chances of getting a higher level of qualification in a post-compulsory form of education and training can be targeted, taking into account the decreasing number of workers of this

type available on the labour market (especially in the most economically developed regions of Romania).

Employers associations and trade unions could also play a significant role in developing grass roots initiatives that promote employment and social inclusion but the SOP lacks a clear presentation of the specific assistance envisaged in order to promote these activities.

The same observation could be made in the case of the possible role of social partners in transforming informal work in formal employment through awareness-raising campaigns and supporting measures to formalize the labour relations.

Respondents indicated that the Sectoral Committees should be eligible bodies for application, even in this moment not many of them have officially established, having judicial status, or prepared staff. In the future, Sectoral Committees should be able to access the grants for their developments and involvement in NQF development activities and CVT or IVET.

#### **Foreseen processes**

In the near future, the activities of foreign trade unions and employers organizations are expected to continue and even intensify in Romania. A good example is the initiative of Vapro, a Dutch social partner organization, that has been involved in the process of setting up the Sectoral Committees, first in chemical industry that now tries to help with ESF. Vapro itself is very much involved in ESF in Holland, being part of the sectoral feedback commission for the Ministry of Social Affairs and Employment.

Vapro is organising two projects in Romania in the field of ESF (hours of Vapro will be paid from the Cross bureau which is part of the MATRA programme of the Dutch ministry for Foreign Affairs):

- Practical training in ESF for the chemical sector (employers organisations, trade unions, companies). Writing project proposals, building administrative capacity, documentation, reporting, declaration, etc.) . 4-5 days. Part of the project is simulation.
- A wider training for all Sectoral Committees. A conference will be organised for all Sectoral Committees and for officials of MLSSF as a kind of kick-off meeting.

There also will be new projects in the metal sector in Romania in collaboration with the Dutch trade unions (FNV Bondgenoten), aiming at the development of training centres.

#### **Conclusions**

Taking into account that the Government already closely cooperated with representative social partners in promoting measures to improve the provision of the CVT<sup>1</sup>, we can assess that a significant level of know how and expertise is in place and should be *strategically* taken into account in the development of the Sectoral Operational Program in the field of

<sup>1</sup> Social partners are represented in key institutions at national (NATB, MoLSSF, MoER, NCEP, NAE) and regional/local level (county employment agencies, authorisation committees for adult training, regional and local consortia for education planning etc.).

HRD. The SOP HRD offers the opportunity for a better clarification of the social partners role in the area of HRD policies (with a focus on LLL policies), increasing their awareness and professionalism in promoting training within and outside enterprise and play an active role in designing future policies in this area.

Even if the interest of social partners to promote dialogue is not fully convergent (despite positive examples within specific Sectoral Committees activity or initiatives at local level), the SOP HRD could establish a strong platform for cooperation and could make a step further towards the recognition (including own perception) of their essential role in LLL promotion in Romania.

The SOP should emphasize the activities and measures regarding the institution building and support for Sectoral Committees in order to be able to act actively in NQF development and also to promote the visibility of social partners in all other measures related to VET and CVT (and training activities in ALMM).

Sectoral Committees should be explicitly stated as eligible bodies for application, even in this moment not many of them have officially established, having judicial status, or prepared staff. In the future, Sectoral Committees should be able to access the grants for their developments and involvement in NQF development activities and CVT or IVET.

As already pointed out Sectoral Committees are expected to play a key role in developing the qualification structure. The existing structure is very old and disconnected with the economic realities. It is important to acknowledge the SC must only develop *the core structure*. At the subsector level, the social partners have to develop specific courses fitting into the general framework. Romanian social partners will need ESF finances to set up their own projects. It would be disastrous when they will be not or only marginally involved in ESF.

## **Annex 4 List of abbreviations**

CF	Cohesion Fund
CSG	Community Strategic Guidelines
CVT	Continuous Vocational Training
EC	European Commission
ERDF	European Regional Development Fund
ESF	European Social Fund
ETF	European Training Foundation
EU	European Union
HR	Human Resources
HRD	Human Resources Development
IB	Intermediate Body
ICT	Information and Communication Technology
JAP	Joint Assessment Paper on Employment Priorities
JIM	Joint Inclusion Memorandum
LFS	Labour Force Survey
LLL	Life Long Learning
MA	Managing Authority
MA CSF	Managing Authority for the Community Support Framework
MoER	Ministry of Education and Research
MoLSSF	Ministry of Labour, Social Solidarity and Family
MPF	Ministry of Public Finance
NAE	National Agency for Employment
NASMEC	National Agency for Small and Medium Sized Enterprises and Cooperatives
NAPCR	National Authority for Protection of Children Rights
NAPD	National Authority for Persons with Disabilities
NAPE	National Action Plan for Employment
NAPPRM	National Authority for Public Procurement Regulation and Monitoring
NDP	National Development Plan
NGO	Non Governmental Organization
NIS	National Institute for Statistics
NMS	New Member States



NSRF	National Strategic Reference Framework
OP	Operational Programme
PA	Priority Axis
PES	Public Employment Service
PhD	Doctorate
R&D	Research and Development
RO	Romania
ROP	Regional Operational Programme
SF	Structural Funds
SMEs	Small and Medium sized Enterprises
SMIS	Singular Management Information System
SOP	Sectoral Operational Programme
SOP HRD	Sectoral Operational Programme Human Resources Development
SOP IEC	Sectoral Operational Programme Increase of Economic Competitiveness
SWOT	Strenghts, Weaknesses, Opportunities, Threats
TAOP	Technical Assistance Operational Programme
TVET	Technical Vocational Educational Training
VET	Vocational Educational Training

## Annex 5 Indicators

Indicators are relevant for:

- the monitoring of the spending and results of the structural funds. The monitoring indicators should be connected to targets: a pre-specific level of achievement is predicted; indicators are a quantitative manifestation of an objective;
- the measuring of the impact and impact of the programme. Thereby it concerns at the moment of the ex ante evaluation both the baseline and the estimation of the expected impact.

This annex addresses the following themes:

- Requirements for indicators
- Availability of output/results/impact indicators
  - Assessment of indicators in the SOP HRD (mid October draft)
  - Suggestions for additional indicators
- Assessment of the agreement of the indicators with the guidelines of the EC (among other things the degree in which they take into account deadweight, displacement and multiplier effects)
- Usability of indicators for evaluation of the performance of the programme (SMART-character of indicators)
- Presence of baseline dates.

### Requirements for indicators

Indicators should meet the following conditions:

- At first, the indicators should reflect the evaluation models used by the EC (input, output, result, impact, context)
- Secondly, it should concern indicators which are in agreement with the EU directives in that area. In that context it is both relevant that the EU asks the Member States to collect data for certain indicators and that the EC has developed a set of indicators for impact measuring of ESF itself (the so-called Emco-indicators)
- Thirdly, it is necessary, following the EU directives, that indicators not only must offer information on gross effects, but they must also take into account deadweight -, displacement - and multiplier effects thus measuring the net effects of interventions
- Fourth, it has to concern indicators with a SMART (specific, measurable, acceptable, realistic and timely) character.

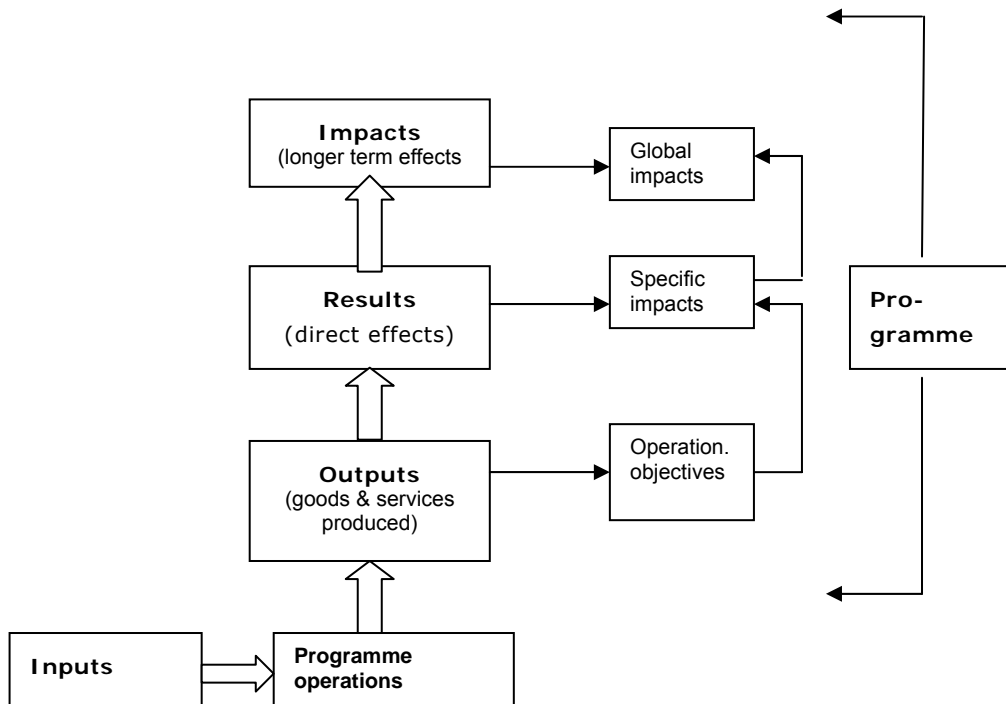
### Types of indicators

The types of indicator system that will be needed in HRD SOP follow from the overall logic of EU-assisted programmes generally. As shown in Figure 1, this involves a logical flow as follows:

inputs → outputs → results → impact

For each of these stages there should be quantified indicators which reflect the relevant objectives of the relevant Priority or Measure, and which allow progress to be monitored and impact to be evaluated. There should be a logical relationship between the allocation decisions and the objectives. This intervention logic is demonstrated by the following figure 1.

