## Annexes

## Annex 1 – Contracted Projects

| No | Contracted projects | KAI | Eligible Value EUR | EU Contribution | Contract | Contract value (excluding VAT) | Payments by 31 Dec 2009 | Payments 1 Jan – 28 Apr 2010 | Total payments |
|---|---|---|---|---|---|---|---|---|---|
| 1 | Technical Assistance Facility | KAI 1.1 | 6.321.942 | 5.057.554 | TAF Management | 665.758 | 68.232 | 0 | 68.232 |
| 2 | Study to identify the priority reform directions for the Cohesion Policy post 2013 from Romania's perspective | KAI 1.1 | 32.656 | 26.125 | Study to identify the priority reform directions for the Cohesion Policy post 2013 from Romania's perspective | 29.618 | 7.096 | 16.254 | 23.351 |
| 3 | Improving the system of indicators used in NSRF and OPs monitoring and evaluation | KAI 1.1 | 490.791 | 392.633 | Improving the system of indicators used in NSRF and OPs monitoring and evaluation | 482.378 | 0 | 0 | 0 |
| 4 | Support for CPA staff to improve efficiency in SI implementation by encouraging the experience exchange | KAI 1.1 | 375.312 | 300.250 | | | 0 | 0 | 0 |
| 5 | Support for partial financing of personnel expenditure of the Ministry of Public Finance for the personnel involved in SI coordination, management and control | KAI 1.1 | 1.661.460 | 1.661.460 | Without subsequent public procurement contract | | 322.466 | 0 | 322.466 |
| 6 | Support for coordinating the implementation of the Integrated Plan for the development of the Brasov Growth Pole | KAI 1.1 | 568.895 | 455.116 | Supply, installation and maintenance of office accessories, small office items, stationary and other paper items | 11.132 | 0 | 170.669 | 170.669 |
| | | | | | Supply, installation and maintenance of printers and connected items | 1.814 | | | |

| | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | | | | Supply, installation and maintenance of computers | 316 | | | |
| | | | | | Supply, installation and maintenance of parts and accessories for photocopiers, memory media | 12.637 | | | |
| | | | | | Supply and installation of equipments and software licenses | 8.656 | | | |
| | | | | | Acquisition of mobile phones | 182 | | | |
| | | | | | Acquisition of inventory items (stamps) | 23 | | | |
| 7 | Support for coordinating the implementation of the Integrated Plan for the development of the Iasi Growth Pole | KAI 1.1 | 560.425 | 448.340 | Acquisition of auto fuels | 23.820 | 0 | 176.509 | 176.509 |
| | | | | | Acquisition of mobile phones | 181 | | | |
| | | | | | Acquisition of fax machine | 190 | | | |
| | | | | | Acquisition photo camera | 461 | | | |
| | | | | | Acquisition of furniture items | 1.663 | | | |
| | | | | | Acquisition of chairs for visitors | 212 | | | |
| | | | | | Acquisition of adjustable chair | 133 | | | |
| | | | | | Space rental for daily activities of the pole coordinator | 53.258 | | | |
| 8 | Support for coordinating the implementation of the Integrated Plan for the development of the Ploiesti Growth Pole | KAI 1.1 | 764.649 | 611.719 | Space rental for daily activities of the pole coordinator | 52.054 | 0 | 229.395 | 229.395 |
| | | | | | Supply contract (desks, shelves, cabinets, meeting table) | 3.529 | | | |
| | | | | | Supply contract (directorial chair, desk chairs, chairs for meeting table | 497 | | | |
| | **TOTAL KAI 1.1** | | **10.776.130** | **8.953.197** | | **1.348.514** | **397.795** | 592.826 | 990.621 |
| 9 | Developing the evaluation capacity of he MAs and ACIS evaluation units | KAI 1.2 | 653.220 | 522.576 | Organisation of Evaluation Working Group, 19 June 2009 | 742 | 0 | 0 | 0 |
| 10 | Evaluation for 2009-2010 period | KAI 1.2 | 560.905 | 448.724 | Evaluation for 2009-2010 period | 436.455 | 0 | 0 | 0 |

| | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| 11 | Developing the methodological framework for cost-benefit analysis | KAI 1.2 | 1.191.923 | 953.538 | Withdrawn in 2010. To be re-launched | 0 | 0 | 0 | 0 |
| | **TOTAL KAI 1.2** | | **2.406.048** | **1.924.838** | | **437.197** | **0** | **0** | **0** |
| 12 | Continuous training in Structural and Cohesion Funds management in Romania | KAI 1.3 | 2.605.064 | 2.084.051 | Continuous training for staff involved in the management of the Structural and Cohesion Funds | 1.105.774 | 74.177 | 0 | 74.177 |
| | | | | | Continuous training in SCF coordination and monitoring, as well as in training management activities in these fields | 623.309 | | | |
| | | | | | Space rental for different meetings, direct purchases | 12.896 | 0 | 0 | 0 |
| | **TOTAL KAI 1.3** | | **2.605.064** | **2.084.051** | | **1.741.979** | **74.177** | **0** | **74.177** |
| 13 | Support for ACIS functioning, including for OPTA MA | KAI 1.4 | 2.956.863 | 2.365.490 | Support for ACIS functioning, including for OPTA MA | 599.472 | 161.560 | 73.912 | 235.473 |
| | | | | | Space rental for different meetings + promotional items for MC – direct purchases | 15.541 | | | |
| | | | | | Consumables for ACIS | 24.359 | | | |
| 14 | Development of CPA capacity for an efficient management of the SCF | KAI 1.4 | 2.076.789 | 1.661.575 | Consultancy for developing CPA capacity for an efficient management of the SI | 1.051.951 | 11.048 | 2.291 | 13.339 |
| | | | | | Equipments acquisition for the good functioning of CPA | 137.263 | | | |
| 15 | Support for CPA functioning for on-the-spot verification process | KAI 1.4 | 833.691 | 666.953 | | 0 | 0 | 0 | 0 |
| | **TOTAL KAI 1.4** | | **5.867.343** | **4.694.018** | | **1.828.585** | **172.608** | **76.204** | **248.811** |
| 16 | Development of an efficient and professional community of SMIS-NSRF users | KAI 2.3 | 1.689.309 | 1.351.447 | Development of an efficient and professional community of SMIS-NSRF users | 1.593.781 | 0 | 0 | 0 |
| | **TOTAL KAI 2.3** | | **1.689.309** | **1.351.447** | | **1.593.781** | **0** | **0** | **0** |
| 17 | Support for SMIS functioning within OP CDA | KAI 2.4 | 21.604 | 17.283 | Supply contract for working stations and LCD 19” monitors | 11.623 | 0 | 13.004 | 13.004 |
| | | | | | Supply contract for UPS | 5.487 | | | |

| | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| 18 | Acquisition of IT&C equipment for SMIS functioning within RDA Bucharest Ilfov | KAI 2.4 | 8.445 | 6.756 | | 0 | 0 | 0 | 0 |
| | Without project contracted | KAI 2.4 | | | Maintaining the functioning of the SMIS national digital network | 19.663 | 0 | 0 | 0 |
| | **TOTAL KAI 2.4** | | **30.049** | **24.039** | | **36.773** | **0** | **13.004** | **13.004** |
| 19 | Support for the implementation of the ACIS communication plan | KAI 3.1 | 4.286.326 | 3.429.061 | Development and maintenance OPTA website, maintenance for fonduri-ue.ro website | 7.927 | 60.626 | 0 | 60.626 |
| | | | | | Europe day event organisation | 1.171 | | | |
| | | | | | Developing and production of media spots | 63.569 | | | |
| | | | | | Public opinion surveys regarding the information degree of the general public concerning the SI | 35.904 | | | |
| | | | | | Translation services – direct purchase | 636 | | | |
| | | | | | TA brochure | 12.556 | | | |
| | **TOTAL KAI 3.1** | | **4.286.326** | **3.429.061** | | **121.762** | **60.626** | | **60.626** |
| | **TOTAL** | | 27.660.269 | 22.460.651 | | 7.108.592 | 705.206 | 682.034 | 1.387.239 |

## Annex 2 – OPTA IE Methodology

### Introduction

This document is a partial result of the work done under Sub-activity 2.1.2 – Defining Methodology. The purpose of this document is therefore, as set in the IR, to define data collection and evaluation tools to be used in the OPTA IE. It also details the evaluation procedure, target groups and expected correlation between findings, conclusions and recommendations.

The preparation work for this document included the reviewing of official programming documents of OPTA: the Operational Program, the Framework Document for Implementing OPTA and the Applicants Guide for OPTA. It also included the reviewing of other key documents, such as the Procedures Manual, the minutes and mandates of Working Groups etc.

An interview with the OPTA MA was also organised as part of a wider need-assessment exercise. The meeting discussed the draft of the Problem-Objectives Diagrams at both program level and PA level. The minute of the meeting is attached in Annex 3 (in Romanian).

One important result of the meeting was the setting of a tentative date for the kick-off meeting for OPTA IE for January 27th 2010. The suggestion of the OPTA MA was to have the kick-off within the Coordination Committee for Technical Assistance meeting, organised by the OPTA MA.

### Part I. Programme level evaluation

The evaluation at this level will follow the four main evaluation criteria set in the ToR: relevance, consistency, efficiency and effectiveness. To this purpose, the ToR suggested a number of key questions, which have been assumed by the Consultant in the IR.

### I.1 Program relevance

The overall question that needs to be answer in terms of relevance is **to what extent the initial OPTA programming is still relevant**? In order to respond, the following information is required:

- Info on when and how was OPTA programmed. Info on who was involved and how programming was influenced by the internal/external context;
- Info on the conclusions of the ex-ante evaluation. Assessment on how the ex-ante evaluation was taken into account;
- Info on how the OPTA indicators have been chosen. Assessment of their capacity to reflect OPTA expected results;
- Info on context change that has/may have influence OPTA's relevance. Focus on the two additions already approved by ACSI and the EC – support for National Growth Poles and support for increasing wages with 75% for all public staff involved in implementing SI in Romania.

Instruments:

- Document review:
  - Key documents required: NSRF, OPTA, Framework-Document for Implementing OPTA, Procedures Manual (2nd part, Section A.1 Programming), Ex-ante evaluation of OPTA (all documents available / already obtained from OPTA MA)
- Diagrams:

- Problems & Objectives Diagrams elaborated at program level, based on the official documents' review (already drafted - see Annex 2)

❖ Interviews:

- Interview with OPTA Managing Authority – Department of Technical Assistance within ACSI / purpose: overall understanding of the OPTA MA perspective on the relevance of the programme / discussion based on the draft Problems & Objectives Diagrams (1st interview already implemented with DTA Director in December 2009 )
- Interview with the Strategies Service within DTA – interview with the internal staff responsible for programming (3 persons) / purpose: detailed understanding on the programming exercise and SS perspective on the relevance question(s) / timing: January 2010
- Interview with ACIS Director / purpose: overall understanding of the perspective of ACSI on the role/expected results of OPTA / timing: January 2010

❖ Focus group:

- Focus group with ACIS staff, Consultant's experts, external experts / purpose: debate on key findings related to relevance / timing: March 2010

❖ In-depth analysis

- Structured and detailed presentation of the context change / purpose: preparation of a textbox on context-change & relevance of OPTA programming / timing: March 2010

❖ Indicator analysis

- Review of monitoring/performance indicators for OPTA / purpose: assessment of relevance for the general OPTA performance meant to support coordination and implementation of SI / timing: February 2010

### I.2 Program consistency and coherence

The second key question at OPTA level is **to what extent the consistency and coherence of OPTA is ensured?** The envisaged information that may generate valid findings for answering this question is the following:

❖ Info on the mandate of OPTA in providing technical assistance. Info on the mandate of all TA components of all the other OPs. Assessment of the degree of complementarity or overlapping in terms of mandate.

❖ Info on the practical implementation to-date of OPTA support in terms of technical assistance. Info on the practical implementation to-date of all TA components of all the other OPs. Assessment of the degree of complementarity or overlapping in terms of practical implementation.

❖ Info on the coordination mechanisms in place – mandate and implementation to-date. Assessment of the functionality of the existing coordination mechanisms.

❖ Info on the coherence of OPTA in terms of implementation with the Cohesion Policy and NSRF objectives

Instruments:

❖ Document review:

- Key documents required: NSRF, OPTA, Framework-Document for Implementing OPTA, Procedures Manual (1st part, Section II.3 Committees), mandate and

proceeding history for all coordination working groups related to OPTA's coordination with other OPs, proceedings of Monitoring Committee meetings (all documents available / already obtained from OPTA MA), SOP IEC, SOP Transport, SOP Environment, SOP HRD, SOP ACD, ROP, OPs Territorial Cooperation (OP, F-DI, Ex-ante evaluations, Annual Implementation Report 2008 for each OP) (all documents available)

- Interviews:
  - Interview with OPTA Managing Authority – Department of Technical Assistance within ACSI / purpose: overall understanding of the coordination mechanisms in terms of technical assistance, including the implementation of the Coordination Committee for Technical Assistance / timing: February 2010
  - Interviews (7) with the staff responsible with TA for each OP / purpose: detailed understanding on the practical implementation of AT for each OP / timing: February 2010
  - Interview with ACIS Director / purpose: overall understanding of the perspective of ACSI on the way technical assistance is expected to be implemented at NSRF level / timing: January 2010
- Focus group:
  - Focus group with ACIS staff, Consultant's experts, external experts / purpose: debate on key findings related to coordination among OPTA and TA from other OPs / timing: March 2010
- Indicator analysis:
  - Review of monitoring/performance indicators for the TA components of all other OP/ purpose: assessment of congruence of TA indicators / timing: February 2010

### I.3 Program efficiency

The third key question at program level is **how efficiently is OPTA being implemented?** The required information needed to articulate a documented answer is the following:

- Info on the institutional structure behind OPTA.
- Info on the management / implementation system of OPTA.
- Info on the staff adequacy, motivation & skill level.
- Info on the internal procedures of OPTA.
- Info on monitoring and coordination of resources for OPTA's implementation.

Instruments:

- Document review:
  - Key documents required: NSRF, OPTA, Framework-Document for Implementing OPTA, Procedures Manual, Ex-ante evaluation of OPTA, proceedings of Monitoring Committee meetings (all documents available / already obtained from OPTA MA)
- Diagrams:
  - Problems & Objectives Diagrams elaborated at program level, based on the official documents' review (already drafted - see Annex 2)
  - Decisions Diagrams for the critical implementation processes

- Interviews:
  - Interview with OPTA Managing Authority – Department of Technical Assistance within ACSI / purpose: overall understanding of the OPTA MA use of resources (human / material / financial), implementation system & decision making process / discussion starting from the draft Problems & Objectives Diagrams (1st interview already implemented with DTA Director in December 2009)
  - Interview with the Strategies Service within DTA / purpose: detailed understanding on how OPTA resources (human / material / financial) are used, including work procedures, work burden, work conditions, staff motivation within the SS / timing: January 2010
  - Interview with the Financial Management Service within DTA / purpose: detailed understanding on how OPTA resources (human / material / financial) are used, including work procedures, work burden, work conditions, staff motivation within the FMS / timing: February 2010
  - Interview with the Implementation Service within DTA / purpose: detailed understanding on how OPTA resources (human / material / financial) are used, including work procedures, work burden, work conditions, staff motivation within the IS / timing: February 2010
  - Interview with ACIS Director / purpose: overall understanding of the perspective of ACSI on the use of resources and implementation efficiency of OPTA / timing: January 2010
- Focus group:
  - Focus group with ACIS staff, Consultant's experts, external experts / purpose: qualitative debate on key findings related to OPTA overall program efficiency related to implementation procedures and mechanisms / timing: March 2010
- In-depth analysis
  - Structured and detailed presentation of HR situation in OPTA MA, as a determinant for program efficiency / purpose: preparation of a textbox on HR in OPTA implementation / timing: March 2010
- Indicator analysis
  - Quantitative review of OPTA activity – aiming at calculating ratios among Objectives met due to OPTA & Actual Activities & Actual Resource Expenditure / purpose: assessment of program efficiency in the use of resources vis-a-vis activities delivered and attainment of objectives / timing: February 2010

### I.4 Program effectiveness

The forth and last key question at program level, given the early stage of OPTA implementation, is **to what extent does the achieved progress create the premises for reaching the planned objectives**? The following information is crucial in order to provide a documented answer:

- Info on the submitted / contracted / implemented projects at cut-off date;
- Info on the monitoring / performance indicators at cut-off date;
- Info on project pipeline – plans for future submission / perspectives;
- Info on the main factors that have prevented faster/better implementation.