**Figure 1** Intervention logic



Source: Working Paper 3 Commission on Indicators

The Commission's Guidelines state that indicators must be defined at four levels:

- Measures are implemented by administrations, agencies or operators using various (financial, human, technical or organizational) means or resources (inputs).
- Actual expenditure gives rise to a series of physical outputs (for example, kilometers of road built, numbers of training places provided, etc.) which demonstrate the progress made in implementing the measure.
- Results are the (immediate) effects on the direct beneficiaries of the actions financed (e.g. reduced journey times, transport costs or number of "successful" trainees).
- These results can be expressed in terms of their impacts on achieving the programmes global or specific objectives and are the principal bases for assessing the success or failure of the assistance in question.<sup>1</sup>

To this list can be added:

- *Contexts: (developments in) the social economic surroundings in which the programme operates. The context will also be determinative for the results and impacts which the programme in the end will realize.*

Input, output and result indicators are also called *monitoring indicators*, because they are suitable means of monitoring the progress of the project during its course. On the other hand, impact indicators are mostly suitable for the final evaluation of the project.

<sup>1</sup> European Commission, Directorate-General XVI 'The New Programming Period 2000-2006 Methodological Working Papers, Working Paper No. 3 Indicators for Monitoring and Evaluation: An Indicative Methodology, ...' . 1999'

Good indicators are central to OP monitoring and evaluation, hence the emphasis placed on them in structural fund programming. At the ex ante stage it is vital that an appropriate system be put in place as this cannot be constructed retrospectively, and because effective subsequent monitoring and evaluation will be impossible without it.

For the result - and impact indicators do apply still further particularizations.

### **Result indicators**

In imitation of a number of other Member States it should maybe also be possible to introduce also so-called *coverage rates*:

- the result on the interventions turned off against the total target group of these activities.

These coverage rates might be used as quantified objectives for the programme.

### **Impact indicators**

"Impact" indicators are mainly appropriate for evaluations, and generally need interpretation, e.g. regarding whether evident trends can be associated with OP investments. In general, the impact of a programme or individual measures can only be measured after some time. This is especially true for the policy fields of employment, education, social affairs and health. Because of the short programming period (2004-2006) it will be difficult to measure the impact of the HRD OP in the programming period, or even some years after the end of that period. The Draft working paper on indicators for monitoring and evaluation further distinguishes between two types of impact indicators:

- *Specific impact indicators* measure the impact of a programme which appears after a certain time period but that nevertheless are directly related to the participants to the projects
- *Global impact indicators* measure the longer period impact for a larger population (say social impact); this mainly concerns indicators at the national level for employment, education and social inclusion policy. Most EMCO-indicators of the EC are of this type.

Specific impacts might include, for example, increased traffic of goods or a better match of skills to labour market requirements. Global impacts relate to the ultimate aim of assistance such as the creation of jobs.

### **Effectiveness and Efficiency**

**Effectiveness** is key aspect in subsequent evaluation. It refers to whether an OP indicator, especially input, output and results, has achieved targets. A programme is called *effective*, if it has reached its targets and that can be demonstrated by comparing the target levels of the respective indicators at the time of the final evaluation.

### ***Intended versus non-intended effects***

It is also important to distinguish between the following two types of effects (at the result and impact level) of the programme interventions:

- *intended effects*, with a direct relation to the intervention logic of the programme

- *unintended effects*, due to the context, but also due to unforeseen logics of intervention, there are side-effects. These can be distinguished between positive and negative side-effects.<sup>1</sup>

**Efficiency** is another key subsequent evaluation issue, and relates to the relationship between the outputs, results and impact on the one hand, and inputs on the other, i.e. it involves assessing whether the unit costs of outputs, results and impacts are reasonable. A programme is called efficient if it is effective while the means (resources) of reaching these results are minimized.

### **Requirements of the European Commission**

For two reasons it is necessary to take into account the directives of the EC in the field of indicators:

- At first the ESF Regulation obliges the Member States a minimum set of indicators on data to monitor
- Secondly a set with so called EMCO-indicators have been developed. This et fixes the nature and definition of indicators in the field of employment, education and social inclusion.

### **Monitoring**

According to ESF Regulation the member states must supply projects the following data concerning the participants:

Number of participants, divided into:

#### **Sex**

#### **Status on the labour market (the status at the start of the project)**

- Employed (people with a job including self-employed persons)?
- Independent
- Unemployed (total number of unemployed person including long-term unemployed person)
  - Long-term unemployed
- Inactive (total number of inactive persons including the persons who follow education/training, with pension or having stopped to work, permanent disabled, or which occupy themselves with domestic work/care)
  - Inactive persons who follow education or training

#### **Age**

- Young people (15-24 years)
- The elderly (55-64 years)

#### **Vulnerable groups**

- Minorities
- Migrants
- Disabled
- Remaining disadvantaged groups

#### **Education level**

- Primary and lower secondary education (ISCED 1 and 2)
- Higher secondary education (ISCED 3)
- Post secondary non post tertiary education (ISCED 4)
- Tertiary education (ISCED 5 and 6)

<sup>1</sup> Of course, one of the objectives of this ex ante evaluation to look at possible unintended effects.

### **The EMCO-indicators**

The so-called Employment Committee has developed a list of indicators for monitoring of employment policies according to the Employment Guidelines. An additional list of indicators for further employment analysis, an assessment of the effectiveness of the set of indicators and a proposal for further work are included.

Most of the indicators follow the definitions which are in use all over the EU and are gathered by the national statistic institutes. Some of them, however, still follow national, not harmonized data.

The indicators are available for the following guidelines:

- **Guideline 17:** Implement employment policies aiming at achieving full employment, improving quality and productivity at work, and strengthening social and territorial cohesion
- **Guideline 18:** Promote a lifecycle approach to work
- **Guideline 19:** ensure inclusive labour markets, enhance work attractiveness, and make work pay for job-seekers, including disadvantaged groups, and the inactive
- **Guideline 20:** Improve matching of labour market needs
- **Guideline 21:** Promote flexibility combined with employment security and reduce labour market segmentation, having due regard to the role of social partners
- **Guideline 22:** Ensure employment-friendly labour cost development and wage-setting mechanisms
- **Guideline 23:** Expand and improve investment in social capital
- **Guideline 24:** Adapt education and training systems in respond to new competence requirements

Of course, especially the guidelines 17 (all the programme, especially PRIORITY AXIS 5), 24 (PRIORITY AXIS 1), 18 and 23 (PRIORITY AXIS 2), 21 (PRIORITY AXIS 3), 20 (PRIORITY AXIS 4) and 19 (PRIORITY AXIS 6) are of interest to the programme. In this framework, however, it is important to note that some indicators, especially for the Guidelines 23 and 24 (education), are still being elaborated upon.<sup>1</sup>

It is important to link the definitions and the sources of the indicators for the SOP with the EMCO indicators. An important first step has already been made by checking the EMCO set with data available at the National Institute for Statistics.

### **Gross versus net impact**

The output - and result indicators describe the achieved result of projects, but give no information on the objectives of policy, to get people a steady job:

- (*output*) Successful winding up a training is on itself positive, but when this does not end up in a job (regularly or subsidised), there is no result, and therefore the objective has not been reached (on the individual level not and for this reason certainly not on collective level). When, for example, the training does not match with the demand of employers, the usefulness of the training is in doubt<sup>2</sup>

<sup>1</sup> The SOP (p.61) quotes the same guidelines, but than as 16 till 23. It also links each priority with more guidelines. TO the opinion of the ex ante evaluators, the most important links are mentioned here.

<sup>2</sup> Which does not mean, that following a certain training in itself can lead to the unemployed person finding a job, even if this job does not fit to the training. Some employers consider it a recommendation when somebody wants to invest in himself, or are having the opinion, that somebody who has followed a training, is fit for working, because, e.g. he is used to a certain daily rhythm.

- (*result*) the percentage of successfully employed persons on regular or subsidised jobs is in that respect already a better indicator. This figure also, however is more informative, concerning the impact of the trajectory activities themselves then concerning the effective added value for reaching the objectives.

The result on the percentage employed persons on regular or subsidised jobs is, as it happens, a gross'-effect. For several reasons, this does not need to be identical with the net effect, the effective added value of (the ESF)trajectory activity.

The most important differences between gross- and net-effect are (in this case related to job effects):

- *Deadweight*: the object of the activity finds a steady job, but he also would have got a job without the activity
- *Substitution effects*: the improved labour market position of the participant goes at the cost of unemployed person who does not have the programme undergo (and as a result the aware job do not get)
- *Displacement-effects*: the fact that the participant gets or keeps to a job is the reason that another person (in another sector) does not get the job or loses his job.
- (*Multiplier-effects*: also others profit of the improvement of the labour market position of the participant(s) in the project: the broader employment at a company e.g. continues as a result of the training of a part of the workers or the training to a higher level of education of the one employee leads to the recruitment of an unemployed person (positive side-effects).

It is striking moreover that the EC in its directives do not take into account substitution effects. The reason for leaving substitution is unknown.

In most cases, the net effects turn out to be considerably lower than the gross effects. This poses some problems for the ex ante quantification of results. The point is that it is very difficult to measure net effect indicators, without doing additional impact research. At an ex post or on going evaluation it is e.g. to construct an experimental design with a control group. At the start of the programme, however, this is much more difficult. In some actual member states and also in some other programmes, this problem has been solved by making an estimation of the difference between gross and net results based on the results of earlier projects in national or EU programmes. For Romania, however, there is, except for the evaluation of the 2000 PHARE scheme by the Institute for Study of Education, very little experience in this field.

### **SMART character of the indicators**

More in general indicators should meet the following conditions:

#### **Specific**

- Relevant: They must measure what they should measure
- Well defined: The contents of the indicator must be clear

#### **Measurable:**

- Well to gather: it must be possible collect the dates (by surveys, from secondary sources)
- Quantifiable: Indicators must be quantifiable
- Baseline: preferably the value of the indicator is acceptably at start of the programme

#### **Available:**

- For stakeholders: the link between indicators and project/route must be logical and not ideologically determined
- For suppliers of information: data suppliers must understand the importance to provide information

**Realistic**

- Attributable: Changes in the indicator must mainly or substantially be caused by the interventions
- Causal link: there must be a causal link between input -> output -> result -> impact indicators

**Timely**

- Frequent: The dates must come available with a certain frequency
- Periodical: The dates must be related at a time or period which is appropriate to the programme

The indicators for input and output show mostly a direct link with the activities within the projects. In principle they are relatively easy to register at the project level. A prerequisite is of course to ask project promoter to administer characteristics of participants as well as the eventual result at participant level. The ESF Regulation requires this also from them.

**Availability of output/results/impact indicators**

The indicators must satisfy a number of conditions. The selected indicators must reflect the objectives of the respective Priority or Measure. The selected indicators also must be suitable means of monitoring the progress of the project and evaluating its impact.

In planning an indicator system for a SOP there are two contrasting dangers - having no or too few indicators on the one hand, or having too many on the other. In some other Objective 1 countries there may have been an initial problem of too few indicators, followed by an over-reaction to the need for indicators - resulting in more than could be realistically produced or interpreted. This has already in the former period of the structural funds led to a conclusion that a smaller number of good Indicators (and targets) are required for.<sup>1</sup>

A way to achieve this balance is to emphasize certain types of indicator as most appropriate at the different levels of the OP, i.e. not all types of indicator (output, result, impact) are necessarily required at all levels of the OP (overall, Priority, Intervention) Figure 2 contains a suggestion in this regard. This allows prioritization of effort in defining indicators towards "essential" as opposed to "desirable" or "optional" indicators.

**Figure 2** Indicator types and levels

	Types of indicators			
	Input	Output	Result	Impact
OP	***	*	*	***
Priority	***	*	**	**
Intervention	***	***	**	*

\*\*\* essential \*\* desirable \* optional

Of course, the SOP has to provide the input at all three levels of programming. The output can best be described at the level of the interventions. Each intervention might have its own specific sort of activities. The next stage, the result, mostly lies somewhere between the intervention and the priority level: some priorities show results of the same characteristics for all interventions, within others the results are also of different types (e.g. getting a job or going to a next level of education). To state something at the impact level is obligatory for the programme and also for most of the priorities.

<sup>1</sup> See CSF Evaluation Unit, *CSF Performance Indicators: Proposals for 2000-2006 Programming Period*, Dublin, October 1999.



### **A possible set of indicators**

As a sort of recommendation for the programmers, the ex ante evaluators have constructed a set of indicators for the Programme and the several PA's.

In all cases a steady job is defined as a regular job (including part-time, temporary) or a similar succession of jobs for the minimum of 6 months after finishing the project.

- It is important to note, that most indicators are either directly connected to the programme (most output and result and some specific impact indicators) or are identified as an EMCO-indicator, for which the National Institute for Statistics has indicated that data should be available. The only problem in this field seems to be the participation in CVT.

### **Programme level**

#### **Specific Impact**

- Number of participants finding or holding on to a steady job (for 6 months minimum; all kinds of official jobs)

#### **Global impact**

- Unemployment rate (EMCO 17.6)
- Education level of working population (15-64)
- Unemployment rate gaps for people at a disadvantage (Roma, migrants, disabled, women, elderly people 45-64) (EMCO 19.11)

#### **Context**

- Employment rate (EMCO 17.1)
- Employment growth (EMCO 17.2)
- Activity rate (EMCO 17.7)
- Regional disparities in employment (EMCO 17.10 and 17.11)
- Youth unemployment rate (EMCO 18.1)
- Employment gender gap (EMCO 18.2)
- Unemployment gender gap (EMCO 18.4)
- Average exit age from labour force (EMCO 18.12)
- Long-term unemployment rate (EMCO 19.1)
- Inflow into long-term unemployment (EMCO 19.2)
- New Start (EMCO 19.4)
- GDP growth (EMCO 17.4)

### **Priority Axis 1:**

#### **Education and training in support for growth and development of knowledge based society**

##### **Input**

- Number of applications (selected) (PA/I)
- Average funding by project (PA/I)
- Costs by participant<sup>1</sup> (PA/I)

##### **Output**

- Number of teachers trained (I)
- Number of PhD graduates supported (I)
- Number of staff trained for quality management and assurance (I)

<sup>1</sup> Only for projects with participants

- Number of teachers/researchers receiving additional financial support for career start (I)
- Qualifications developed (I)

#### **Result**

- Successfully trained teachers and their share of all teachers (coverage rate)
- PhD's graduating (I)
- Successfully trained staff in quality management and assurance and their share of all staff (Coverage rate)(I)
- Teachers/researchers finding a job after financial support (I)
- Students per counsellor (I)
- Qualifications applied (I)

#### **Specific impact**

- PhD's getting a steady job (I)

#### **Global impact**

- Education level of 20-30 years age group (ISCED1 or 2, 3, 4, 5, 6)

#### **Context**

- Participation rate in high schools and vocational education
- Share of the 25-64 group with at least upper secondary education
- Researchers by age groups
- Investment in human resources (EMCO 23.1)
- Investment by enterprises in training of adults (EMCO 23.2)

### **Priority Axis 2:**

#### **Linking Life Long Learning and the labour market**

#### **Input**

- Number of applications (selected) (PA/I)
- Average funding by project (PA/I)
- Costs by participant<sup>1</sup> (PA/I)

#### **Output**

- Number of students assisted in transition from school to active life programmes (I)
- Number of participants in CVT programmes (I)
- Number of beneficiaries of career counselling services (I)

#### **Result**

- Number and share (coverage rate –regarding the target group) of students getting a job after the active life programmes (I)
- Number of students graduating second chance education (I)
- Number of beneficiaries of career counselling services getting a job (I)
- Number of participants in CVT programmes holding on to their jobs (I)
- Number of participants in CVT programmes getting promotion or moving to another job (I)
- Share of enterprises (coverage rate) providing and supporting CVT to their personnel (I)

#### **Specific impact**

- Reduction in early school leaving (I) (EMCO 23.4)
- Increase in participation in education of the 15-24 age group (PA)
- Participation in CVT (I) (EMCO 23.6)

<sup>1</sup> Only for projects with participants

**Global impact**

- Education level of the working population (15-64) (PA)
- Education attainment of 22 years olds (PA) (EMCO 23.3)

**Context**

- Investment in human resources (EMCO 23.1)
- Investment by enterprises in training of adults (EMCO 23.2)

**Priority Axis 3:****Increasing adaptability of labour force and companies****Input**

- Number of applications (selected) (PA/I)
- Average funding by project (PA/I)
- Costs by participant<sup>1</sup> (PA/I)

**Output**

- Number of trainees in management and organisations of work (I)
- Number of trainees in specific training (in the field of new technologies) (I)
- Number of trainees in business set-up (I)
- Rate of enterprises participating in training as a percentage of the total stock of active enterprises (I)

**Result**

- Number of successful trainees in management and organisations of work (I)
- Number of successful trainees in specific training (in the field of new technologies) (I)
- Number of successful trainees in business set-up (I)
- Gross birth rate of new enterprises as a percentage of total stock of active enterprises (I)

**Specific impact**

- Number of newly born enterprises in year n that are still active in year n+3 (I) (EMCO 21.10, but only related to programme)
- Number of trained people moving on to another job or starting an enterprise (vertical mobility) (PA)

**Global impact**

- Diversity of contractual and working arrangements (EMCO 21.2)
- Enterprise births (EMCO 21.9)
- Number of newly born enterprises in year n that are still active in year n+3 (I) (EMCO 21.10)
- Employment in newly established enterprises (EMCO 21.11)

**Context**

- Employment Growth (EMCO 17.2)
- GDP growth (EMCO 17.4)
- Growth in labour productivity (EMCO 17.9)
- Share of SME's in businesses
- Undeclared work (EMCO 21.4)

<sup>1</sup> Only for projects with participants

**Priority Axis 4:  
Modernising the Public Employment Service**

**Input**

- Number of applications (selected) (PA/I)
- Average funding by project (PA/I)

**Output**

- Number of staff trained (I)
- Number of analyses and forecasts on the labour market (I)

**Result**

- Share of trained and all (coverage rate) staff receiving a certificate (I)

**Specific impact**

- Vacancies per employed person (I)
- Upgrading the satisfaction rate of clients (employers, jobseekers and unemployed) up to 8.5 on a scale from 1 to 10 (PA)

**Global impact**

- None, or EMCO 19.4 (New Start)

**Context**

- New Start (EMCO 19.4)
- Unemployment rate (EMCO 17.6)
- Long-term unemployment rate (EMCO 19.1)
- Inflow into long-term unemployment (EMCO 19.2)
- Preventive services (EMCO 19.3)
- Activation of long-term unemployed (EMCO 19.7)
- Follow-up of participants in active measures (EMCO 19.8)
- LMP expenditure (EMCO 19.9)
- Amount and quality of staff of NAE
- Transparency of job vacancies (EMCO 20.1)
- Vacancies per unemployed (EMCO 20.2)

**Priority Axis 5:  
Promoting active employment measures**

**Input**

- Number of applications (selected) (PA/I)
- Average funding by project (PA/I)
- Costs by participant<sup>1</sup> (PA/I)

**Output**

- Number of participants in ALMM under the programme (I)
- Number of participants from rural areas in the integrated programmes (I)

**Result**

- Number of successful (finishing the trajectory activity) participants in ALMM under the programme (I)
- Number of successful (finishing the trajectory activity) participants from rural areas in the integrated programmes (I)

<sup>1</sup> Only for projects with participants

- Successful participation of persons in rural areas compared to the total target group (coverage rate) (I)

#### **Specific impact**

- Number of participants in the programme (ALMM and programmes) in rural areas getting a steady job (PA)
- Number of rural residents who changed their main occupations from subsistence farming to service and new industries (PA)