Instruments:

- Document review:

- Key documents required: NSRF, OPTA, Framework-Document for Implementing OPTA, Procedures Manual, Ex-ante evaluation of OPTA, proceedings of Monitoring Committee meetings (all documents available / already obtained from OPTA MA)

❖ Diagrams:

- Problems & Objectives Diagrams elaborated at program level, based on the official documents' review (already drafted - see Annex 2)
- Effects Diagrams depicting the outputs of OPTA implementation, including direct results, short-term outcomes linked to these results and the longer term (direct and indirect) existent/potential impact;

❖ Interviews:

- Interview with OPTA Managing Authority – Department of Technical Assistance within ACSI / purpose: overall understanding of the OPTA MA use of resources (human / material / financial), implementation system & decision making process / discussion starting from the draft Problems & Objectives Diagrams (1st interview already implemented with DTA Director in December 2009 / 2nd interview might be needed in March 2010)
- Interview with the Strategies Service within DTA / purpose: detailed understanding on the main hindrances in reaching results at the level of SS / timing: January 2010
- Interview with the Financial Management Service within DTA / purpose: detailed understanding on the main hindrances in reaching results at the level of FMS / timing: February 2010
- Interview with the Implementation Service within DTA / purpose: detailed understanding on the main hindrances in reaching results at the level of IS / timing: February 2010
- Interview with ACIS Director / purpose: overall understanding of the perspective of ACSI on the extent to which OPTA has attained its planned objectives and on the perspective for the remaining of the financial perspective / timing: January 2010

❖ Focus group:

- Focus group with ACIS staff (represented both as beneficiary and as management), Consultant's experts, external experts / purpose: qualitative debate on OPTA achieved progress and its perspectives / timing: March 2010

❖ In-depth analysis

- Structured and detailed presentation of main hindrances preventing faster/better progress of OPTA implementation / purpose: preparation of a textbox on factors contributing to the difference between the planned and real performance in OPTA implementation / timing: March 2010

❖ Indicator analysis

- Quantitative review of OPTA progress – aiming at calculating % of objectives reached and perspectives for the future progress / timing: February 2010

## Part II. Priority Axis evaluation

### II.1 PA 1 Support for the structural instruments implementation and programmes coordination

### II.1.1 KAI 1.1 Support to the management and implementation of the Structural Instruments

The interventions under this KAI aim at **ensuring common standards, instruments and information necessary for an efficient process of structural instruments administration and implementation**. Moreover, a special attention was considered necessary in the programming phase for **horizontal themes such as public procurement and state aid**, in order to ensure the implementation of EU and national regulations (OPTA p.44, Framework Document for Implementing OPTA p.7, Applicant Guide p.7). Moreover, this KAI was aimed at supporting the organising of surveys, elaboration of studies on the implementation of the SI, and publishing best practice guides. Organising events on key horizontal themes was also subject to the support of this KAI. Assistance for the National Growth Poles coordinators is another topic of KAI 1.1. Last but not least, this KAI is supporting the partial funding of the staff expenditure for the public institutions involved in coordination, management and control of SI. Therefore the evaluation will aim to find the following:

- Info on the progress of ensuring common standards, instruments and information;
- Info on the support provided for horizontal themes;
- Info on the progress of delivering support for the other planned interventions within the KAI, as mentioned above.

Instruments:

- Document review:
    - Key documents required: OPTA, Framework-Document for Implementing OPTA, Procedures Manual, Ex-ante evaluation of OPTA, proceedings of Monitoring Committee meetings (all documents available / already obtained from OPTA MA)
- Diagrams:
    - Problems & Objectives Diagrams elaborated at PA 1 level, based on the official documents' review (already drafted - see Annex 2)
- Interviews:
    - Interview with OPTA Managing Authority – Department of Technical Assistance within ACSI / purpose: status of the projects within KAI 1.1 – progress to-date in the view of the MA, understanding the relation with eligible beneficiaries / timing: 1st half of February 2010
    - Interviews with all eligible beneficiaries (at least one interview per each of the [category of] beneficiaries / at least three interviews with eligible beneficiaries that have not applied yet for support) / purpose: detailed understanding on the implementation of projects submitted (if the case) & on the reasons for not submitting projects (if the case) – see Eligible Beneficiary Interview Guide – Annex 4 / timing: 2nd half of February 2010
        - ACSI Director/Management
        - ACSI, Department for Technical Assistance (as eligible beneficiary)
        - ACSI, Department for Analysis and Programming
        - ACSI, Department for System Coordination

- ACSI, Monitoring Department
- ACSI, Evaluation Central Unit
- Certification and Payment Authority
- Audit Authority
- at least one of the MAs for other OPs than OPTA
- at least one of the IBs within other OPs
- at least one RDA responsible with the coordination of a National Growth Pole
- at least one of the public institutions receiving partial funding for supplementing staff expenditure related to SI coordination & implementation.

  - Interview with at least one contractor for the implemented projects (or on-going) / purpose: understanding the potential influence of contractual arrangements on final implementation / timing: 2nd half of February 2010

- Focus group:

  - Focus group with RDA representatives, MA representatives, consultant's experts / purpose: debate on the implementation, needs and objectives of assistance for supporting the National Growth Poles coordination ACIS / timing: March 2010

- In-depth analysis

  - Structured and detailed presentation of the OPTA's role in ensuring common standards / purpose: understanding challenges and implementation progress / timing: March 2010

### II.1.2 KAI 1.2 Evaluation

This KAI aims at **developing a common evaluation culture in the system of managing SI** by training and networking the staff responsible with evaluation in the institutions involved, as well as by continuously improving evaluation reports in a transparent way (by publishing). Moreover, KAI 1.2 supports the **evaluation process of OPTA, NSRF and NDP interventions** (OPTA p.45, Framework Document for Implementing OPTA p.13-14, Applicant Guide p.7-8). For the purpose of the OPTA Interim Evaluation, the following information will be sought:

- Info on the progress in reaching a common evaluation culture and on the instruments financed through OPTA in order to reach this objective;
- Info on the progress in supporting the evaluation process of OPTA, NSRF and NDP interventions.

Instruments:

- Document review:

  - Key documents required: OPTA, Framework-Document for Implementing OPTA, Procedures Manual, Ex-ante evaluation of OPTA, proceedings of Monitoring Committee meetings, proceedings of Evaluation Groups, OPTA Multiannual evaluation plan 2007-2013, OPTA Annual evaluation plan 2009, (all documents available / already obtained from OPTA MA)

- Diagrams:

  - Problems & Objectives Diagrams elaborated at PA 1 level, based on the official documents' review (already drafted - see Annex 2)

- Interviews:

- Interview with OPTA Managing Authority – Department of Technical Assistance within ACSI / purpose: status of the projects within KAI 1.2 – progress to-date in the view of the MA, understanding the relation with the Evaluation Central Unit, as single beneficiary of this KAI / timing: 1st half of February 2010
- Interview with the single eligible beneficiary – Evaluation Central Unit within ACSI / purpose: detailed understanding on the implementation of projects submitted (if the case) & on the reasons for not submitting projects (if the case) – see Eligible Beneficiary Interview Guide – Annex 4 / timing: 2nd half of February 2010
- Interview with at least one contractor for the implemented projects (or on-going) / purpose: understanding the potential influence of contractual arrangements on final implementation / timing: 2nd half of February 2010
- Interviews with at least two members of the Evaluation Working Group outside ACSI / purpose: assessing the perception of members on the efficiency of the Working Group and the impact of OPTA support for its activities

❖ Focus group:

- Focus group with evaluation experts active in the field of SI (both from public and private sectors) / purpose: debate on the challenges and progress towards reaching a common and improved evaluation culture / timing: March 2010

❖ Indicator analysis

- Quantitative review of OPTA progress towards developing a common evaluation culture – analysis of available indicators & measurement tools / timing: 2nd half of February 2010

### II.1.3 KAI 1.3 Horizontal training in the field of the management of programmes/project

The objective of this KAI is to support the Training Development and Coordination Unit (TDCU) within the Implementation Service / Technical Assistance Department of ACSI to provide **horizontal training for all staff involved in the management and implementation of SI.** This KAI will also help TDCU with planning activities (Training Plan), networking and coordination (Training Working Group) and specific training for the coordination level within ACSI. (OPTA pg.46, Framework Document for Implementing OPTA pg.18-19, Applicant's Guide pg.8). Therefore the following will be looked for:

❖ Info on the training activities supported by OPTA;

❖ Info on the impact of training activities assisted by OPTA on staff receiving such training;

❖ Info on the institutional progress of TDCU to act as a training planning / coordination hub, based on the support received from OPTA.

Instruments:

❖ Document review:

- Key documents required: OPTA, Framework-Document for Implementing OPTA, Procedures Manual, Ex-ante evaluation of OPTA, proceedings of Monitoring Committee meetings, proceedings of Training Working Groups (all documents available / already obtained from OPTA MA) / OPTA multiannual plan 2007-2013 / annual training plan 2009 – to be obtained

❖ Diagrams:

- Problems & Objectives Diagrams elaborated at PA 1 level, based on the official

documents' review (already drafted - see Annex 2)

- Interviews:
  - Interview with OPTA Managing Authority – Department of Technical Assistance within ACSI / purpose: status of the projects within KAI 1.3 – progress to-date in the view of the MA, understanding the relation with the TDCU, CPA and AA as the only beneficiaries of this KAI / timing: 1st half of February 2010
  - Interview with the beneficiaries / purpose: detailed understanding on the implementation of projects submitted (if the case) & on the reasons for not submitting projects (if the case) – see Eligible Beneficiary Interview Guide – Annex 4 / timing: 2nd half of February 2010
    - TDCU – Implementation Service / Department of Technical Assistance within ACSI (as beneficiary)
    - Certification and Payment Authority
    - Audit Authority
  - Interview with at least one contractor for the implemented projects (or on-going) / purpose: understanding the potential influence of contractual arrangements on final implementation, checking training evaluation reports / timing: 2nd half of February 2010
  - Interviews with at least two members of the Training Working Group outside ACSI / purpose: assessing the perception of members on the efficiency of the Working Group and the impact of OPTA support for its activities

### II.1.4 KAI 1.4 Functioning of OPTA MA, ACIS, ACP and AA

This KAI is meant for assisting the **functioning of the coordination structures** which do not receive technical assistance support through any other operational programme. The only beneficiaries of this KAI are thus ACSI, the Certification and Payment Authority and the Audit Authority, which are receiving support for contractual staff hiring and covering of eligible administrative expenditure. Thus, KAI 1.4 provides assistance for the logistics implied by the reunions of the National Coordination Committee and for its subcommittees/groups. In addition, this KAI provides support for the implementation of OPTA, including **assistance for MA OPTA** in organising the Monitoring Committee and other coordination meetings/events. (OPTA p.47-48, Framework Document for Implementing OPTA p.23-24, Applicant Guide p.8). For evaluation purposes, the following is required:

- Info on the support provided for coordination structures (incl. the NCC and other coordination groups) – type of support given, cost and results;
- Info on the assistance given to OPTA MA – type of assistance provided and cost.

Instruments:

- Document review:
  - Key documents required: OPTA, Framework-Document for Implementing OPTA, Procedures Manual, Ex-ante evaluation of OPTA, proceedings of Monitoring Committee meetings, (all documents available / already obtained from OPTA MA) / proceedings of CNC and other coordination events – to be obtained from OPTA MA/ACSI, depending on their relevance for the use of OPTA support
- Interviews:
  - Interview with OPTA Managing Authority – Department of Technical Assistance

within ACSI / purpose: status of the projects within KAI 1.4 – progress to-date in the view of the MA, understanding the relation with the ACSI, CPA and AA as the only beneficiaries of this KAI / timing: 1st half of February 2010

- Interview with the beneficiaries / purpose: detailed understanding on the implementation of projects submitted (if the case) & on the reasons for not submitting projects (if the case) – see Eligible Beneficiary Interview Guide – Annex 4 / timing: 2nd half of February 2010
  - ACSI Director/ Management (as beneficiary)
  - MA OPTA / Department for Technical Assistance within ACSI (as beneficiary)
  - Certification and Payment Authority
  - Audit Authority
- Interview with at least one contractor for the implemented projects (or on-going) / purpose: understanding the potential influence of contractual arrangements on final implementation / timing: 2nd half of February 2010

❖ Focus group:

- Focus group with ACSI management representatives / purpose: debate on the challenges and progress towards coordinating interventions from SI / timing: March 2010

## II.2 PA 2 Further development and support for the functioning of the Single Management Information System

### II.2.1 KAI 2.1 Development and maintenance of the SMIS and its digital network

This KAI will provide assistance under the coordination of SMIS Central Unit for the **development of SMIS software**, including the elaboration/update of user & procedure guides etc. Moreover, under KAI 2.1, the **SMIS maintenance** is covered throughout the entire period of OPTA implementation. (OPTA p.51-52, Framework Document for Implementing OPTA p.29, Applicant Guide p.9). The evaluation design assumes the collection of the following:

❖ Info on the progress to-date in SMIS development;

❖ Info on the needs that OPTA has yet to tackle regarding the SMIS development and operationalization (short/medium/long term).

Instruments:

❖ Document review:

- Key documents required: OPTA, Framework-Document for Implementing OPTA, Procedures Manual, Ex-ante evaluation of OPTA, proceedings of Monitoring Committee meetings (all documents available / already obtained from OPTA MA) / multiannual SMIS development plan (if exists – to be obtained from OPTA MA)

❖ Diagrams:

- Problems & Objectives Diagrams elaborated at PA 2 level, based on the official documents' review (already drafted - see Annex 2)

❖ Interviews:

- Interview with OPTA Managing Authority – Department of Technical Assistance within ACSI / purpose: status of the projects within KAI 2.1 – progress to-date in

the view of the MA, understanding the relation with SMIS Central Unit – Department for System Coordination within ACSI / timing: 1st half of February 2010

- Interviews with the single eligible beneficiary - Department for System Coordination within ACSI / purpose: detailed understanding on the implementation of projects submitted (if the case) & on the reasons for not submitting projects (if the case) – see Eligible Beneficiary Interview Guide – Annex 4 / timing: 1st half of February 2010
- Interview with the initial contractor for designing/implementing SMIS / purpose: understanding the system limitations and strong points / timing: 1st half of February 2010
- Interview with at least one contractor for the implemented projects (or on-going) / purpose: understanding the potential influence of contractual arrangements on final implementation / timing: 2nd half of February 2010

❖ Focus group:

- Focus group with SMIS users outside ACSI / purpose: understanding users' perspective on SMIS and its development plans / timing: 2nd half of February 2010

❖ In-depth analysis

- Structured and detailed presentation of the SMIS development plans / purpose: understanding challenges and implementation progress / timing: 1st half of March 2010

❖ Indicator analysis

- Quantitative review of SMIS development / purpose: tracking the no. of SMIS versions developed & no. of SMIS related applications / timing: 1st half of February 2010

### II.2.2 KAI 2.2 Functioning of the SMIS Central Unit and its coordination network

This KAI aims at providing support for the **functioning of the SMIS Central Unit and its coordination network**, including **hiring/training specialised contractual staff**, as well ensuring the **functioning of a help-desk** facility within the SMIS Central Unit. (OPTA p.52, Framework Document for Implementing OPTA p.33, Applicant Guide p.9). Therefore, the following information is useful for the evaluation:

❖ Info on how suitable is the OPTA support for recruiting on a contractual basis and training the internal staff needed for managing the SMIS service – both for SMIS Central Unit and for its coordination network;

❖ Info on the functioning of a SMIS help-desk within the SMIS Central Unit and on how OPTA assisted it.