#### **Global impact**

- Total number of participants in ALMM (PA) (EMCO 19.7)
- Follow-up of participants in active measures (PA) (EMCO 19.8)

#### **Context**

- New Start (EMCO 19.4)
- Unemployment rate (EMCO 17.6)
- Long-term unemployment rate (EMCO 19.1)
- Inflow into long-term unemployment (EMCO 19.2)
- Preventive services (EMCO 19.3)
- LMP expenditure (EMCO 19.9)
- Regional disparities – coefficients of variation (EMCO 17.10)
- Regional disparities – underperforming regions (EMCO 17.11)

### **Priority Axis 6:**

#### **Promoting social inclusion**

##### **Input**

- Number of applications (selected) (PA/I) (division for several types of projects)
- Average funding by project (PA/I)
- Costs by participant<sup>1</sup> (PA/I)

##### **Output**

- Number of participants in training programmes for vulnerable groups (I)
- Number of participants in training programmes for professionals from the field (I)
- Number of participants in training/retraining programmes for vulnerable groups (I)
- Amount of transnational activities (I)

##### **Result**

- Number of specific new jobs created for vulnerable groups (I)
- Number of successful participants in training programmes (three types) (three times I)
- Number of collective new enterprises set up at community level (I)
- Number of integrated social services provided (I)

##### **Specific impact**

- Number of participants (by target group) finding a steady job (PA)

##### **Global impact**

- Regional disparities – coefficients of variation (PA) (EMCO 17.10)
- Regional disparities – underperforming regions (PA) (EMCO 17.11)
- Unemployment rate gaps for people at a disadvantage (PA) (Roma, migrants, disabled, women, elderly people 45-64) (EMCO 19.11)
- Unemployment gender gap (I) (EMCO 18.4)

<sup>1</sup> Only for projects with participants

## **Context**

- Unemployment rate (EMCO 17.6)
- Employment rate by target group
- Employment rate by region
- Employment growth by target group
- Youth unemployment rate (EMCO 18.1)
- Employment gender gap (EMCO 18.2)
- Employment gender gap in fte (EMCO 18.3)
- Employment impact of parenthood (EMCO 18.8)
- Lack of care for children and other dependants (EMCO 18.9)
- Child care (EMCO 18.10)
- Care of dependent elderly (EMCO 18.11)
- Average exit age from labour force (EMCO 18.12)
- Poverty level by regions
- (Severe) poverty dynamic (rural/urban)
- Poverty risk by ethnic communities

## **Expected results: qualitative ex ante evaluation**

Each block of priorities and interventions has its own dynamics in the field of impacts. To understand of the impacts of the HRD SOP we will describe for each of these main three categories of measures the impacts we expect for the short run (the programming period; 2007-2010), the mid-term (the extended programming period; 2011-2015) and the long run (after 2015). The following subparagraphs describe first the interventions in the field of employment (PA's 4 and 5), then those in education and CVT (PA's 1, 2 and 3) and then those in the field of social inclusion (PRIORITY AXIS 6).

## **Measures directed at the unemployed and the inactive**

### **Short term (-2010)**

#### ***Employment effects***

- In the short run, the main impacts on employment are direct effects of the measures. The organizations active in this field (training institutes, re-integration institutes, NGO's, the NAE and the educational system itself, etc.) will have to enlarge their staff, and the same will be true for suppliers, such as software companies, food deliverers, etc. The employment effects of the trainings themselves will be rather small in this period, before it will take some time:
  - to set up projects and individual trainings
  - to select participants
  - to give the trainings
  - to help people finding a job
  - to assess whether they can keep this job.
- The same is more or less true for the organizational changes of the NAE which will take their time too.

### ***Effects on the competitiveness of the work force***

The effect on the competitiveness of the work force might be higher than that. Especially, when trainings are directed at the demands of the labour market, the unemployed will be better adapted to the needs of the economy. As is stated above, it will take some time before they can really cash this in the form of a job.

### ***Effects on social inclusion***

The effects on social inclusion will be positive for the target group almost directly. Getting a training has positive effects on the position of the participants in society.

### **Mid term (2010-2015)**

#### ***Employment effects:***

Strange enough, there will be positive effects on these participants of the trainings, who will get a job (of course this is only a around third of those getting the trainings), but the total effect on employment will be relatively small. This has the following causes:<sup>1</sup>

- Some of the participants would have got the job even without the training (deadweight)
- Some of the participants in the trainings will find jobs, which would otherwise be occupied by other unemployed persons or by school-leavers (substitution)
- Some of the participants will oust people who are working now (displacement).

The only way to create a net effect on employment, is, when the participants in trainings get jobs which otherwise would not be occupied at all:

- Un-fulfilled vacancies
- new jobs, (e.g. created as a consequence of other activities in the framework of the NDP)<sup>2</sup>

Another possibility is, that, because of an unemployed person getting a job, another person can (e.g. by being trained in the framework of measure 3.4.) fulfill a hard-to-fulfill vacancy in the same organization.

In some way, this impact will be created at the regional level, when training institutes adapt the content of trainings to the demand of the labour market, and they especially look for hard-to-fulfill vacancies. At the other hand, the level of these vacancies will very often be unattainable for the unemployed, even after being trained.

This was one of the reasons the ex ante evaluation team asked for specific attention for the demand side of the labour market in the HRD SOP in the first interim report (the position of the social partners).

A last remark that an important requisite for a positive on employment will be, that the trained people stay within the country and not move to the West or the Mediterranean.

### ***Effects on the competitiveness of the work force***

At this stage, a growing number of the participants in the programme have finished their trainings. That will mean that they should be able to find a job, once there is one available.

<sup>1</sup> See also Chapter 1

<sup>2</sup> The last means that it is not possible to count the amount of jobs created by the NDP by totalling up the amounts of jobs created by each of the OP's. The effect on employment for the HRD SOP will partly be reached by some kind of co-operation with other SOP's. The supply of employment will come from the HRD SOP, the demand from one of the others.

### ***Effects on social inclusion***

As the effects on social inclusion are already partly realized, at this point it is important that somebody gets a regular job. Otherwise there are dangers of a contradictory impact, because following a course and not getting a job might have a negative effect on contact with society.

### **Long term (2015-)**

#### ***Employment effects***

Long-term impacts on employment should be positive, because Romania with a stronger labour force might profit from economic possibilities, e.g. when the economic centre of Europe will shift to Central Europe.

#### ***Effects on the competitiveness of the work force***

There will be no significant impact on the competitiveness anymore. One should reckon with the danger that former participants in trainings might lose their competitive strength, once their qualifications become obsolete.

#### ***Effects on social inclusion***

There will be no specific impacts anymore.

## **Interventions directed at education, lifelong learning and the adaptability of the labour force and enterprises**

### **Short term (-2010)**

#### ***Employment effects***

The only effects will be direct effects: teachers, trainers and counselors will find new jobs.

#### ***Effects on the competitiveness of the work force***

Impacts in the short run will be almost non-existent for initial education, because projects will have to be started up and most participants will still be in education.

Concerning CVT, the reason why it will take some time, before the Romanian economy can really profit, is that it will be necessary to do a lot of missionary work first, before a significant number of companies will involve their employees in CVT.

#### ***Effects on social inclusion***

Especially intervention 6.2. might have some direct impacts on social inclusion, not only for the pupils concerned, but even for their families.

### **Mid term (2010-2015)**

#### ***Employment effects***

Even in the mid-term run employment effects will be small, not only because changes in the educational system will just be put through, but also most pupils will still be visiting school. And even when they are leaving school, it depends on economic developments and the effects of the rest of the programmes in the framework of the NDP, whether they will not substitute other job seekers or workers.



### ***Effects on the competitiveness of the work force***

Once good-qualified school-leavers will finish school this will be a significant contribution to the competitiveness of the Romanian work force. At this time, these impacts will be small but growing. Most students will still be in school, but a growing amount of them will find their way to the labour market.

As regards CVT, when it will be possible to persuade employers of the importance of training their workers, then the effects of PA2 will grow significantly.

### ***Effects on social inclusion***

When drop out rates will decrease significantly, this will have positive effects for the young persons from vulnerable groups involved. They will get a job instead of being unemployed (which could bring along also a lot of other undesirable effects, such as criminality, alcoholism, illnesses, etc.).

## **Long term (2015-)**

### ***Employment effects***

In the long run, the improvement of the quality of education, the decrease of the rate of drop out and the growing percentage of employees being trained will have a significant impact on employment, as a better qualified working population will improve the competitiveness of the Romanian economy.

### ***Effects on the competitiveness of the work force***

This effect will of course be positive.

### ***Effects on social inclusion***

In the long run, there will not only be positive impacts on the former pupils themselves but also on their children and maybe even on their parents.

## **Interventions in the field of social inclusion**

### **Short term (-2010)**

#### ***Employment effects***

The interventions under PRIORITY AXIS 6 will also have some direct effects on employment (trainers, workers in child care). Some women will also find a job, but it is questionable whether these will be new jobs, or will only lead to substitution of other job-seekers. Job effects will be more positive in the field of jobs in the social economy; regular jobs will have to follow later.

#### ***Effects on the competitiveness of the work force***

Surely in the short run, there will be hardly any effects on competitiveness.

#### ***Effects on social inclusion***

For most of the interventions under PRIORITY AXIS 6, it will take some time to really have effects on social inclusion itself. This will partly be caused by the fact, that the progress of the use of funds will be small in the beginning (whereas especially in this field there are

several PHARE-projects and also because it will take some time to convince local administration of the importance of these interventions).

### Mid term (2010-2015)

#### *Employment effects*

Even in mid-term employment effects will be small, but of course growing. The projects in the social sphere will provide the conditions for employment, but it will take some time before this will really mean that the vulnerable groups will get jobs.

#### *Effects on the competitiveness of the work force*

There will be little effects on the competitiveness of the work force, because at first it will be already a big success when the socially excluded would be introduced to the labour market at all.