Instruments:

❖ Document review:

- Key documents required: OPTA, Framework-Document for Implementing OPTA, Procedures Manual, Ex-ante evaluation of OPTA, proceedings of Monitoring Committee meetings (all documents available / already obtained from OPTA MA) / multiannual SMIS development plan (if exists – to be obtained from OPTA MA)

❖ Diagrams:

- Problems & Objectives Diagrams elaborated at PA 2 level, based on the official documents' review (already drafted - see Annex 2)

❖ Interviews:

- Interview with OPTA Managing Authority – Department of Technical Assistance within ACSI / purpose: status of the projects within KAI 2.2 – progress to-date in the view of the MA, understanding the relation with SMIS Central Unit – Department for System Coordination within ACSI / timing: 1st half of February 2010
- Interviews with the single eligible beneficiary - Department for System Coordination within ACSI / purpose: detailed understanding on the implementation of projects submitted (if the case) & on the reasons for not submitting projects (if the case) – see Eligible Beneficiary Interview Guide – Annex 4 / timing: 1st half of February 2010
- Interview with at least one contractor for the implemented projects (or on-going) / purpose: understanding the potential influence of contractual arrangements on final implementation / timing: 2nd half of February 2010
- Interview with at least one contractual staff hired with OPTA support – ideally working on the help-desk / purpose: understanding the support provided by OPTA for hiring contractual staff / timing: 1st half of February 2010
- Interview with at least three SMIS users outside ACSI / purpose: assessing the use of the help-desk / timing: 2nd half of February 2010

❖ Indicator analysis

- Quantitative review of staff hiring and help-desk activity / purpose: tracking the no. of additional staff hired with OPTA support & no. of help-desk demands / timing: 1st half of February 2010.

### II.2.3 KAI 2.3 Training of the users, distribution of procedural guides and user manuals, and information activities related to SMIS

This KAI has the goal of **training SMIS users** and providing them **manuals and other guides**. A series of **communication events** are also supported through KAI 2.3. (OPTA p.52-53, Framework Document for Implementing OPTA p.36-37, Applicant Guide p.10). The following information is needed for the evaluation:

❖ Info on the progress in SMIS users training – themes / levels / ToTs;

❖ Info on the elaboration and updating of user manuals / guides / other materials;

❖ Info on the organising of communication / information events organised with OPTA support.

Instruments:

❖ Document review:

- Key documents required: OPTA, Framework-Document for Implementing OPTA, Procedures Manual, Ex-ante evaluation of OPTA, proceedings of Monitoring Committee meetings (all documents available / already obtained from OPTA MA) / multiannual SMIS training plan (to be obtained from OPTA MA)

❖ Diagrams:

- Problems & Objectives Diagrams elaborated at PA 2 level, based on the official documents' review (already drafted - see Annex 2)

- Interviews:
  - Interview with OPTA Managing Authority – Department of Technical Assistance within ACSI / purpose: status of the projects within KAI 2.3 – progress to-date in the view of the MA, understanding the relation with SMIS Central Unit – Department for System Coordination within ACSI / timing: 1st half of February 2010
  - Interviews with the single eligible beneficiary - Department for System Coordination within ACSI / purpose: detailed understanding on the implementation of projects submitted (if the case) & on the reasons for not submitting projects (if the case) – see Eligible Beneficiary Interview Guide – Annex 4 / timing: 1st half of February 2010
  - Interview with at least one contractor for the implemented projects (or on-going) / purpose: understanding the potential influence of contractual arrangements on final implementation, checking the training evaluation feedback / timing: 2nd half of February 2010
  - Interview with at least five SMIS users outside ACSI benefiting from SMIS training under OPTA support / purpose: assessing the training funded through OPTA / timing: 2nd half of February 2010
- Indicator analysis
  - Quantitative review of training / purpose: tracking the no. training days & participants / timing: 1st half of February 2010

### II.2.4 KAI 2.4 Supply of IT&C goods and services

This KAI aims at supporting the **procurement and implementation of ITC equipment and services needed for correct SMIS functioning**. (OPTA p.53-54, Framework Document for Implementing OPTA p.40-41, Applicant Guide p.10). The required information is the following:

- Info on the progress in the procurement of ITC equipment, licenses and services to-date;
- Info on the procurement plan for ensuring correct functioning of the SMIS for the remaining of the implementation period.

Instruments:

- Document review:
  - Key documents required: OPTA, Framework-Document for Implementing OPTA, Procedures Manual, Ex-ante evaluation of OPTA, proceedings of Monitoring Committee meetings (all documents available / already obtained from OPTA MA) / multiannual SMIS procurement plan (to be obtained from OPTA MA – if exists)
- Interviews:
  - Interview with OPTA Managing Authority – Department of Technical Assistance within ACSI / purpose: status of the projects within KAI 2.4 – progress to-date in the view of the MA, understanding the relation with eligible beneficiaries / timing: 1st half of February 2010
  - Interviews with eligible beneficiaries (at least one interview per [category of] beneficiaries) / purpose: detailed understanding on the implementation of projects submitted (if the case) & on the reasons for not submitting projects (if the case) – see Eligible Beneficiary Interview Guide – Annex 4 / timing: 1st half of February 2010

- Department for System Coordination within ACSI (as beneficiary)
- Certification and Payment Authority
- Audit Authority
- Management Authorities of other OPs than OPTA MA
- Intermediate Bodies within OPs

  - Interview with at least one contractor for the implemented projects (or on-going) / purpose: understanding the potential influence of contractual arrangements on final implementation, checking the training evaluation feedback / timing: 2nd half of February 2010

❖ Indicator analysis

  - Quantitative review of IT equipment / purpose: tracking the no. of SMIS structures created / updated in terms of hardware equipment and licenses // timing: 1st half of February 2010

## II.3 PA 3 Dissemination of information and promotion of Structural Instruments

### II.3.1 KAI 3.1 Dissemination of general information and publicity activities regarding the Structural Instruments allocated to Romania

The purpose of this KAI is to assist the **implementation of the Communication Action Plan** developed by ACSI. This includes launching **information campaigns** based on sociological research, conducting **opinion polls**, **advertising and dissemination**, organising **campaigns and events**, preparing **publication materials**, **assessing impact and analysing best ways for promotion and advertising**. (OPTA p.56, Framework Document for Implementing OPTA p.45, Applicant Guide p.11). Thus, the following would be necessary for conducting a proper evaluation:

❖ Info on the information/communication tools used so far regarding SI, based on OPTA support;

❖ Info on challenges faced in the implementation of the Communication Action Plan, and the way in which OPTA may respond through assistance.

Instruments:

❖ Document review:

  - Key documents required: OPTA, Framework-Document for Implementing OPTA, Procedures Manual, Ex-ante evaluation of OPTA, proceedings of Monitoring Committee meetings, proceedings of Communication Working Groups (all documents available / already obtained from OPTA MA) / National Communication Strategy for SI 2007-2013, Communication Action Plan 2007-2013, communication annual plan 2009 (if exists – to be obtained from OPTA MA)

❖ Diagrams:

  - Problems & Objectives Diagrams elaborated at PA 3 level, based on the official documents' review (already drafted - see Annex 2)

❖ Interviews:

  - Interview with OPTA Managing Authority – Department of Technical Assistance within ACSI / purpose: status of the projects within KAI 3.1 – progress to-date in

the view of the MA, understanding the relation with the Information Compartment – Department for System Coordination within ACSI, as single beneficiary of this KAI / timing: 1st half of February 2010

- Interview with the single eligible beneficiary – Information Compartment – Department for System Coordination within ACSI / purpose: detailed understanding on the implementation of projects submitted (if the case) & on the reasons for not submitting projects (if the case) – see Eligible Beneficiary Interview Guide – Annex 4 / timing: 2nd half of February 2010
- Interview with at least one contractor for the implemented projects (or on-going) / purpose: understanding the potential influence of contractual arrangements on final implementation / timing: 2nd half of February 2010
- Interviews with at least two of the Communication Working Group from outside ACSI / purpose: assessing the perception of members on the efficiency of the Working Group and the impact of OPTA support for its activities
- Interviews with at least three independent PR/media experts in SI / purpose: assessing the perception of specialists on the current programming approach and results achieved to-date

❖ Indicator analysis

- Quantitative review of OPTA information/communication effort / purpose: tracking the no. of implemented studies, events, advertising materials, mass-media campaigns / timing: 2nd half of February 2010

### II.3.2 KAI 3.2 Operation of the Structural Instruments Information Centre

This KAI aims at providing resources for **developing and running an Information Centre** on SI, including a dedicated website and a call centre, and a network of regional/local information points. (OPTA p.56-57, Framework Document for Implementing OPTA p.49, Applicant Guide p.12). The following information is required for a robust evaluation:

❖ Info on the progress in implementation of the Information Centre for the Structural Instruments;

❖ Info on alternatives for implementing the Information Centre in the near future.

Instruments:

❖ Document review:

- Key documents required: OPTA, Framework-Document for Implementing OPTA, Procedures Manual, Ex-ante evaluation of OPTA, proceedings of Monitoring Committee meetings, proceedings of Communication Working Groups (all documents available / already obtained from OPTA MA) / National Communication Strategy for SI 2007-2013, Communication Action Plan 2007-2013, communication annual plan 2009 (if exists – to be obtained from OPTA MA)

❖ Interviews:

- Interview with OPTA Managing Authority – Department of Technical Assistance within ACSI / purpose: status of the projects within KAI 3.2 – progress to-date in the view of the MA, understanding the relation with the Information Compartment – Department for System Coordination within ACSI, as single beneficiary of this KAI / timing: 1st half of February 2010
- Interview with the single eligible beneficiary – Information Compartment –

Department for System Coordination within ACSI / purpose: detailed understanding on the implementation of projects submitted (if the case) & on the reasons for not submitting projects (if the case) – see Eligible Beneficiary Interview Guide – Annex 4 / timing: 2nd half of February 2010

- Interview with ACSI director/management // purpose: understanding the strategic view of ACSI related to the Information Centre implementation / timing: 1st half of 2010
- Interview with at least one contractor for the implemented projects (or on-going) / purpose: understanding the potential influence of contractual arrangements on final implementation / timing: 2nd half of February 2010
- Interviews with at least two members of the Communication Working Group from outside ACSI / purpose: assessing the perception of members on the efficiency of the Working Group and the impact of OPTA support for its activities

❖ Focus group:

- Focus group with PR experts, multiplicators of European Information, media representatives responsible with European information / purpose: debate on the challenges towards the creation of an Information Centre for SI / timing: March 2010

❖ In-depth analysis

- Structured and detailed investigation of possible paths to follow regarding the Information Centre / purpose: analysis of best practices in other member states and in Romania, including the experience of the Information Centre of the EC Delegation in Romania and of the European Information Multiplicators Network (2000-2006). Main issues of the analysis: web-site - analysis of demographic and professional segmentation of users, physical centre – analysis of demographic and professional segmentation of visitors and their demand, intranet facility – analysis of usage and results, multilevel coordination - central/regional/local; NSRF level/MA level/IB level, institutional setting // timing: 1st half of March 2010.

**ANNEXES**

## Annex 1 – Evaluation Questions as proposed in IR

### I Programme level

| Evaluation Question |
|---|
| **A. To what extent is the initial OPTA programming still relevant?** |
| 1. Are the baseline analyses and the 2004-2007 indicators set still reflecting the intervention needs? What are the important changes that have occurred between the programming phase and what are the expected ones? |
| 2. To what extent do the changes in context affect the OPTA content? |
| 3. Are the operations under the Priority Axes and subsequent KAIs still relevant? |
| **B. Is the consistency and coherence of the OPTA ensured?** |
| 4. To what extent is there complementarity between the other OPs technical assistance priority axes and the OPTA? |
| 5. To what extent are the OPTA operations consistent with European and national developments in the field? |
| **C. How efficiently is the OPTA being implemented?** |
| 6. Is the management/implementation system functional and does it operate efficiently? Is the established institutional structure adequate? Are the human resources well trained? |
| 7. To what extent does the Monitoring Committee contribute to increasing the OPTA implementation efficiency? |
| **D. To what extent does the achieved progress create the premises for reaching the OPTA objectives?** |
| 8. What is the actual implementation progress? |
| 9. What is the difference between the planned and real performance? |
| 10. What are the factors contributing to the difference between the planned and real performance? |

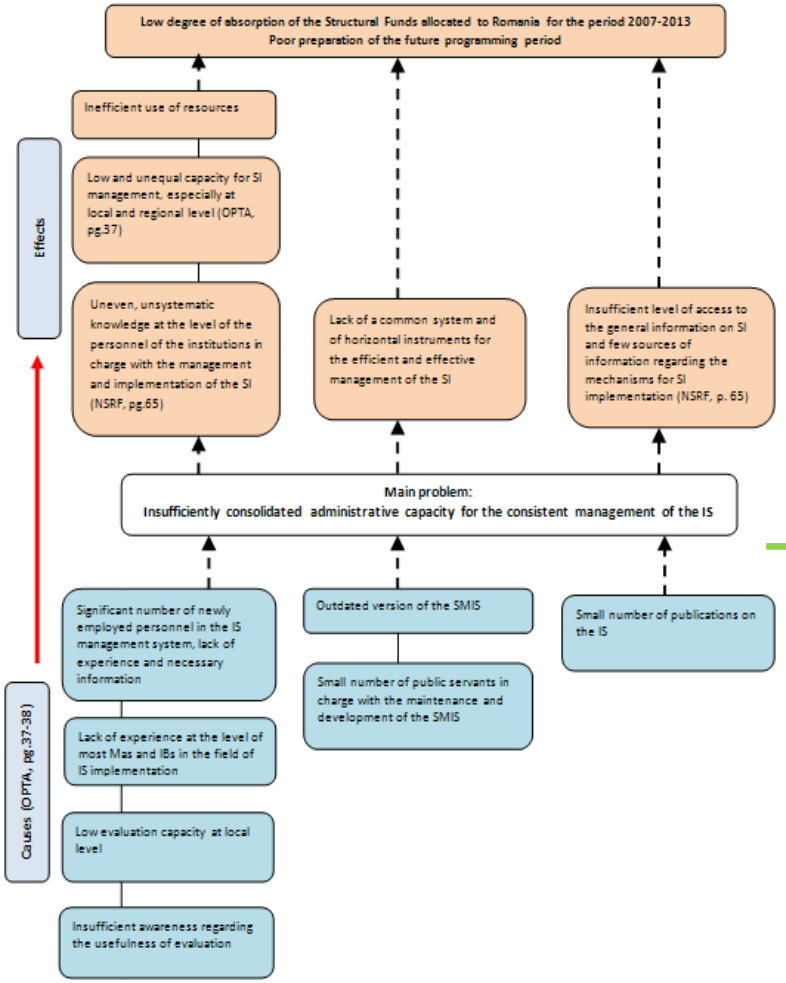
### II PA/KAI level

| Evaluation question |
|---|
| **Priority Axis 1 – Support for the structural instruments implementation and programmes coordination** |
| **Key Area of Intervention 1.1** |
| • What is the progress in ensuring common standards, instruments and information necessary for an efficient process of structural instruments administration and implementation? |
| • What is the modality to support the horizontal themes regarding public tenders and state aid? |
| **Key Area of Intervention 1.2** |
| • How can the development of a 'common evaluation culture' be supported within the administrative system for EU funds? |
| • How can the evaluation process related to the interventions in OP TA, NSRF and NDP be supported? |
| **Key Area of Intervention 1.3** |
| • How does the activity of UDCF unroll in order to coordinate and promote the formation process for the structural instruments administration? |
| **Key Area of Intervention 1.4** |
| • How does the support unroll for the functioning of coordination structures which are not being supported by technical assistance from the other operational programs (ACSI, ACP, and AA), as well as for the functioning of the structures involved in the administration process for OPTA? |
| **Priority Axis 2 – Further development and support for the functioning of the Single Management Information System?** |
| **Key area of intervention 2.1** |
| • Which is the progress in SMIS development?<br>• Which are the long-term needs that OP TA has to tackle regarding the SMIS development and operationalisation? |
| **Key area of intervention 2.2** |

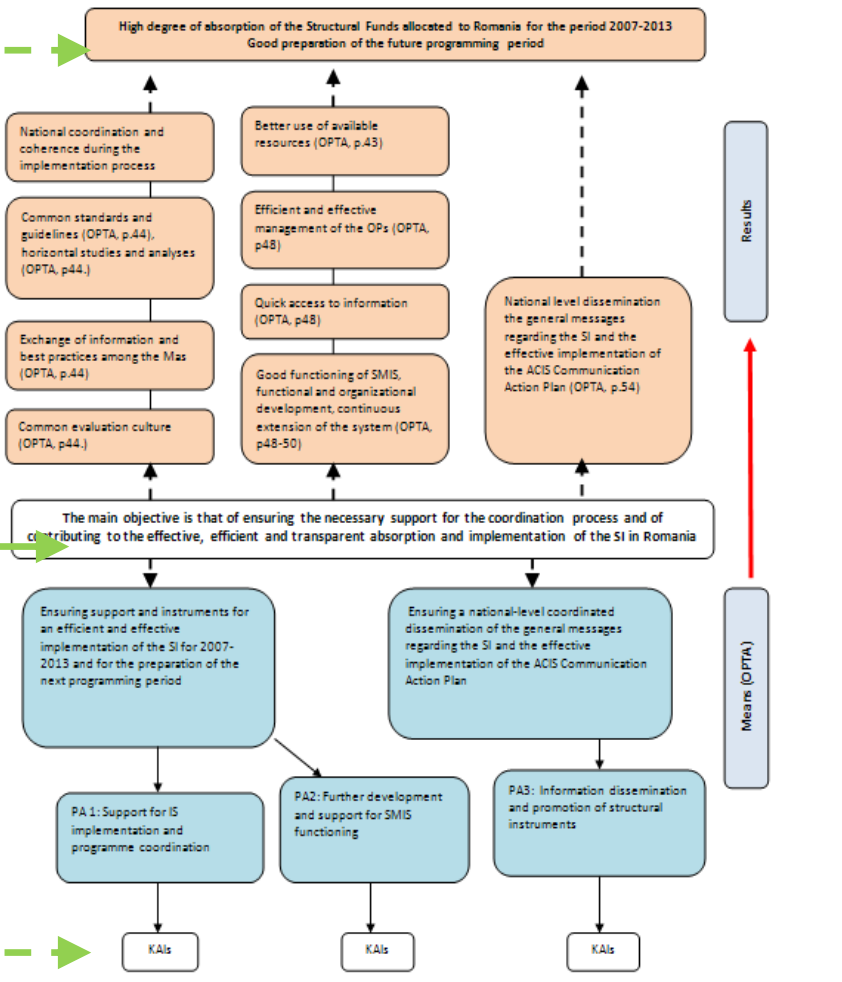
| Evaluation question |
| --- |
| • How suitable is at central and regional level the support in recruiting and maintaining the personnel with responsibilities in managing, administrating and insurance the necessary SMIS service? |
| • How does CU SMIS help-desk work? |
| **Key area of intervention 2.3** |
| • Which is the progress in SMIS users training? |
| • How to manage the communication/information process? |
| **Key area of intervention 2.4.** |
| • Which is the degree of endowment with equipment and IT&C licenses as well as the necessary services provided for the correct functioning of the SMIS? |
| **Priority Axis 3 – Dissemination of information and promotion of Structural Instruments** |
| **Key area of intervention 3.1** |
| • How are the general messages regarding structural instruments and the implementation of the ACSI Action Plan for communication according to National Communication Strategy for Structural Instruments disseminated at the national level? |
| **Key area of intervention 3.2** |
| • Which is the progress in implementation of the Information Centre for the Structural Instruments?<br>• Are there any alternatives for attaining the objective of PA 3? |

## Annex 2 – Problems and Objectives Diagrams

***OPTA – Problems diagram***



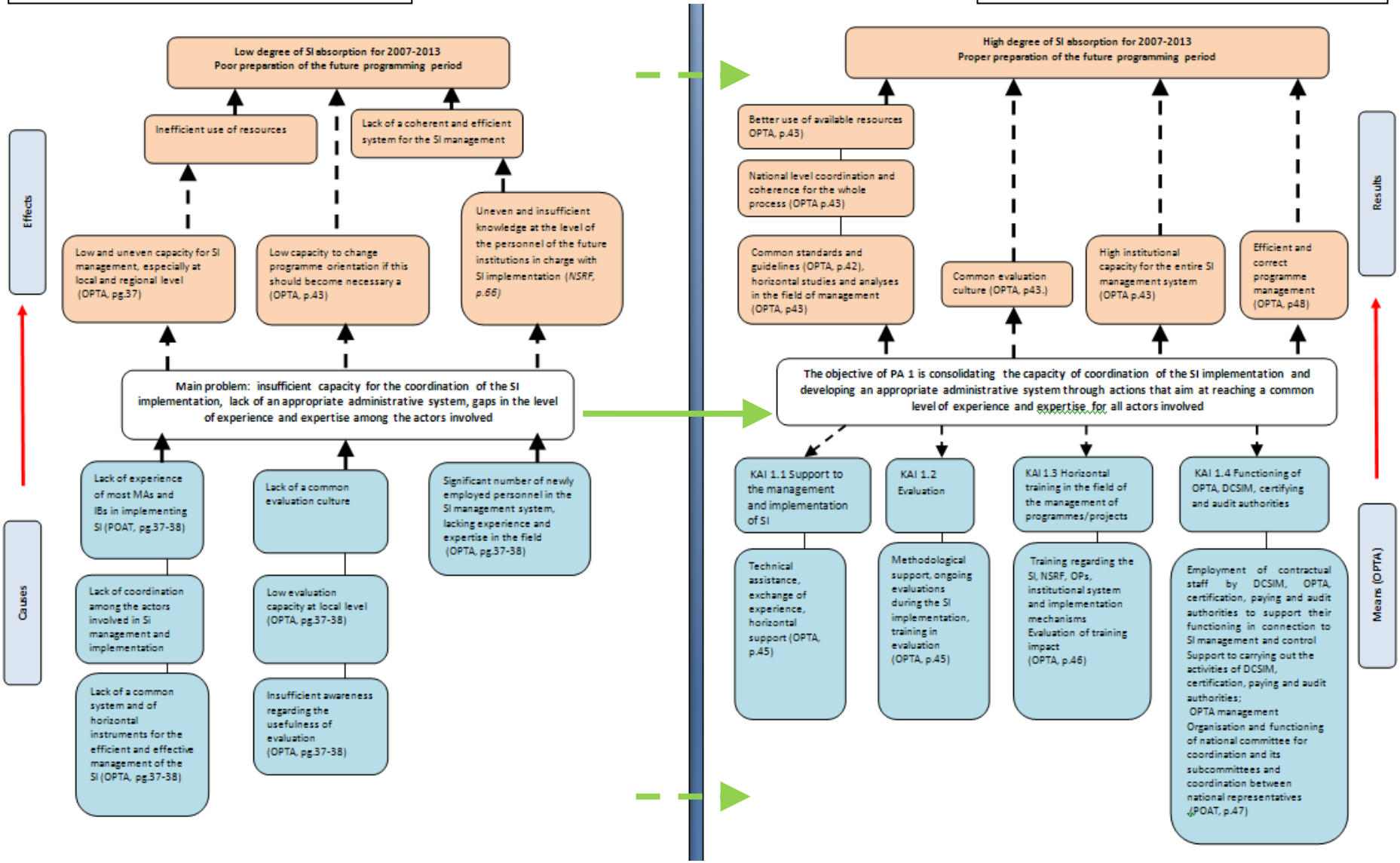

***OPTA – Objectives diagram***



**OPTA Axis 1 – Problems diagram**



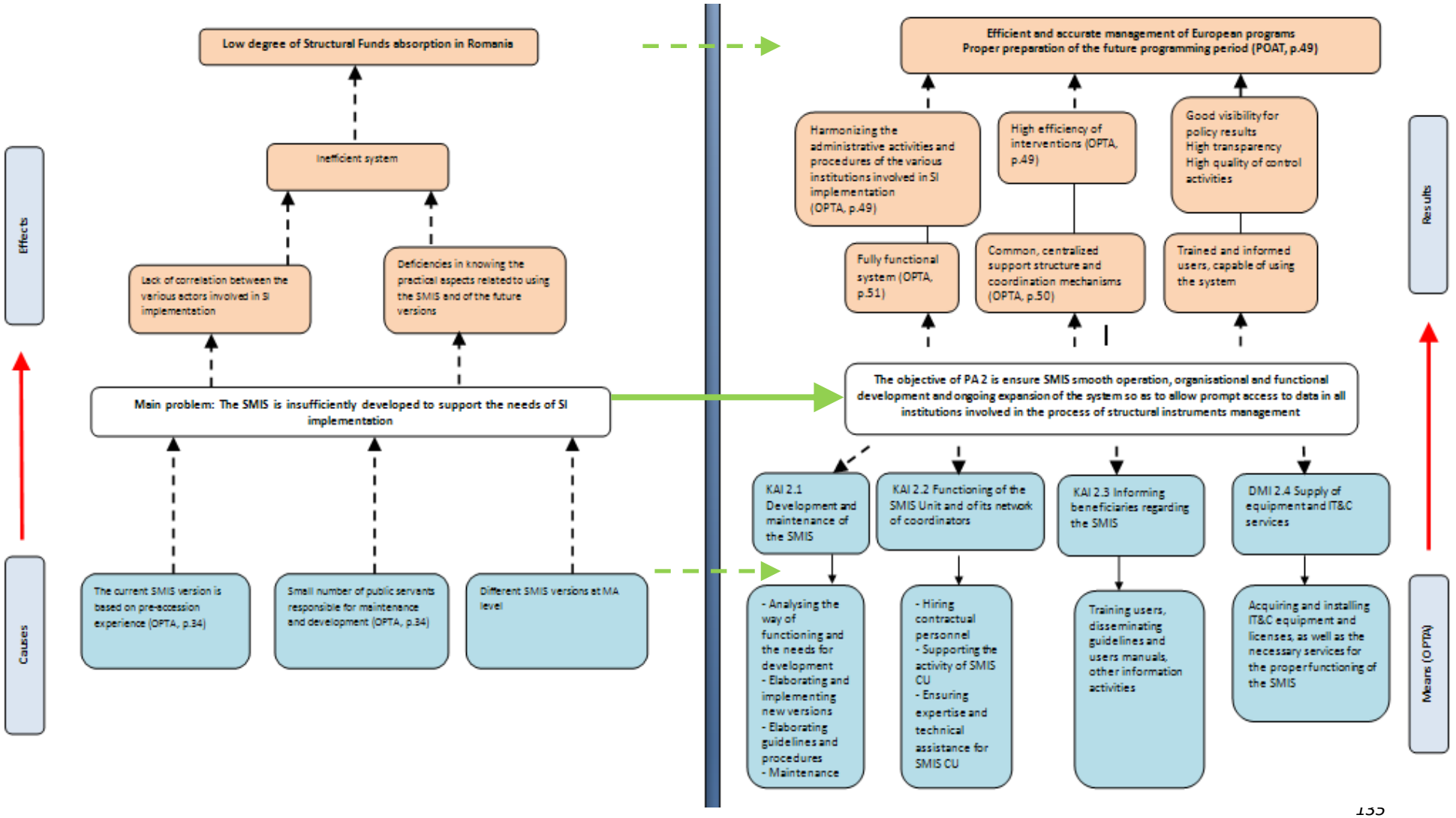

**OPTA Axis 1 – Objectives diagram**



**OPTA PA 2 Problems diagram**

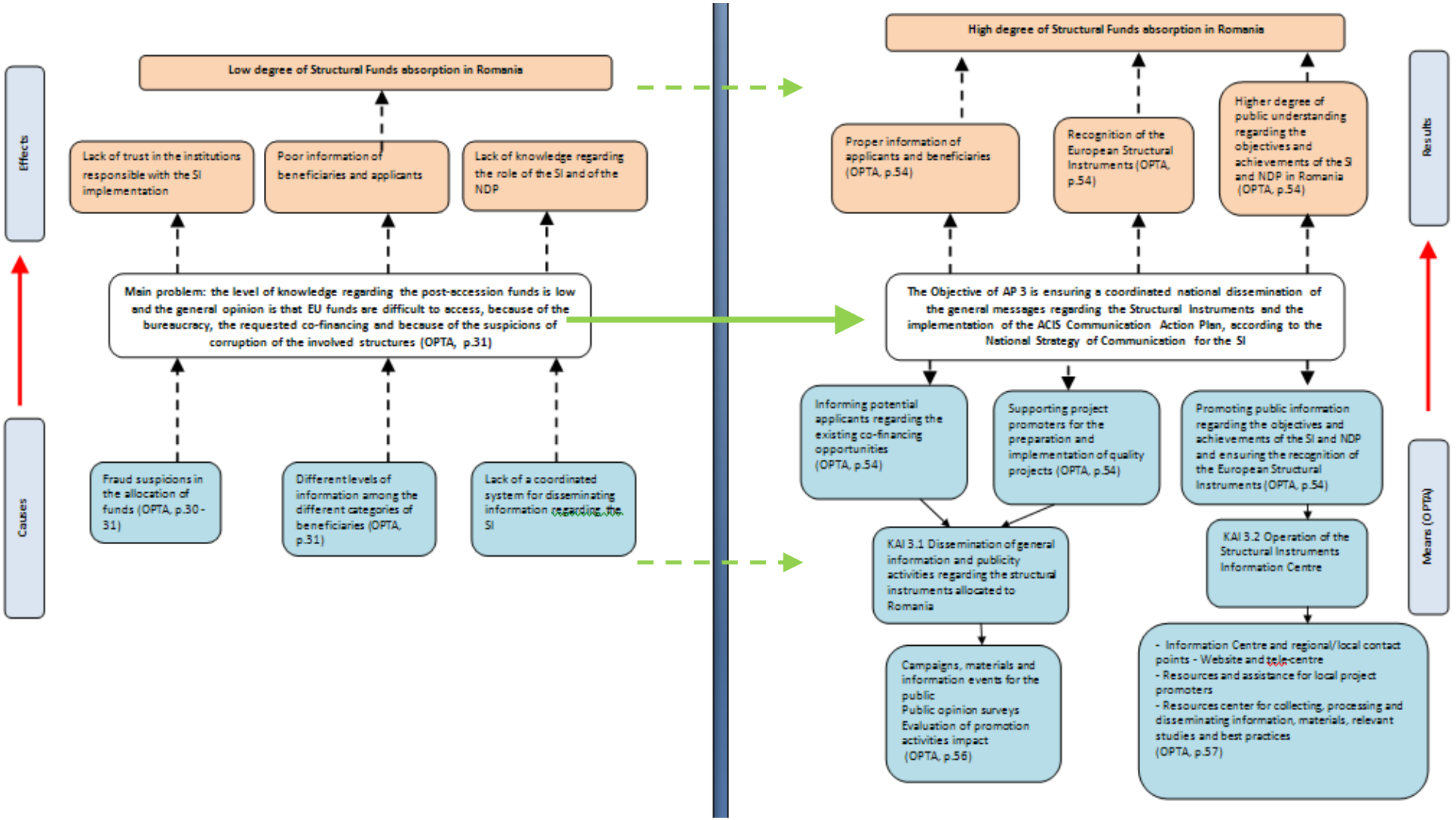



**OPTA Axis 2 Objectives diagram**



**OPTA PA 3 – Problems diagram**

**OPTA Axis 3 – Objectives diagram**



**Annex 3 - Summary of interviews and focus groups**

## A. Summary of interviews

The following interviews will be further grouped in order to provide an efficient use of time both for the Consultant and for the interviewees.