#### *Effects on social inclusion*

Effects on social inclusion will grow when NGO's etc. will have the tools to direct disadvantaged persons to labour market-directed activities.

### Long term (2015-)

#### *Employment effects*

Employment impacts will be positive, once social workers and labour market specialists cooperate in activities towards socially disadvantaged groups. It is well known that the net employment effect of labour market measures is most positive, when it concerns persons with a long distance from the labour market.

#### *Effects on the competitiveness of the work force*

There is also an impact on the competitiveness of the work force, once these disadvantaged persons will be trained.

#### *Effects on social inclusion*

Once people get a job, it is not only advantageous for themselves, but also for their families.

The following table summarizes the impacts of the interventions.

**Figure 3** Tabel of impacts

	Employment measures			Educational measures			Social measures		
	S	M	L	S	M	L	S	M	L
Employment	0/+	0/+	++	0/+	0/+	++	0/+	0/+	++
Competitiveness	+	+	++	0	0/+	+++	0	0	+
Social inclusion	+	+	+	+	++	++	+	++	+++

The, at first sight strange, conclusion of this analysis is, that in most cases, even in the case of employment interventions, the short- and mid-term impacts on employment will be very small. The most significant effect of employment measures will be the social effect,

because it will make it possible for persons who at his moment have no access to the labour market to find a job. Even when this leads to ousting other workers, this will mean that persons who were in danger of getting socially excluded will keep in touch with society.

In the short run, overall impacts will be quite small. In the long run, however, it is better to tackle the social problems in a thorough way (changing the educational, social care system, and training huge amounts of persons for the labour market) than choosing for measures with short-term effects.

## **Choice of indicators for quantification of expected results and impact**

### **Quantification of the total impact of the HRD SOP**

To quantify the results and impacts of the HRD SOP in total the following strategies are possible:

- Should it only concern a very small programme directed at very specific objectives and target groups, then it is not possible to quantify the effects of the interventions at a global or specific impact level. In that case, it would be sufficient to make use of the so-called coverage rates. The Romanian HRD SOP, however, is much too big to deal with it that way.
- Another solution would be to direct the quantification at the specific impact level: what is the direct impact of the several interventions? A possible strategy would be:
  - First to calculate gross effects by relating each measure to the amount of individuals which could be supported with the amount of funding available (e.g. by looking at the average amount of funding needed for each successful participant with former schemes).
  - Then to calculate net effects by applying the rate between net and gross effects from former schemes (and by being maybe a little bit more positive about effects now).There are, however, several problems with this approach. The first is, that there is hardly any useful information on former schemes, the evaluation of the PHARE 2000 scheme maybe being the only exception. Moreover, some of the interventions are not directed at individual (future) job seekers, but are directed at the preconditions for strengthening human resources (e.g. improvement of initial education, training the trainers, strengthening civic society and providing child care). It is quite difficult to estimate the specific impacts of this kind of interventions.
- The last alternative seems an approach at the level of the global impact indicators. It seems that this has been the approach of the MA HRD SOP until now. The core of this approach to estimate the additional effect of adding a substantial budget to the means already available for HRD policy now in Romania and to estimate the effects of this extra budget, more or less trying to correct for context indicators as the estimated GDP growth, etc.

For the last approach, it is first important to know which would be the indicator on which the impacts of the SOP should be estimated. In the former chapter, the ex ante evaluator suggest three indicators on the global impact level for the programme. It should be noted that we excluded indicators such as the employment or unemployment rate because these indicators are very much influenced by economic development.

From these three indicators , the indicator on social inclusion has the least relevance for the total programme. It is only relevant for PRIORITY AXIS 6 and some specific activities in the framework of PRIORITY AXIS 1, PRIORITY AXIS 4 and PRIORITY AXIS 6.

The global indicator on the education level is useful for evaluation, but for the quantification it is not specific enough, because most interventions are linked with training people, but at the same time do not target a change in the education level of the individual.

This leaves the most obvious indicator for HRD: the amount of jobs which participants will find or will hold on to as a consequence of the programme: more or less summarized by the effect on employment.



## Annex 6 Additional analysis on the Roma situation

According to the latest census (2002) the population of Romania was 21,680,974. **Roma population** living in Romania should be 535,250 (2,5%). The highest rate of Roma population is registered in rural area (3,2%), compared to urban area (1,8%). Some organizations suggest a number as high as 2.5 millions (Minority Rights Group) but the estimation of the Institute for Research on the Quality of Life (between 1,452,700 and 1,588,552) is used both by the government and civil society.

In a research study realized in 1998 by the Institute for Research on the Quality of Life it was found that the Roma population is a young population (the average age is 25,1 and also 33,9 % from the entire population is between 0-14 years and only 4,3 % of the population is over 65 years).

Geographical distribution of Roma population shows that in Romania there are some areas where Roma population are concentrated. The highest rates of Roma population are situated in the central area of the country (Braşov, Sibiu, Mureş), in West (Satu Mare, Sălaj, Bihor, Arad), and South (Dolj şi Mehedinţi).

According to a World Bank community survey<sup>1</sup> about 60% out of the total Roma Community are poor. The highest concentration of poor Roma population is in large communities of over 500 people and in medium size communities of 200 -500 persons. Over 60% of the Roma population that is clustered lives in large communities of more than 500 persons.

### 1. Social disadvantage features

According to the World Bank report in 2000, nearly 80 percent of Roma in Romania were living on less than \$4.30 per day, in comparison with 30 percent of the total population.

A study run by the *International Management Foundation* in December 2000 reported that the Roma group was the only ethnic group (unlike other minority groups, such as Hungarian and German minorities) whose poverty incidence departed significantly from the average. In 1997 the incidence of poverty rate of Roma was 3.5 times higher than the average and their consumption was 40% lower than the average consumption per equivalent adult. Another report, developed by a Governmental Commission *CASPIS 10* in 2003 reflected the following situation of poverty rates based on ethnicity:

<b>Ethnicity</b>	<b>Rate of severe poverty</b>	<b>Poverty rate</b>
Romanian	9,3 %	24,4 %
Roma	52,2 %	75,1 %

Source: *The Commission against Poverty and Promotion of Social inclusion, Romanian Government.*

<sup>1</sup> Roma Social Mapping, Targeting by a Community Poverty Survey, World Bank, Bucharest, July, 2005

Due to the poverty level, the dependence on social assistance is very high. Children's allowances represents the most frequent regular income source for Roma families - 66.2% of the researched households benefited from these allowances. Salaries round up the family budget only in less than a quarter of the cases, and retirement pensions are a source of income in 11.7% of the targeted Roma families. Unemployment compensations are a source of income for 9.5% of the researched households. Disability and illness retirement pensions are granted in 4.7%, respectively 5.8% of the families. 53.4% of the total number of households investigated in 1998 declared occasional (or non-permanent) revenues.

Roma living in poor Roma communities have a lower education level, lower migration abroad experience, a more traditional orientation by speaking Romani language and a larger average household size. The poorest of the poor Roma communities have a very low education level and a very low experience of migration abroad. Low access to education among Roma is related to a range of complementary and contrasting factors, including economic and sociological factors, discrimination, and characteristics of the education systems at large. Apart of poverty and economic constrains, other important determinants are presented below.

#### ■ **Discrimination**

Discrimination against Roma by non-Roma parents, children, and teachers contributes to low attendance and can both discourage children from attending school and affect the quality of education in the classroom. According to the above mentioned study<sup>1</sup> published by the Open Society Institute in 2006, more than a half of Roma women interviewed felt that the educational system discriminates against Roma children, while, based on the answers of interviewed Roma women whose children attend the school, 19% of their children are currently learning in a segregated school environment.

Qualitative studies documented examples of discrimination and abuse of Roma students by teachers ranging from teachers ignoring Roma in classrooms, to outright physical abuse. Stereotypes about Roma and their attitudes toward education lower teachers' expectations about the potential of their students. Discrimination can be both explicit – as in the case of schools creating separate classes – or more subtle if parents discourage their children from interacting with Roma classmates. As mentioned above, Roma parents who experienced discrimination during their own schooling, may be reluctant to send their children to school, or may prefer to send their children to special schools, where they feel that they will be more sheltered and protected from abuse.

#### ■ **Social and Cultural Factors**

**Language.** While most Roma speak the majority language, the use of the Roma language is still prevalent among some communities. In some cases language affects the ability of Roma children to start school, and children without full language proficiency are at a disadvantage relative to other students. With the decline in preschool attendance, and the lack

<sup>1</sup> *Broadening the agenda. The status of Romani women in Romania*, Open Society Institute, 2006, p 11

of Roma speaking teachers, children who do not speak the majority language are at risk to become discouraged and will drop out of school.

**Negative stereotypes of Roma attitudes toward education** are common and explain in many cases the low enrolment of Roma children into primary education. However, social and cultural factors may influence Roma participation in mainstream public education. For example, the division between the Roma and non-Roma communities may be wide in some cases. Roma parents may be protective and reluctant to send their children out of their family and community especially if they fear their child will face discrimination and negative treatment by teachers or fellow students. Parents may also fear that participation in public education will take their children away from their family, physically and emotionally, and weaken family and community ties. Parents in settlements in more rural areas where children may have to travel outside their home village or settlement may decide to keep their children at home. School organization may also differ significantly from Roma society.

**The education level of the parents** plays an important role in children's school attendance and performance. In this regard, Roma are at a greater disadvantage because of the gaps in educational attainment. While illiteracy rate of population older than 15 years in Romania is 2,7%, in case of the Roma population the percentage of persons aged between 17-45 years who can not read at all or with high difficulty is 31,8% while the majority of Roma population aged over 45 years old face illiteracy. Lack of parental literacy may affect school attendance in different ways. Parents with limited education will be unable to help their children with schoolwork in the same way that parents of other children can. Parents may also be less likely to participate in school related activities. As a result, the communication between teachers and parents may be less frequent.