### I. Interviews with OPTA Managing Authority – Department of Technical Assistance within ACSI

1 - Purpose: overall understanding of the OPTA MA perspective on the relevance of the programme / discussion based on the draft Problems & Objectives Diagrams (1st interview already implemented with DTA Director in **December 2009** )

2 - Purpose: overall understanding of the OPTA MA use of resources (human / material / financial), implementation system & decision making process / discussion starting from the draft Problems & Objectives Diagrams (1st interview already implemented with DTA Director in **December 2009**)

3 - Purpose: overall understanding of the OPTA MA use of resources (human / material / financial), implementation system & decision making process / discussion starting from the draft Problems & Objectives Diagrams (1st interview already implemented with DTA Director in **December 2009** / 2nd interview might be needed in **March 2010**)

4 - Purpose: overall understanding of the coordination mechanisms in terms of technical assistance, including the implementation of the Coordination Committee for Technical Assistance / timing: **February 2010**

5 - Purpose: status of the projects within KAI 1.1 – progress to-date in the view of the MA, understanding the relation with eligible beneficiaries / **timing: 1st half of February 2010**

6 - Purpose: status of the projects within KAI 1.2 – progress to-date in the view of the MA, understanding the relation with the Evaluation Central Unit, as single beneficiary of this KAI / **timing: 1st half of February 2010**

7 - Purpose: status of the projects within KAI 1.3 – progress to-date in the view of the MA, understanding the relation with the TDCU, CPA and AA as the only beneficiaries of this KAI / **timing: 1st half of February 2010**

8 - Purpose: status of the projects within KAI 1.4 – progress to-date in the view of the MA, understanding the relation with the ACSI, CPA and AA as the only beneficiaries of this KAI / **timing: 1st half of February 2010**

9 - Purpose: status of the projects within KAI 2.1 – progress to-date in the view of the MA, understanding the relation with SMIS Central Unit – Department for System Coordination within ACSI / **timing: 1st half of February 2010**

10 – Purpose: status of the projects within KAI 2.2 – progress to-date in the view of the MA, understanding the relation with SMIS Central Unit – Department for System Coordination within ACSI / **timing**: **1st half of February 2010**

11 - Purpose: status of the projects within KAI 2.3 – progress to-date in the view of the MA, understanding the relation with SMIS Central Unit – Department for System Coordination within ACSI / **timing: 1st half of February 2010**

12 - Purpose: status of the projects within KAI 2.4 – progress to-date in the view of the MA, understanding the relation with eligible beneficiaries / **timing: 1st half of February 2010**

13 - Purpose: status of the projects within KAI 3.1 – progress to-date in the view of the MA, understanding the relation with the Information Compartment – Department for System Coordination within ACSI, as single beneficiary of this KAI / **timing: 1st half of February 2010**

14 - Purpose: status of the projects within KAI 3.2 – progress to-date in the view of the MA, understanding the relation with the Information Compartment – Department for System Coordination within ACSI, as single beneficiary of this KAI / **timing: 1st half of February 2010**

**II. Interview with the Strategies Service within DTA**

1st interview with the internal staff responsible for programming (3 persons) / Purpose: detailed understanding on the programming exercise and SS perspective on the relevance question(s) / **timing: January 2010**

2nd Interview - Purpose: detailed understanding on how OPTA resources (human / material / financial) are used, including work procedures, work burden, work conditions, staff motivation within the SS / **timing: January 2010**

3rd interview - Purpose: detailed understanding on the main hindrances in reaching results at the level of SS / **timing: January 2010**

**III. Interview with ACIS Director / Management**

1 - Purpose: overall understanding of the perspective of ACSI on the role/expected results of OPTA / timing: **January 2010**

2 - Purpose: overall understanding of the perspective of ACSI on the way technical assistance is expected to be implemented at NSRF level / **timing: January 2010**

3 - Purpose: overall understanding of the perspective of ACSI on the use of resources and implementation efficiency of OPTA / **timing: January 2010**

4 - Purpose: overall understanding of the perspective of ACSI on the extent to which OPTA has attained its planned objectives and on the perspective for the remaining of the financial perspective / **timing: January 2010**

5 - Purpose: understanding the strategic view of ACSI related to the Information Centre implementation / **timing: 1st half of 2010**

**IV. Interview with the Financial Management Service within DTA**

1 - Purpose: detailed understanding on how OPTA resources (human / material / financial) are used, including work procedures, work burden, work conditions, staff motivation within the FMS / **timing: February 2010**

2 - Purpose: detailed understanding on the main hindrances in reaching results at the level of FMS / **timing: February 2010**

**V. Interview with the Implementation Service within DTA**

1 - Purpose: detailed understanding on how OPTA resources (human / material / financial) are used, including work procedures, work burden, work conditions, staff motivation within the IS / **timing: February 2010**

2 - Purpose: detailed understanding on the main hindrances in reaching results at the level of IS / timing: **February 2010**

**VI. Interviews (7) with the staff responsible with TA for each OP** - Purpose: detailed

understanding on the practical implementation of AT for each OP / timing: **February 2010**

**VII. Interviews with eligible beneficiaries**

1. Interviews with all **eligible beneficiaries (KAI 1.1 Support for the structural instruments implementation):** at least one interview per each of the [category of] beneficiaries / at least three interviews with eligible beneficiaries that have not applied yet for support) / purpose: detailed understanding on the implementation of projects submitted (if the case) & on the reasons for not submitting projects (if the case) – see Eligible Beneficiary Interview Guide – Annex 4 / **timing: 2nd half of February 2010**

- ACSI Director/Management
- ACSI, Department for Technical Assistance (as eligible beneficiary)
- ACSI, Department for Analysis and Programming
- ACSI, Department for System Coordination
- ACSI, Monitoring Department
- ACSI, Evaluation Central Unit
- Certification and Payment Authority
- Audit Authority
- at least one of the MAs for other OPs than OPTA
- at least one of the IBs within other OPs
- at least one RDA responsible with the coordination of a National Growth Pole
- at least one of the public institutions receiving partial funding for supplementing staff expenditure related to SI coordination & implementation

2. Interview with the single eligible beneficiary (**KAI 1.2 Evaluation) – Evaluation Central Unit within ACSI** - Purpose: detailed understanding on the implementation of projects submitted (if the case) & on the reasons for not submitting projects (if the case) – see Eligible Beneficiary Interview Guide – Annex 4 / **timing: 2nd half of February 2010**

3. Interview with the beneficiaries **KAI 1.3 Horizontal training for program / project management** - Purpose: detailed understanding on the implementation of projects submitted (if the case) & on the reasons for not submitting projects (if the case) – see Eligible Beneficiary Interview Guide – Annex 4 / **timing: 2nd half of February 2010**

- TDCU – Implementation Service / Department of Technical Assistance within ACSI (as beneficiary)
- Certification and Payment Authority
- Audit Authority

4. Interview with the beneficiaries **KAI 1.4 Functioning of OPTA MA, ACSI, ACP and AA - P**urpose: detailed understanding on the implementation of projects submitted (if the case) & on the reasons for not submitting projects (if the case) – see Eligible Beneficiary Interview Guide – Annex 4 / timing: **2nd half of February 2010**

- ACSI Director/ Management (as beneficiary)
- MA OPTA / Department for Technical Assistance within ACSI (as beneficiary)
- Certification and Payment Authority
- Audit Authority

5. Interview with OPTA Managing Authority –Interviews with the single eligible beneficiary - Department for System Coordination within ACSI (KAI 2.1 Development and maintenance of SMIS and its digital network)- Purpose: detailed understanding on the implementation of projects submitted (if the case) & on the reasons for not submitting projects (if the case) – see Eligible Beneficiary Interview Guide – Annex 4 / timing: 1st half of February 2010

6. Interviews with the single eligible beneficiary - Department for System Coordination within ACSI - Purpose: detailed understanding on the implementation of projects submitted (if the case) & on the reasons for not submitting projects (if the case) – see Eligible Beneficiary Interview Guide – Annex 4 / timing: 1st half of February 2010

7. Interviews with the single eligible beneficiary - Department for System Coordination within ACSI (KAI 2.3 Training users, distributing procedure guidelines and user manuals, as well as information activities regarding SMIS) -

Purpose: detailed understanding on the implementation of projects submitted (if the case) & on the reasons for not submitting projects (if the case) – see Eligible Beneficiary Interview Guide – Annex 4 / timing: 1st half of February 2010

8. Interviews with eligible beneficiaries KAI 2.4 ITC equipment and services procurement

At least one interview per [category of] beneficiaries) - Purpose: detailed understanding on the implementation of projects submitted (if the case) & on the reasons for not submitting projects (if the case) – see Eligible Beneficiary Interview Guide – Annex 4 / timing: 1st half of February 2010

- Department for System Coordination within ACSI (as beneficiary)
- Certification and Payment Authority
- Audit Authority
- Management Authorities of other OPs than OPTA MA
- Intermediate Bodies within OPs

9. Interview with the single eligible beneficiary – **Information Compartment – Department for System Coordination within ACSI** (KAI 3.1 Dissemination of general information and running the advertising activities related to the Structural Instruments allocated to Romania) - Purpose: detailed understanding on the implementation of projects submitted (if the case) & on the reasons for not submitting projects (if the case) – see Eligible Beneficiary Interview Guide – Annex 4 **/ timing: 2nd half of February 2010**

10. Interview with the single eligible beneficiary – **Information Compartment – Department for System Coordination within ACSI** (KAI 3.2 Functioning of the Information Centre for Structural Instruments) - Purpose: detailed understanding on the implementation of projects submitted (if the case) & on the reasons for not submitting projects (if the case) – see Eligible Beneficiary Interview Guide – Annex 4 **/ timing: 2nd half of February 2010**

**VIII. Interview with contractors**

**1. Interview with at least one contractor for KAI 1.1 Support for the structural instruments implementation** for the implemented projects (or on-going) - Purpose: understanding the potential influence of contractual arrangements on final implementation / **timing**: **2nd half of February 2010**

2. Interview with at least one contractor for **KAI 1.2 Evaluation** for the implemented projects (or on-going) - Purpose: understanding the potential influence of contractual arrangements on final implementation **/ timing: 2nd half of February 2010**

3. Interview with at least one contractor for **KAI 1.3 Horizontal training for program /**

**project management** for the implemented projects (or on-going) - Purpose: understanding the potential influence of contractual arrangements on final implementation, checking training evaluation reports / **timing: 2nd half of February 2010**

4. Interview with at least one contractor for **KAI 1.4 Functioning of OPTA MA, ACSI, ACP and AA** for the implemented projects (or on-going) - Purpose: understanding the potential influence of contractual arrangements on final implementation / **timing: 2nd half of February 2010**

5. Interview with **KAI 2.1 Development and maintenance of SMIS and its digital network** contractors

- Interview with **the initial contractor** for designing/implementing SMIS - Purpose: understanding the system limitations and strong points / **timing: 1st half of February 2010**
- Interview with **at least one contractor** for the implemented projects (or on-going) / purpose: understanding the potential influence of contractual arrangements on final implementation / **timing: 2nd half of February 2010**

6. Interview with at least one contractor for **KAI 2.2 Functioning of SMIS Central Unit and its coordination network** for the implemented projects (or on-going) - Purpose: understanding the potential influence of contractual arrangements on final implementation / **timing: 2nd half of February 2010**

7. Interview with at least one contractor for **KAI 2.3 KAI 2.3 Training users, distributing procedure guidelines and user manuals, as well as information activities regarding SMIS** for the implemented projects (or on-going) - purpose: understanding the potential influence of contractual arrangements on final implementation, checking the training evaluation feedback / **timing: 2nd half of February 2010**

8. Interview with at least one contractor for **KAI 2.4 ITC equipment and services procurement** for the implemented projects (or on-going) - Purpose: understanding the potential influence of contractual arrangements on final implementation, checking the training evaluation feedback / **timing: 2nd half of February 2010**

9. Interview with at least one contractor for **KAI 3.1 Dissemination of general information and running the advertising activities related to the Structural Instruments allocated to Romania** for the implemented projects (or on-going) / purpose: understanding the potential influence of contractual arrangements on final implementation / **timing: 2nd half of February 2010**

10. Interview with at least one contractor for **KAI 3.2 Functioning of the Information Centre for Structural Instruments** for the implemented projects (or on-going) - Purpose: understanding the potential influence of contractual arrangements on final implementation / timing: **2nd half of February 2010**

**IX. Other interviews**

1. Interviews with at least **two members of the Evaluation Working Group** outside ACSI - Purpose: assessing the perception of members on the efficiency of the Working Group and the impact of OPTA support for its activities
2. Interviews with at least **two members of the Training Working Group** outside ACSI - purpose: assessing the perception of members on the efficiency of the Working Group and the impact of OPTA support for its activities
3. Interview with at least **one contractual staff hired with OPTA support** – ideally working on the help-desk - purpose: understanding the support provided by OPTA for hiring contractual staff / **timing: 1st half of February 2010**

4. Interview with **at least three SMIS users outside ACSI** - purpose: assessing the use of the help-desk **/ timing: 2nd half of February 2010**
5. Interview with at **least five SMIS users outside ACSI** benefiting from SMIS training under OPTA support - purpose: assessing the training funded through OPTA **/ timing: 2nd half of February 2010**
6. Interviews with **at least two of the Communication Working Group from outside ACSI** - purpose: assessing the perception of members on the efficiency of the Working Group and the impact of OPTA support for its activities
7. Interviews with **at least two members of the Communication Working Group from outside ACSI** - purpose: assessing the perception of members on the efficiency of the Working Group and the impact of OPTA support for its activities
8. Interviews with **at least three independent PR/media experts in SI** - purpose: assessing the perception of specialists on the current programming approach and results achieved to-date.

**B. Summary of focus-groups**

1. **Focus group with SMIS users outside ACSI.** Purpose: understanding users' perspective on SMIS and its development plans. **Timing: 2nd half of February 2010**
2. **Focus group with ACIS staff, Consultant's experts, external experts Purposes:**

- debate on key findings related to relevance / timing:
- debate on key findings related to coordination among OPTA and TA from other OPs qualitative debate on key findings related to OPTA overall program efficiency related to implementation procedures and mechanisms

**Timing March 2010.**

3. **Focus group with ACIS staff (represented both as beneficiary and as management), Consultant's experts, external experts**. Purpose: qualitative debate on OPTA achieved progress and its perspectives. **Timing: March 2010**
4. **Focus group with RDA representatives, MA representatives, consultant's experts**. Purpose: debate on the implementation, needs and objectives of assistance for supporting the National Growth Poles coordination ACIS. **Timing: March 2010**
5. **Focus group with evaluation experts active in the field of SI (both from public and private sectors).** Purpose: debate on the challenges and progress towards reaching a common and improved evaluation culture. **Timing: March 2010**
6. **Focus group with ACSI management representatives.** Purpose: debate on the challenges and progress towards coordinating interventions from SI. **Timing: March 2010**
7. **Focus group with PR experts, multiplicators of European Information, media representatives responsible with European information.** Purpose: debate on the challenges towards the creation of an Information Centre for SI. **Timing: March 2010.**

## Annex 3 – Current Organisational Chart of DTA

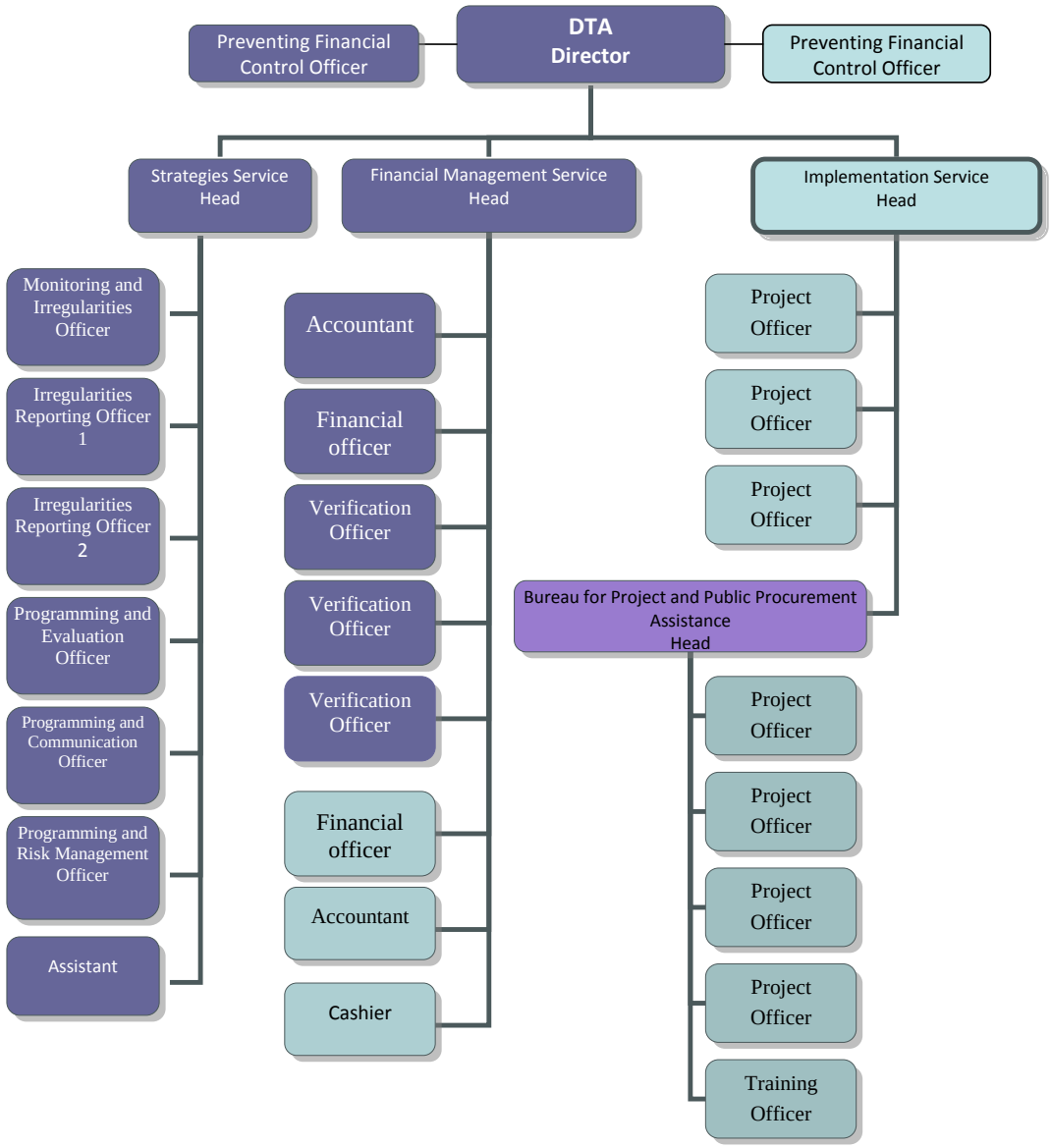
Ministerial Order 372/2007 approved the organisational structure of ACIS with subsequent amendments. According to this structure, the DTA is fulfilling the OPTA MA function. DTA's structure encompasses three services: Strategies Service (SS), Financial Management Service (FMS) and Implementation Service (IS).

As of 15 March 2010, the DTA had 30 positions and no vacancies. The allocation of positions is presented in the graphic below.

Compared to the prior version of the DTA structure (at 11 January 2010), the current structure brought three main changes:

- the two Preventing Financial Control Officers (PFCO) are not any more within the FMS;
- a Bureau was created within the IS for project and public procurement assistance (consisting of 6 positions, including one new position);
- within the IS, a new position was filled.

As DTA has attributions as MA but also as OPTA beneficiary, the figure below illustrates the division of positions for the two categories of tasks. Thus, in dark colour is represented the staff fulfilling MA tasks, and in light colour is the staff fulfilling beneficiary and ACIS support tasks. According to existing procedures, the new Bureau for project and public procurement assistance should have only one MA-task: the help-desk function for all OPTA beneficiaries, the rest of its tasks being related to supporting ACIS (and CPA) as beneficiary.



## Annex 4 – Interviews and Focus Groups

| *Name* | *Position* | *Date* |
|---|---|---|
| Balan, Daniela, Cristina Pătrăşcoiu | Head, Strategies Service, DTA | 04/02/2010 |
| Dorin, Dorian | Head, Implementation Service, DTA | 05/02/2010 |
| Molcuti, Mihaela | Head, Financial Management Service, DTA | 05/02/2010 |
| Chirita, Livia | Director, MA for OPTA | 08/02/2010 |
| Magdalina, Claudia | Head, Evaluation Central Unit | 09/02/2010 |
| Cimpoieru, Irina | Analysis and Programming Department | 11/02/2010 |
| Popescu, Antoaneta | Head, Monitoring Department | 11/02/2010 |
| Chirila, Andra | Head, System Coordination Department | 16/02/2010 |
| Ciobanu, Stefan | Director, ACIS | 18/02/2010 |
| Robu, Cristina | Auditor, Audit Authority (AA) | 18/02/2010 |
| Tarara, Lucica | Director, Certifying and Payment Authority | 19/02/2010 |
| Ioana, Daniela | Director, Audit Department for ESF, Phare and Other Funds, AA | 26/02/2010 |
| Nicula, Dan | Director, Regional Development Agency, Bucharest Ilfov | 02/03/2010 |
| Chirila, Andra | Head, System Coordination Department | 05/03/2010 |
| Chirila, Andra | Head, System Coordination Department | 26/03/2010 |
| Ionescu, Razvan | Expert, MA for OP DAC | 09/03/2010 |
| Macovei, Razvan | SMIS, MA for OP DAC | 09/03/2010 |
| Munteanu, Aura | Public Manager, MA for OP DAC | 09/03/2010 |
| Simion, Perla | Head, MA for OP DAC | 09/03/2010 |
| Ungureanu, Alina | Public Manager, MA for OP DAC | 09/03/2010 |
| Members | TA Working Group (Focus Group Session) | 15/03/2010 |
| TDCU Staff | Implementation Service | 26/03/2010 |
| SMIS CU Staff | System Coordination Directorate | 26/03/2010 |
| Platon, Gabriela | Programme Director, WYG International | 22/03/2010 |
| Videa, Simona | Managing Partner, Leader ATEC | 22/03/2010 |
| Comşa, Andreea | Director, East West Consulting | 24/03/2010 |
| Kubinski, Radu | Manager, Deloitte Consultanţă | 25/03/2010 |
| Boghianu, Marilena | Director, Regional Development Agency, South-West Oltenia | 30/03/2010 |
| Şerban, Carmen | Coordinator, Growth Pole Craiova | 30/03/2010 |
| Şendroiu, Alexandru | SMIS Coordinator, Regional Development Agency, South-West Oltenia | 30/03/2010 |
| Arghiropol, Mihai | Director, Media One | 01/04/2010 |
| Manea, Eugen | SMIS Coordinator, SOP IEC | 01/04/2010 |
| Vlad, Dragoş | SMIS Coordinator, SOP HRD | 01/04/2010 |
| Mihălcioiu, Andra | Communication WG, ROP | 09/04/2010 |
| Pielaru, Simona | Communication WG, SOP HRD | 09/04/2010 |
| Prunaru, Constantin | Director, Intrarom | 12/04/2010 |
| Boancă, Simona | Training WG, SOP IEC | 12/04/2010 |
| Tudorache, Mariana; Mitran, Venera | Training WG, SOP HRD | 12/04/2010 |

**Interview guide – Directorate for Technical Assistance (management level)**

The objective of the meeting is to continue the discussion with the OPTA MA management from 14 December 2009, in order to obtain additional information and to systemize them according to the evaluation methodology.

According to the methodology, developed based on the ToR and the Inception Report, a new interview with the DTA management is proposed, in its OPTA MA and beneficiary role.

| **Evaluation Questions** |
|---|
| **A. To what extent is the OPTA programming still relevant?** |
| 1. Do the initial assessments and indicators established between 2004 and 2007 still reflect the intervention needs? What major changes have taken place since the initial programming and which are forecasted? |
| 2. To what extent do the context changes impact the OPTA content? |
| 3. Are the operations within the PAs and KAIs still relevant? |
| **B. Are the consistency and coherence of OPTA ensured?** |
| 4. To what extent are the TA Pas in the OPs and OPTA complementarity? |
| 5. To what extent are the OPTA operations consistent with national and European developments in this field? |
| **C. How efficient is the OPAT implementation?** |
| 6. Is the management / implementation system functional and operating efficiently? Is the established institutional structure appropriate? Are the human resources adequately trained? |
| 7. To what extent does the Monitoring Committee contribute to the enhancement of efficiency in the implementation of OPTA? |
| **D. To what extent does the achieved progress ensure the prerequisites to meet OPTA objectives?** |
| 8.What is the real progress of the implementation? |
| 9. Which is the difference between forecasted and real performance? |
| 10. What are the factors contributing to the difference between the forecasted and real performance? |

**Interview Guide – Strategies Service**

**Objective:**

- In-depth understanding of the OPTA resources use (human/material/financial), including in terms of procedures, tasks, work conditions, staff motivation;
- Underline the positive aspects (best practice) in the SS activity;
- In-depth understanding of the main hindrances at SS level.

| **Evaluation Questions – Strategies Service** |
|---|
| **A. SS tasks in OPTA architecture** |
| • Are the tasks from the Procedures Manual clear and adequate to the needs? If no, please comment. |
| • From the first version of the Procedures Manual to the December version of the manual, there were any major changes regarding the SS tasks? If yes, please explain. |
| • There are any problems / deficiencies regarding the interaction between SS and other services and directorates implementing and managing the OPTA? If yes, please comment. |
| • What are the key inter and intra-institutional relations for SS activities? |
| **B. SS working procedures** |
| • Are the working procedures from the Manual clear and adequate to the needs? If no, please comment? |
| • From the first version of the Procedures Manual to the December version of the manual, there were any major changes regarding the SS working procedures? If yes, please explain. |
| • How are the changes of the procedures notified? |
| • How is the procedures compliance verified? |
| **C. Human resources** |
| • Compared to the Procedures Manual, how many persons are employed?<br>• The staff established through the Procedures Manual is sufficient for fulfilling the SS tasks?<br>• Are the job descriptions correlated to the Procedures Manual?<br>• Is the level of training corresponding to the tasks from the job description?<br>• How frequent are the job descriptions up-dated? |
| • What is the average work experience?<br>• Since the SS was created, how many persons left and had to be replaced by new employments?<br>• To what extent the staff migration created problems?<br>• What kind of problems were created? (e.g. delays in fulfilling tasks, financial resources allocation for training new personnel) |
| • Was the SS activity and / or the level of motivation influenced by the budgetary restrictions, imposed by the financial crisis (the impossibility to hire new staff, temporary elimination of 75% wage increase, elimination of other financial incentives)? Please, detail. |
| • There are annual training plans at SS level? If yes:<br>  ○ Are the training plans observed?<br>• What types of trainings are the SS staff attending? Is the staff benefiting from trainings relevant for their tasks? Yes, please detail / No<br>• To what extent are the training sessions relevant for the job description and for current activity?<br>• Is the staff benefiting from initial training? Yes / No |
| • On a scale of 1 to 5, to what extent is the current HR situation influencing the programme implementation? (where 1 is to a very large extent and 5 is to a very little extent). Please comment. |
| **D. SS activity** |
| • What are the main factors disturbing the SS activity? (e.g. the lack of predictability, changes in vison / |

| **Evaluation Questions – Strategies Service** |
|---|
| requirements, tight dead-line, work overload, complexity of the tasks). Please comment. |
| • What was the context of OPTA programming? |
| • Did the SS benefit from consultancy for OPTA elaboration? |
| • Did the SS analyse and propose strategic changes for the OP, FDI and Applicant's Guide (compared to the official versions) including during the crisis period? If Yes, what were the changes and how were they finalised? |
| • What observations did the EC made regarding the OPTA progress? |
| • Did the SS develop and promote partnerships for OPTA? If Yes, what partnerships, with whom and what is the current status? |
| • What is the current status of the OPTA Communication Plan implementation?<br>• What exactly did the SS do to implement the Communication Plan? |
| • How does the SS evaluate the Monitoring Committee activity? |
| • From the initial version of the Applicant's Guide, there where any major changes in the evaluation and selection criteria? |
| • Do you consider that the evaluation and selection criteria should:<br>o Become more restrictive in order to obtain a higher quality?<br>o Become less restrictive in order to attract a large number of projects?<br>o Remain unchanged? |
| • Did the SS identify irregularities of funds use? If Yes, please comment |
| • Did the SS deploy activities for irregularities prevention? If yes, please detail. |
| • Did the SS initiate / promote legislative proposal in order to improve the OPTA implementation? |
| • Did the SS have difficulties in using the SMIS? If yes, please comment. |
| • Are the APs and KAIs operations still relevant? |
| • Is the coordination of activities within SS functional and efficient?<br>• Is the institutional structure stable and adequate? (As compared to the planned one) |
| • Are there communication problems within SS? If Yes, please detail. |
| **E. Material and financial resources** |
| • Are the material resources (existing equipments) sufficient / adequate for the SS activity? If No, what are the additional needs? |
| • Are the financial resources (general Budget) sufficient for the SS activity? If No, what are the additional needs? |

**Interview Guide – Implementation Service**

**Objective:**

- In-depth understanding of the OPTA resources use (human/material/financial), including in terms of procedures, tasks, work conditions, staff motivation;
- Underline the positive aspects (best practice) in the SI activity;
- In-depth understanding of the main hindrances at SI level
- In-depth understanding of the projects implementation status (if the case may be) or the reasons for not submitting projects (if the case may be) under KAI 1.3

| **Evaluation Questions – Implementation Service** |
|---|
| **A. SI tasks in OPTA architecture** |
| • Are the tasks from the Procedures Manual clear and adequate to IS needs? If no, please comment. |
| • From the first version of the Procedures Manual to the December version of the manual, there were any major changes regarding the IS tasks? If yes, please explain. |
| • There are any problems / deficiencies regarding the interaction between IS and other services and directorates implementing and managing the OPTA? If yes, please comment. |
| • What are the key inter and intra-institutional relations for IS activities? |
| **B. SI working procedures** |
| • Are the working procedures from the Manual clear and adequate to the needs? If no, please comment? |
| • From the first version of the Procedures Manual to the December version of the manual, there were any major changes regarding the IS working procedures? If yes, please explain. |
| • How are the changes of the procedures notified? |
| • How is the procedures compliance verified? |
| **C. Human resources** |
| • Compared to the Procedures Manual, how many persons are employed?<br>• The staff established through the Procedures Manual is sufficient for fulfilling the IS tasks?<br>• Are the job descriptions correlated to the Procedures Manual?<br>• Is the level of training corresponding to the tasks from the job description?<br>• How frequent are the job descriptions up-dated? |
| • What is the average work experience?<br>• Since the IS was created, how many persons left and had to be replaced by new employments?<br>• To what extent the staff migration created problems?<br>• What kind of problems were created? (e.g. delays in fulfilling tasks, financial resources allocation for training new personnel) |
| • Was the IS activity and / or the level of motivation influenced by the budgetary restrictions, imposed by the financial crisis (the impossibility to hire new staff, temporary elimination of 75% wage increase, elimination of other financial incentives)? Please, detail. |
| • There are annual training plans at IS level? If yes:<br>  ○ Are the training plans observed?<br>• What types of trainings are the SI staff attending? Is the staff benefiting from trainings relevant for their tasks? Yes, please detail / No<br>• To what extent are the training sessions relevant for the job description and for current activity?<br>• Is the staff benefiting from initial training? Yes / No |

| |
|---|
| • On a scale of 1 to 5, to what extent is the current HR situation influencing the programme implementation? (where 1 is to a very large extent and 5 is to a very little extent). Please comment. |
| **D. IS activity** |
| • What are the main factors disturbing the IS activity? (e.g. the lack of predictability, changes in vision / requirements, tight dead-line, work overload, complexity of the tasks). Please comment. |
| • What were the IS activities to ensure the help-desk function for the OPTA beneficiaries? |
| • What problems were identified during the public procurement processes regarding OPTA finances projects for ACIS and CPA? Please detail. |
| • Were other problems identified during the implementation of the TA projects, at ACIS level (except for the public procurement)? If yes, please detail. |
| • Please comment the process of project proposal elaboration for ACIS and OPTA MA. |
| • Is the coordination of activities within IS functional and efficient?<br>• Is the institutional structure stable and adequate? (As compared to the planned one) |
| • Are there communication problems within IS? If yes, please detail. |
| **E. Material and financial resources** |
| • Are the material resources (existing equipments) sufficient / adequate for the IS activity? If No, what are the additional needs? |
| • Are the financial resources (general Budget) sufficient for the IS activity? If no, what are the additional needs? |

**Interview Guide – Financial Management Service**

**Objective:**

- In-depth understanding of the OPTA resources use (human/material/financial), including in terms of procedures, tasks, work conditions, staff motivation;
- Underline the positive aspects (best practice) in the FMS activity;
- In-depth understanding of the main hindrances at FMS level.