According to a study<sup>1</sup> done by The Institute of Educational Sciences in 2002 on the rural education in Romania, the main category of determinants of children school failure is represented by social and family factors, namely: **the negative attitude of the parents toward school** (58%); **the impossibility of the family to provide the child with the necessary resources to attend school (clothes, shoes, stationery, etc.)** – (55%) and **keeping the child home to conduct different household activities** (54%). Other causes with a lower school attendance frequency were **the season migration of the family, the child's affiliation to nomad families and the deviant behaviors of the family members** (delinquency, alcoholism), as well as certain **specific traditions** (for instance "the Gypsy Law" – *the woman must not be too educated*).

#### ■ Systemic Constraints

**Geographic isolation of Roma settlements.** Research reports show clearly that in general, in rural isolated communities, the schools with Roma majority students have poor facilities for learning and the percent of qualified teachers is very low. A similar situation can be found in the case of urban schools, which are situated usually in the peripheral area of the city.

<sup>1</sup> Jigau, M. (coord.) *Rural education in Romania: conditions, problems and development strategies*. MarLink, Bucharest, 2002



**A lack of necessary identification and registration papers** and a lack of enforcement of compulsory education keeps children from being able to enroll in school in the first place. Similar constraints exist for street children and children of seasonal workers. Children in these situations are also not identified by education officials responsible for enforcing school attendance. An estimated 47,000 people in Romania lack identification documents necessary to access public services.<sup>1</sup>

## 2. Social disadvantage, education and training and employment

A closer look on the educational system<sup>2</sup> done in 2002 by the Institute for Educational Sciences highlighted a set of critical points with regards to Roma education:

- **Low participation** in education of Roma children;
- **Limited access to alternative forms of education** (low frequency education, long distance education, etc.) of Roma children and youth who dropped out or were never enrolled in school;
- A high percentage of **unqualified teachers** (ethnic Roma or of another nationality) in the rural environment and the magnitude of the fluctuation and commuting phenomena;
- The absence or the insufficient development, during **initial and continuous training teacher programs**, of a number of modules which would promote cross-cultural education and develop the competencies needed to prevent, monitor, and improve school failure;
- Lack of cross-curricular and intercultural approaches in education;
- The low degree of involvement of the Roma parents in making **school decisions**;
- **Deficiencies in the data collecting** system regarding cases of drop out and non-schooling.

**Poverty and poor economic conditions** are main reasons why children are unable to attend school. High poverty rates limit the ability of many Roma to afford the **direct costs of schooling**, such as clothes, food, and school materials, as well as the indirect costs, including the opportunity costs of sending children to school.

**A gender gap** is also relevant in terms of access to education. According to a recent study published by the Open Society Institute<sup>3</sup>, in the Roma family culture, girls are generally expected to complete lower levels of education than boys. Because of large families, Roma girls may stay home to take care of children and other household activities.

**Formal registered unemployment** is remarkably high in many Roma communities, reaching 100 percent in some of the poorest and most marginalized settlements. According to a report done by UNDP in 2003, at the national level, the unemployment rate in case of Roma population is 24%, but this figure might be disturbing as far as in rural areas (representing almost 50% from the population in Romania) an owner of a small piece of land can not be registered as unemployed. The UNDP survey presents also the difficulties faced by Roma to find a job. According to the survey, the main difficulties for professional integra-

<sup>1</sup> <http://www.romaeducationfund.org/REFNeedsAssessment.pdf>

<sup>2</sup> Jigau, M. (coord.) *The participation to education of Roma children. Problems, solutions, actors*, MarLink, Bucharest, 2002

<sup>3</sup> *Broadening the agenda. The status of Romani women in Romania*, Open Society Institute, 2006, p 11

tion in Roma population view are the following: 1. ethnic affiliation; 2. general economic difficulties in the country; 3. not having adequate skills required on the job. The same survey shows that Roma think that their traditional skills cannot be valued in a global economy. Regarding the current occupations of the Roma population, we can say that most of the people working as employees are present in all the different sectors of the economy, but preponderantly in constructions and agriculture.

The percentage of housewives is over four times bigger in the case of the Roma population than at the national level, and reveals the weak participation of women in the labour market. The participation of Roma in continuing training is very low. In 2004, out of 28032 persons enrolled in CVT programs organised by National Agency for Employment and funded from Employment Fund only 282 were Roma (1% from total number of participants).

### **3. The Legal Framework on the Right to Education of Ethnic Minorities in Romania**

The Romanian legal framework stipulates the right to education of the national minorities through a number of general regulations, included both in the Constitution and the Education Law, as well as in other regulations especially designed to prevent and eradicate discrimination.

The Romanian Constitution establishes the general principles referring to the rights, liberties and fundamental duties of all citizens, as well as regulations referring to the access to education of people belonging to ethnic minorities. In concurrence with the Constitution, the Education Law states that education is a national priority and stipulates the right to education of all citizens, the right to be educated in their native language, as well as the obligation to observe the right to a cultural and linguistic heritage of the minorities. All these rights are expressed through the following provisions:

- organizing school institutions, groups / classes for all types, levels and forms of education, where they teach in the language of the minorities;
- including in the school curricula, in the case of Romanian teaching language education institutions, a number of native language courses similar to Romanian courses, as well as history and national minority tradition courses, in that respective language;
- reflecting the history and traditions of each minority in the school curriculum;
- providing schoolbooks and appropriate pedagogical supports in the native language;
- teaching religion in the native language;
- training the school staff in the language of the respective ethnic minorities;
- taking a native language exam., during the final exams (elementary school graduation exam, high secondary education graduation exam - "baccalaureate" exam).

### **4. Education policies to stimulate school participation, especially designed for the Roma population**

In order to stimulate the school participation of Roma children and youth, the Ministry of Education and Research developed, since 1998, a coherent strategy. This strategy includes a number of regulations and measures developed, in certain cases, in cooperation with different NGOs, which are focused on:

- *Promoting young Roma in faculties and university colleges, in order to form a young Roma intellectuality:*
  - granting an increased number of higher education government funded slots for Roma candidates (the measure was initiated since the 1992 – 1993 university year and was extended afterwards).
- *Stimulating the training of Romani speaking teachers:*
  - establishing classes / groups within elementary schools and pedagogical colleges to train the future Roma or non-Roma teachers, who will be working with Roma students (the system began since the 1990 – 1991 school year and it still continues);
  - conducting Romani language initiation/ improvement courses for Roma and / or non-Roma ethnic teachers, qualified and unqualified;
  - founding a Romani language department within the Foreign Languages Faculty of the Bucharest University, since the 1998 – 1999 university year.
- *Stimulating the study of Romani language through special measures:*
  - the possibility to begin the study of Romani as a native language, at any moment during the school year and in any study year;
  - encouraging the school to employ teachers qualified to teach Romani or, in their absence, high school graduates, or at least graduates who completed 10 grades, and who are ethnic Roma.
- *Drafting programs, manuals and auxiliary materials* for the Romani language and for the history and traditions of the Roma. Establishing territorial structures which should monitor the school participation of Roma children and youth (in conformity with O.MER. no. 3363 / 1999 on the appointment of Roma / for the Roma inspectors in each county school inspectorate). The Notification of the Ministry of Education and Research No. 29323/20.04.2004 on forbidding any segregation forms in pre-university education system.

## 5. Education System

### ■ Facilities

At the start of the school year 2004-2005, the pre-university school network comprised (according to the National Institute of Statistics) over 14,000 education units. The distribution of the schools by education levels is presented in the table below.

**Table 2** Schools by type and population (2004/2005)

School Type	No. of schools	No. of students	No. of teachers	Pupil: Teacher ratio (P:TR)
ALL TYPES	0	0	0	15.3
Pre-school	5687	644911	35288	18.0
Primary	437	962586	963023	18.0
Gimnazial	6451	1012601	1019052	11.0
Liceal	1413	773843	62192	12.0
Profesional /SAM	53*	289494	6290	25.0***
Post-high school	79**	48693	1066	...
Tertiary (public and private)	117	650335	30857	21.0

\* In addition to the 53 independent education units, there are 24 schools of arts and trades within Cluster Schools (Grupuri școlare) and 1507 specialisations within Cluster Schools.

\*\* In addition to the 79 independent education units, there are 419 specialisations within Cluster Schools.

Source: National Institute for Statistics, 2005.

\*\*\* Source: MER, 2005.

According to official data<sup>1</sup>, in the school year 2002/2003 within pre-university level there were in total 135 schools (primary, lower and upper secondary) in which the Romani language is taught.

In the 2003/2004 school year, there were more than 151,000 classrooms and laboratories at the pre-tertiary level and more than 15,000 at the tertiary level. Given the general state of buildings and equipment of schools, there is an obvious shortage of financial resources. The poor physical condition of many schools in need of urgent rehabilitation remains a problem: insufficient heating, lack of public transportation in rural areas, lack of educational equipment, obsolete books and documentation, lack of computers and software, etc.

The fact that some schools (including some private ones) are much better equipped than others is an important factor of inequity. Increasing education's low share of GDP to a more acceptable level, and/or attracting additional external funding, would help.

In the last years were implemented different programs aiming at improving/rehabilitating the school buildings and didactic materials, among which:

- PHARE Program 2001 Access to education for disadvantaged groups, with a focus on Roma;
- PHARE Program 2003 Access to education for disadvantaged groups;
- PHARE Program TVET 2001-2003 (investment sub-component);
- World Bank Project for School Rehabilitation
- World Bank Project for Rural Education.

■ **Teachers, inspectors and mediators fro Roma education**

In 2004/2005, the total number of teachers within the education system was around 286,000. According to official data<sup>2</sup>, in school year 2002/2003, the total number of persons teaching Romani language was 257.

Within each County Inspectorate a Roma Inspector has been appointed (42 in total, not taking into account the Inspector within the Ministry of Education). The actual responsibilities of the inspectors include: monitoring the relevance and adaptation of education to the specific of Roma community; monitoring the application of the education regulations to the Roma minority; coordinating and monitoring the census of Roma children of pre-school age and of early school leavers.