| **Evaluation Questions – Financial Management Service** |
|---|
| **A. FMS tasks in OPTA architecture** |
| • Are the tasks from the Procedures Manual clear and adequate to the FMS needs? If no, please comment. |
| • From the first version of the Procedures Manual to the December version of the manual, there were any major changes regarding the FMS tasks? If yes, please explain. |
| • There are any problems / deficiencies regarding the interaction between FMS and other services and directorates implementing and managing the OPTA? If yes, please comment. |
| • What are the key inter and intra-institutional relations for FMS activities? |
| **B. SMF working procedures** |
| • Are the working procedures from the Manual clear and adequate to the needs? If no, please comment? |
| • From the first version of the Procedures Manual to the December version of the manual, there were any major changes regarding the FMS working procedures? If yes, please explain. |
| • How are the changes of the procedures notified? |
| • How is the procedures compliance verified? |
| **C. Human resources** |
| • Compared to the Procedures Manual, how many persons are employed?<br>• The staff established through the Procedures Manual is sufficient for fulfilling the FMS tasks?<br>• Are the job descriptions correlated to the Procedures Manual?<br>• Is the level of training corresponding to the tasks from the job description?<br>• How frequent are the job descriptions up-dated? |
| • What is the average work experience?<br>• Since the was created, how many persons left and had to be replaced by new employments?<br>• To what extent the staff migration created problems?<br>• What kind of problems were created? (e.g. delays in fulfilling tasks, financial resources allocation for training new personnel) |
| • Was the FMS activity and / or the level of motivation influenced by the budgetary restrictions, imposed by the financial crisis (the impossibility to hire new staff, temporary elimination of 75% wage increase, elimination of other financial incentives)? Please, detail. |
| • There are annual training plans at FMS level? If yes:<br>  ○ Are the training plans observed?<br>• What types of trainings are the FMS staff attending? Is the staff benefiting from trainings relevant for their tasks? Yes, please detail / No<br>• To what extent are the training sessions relevant for the job description and for current activity?<br>• Is the staff benefiting from initial training? Yes / No |
| • On a scale of 1 to 5, to what extent is the current HR situation influencing the programme implementation? (where 1 is to a very large extent and 5 is to a very little extent). Please comment. |
| **D. FMS activity** |
| • What are the main factors disturbing the FMS activity? (e.g. the lack of predictability, changes in |

| Evaluation Questions – Financial Management Service |
|---|
| vision / requirements, tight dead-line, work overload, complexity of the tasks). Please comment. |
| • How are elaborated the OPTA financial forecasts?<br>• To what extent the forecasts were fulfilled? |
| • How does SMF appreciate the quality of the reimbursement claims? |
| • To what extent were the expenses made by the beneficiaries correct? |
| • To what extent was the prevention financial control used and what were the results? |
| • What measures did FMS apply / intent to apply to speed-up the implementation of the approved projects? |
| • Did FMS encounter problems in using the SMIS? If yes, please detail. |
| • Is the coordination of activities within FMS functional and efficient?<br>• Is the institutional structure stable and adequate? (As compared to the planned one) |
| • Are there communication problems within FMS? If yes, please detail. |
| **E. Material and financial resources** |
| • Are the material resources (existing equipments) sufficient / adequate for the FMS activity? If No, what are the additional needs? |
| • Are the financial resources (general Budget) sufficient for the FMS activity? If No, what are the additional needs? |

## Interview Guide – OPTA eligible beneficiaries

**Objective:** In-depth understanding of the projects implementation status and the reasons for not submitting other projects for OPAT financing

| **Evaluation Questions – Eligible Beneficiaries** |
|---|
| **A. Have you applied for support within OPTA?** |
| • If yes, please move to section B. |
| • If no, please explain the reasons for which you have not applied:<br>o OPTA not anymore relevant for your activity<br>o Received support from other TA source (e.g. TA component of another OP)<br>o You were not informed properly about your eligibility<br>o You do not have the capacity to apply and/or it was too complicated to apply<br>o Other reasons – please specify. |
| **B. To what extent is the initial OPTA programming still relevant for you as a beneficiary?** |
| B1- Are the baseline analyses and the 2004-2007 indicators for the operation you are eligible set still reflecting the support you need?<br>B2 - What are the important changes that have occurred in your activity between the programming phase and what are the expected ones to occur?<br>B3 - How is this going to affect the relevance of OPTA for your activity?<br>B4 – What would you change in the programming of OPTA to make it more relevant for your activity? |
| **C. Is the coherence of the OPTA ensured from your perspective as beneficiary?** |
| C1 - To what extent can you receive support from other sources for the same activities you are eligible within OPTA?<br>C2 – Have you already obtained such support from other sources? |
| **D. How efficiently is the OPTA being implemented from your perspective as a beneficiary?** |
| D1 – Has the MA proactively notified you about the availability of support for your activity, as eligible beneficiary? If so, please comment.<br>D2 – Have you been assisted by the MA staff in preparing your application? If so, please comment.<br>D3 – Do you find the evaluation of your application as being fair? Did you find the evaluation process transparent?<br>D4 – Did your application involve public procurement? If so, did you receive support from the OPTA MA to facilitate public procurement procedures? Please comment.<br>D5 – Did you receive support from OPTA MA during the project implementation? If so, please comment.<br>D6 – Do you find the implementation procedures set by OPTA MA as being clear?<br>D7 – How would you consider the staff in the OPTA MA that you have interacted with in terms of efficiency (1 – totally inefficient, 2 – inefficient, 3 – efficient, 4 – very efficient)?<br>D8 – What would you change in the way OPTA MA is handling beneficiaries?<br>D9 – Where you also a member of the Monitoring Committee of OPTA? If so, please comment on the contribution of the MC to the increase of OPTA efficiency. |
| **E. To what extent does the progress achieved through the projects you applied/ implemented to-date within OPTA create the premises for reaching the OPTA objectives from your perspective?** |
| E1 – How many projects have you applied/won/ implemented? What is the actual implementation progress of your projects?<br>E2 – How is the implementation progress as compared to your initial goals/targets/objectives?<br>E3 – Do you have a project pipeline and a planning for the rest of the OPTA implementation period?<br>E4 - What are the factors that may influence your performance as a beneficiary within OPTA? |

## Interview Guide – SMIS users

**Objective:**

- Understanding the users perspective on SMIS – development, functioning, development perspectives
- Evaluation of the training fro SMIS users
- Evaluation of SMIS help-desk functioning
- Understanding the communication/information process from the central level to SMIS users
- Identification of the structure created at the local level and the needs in terms of hardware and software for SMIS functioning.

| **Evaluation Questions – SMIS users** |
|---|
| 1. What was the SMIS development in time? (number of users, allocated times, projects up-loaded, quality / quantity conformity). |
| 2. What were the most frequent problems and difficulties encountered when using SMIS application? How have they been / will they be solved? |
| 3. What are the recommendations for improving SMIS application, as perceived by the users and taking into account the further development of SMIS? |
| 4. How many persons from your institution were trained – topics, levels, number of days / participants?<br>5. Is there any training session planned? If yes, will be any person from your organisation attending it? |
| 6. Did you use the help-desk within SMIS CU? What types of problems did you report?<br>7. To what extent do you consider that the support offered through the help-desk is useful? How do you think that this service can be improved? |
| 8. How do you perceive the communication and the information from the central level to SMIS users – what are the tools use? Do you think they are efficient?<br>9. How do you think that the SMIS communication / information process should be managed? |
| 10. What is the endowment in terms of IT&C equipment and licences?<br>11. Are the services ensured for the SMIS correct functioning?<br>12. What other needs do you identify, in terms of IT&C equipments and services? |

## Interview Guide – Contractors

**Objective:**

In-depth understanding of the potential influence of the contract on the final project implementation.

| **Evaluation Questions** |
|---|
| 1. When the tendering was launched, the documentation was clear? Did you need additional clarifications from the contracting authority? |
| 2. In terms of requested documents, the requirements were clear / easy to be observed? |
| 3. What were the most important difficulties encountered during the process of preparing the offer? (external to your organisation) |
| 4. After the offer was submitted, was the evaluation process transparent? Did you receive clarification requests? If yes, please detail. |
| 5. Did the evaluation process observe the deadlines from the tendering documentation? |
| 6. Was the tendering contested? If yes, please detail |
| 7. Was the contract signed in due time in order to observe the initial activities planning? If not, what were the delays and how did they affect the activities? |
| 8. What were the main difficulties in signing the contract? (if the case maybe) |
| 9. From your point of view, are the contractual provisions clear / easy to be observed? If no, please detail. |
| 10. After the signing of the contract, were any other delays registered? If yes, please detail their nature and causes. |
| 11. What is the implementation status of your contract? |
| 12. In terms of payments, there were / are any difficulties? If yes, please detail. |
| 13. How is your the relation with the Contracting Authority?<br>14. How often do you interact with the CA?<br>15. Did the CA designate a single person for this contract or do you interact with several persons within CA?<br>16. Is the CA pro-active in its relation with you? Does the CA easily answer to your requests?<br>17. Are there any communication problems?<br>18. Was the contract modified from the initial version?<br>19. What are the difficulties encountered in your relation with the CA?<br>Please, detail |
| 20. Do you consider that the contract provisions may be observed in time? Do you forecast other difficulties in you relation with the CA that may lead to delays / not observing the contract? |

**Interview Guide for Training WG members**

**Objective:** Evaluation of the TWG efficiency and the impact of the OPTA support on its activities.

| **Evaluation Questions** |
|---|
| 1. How do you appreciate the training activities supported by OPTA? (basic or specialised training for MAs/IBs, for beneficiaries) |
| 2. To what extent does the initial OPTA programming is still relevant for the beneficiaries? (in terms of training activities) |
| 3. Do you consider that it is difficult to avoid overlaps between the OPTA training activities and the training activities supported through other TA axis? |
| 4. What would you change in the way of OPTA dealing with its beneficiaries training needs? (e.g. include other beneficiaries categories, training needs assessment) |
| 5. How efficient is the OPTA implemented, in terms of horizontal training in the SI field? |
| 6. How do you appreciate the training needs assessment? |
| 7. How would you qualify the MAs/IBs staff you are interacting with in terms of efficiency? (1- totally inefficient, 2 – inefficient, 3 – efficient; very efficient) |
| 8. Are the WG attributions clear and adequate to the operational needs? If no, please comment. |
| 9. What are the main problems, constraints and weaknesses of the system, concerning the inter-institutional relations within TWG? |
| 10. Please comment the TWG contribution to the increase of the training activities. |
| 11. What would you propose in order to increase the efficiency / effectiveness of the TWG activity? |

**Interview Guide – Communication WG members**

**Objective:** Evaluation of the CWG efficiency and the impact of the OPTA support on its activities.

| **Evaluation Questions** |
|---|
| 1. How do you appreciate the CWG activity? |
| 2. Do you consider that it is difficult to avoid overlaps between the OPTA communication activities and the communication activities supported through other TA axis? |
| 3. What would you change in the way of OPTA dealing with the communication/information/publicity activities? |
| 4. How efficient is the OPTA implemented, in terms of SI horizontal communication activities? |
| 5. How would you qualify the MAs/IBs staff you are interacting with in terms of efficiency? (1- totally inefficient, 2 – inefficient, 3 – efficient; very efficient) |
| 6. Are the WG attributions clear and adequate to the operational needs? If no, please comment |
| 7. What are the main problems, constraints and weaknesses of the system, concerning the inter-institutional relations within CWG? |
| 8. Please comment the CWG contribution to the increase of the training activities. |
| 9. What would you propose in order to increase the efficiency / effectiveness of the CWG activity? |

**Evaluation Working Group (Focus group 1)**

**Date: 22/02/2010**

**Agenda:**

8. Debate regarding the challenges of and progresses towards reaching a common evaluation culture
    - What is the progress in achieving a common evaluation culture at the EWG level and at the Evaluation units level? What are the main hindrances and achievements?
    - How are the stakeholders accepting the 'common culture'?
    - If a common culture is reached, the coherence of the activities is implicitly ensured?

| | Name | Organisation |
|---|---|---|
| 1. | Raluca Ivanof | GEA Strategy&Consulting |
| 2. | Dragoş Pîslaru | GEA Strategy&Consulting |
| 3. | Livia Pîslaru | GEA Strategy&Consulting |
| 4. | Jim Fitzpatrick | Fitzpatrick Associates |
| 5. | Claudia Măgdălina | ACIS, ECU |
| 6. | Anca Ionaş | ACIS, ECU |
| 7. | Angelica Vlădescu | ACIS, ECU |
| 8. | Anton Enăchescu | ACIS, ECU |
| 9. | Irina Cimpoieru | ACIS, DAP |
| 10. | Ileana Geambaşu | ACIS, MD |
| 11. | Daniela Breazu | OP Transport MA |
| 12. | Alina Ungureanu | OP DAC MA |
| 13. | Razvan Ionescu | OP DAC MA |
| 14. | Tiberiu Oprea | SOP HRD MA |
| 15. | Steluţa Goanţă | SOP IEC MA |
| 16. | Georgeta Susana | SOP IEC MA |
| 17. | Cristina Moise | CPA / MoPF |
| 18. | Cătălina Iordache | SOP Environment MA |
| 19. | Carmen Cruceru | ROP MA |
| 20. | Eliza Lupaşcu | ROP MA |

    - How important the structure / the institutional power of the Evaluation Units is in ensuring the coherence? To what extent does the EWG succeed in ensuring the proposed evaluations coherence?
    - How the evaluation culture may be measured (especially quantitatively)? What indicators / tools may be used?
9. Debate on the EWG role

- How efficient is the EWG and what is the impact of the OPTA support on its activities?
- How can OPTA be improved for a better support of the EWG and the evaluation activity?

10. Debate on other aspects of the SI evaluation process
    - What is the border between the SI studies and SI evaluation? Within ACIS, both DAP and MD or SCD have evaluation needs in order to improve their activity. The non-compulsory evaluations should be initiated by the ECU or by the other directorates within ACIS?
    - How can the OPTA support for the evaluation activity be underlined and analysed?

**Evaluation Working Group (Focus group 2)**

**Date: 29/03/2010**

**Agenda:**

Discussion and validation of preliminary conclusions and recommendations regarding the progress in achieving a common evaluation culture.

**PR Expert meeting ("mini" focus group)**

**Date: 05/03/2010**

**Agenda:**

Possible solutions for launching PA 3 interventions

The Information Centre of the EC Delegation to Romania

- The objectives of the EC Delegation communication and information strategy;
- Best practice in establishing / functioning of the IC of the EC Delegation;
- EC Delegation web-site;
- Regional multipliers network;
- Connected instruments (intranet, call-centre, in-house publications);
- The IC role in the EC Delegation communication and information strategy;
- The IC development – number of visitors, web-site visits, events organised);
- The functioning and management of the EC Representation Information Centre, using the prior experience.

List of participants:

| | Name | Organisation |
|---|---|---|
| 1. | Andra Chirilă | ACIS, SCD |
| 2. | Andreea Bucur | ACIS, SCD |
| 3. | Coralia Zadorojnai | ACIS, SCD |
| 4. | Dragos Pîslaru | GEA Strategy&Consulting |
| 5. | Cristina Crăciun | KPMG România |
| 6. | Livia Pîslaru | GEA Strategy&Consulting |
| 7. | Tiberiu Cazacioc | DC Communication |

**Focus Group – mass-media representatives**

**Date:** 07/04/2010

**Agenda:**

The debate was based on the following main themes:

- The relevance, coherence efficiency and effectiveness of the ACIS communication plan;
- The role of ACIS in the SI communication process
- The categories of campaigns / information events in order to increase the level of awareness and use of the SI;
- The best promotion and publicity modalities for the SI;
- The ACIS support through OPTA for mass-media efforts in covering the SI topics.