Roma inspectors and Roma NGO representatives defined the role of school mediators since the year 2000. The main responsibilities of the mediators include: facilitation of the link between school and families of Roma pupils; identification of potential Roma teachers; identification and mediation of inter- and intra-community conflicts; supporting the schooling of Roma children at all levels of education.

<sup>1</sup> *Dimensions of education for national minorities in Romania*. Ministry of Education and Research, Bucharest, 2003

<sup>2</sup> *Dimensions of education for national minorities in Romania*. Ministry of Education and Research, Bucharest, 2003

## ■ Curriculum

At the national level, the **National Council for the Curriculum** (NCC) is responsible for drawing up, developing, applying and revising **the national curriculum**.

In the case of compulsory education, a model of objectives-based curricular design was used to **draw up the national curriculum** while a skills-based model was used for high school education. The adopted **structure** of curricular design comprises a common core (compulsory curriculum) and a school-based curriculum. **School curricula** are drawn up by workgroups organised by school subject or curricular areas (including specialists and teaching staff), coordinated by NCC experts.

At the level of primary and secondary education alternative textbooks are used, the teacher having the right to recommend the pupils the textbook they have to study.

The **framework education plan** includes school disciplines especially designed for children who belong to national minorities: the Native Language and Literature and the History and Traditions of the National Minorities. In institutions / departments where classes are taught in a minority language, the study of the native language is included in the core school curriculum, 7 – 8 hours per week in the first and second grades, and 3 – 4 hours per week in the other grades; in institutions / departments where classes are taught in Romanian, the Native Language is considered a discipline included in the school curriculum, taught 3 – 4 hours per week. The **History and Traditions of the Minorities** is included in the curriculum, based on the decision of the school, at the level of the sixth and seventh grade, and it is taught in the native language. Also, regulations stipulate the opportunity that Religion be studied in the languages of the national minorities. Apart from the number of hours included in the core school curriculum, schools with a national minority population may allocate from **the curriculum decided at school level**, additional number of hours for study of the **Minority Native Language and History**.

In the past years, the number of schools which have included Romani language classes in their educational offer has increased significantly and an important number of teaching staff for Romania Language was trained.

### **Language of Instruction**

In concurrence with the Constitution, the Education Law stipulates the right to be educated in their native language. In Romania there are organized school institutions, groups / classes for all types, levels and forms of education, where the language of the minorities is being taught (See the Chapter on the legal framework for the right to education of ethnic minorities). In case of Roma, the language of instruction is in most of the cases Romanian.

### **School participation**

The Roma school population, according to official sources of information, comprised in the school year 2004/2005 over 74,000 students/pupils. The distribution by education levels is presented below:

**Table 5** Roma school population, by levels of education in school year 2004/2005

Pre-primary	Primary	Lower secondary	High school	Professional education (SAM)
11,493	37,840	21,366	1,088	2,382

Source: NIS, 2005

The participation of Roma population to education is significantly lower in comparison with non-Roma. According to a study conducted by the Institute for Research on the Quality of Life<sup>1</sup> in 1998, the share of children aged 7-16 years old enrolled in education was around 62%, and of those who dropped out or never went to school reached almost 30%.

**Table 6** The school situation of Roma children in 1998

School-age children (7-16 years old)	Enrolled	Dropped out of school	Have never been enrolled	Don't know / don't answer
	61.4%	11.6%	18.3%	8.7%

Source: Data from the Institute for Research on the Quality of Life (IRQL), 1998.

### **Extent and nature of Roma segregation, attendance and enrolment barriers**

The low access to education among Roma is related to a range of complementary and contrasting factors, including economic and sociological factors, discrimination, and characteristics of the education systems at large. According to a multi-dimensional interpretation model, the results of students (school success or failure) have a series of determinants, and are influenced by multiple independent variables, among which: general socio-economic determinants, context variables, family determinants, general social and cultural factors and school determinants.

## **6. The Civil Society promoting Roma interests**

Romania has about 150 NGOs promoting Roma interests. Due to the lack of the resources and self-sustainability many of them are not actively involved but only registered. Some have also initiated activities targeting the majority population and state officials. Besides this, Roma NGOs are active in project implementation aimed at improving the Roma situation. Some of the NGOs have chosen to focus on Human Rights in order prevent the inter-ethnic conflicts and to improve the access of Roma to justice. Other NGOs have as a mission social inclusion targeting Roma communities in order to empower them.

Roma NGOs have also sought to coordinate their positions on issues of common interest. At the beginning of 1999, at their initiative, representatives of 80 Roma NGOs nominated a fifteen-person Roma Working Group to represent them in working with the National Office for Roma to develop a PHARE-sponsored national strategy for Roma. Roma NGOs have participated in campaigns for adoption of the Law on Public Advertising and Ordinance 137, and have joined forces to protest racist statements in the press, and to support the adoption of positive legal measures to ensure equal treatment for Roma.

<sup>1</sup> *Indicators on Roma Communities in Romania*, Expert Publishing House, Bucharest, 2002.

During the 90s the initiative of Roma organizations was limited to the project level. Besides the social impact that they achieved by the implementation of the projects an important asset was the expertise that Roma activists could gain through these projects. Since 2000 there have been more attempts for creating an umbrella organization of Roma organizations (For-Romenqe, Roma Alliance from Romania). By this way, the Roma organization could get more experience and expertise.

### **Roma Initiative and Overall Situation of the Roma Community**

Most of the Roma NGOs are currently developing projects in the area of education and training and also in the area of increasing the employability of Roma population, improving living conditions and health. Among the most active organisations in these fields it could be mentioned the following:

Roma Centre for Social Interventions and Studies, Agency for Community Development "Impreuna", Association for Roma Women Emancipation, Organisation for Roma Ethno-cultural projects, S.A.T.R.A. / Alliance of Young and Students Roma Anti-racists, Roma Center for Public Policies Aven Amentza.

#### *Other Key Actors in Civil Society and Relations to Roma*

Since 1989, Romania has ratified the main international documents addressing racial and ethnic discrimination. Since then many NGOs active in human rights field amended the human rights abuses against Roma. Specialized institutions dealing with minorities have also been set up. In 1993, the Council for national Minorities was established as a consultative body of the Romanian Government. The Department for the protection of National Minorities was established in 1997 within the Prime Minister's Office, including an Office for Social Integration of Roma. During this time the most active actors in the development of a national and international policy for the Roma were the Open Society Institute, the European Council, OSCE and the EU.

Both Roma and non-Roma organizations have played an important role in discussions and agenda setting with respect to Roma affairs, particularly concerning the development of a national strategy for Roma. While many of these efforts have been improvised and uncoordinated, there is evidence that efforts are beginning to draw on more than a decade of project learning and experience in order to implement a more coherent, systematic approach. The adoption of a national strategy to improve the condition of Roma in 2001 reflects such efforts.

### **7. Overview of REF (Roma Education Fund) activities**

In 2004 Romania elaborated the **Needs Assessment summary**. Based on the conclusions and recommendations of the assessment, during 2004, the Romanian country working group, including Roma and other stakeholders, has been developing the Decade Action Plans for Education. However, there are not clear indicators and the action plan tends to consider the Roma just as a target group, being subject for releasing funds for specific projects.

### **Commitments to Roma Decade Action Plans/ progress to date**

There is a clear political commitment to the Decade from the side of the Government and it is shown by creating and supporting a structure that ensure the mechanism for implementing and monitoring. Also, a fund for supporting specific activities of the Decade was created. ANR planed that before the running presidency will end (July 2006) the action plans, re-designed, are to be introduced into the state budget.

Comparing with other fields and domains from Romanian society it may be said that the education system and education approach toward Roma registered the biggest development. Going further with the comparison, the Ministry of Education and Research is the ministry that has shown openness and willingness most for Roma issues. MER strategic programs and of those developed in partnership with certain NGOs and governmental and intergovernmental organizations (UNICEF, CEDU 2000+, Save the Children, Intercultural Institute Timisoara, CRCR Cluj Napoca, Romani CRISS and "Catavencu" Press Monitoring Agency, Caritas Satu Mare etc.).

So far, excepting the administrative costs for functioning the Roma National Agency there is not any budget allocation for the Decade in Romania. At the launch event of Roma Education Fund, the president of the ANR pointed out that National Action Plan is under a re-designing process. In April 2006, the Government of Romania decided to finance a set of activities included in the National Action Plan.

In what concerns the allocation of the financial resources for implementation of the new strategy, the ANR will continue to influence the decisions of the key ministries and Romanian Government and, based on sectoral strategies, will include at the first budgetary revision, the costs related to the implementation of these strategies.

According to GD no. 522/April 2006, the Romanian Government Strategy on Improving the Roma Population Condition specifies that activities included in the General Plan of Actions for 2006-2008 be *financed from public budget funds, pre-accession funds, other EU funds, and off-budget funds (from external and internal sources)* (Chapter VII. Financing the Strategy).

### **Donor Funding: In-country Programs**

The Roma issue was approached by a variety of donors starting from 1990, in the context of changes in Romania and of the emergence of civil society. Nevertheless, few donors have developed coherent and consistent programs of considerable length for the development of the Roma communities. The same statement can be made in the case of educational programs, until the late Nineties international organisations being the main funding and know how source.



A wide variety of projects were promoted in the field of education<sup>1</sup> and the following main donors should be mentioned: Open Society Foundation Romania and the Soros Open Network; European Union – PHARE Program; Council of Europe; the MATRA program and the Dutch Government; the Permanent Mission of the World Bank in Romania; UN agencies in Romania (UNDP, UNICEF, UNHCR, ILO); British Council; Save the Children; the Charles Stewart Mott Foundation; the International Organization for Migrations; the Ministries of Foreign Affairs of Austria and Norway.

From the public policy perspective, the Roma community is still regarded as a socially disadvantaged group, and therefore the trend is to continue to design programs "dedicated" to the Roma population within the framework or outside the *Strategy for the Improvement of the Roma Situation*. However, there is a clear lack of coordination among the various donors leads to an unarticulated image of how the funds are allocated, parallelisms, and difficulties in solving the problems of the Roma education.<sup>2</sup>

With the adoption of the Government's *Strategy for the Improvement of the Roma Situation*, a new period began in which an important new actor entered the market of programs for the Roma communities, the Romanian Government. For the first time, governmental funds were allocated for programs directly targeted to assist the Roma population. The best examples are the programs developed jointly with the EU Commission, the most important donor in this area.

**Table 7** EU and the Romanian Government contribution to programs relevant for Rroma population (2001- 2004).<sup>3</sup>

Year of Budget allocation	Program	European Union Euro	Romanian Government Euro
2001	PHARE - Access to education for disadvantaged groups, with a focus on Roma	7.000.000	1.330.000
2002	PHARE - Support for the National Strategy for the Improvement of the Roma Situation	6.000.000	1.600.000
2003	PHARE - Access to education for disadvantaged groups	9.000.000	2.300.000
2004	PHARE - Acceleration of the implementation of the national strategy for the improvement of the roma situation	8.500.000	1.000.000

Source UNDP

<sup>1</sup> For a detailed list of specific education projects for Rroma promoted by national and international NGO's in Romania see *Needs Assessment Study for the Rroma Education Fund. Background paper – ROMANIA, World Bank 2004, p. 36-41.*

<sup>2</sup> <http://www.undp.ro/pdf/Evaluation%20of%20Programmes%20Targeting%20Roma%20Communities%20in%20Romania.pdf>

<sup>3</sup> <http://www.undp.ro/pdf/Evaluation%20of%20Programmes%20Targeting%20Roma%20Communities%20in%20Romania.pdf>

**EU PHARE programs** had the general objective to support the implementation of the MER strategy to improve access to education for disadvantaged groups and to promote inclusive education for all, with a special focus on the Roma and students with special education needs, in order to fight the social exclusion and marginalisation and to promote human rights and equal opportunities. In the framework of the PHARE program - Access to education for disadvantaged groups, with a focus on Roma, almost 3.8 millions EURO have been spent on a grant scheme for 11 projects in 10 counties of Romania.

**UNICEF** supports the preparation by local governments of strategies and networks that will improve access of Roma children to education. It is similarly involved in implementing a number of projects for Roma girls and boys that can be replicated elsewhere. Likewise, UNICEF is involved in the training of Roma and non-Roma teachers working in Roma communities. These teachers are trained in the Romany language about the history and traditions of the Roma Communities. In partnership with several NGOs, UNICEF has helped set up a number of education centers, introducing inter-cultural approaches and girl-friendly educational programmes. UNICEF has also contributed to the editing and printing of many materials used in schools, like the first literacy manual in the Romany language, a tri-lingual ABC book, a Romanian-Romany dictionary, and audio cassettes containing Roma fairy tales, and Roma history and traditions.

**Save the Children** has been running a research in five communities on the situation of Roma children, publishing various materials on multi-cultural education and lobbying for establishing the child Ombudsman.

Many of the projects are focused on pre-school education.

**Open Society Foundation Romania and the Soros Open Network** and other objectives are to strengthen organizations educational pillars that increase Roma girls' access, retention, and achievement in primary school, and/or improve the quality of girls' primary school education as well as to reduce a number of the barriers that prevent girls from gaining education.

#### **Donor funding: conditions and constraints**

In Romania, the Roma community is regarded as a socially disadvantaged group, and therefore it occupies a special place among the funded and implemented programs of the various organizations that are acting and promoting social inclusion. Therefore, there are programs "dedicated" to the Roma communities, programs that cover a quite large area, from community development to school education. It can be noticed that there is a lack of coordination among the various donors leads to an unarticulated image of how the funds are allocated, parallelisms, and difficulties in solving the problems of the Roma education.<sup>1</sup>

<sup>1</sup> <<http://www.undp.ro/pdf/Evaluation%20of%20Programmes%20Targeting%20Roma%20Communities%20in%20Romania.pdf>>.

## 8. Summary of systemic strengths and weaknesses with regard to Roma education

### Main difficulties and challenges

After 1989, the educational system preserves and amplifies the status inequalities between the Roma and the majority population. A decrease of school and social opportunities for Roma children is recorded. An important element in explaining the weak schooling situation is discrimination that has various aspects according to the context. The direct and the most serious aspects of discrimination relate to school separation of Roma children.

The discrimination seems not to be the result of any particular policy, but it is rather the joint effect of some prejudices and ethnical stereotypes. It is surprising that these stereotypes and prejudices are not only held by ordinary people, but also by some teachers and headmasters. To sum up, Roma children face the following barriers to their education:

- Roma people usually live in residential segregation, which encourages, in most of the cases school discrimination.
- Parents' attitudes towards school determine the weak school situation of their children. But this attitude has to be understood within a wider framework; it is a part of a culture of poverty (short-term orientation) that makes investment in education almost impossible, which has a long-term orientation. In the Roma parents' social success strategies, the material capital (money) is more important than the human capital (schooling); they often consider it useless that their children attend school as long as they can have money without it.
- A series of deficiencies in primary socialization determine difficulties in understanding the school rules and objectives and also inadequate behavior of the children. Very few Roma children attend kindergarten. This lack of preschool education is a real limitation to Roma children education later on.
- The time for individual study and for doing homework is very short or it does not exist. This is due to the fact that many children participate in some household activities such as laundry washing, cleaning the house or cooking; a negative influence upon education has the fact that in certain communities Roma children have to work for earning their living.

This situation determines the fact that Roma children have to overcome more complicated obstacles than children from other ethnic minorities. These circumstances lead to increasing prejudices from their non-Roma schoolmates and teachers; they are stigmatized as not being able to learn and this leads to their elimination from the regular classrooms. As a conclusion, this situation of poverty and social exclusion gives rise to difficulties in accessing standardized educational processes. There are some **barriers to positive educational experience**:

- lack of access to relevant pre-school experiences with their peer-group, which fosters inadequate behavior;
- difficulties in comprehending school rules and objectives;
- lack of motivation and low self-esteem;
- prejudice and discrimination from their non-Roma schoolmates and teachers;
- non-recognition of Roma culture in schools;
- general feeling of insecurity inside school.

A closer look on the educational system<sup>1</sup> done in 2002 by the Institute of Educational Sciences and Institute for Research on Quality of Life highlighted a set of critical points with regards to Roma education:

- low participation in education of Roma children;
- teaching staff shortages;
- lack of cross-curricular and intercultural approaches in education;
- low parents trust and involvement in education;
- lack of an appropriate monitoring system regarding cases of drop-out and non-schooling.

### **Main achievements**

Participation to education of disadvantaged categories of population remains an important challenge for the Romanian education system. The problems related to Roma schooling are still far from being successfully solved. However, in the latest years important steps forward can be noticed in identifying common solutions, promoted by all key stakeholders:

- Romania assumed the responsibility to take over the Presidency and the Technical Secretariat of the Decade of Roma Inclusion. During 2004, the Romanian country working group, including Roma and other stakeholders, has been developing the Decade Action Plans for Education which reflects the conclusions and recommendations of the Needs Assessment.
- From a legislative point of view was emitted a notification that forbid the segregation of Roma children in the schools. However, it is still difficult to eliminate at the local level segregation and without a strong policy there will be still cases of segregation.
- Surveys and studies have been conducted on general situation of Roma population but also on education of Roma;
- New schemes have been created following second chance model within national programs such as PHARE Access to education of disadvantaged groups or new models piloted such as UNICEF project on Education Priority Areas implemented by the Institute of Educational Sciences;
- Comparison with other fields and domains from Romanian society it may be said that the education system and education approach towards Roma, registered the biggest development. Going further with the comparison, Ministry of Education and Research is the ministry that has shown openness and wiliness most for Roma issues. MER strategic programs and of those developed in partnership with certain NGOs and governmental and intergovernmental (UNICEF, CEDU 2000+, Save the Children, Intercultural Institute Timisoara, CRCR Cluj Napoca, Romani CRISS and "Catavencu" Press Monitoring Agency, Caritas Satu Mare etc.).

The MER considers as successful the following series of programs envisaging the education of Roma children:

- Granting distinct places at universities to young Roma candidates according to the positive discrimination principle.
- Creation of the necessary infrastructure at the level of the 42 county school inspectorates, through appointing an inspector with responsibilities related to education for Roma.

<sup>1</sup> Jigau, M. (coord.) *The participation to education of Roma children. Problems, solutions, actors*, Mar-Link, Bucharest, 2002

- Formation of Roma teaching staff, by involving young Roma people (high school graduates) in the education system.
- Elaboration of school working instruments (programs and manuals), through involving Roma teaching staff.
- Strengthening the process of teaching Romani language in schools and consolidating the network of Romani language teachers.
- Program entitled "Food in kindergartens and schools", which aims at providing a symbolic meal for all children (Roma and non-Roma) in kindergartens and schools (at least up to the 4th grade, inclusively). This measure is necessary because many children, especially Roma, do not attend school due to poverty, and 80% of the persons who had never attended school or abandoned it along time are Roma.

#### **Key contacts and partners**

- Romanian Government; Mr Marko Bela – vice-prim minister (State Secretary for Culture, Education. and European Integration)
- Roma National Agency responsible with the presidency of the Decade : Mariea Ionescu president
- Ministry of Education and Research: Liliana Preoteasa – director - Department for pre-university education; Sarau Gheorghe (adviser on Roma issues)
- National Agency for Employment; Cristian Tomescu
- Roma Alliance from Romania; Costel Bercus, president
- Roma NGOs – Romani Criss, Amare Romentza, Agentia Impreuna, Sanse Egale; etc
- Resource Center for Rroma Communities – Florin Moisa - president
- Foundation for an Open Society – Gabriel Petrescu - director

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