**List of participants:**

| | Name | Organisation |
|---|---|---|
| 1. | Andreea Bucur | ACIS, SCD |
| 2. | Coralia Zadorojnai | ACIS, SCD |
| 3. | Mariana Amza | ACIS, ECU |
| 4. | Dragos Pîslaru | GEA Strategy&Consulting |
| 5. | Livia Pîslaru | GEA Strategy&Consulting |
| 6. | Cristian Ghinea | Dilema Veche / Centru Român de Politici Europene |
| 7. | Ioana Morovan | Hotnews / Euractiv |
| 8. | Ioana Sora | Financiarul |
| 9. | Adriana Roşoga | Ziarul Financiar |

**Focus Group – independent evaluation experts**

**Date:** 09/04/2010

**Agenda:**

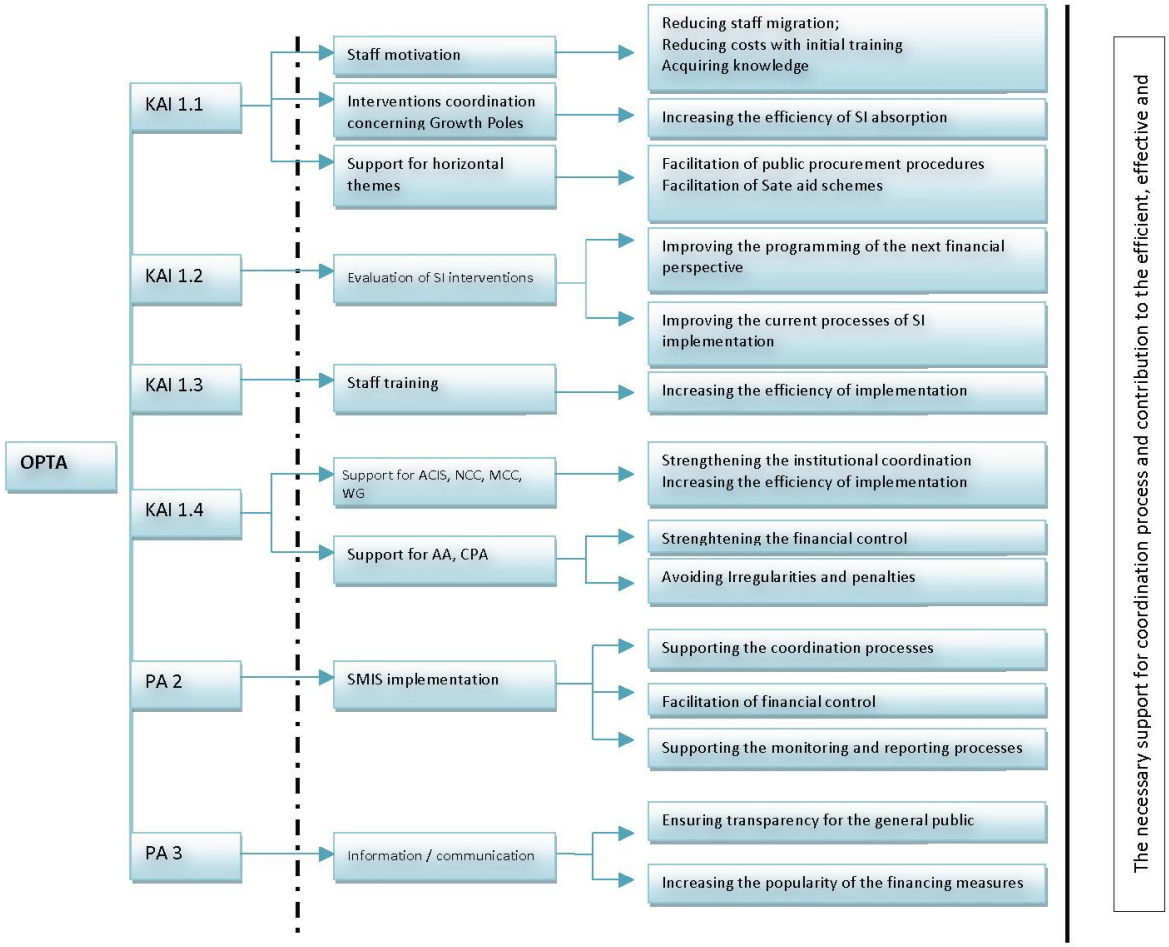
The debate was based on the following main themes:

- The progress in reaching a common evaluation culture, from the point of view of the independent evaluators;
- The independents evaluators perception of the OPTA activities for achieving a common evaluation culture;
- The complementarity of the ACIS effort (through OPTA) and the independent evaluators efforts in reaching a common evaluation culture.

**List of participants:**

| | Name | Organisation |
|---|---|---|
| 1. | Dragoş Pîslaru | GEA Strategy&Consulting |
| 2. | Livia Pîslaru | GEA Strategy&Consulting |
| 3. | Radu Kubinschi | Deloitte Consultanţă |
| 4. | Suzana Dobre | Societatea Academică Română |
| 5. | Rodica Novac | ADO SAH ROM |
| 6. | Elisabeta Vârlan | Independent evaluator |

## Annex 5 – Effects Diagram



## Annex 6 – References

### Documents review

Name

ACIS organisational chart

Operational Programme Technical Assistance

Framework Document for Implementation of OPTA 2007 – 2013

OPTA Applicant's Guide

OPTA Working Plan for 2008-2009

Informative note regarding the implementation status of OPTA Working Plan for 2008-2009 at 31.05.2009

Informative note regarding the implementation status of OPTA Working Plan for 2008-2009 at 30.10.2008

AA – Audit Report - September 2009

CPA – Final Report regarding the mission to ensure the correct functioning of the OPTA MA managing and control system and to verify the expenses declarations no.2 and no.3 within OPTA KAI 1.4

Directorate for Internal Audit - Internal Audit Report regarding the evaluation of the preparedness and implementation status for the projects financed through SI

Note on difficulties encountered during the OPTA implementation process and remedial proposals

GEO on actions and normative regarding the specific expenses of the central and local public administration, as beneficiaries of Structural Instruments, the Instrument for Pre-Accession Assistance and the European Neighbourhood Policy Instrument

Forms regarding the TA use 31/12/2009

Monthly reports regarding the OPTA contracted projects, June 2009 – March 2010

OPTA – finalised contracts / expenses, CCTA 27/01/2010

Committees and Working Groups

CCTA decisions synthesis, 22/09/2009

Minutes of the fifth meeting of the CCTA

OPTA Monitoring Committee decisions Synthesis 2007-2103, 16/05/2009

OPTA Monitoring Committee decisions Synthesis 2007-2103, 31/10/2008

OPTA Monitoring Committee decisions Synthesis 2007-2103, 3/06/2009

Management Coordination Committee Proceedings, 24/09/2009

Management Coordination Committee Proceedings, 26/06/2009

Operational Communication Working Group Proceedings, 05/09/2008

Operational Communication Working Group Proceedings, 16/01/2009

Operational Communication Working Group Proceedings, 6/02/2009

Communication Working Group Proceedings, 06/04/2009

Communication Working Group Proceedings, 08/05/2009

Communication Working Group Proceedings, 05/06/2009

Communication Working Group Proceedings 0/07/2009

Communication Working Group Proceedings, 02/10/2009

Communication Working Group Proceedings, 06/09/2009

Evaluation Working Group Proceedings, 23/04/2009

Communication Working Group Proceedings, 19/06/2009

Communication Working Group Proceedings, 12/10/2009

Monitoring Working Group Proceedings, 30/04/2009

Communication Working Group Proceedings, 30/09/2009

Main results of the Monitoring Working Group 2009

Main results of the Future Cohesion Policy Working Group 2009

Main results of the Evaluation Working Group 2009

Main results of the Cost-Benefit Analysis Working Group 2009

Main results of the Communication / SMIS Working Group 2009

## Communication

National Communication Strategy for Structural Instruments in Romania 2007-2013

OP DAC Communication Plan

SOP Transport Communication Plan 2007-2013, second version

SOP IEC Communication Plan 2007-2013

SOP HRD Communication Plan POS DRU 2007-2013

SOP Environment Communication Plan 2007-2013

OPTA Communication Plan 2007-2013

ROP Communication Plan 2007-2013

Communicators Forum Minutes, 29/06/2009

SMIS-NSRF Working Group Conclusions, 27/02/2009

SMIS-NSRF Working Group Conclusions, 09/032009

## Training

Training needs assessments for EU Structural Instruments 2009-2011

Report on up-dating the training needs at the level of the institutions created for the IS absorption, 2010-2011

Training Plan 2010

Training Mechanism for Structural Instruments

Organisation and Functioning Regulation TWG, 10/09/2008

## OPTA Procedures 2009

Procedures Manual for OPTA Implementation 2007-2013

Procedures Manual for OPTA Implementation modifications

Annex B3-Projects modifications

Annex B5-Irregularities

Annex B6-Payments certification

Annex B.1-Application for financing

Annex B.2-Financing decision

Annex B.4-Reimbursment claim

Annex C1.3-Storage and archiving

Annex D-Risk Management

Annex E1-Help-desk function

Annex E2.2-Procedure for the SI projects implementation

Annex E3-Contracting procedure

Annex E4-ALOP public procurement procedure

Annex E5-Filing and archiving public procurement file

Annex F-Preventing Financial Control

Annex G-Accounting

OPTA Procedures 2008

Procedures Manual for OPTA Implementation 2007-2013

Annex B1-Projects evaluation

Annex B2-Contracting

Annex B3-Modification

Annex B4-Operations verification

Annex B5-Irregularities

Annex B6-Certification

Annex C1.3-Storage and archiving

Annex D-Risk management

Annex E2.2-Implementation activity

Annex E3-Contracting procedure

Annex E4-Invoices and payments verification

Annex E5-Filing and archiving public procurement file

## Annex 7 – In-depth Analysis – SI Coordination Structures Eligible for OPTA Support

The coordination structures for SI at horizontal level in Romania could be mapped in a graphical form as seen below:

*Figure 9: The Coordination of SI Implementation*

As far as **hierarchical coordination** is concerned, a National Coordination Committee (NCC) for the SI[105] was created at the highest governmental level. According to the legislation, the NCC provides the strategic correlation of EU-funded interventions. NCC members are coordinating ministers of ACIS, of the Payment and Certification Authority and MAs of the OPs. The Prime Minister chairs the president of NCC. In exerting its attributions, the NCC can propose to the Government measures for enhancing the implementation of the SI. NCC meetings take place every 3 months[106].

For **operational correlation**, a Management Committee for Coordinating the SI (MCC)[107] was created. This entity is headed by the Director General of ACIS and identifies the potential problems and obstacles that may interfere with the process of implementing the SI. It also establishes the technical, procedural and institutional measures that do not involve a higher decision-making level and keep the NCC informed of the political and legislation measures that are necessary. The members of the MCC are high-level officials within the MA for the OPs, the PCA and the AA. The MCC is the main instrument for solving coordination and shared problems (including the TA-related ones as reported by CCTA). MCC meetings take place each month.

Under the auspices of the MCC, a number of WGs were created in order to address coordination needs specific to various TA domains, The WGs' meetings take place as often as necessary to solve all the problems emerging within a cross-institutional coordination.

The **Evaluation Working Group** (EWG) – coordinates the process of establishing structures, systems and

[105] *Created in 2004, but refreshed from a legal point of view by HG nr. 457/2008 concerning the institutional framework of coordination and management of the structural instruments.*

[106] *In practice, at top governmental level, NCC was replaced with weekly cabinet meetings under the name of - Inter-ministerial Group for Monitoring the Community Funds Absorption.*

[107] *Idem.*

procedures concerning the evaluation of SI-funded programs, and implies the following responsibilities:

- Provides the NSRF/OP level evaluations coordination and submits to MCC/NCC enhancement measures based on the evaluation results;
- Generates the functioning pattern of evaluation on NSRF and OPs level;
- Ensures a good cooperation between all evaluation units at MA level, supporting know-how exchanges and best practice developments in evaluation implementations;
- Provides strategic guidance for MA evaluation units concerning their activity;
- Provides common evaluation standards and monitor their implementation for NSRF/OPs evaluation;
- Supports with opinions the Evaluation Central Unit (ECU) in its activity' of developing a Romanian evaluation culture and a professional evaluation community.

EWG members are representatives of ECU, as well as every evaluation units at MA level.

1. The **Training Working Group** (TWG) – provides a coherent analysis of the training needs and coordinates the planning, monitoring and evaluation of the training programmes, implying the following responsibilities[108]:

- Developing and implementation of a Annual Training Plan, both for the newly-recruited and the existing personnel, by assuring a good cooperation among all entities involved in the UE funds management field;
- Assures the coherence of the projects proposed by the WG members with the training needs analysis results and with the existing annual training planning;
- Contributes to identify the standards and necessary requirements for providing an effective and efficient training system;
- Coordinates the monitoring of the UE funds management training.

FWG is composed of representatives of ACIS, MAs, AA and PCA.

2. The **Communication Working Group** (CWG) – provides the coordination of the information and publicity activities, and has the following responsibilities:

- Provides the communication coordination at SI level;
- Develops and implements coherently the National Strategy for Communication and the CPs of the OPs;
- Develops the visual identity manual for the SI;
- Develops the cross-institutional cooperation procedure (networking procedure) for the coordination of the communication activities;
- Correlates the implementation of the communication activities within the CPs of the OPs;
- Provides support in taking the decisions concerning the implementation of the CPs;
- Provides a functional mechanism of coordination regarding the communication process for the SI.

CWG members are the communication coordinators within the MAs as well as the ACIS communication representatives, the latter providing also the presidency and the secretariat for the WG.

3. The **SMIS Working Group** (SMIS WG) – provides the development and the coordination of the IT system for the management of the structural instruments (SMIS), and has the following objectives[109]:

- Takes part in the process of the SMIS user needs assessment;
- Approves the specific SMIS implementation requirements;
- Collects and analyses the parameters, reports, institutional structures, SMIS changes and developments;
- Provides know-how transfer related to SMIS field;
- Ensures a good cooperation between SMIS operational units within various institutional actors involved in SI implementation;
- Identifies the training needs and elaborates the training planning for SMIS.

[108] *Source: TWG Functioning and Organisation Regulations.*

[109] *Source: SMIS WG Functioning and Organisation Regulations.*

SMIS WG members are representatives of ACIS, PCA, AA and SMIS coordinators in MAs.

4. **The Monitoring Working Group** (MWG) – ensures the adequate coordination of the monitoring process of the OPs and facilitating a coherent approach and a common terminology in the monitoring and reporting activity, by exerting the following attributions[110]:

- Coordinating the setting up/ organization of the Monitoring Committees (MCs) for the OPs;
- Coordinating the drafting of the annual implementation reports (AIR);
- Analyzing the specific monitoring mechanisms that underline the critical aspects in the implementation of the OP (early warning system, the n+2/ n+3monitorisation rule, etc.), having in view the identification of the corrective measures in due time;
- Discussing the issue of horizontal themes;
- Ensuring an unitary monitoring framework at the level of the OP level by establishing a set of clear directions;
- Disseminating documents and information regarding the monitoring of the structural instruments drafted by the EC, by experts from other Member States or synthesis materials drafted by ACIS;
- Organizing specific training sessions on common interest issues for the monitoring of structural instruments;
- Identifying corrective measures in the process of monitoring the Operational Programmes in order to increase the implementation efficiency and informing the CMC/ MA heads about these.
- The MWG is organized by the MD within ACIS and is made up of representatives of the MA who have monitoring attribution at OP level. At the MWG reunions also take part representatives of the other directorates from ACIS and from ACP.

5. The **Cost-Benefit Analysis Working Group** (CBA WG) – responsible for the setting up of cost-benefit analysis capacity, with the following attributions[111]:

- Initiating and supervising the activities for the development of CBA capacity for investment projects requesting financing through structural and cohesion funds;
- Designing and updating the work plan for CBA WG;
- Elaborating and updating the National Guide for Cost-Benefit Analysis;
- Correlating the sectoral guides with the National Guide;
- Reports on the activity of CBA WG provided to the Management Committee for Structural Instruments and, through the latter, to the National Coordination Committee;
- Ensuring the exchange of experience and best practice in the field of CBA;
- Designing common standards for the cost-benefit analysis;
- Providing – proactively or at the request of other entities – points of view on legislation and procedural aspects concerning cost-benefit analysis.

The WG CBA members are representatives of ACIS, MAs fot SOP Transport, SOP Environment, ROP and SOP Increasing Economic Competitiveness (SOP IEC). Other experts may be invited to participate in CBA WG meetings, depending of the specific analysis domains. CBA WG was not very active in 2009, as the launch of the TA project meant to specifically support its activity through OPTA was postponed to 2010.

6. The **Future of the Cohesion Policy Working Group** (Cohesion WG) – focused on defining Romania's position concerning the future of the CP at EU level, as well as on providing information regarding the position of other Member States. This WG was active throughout 2009 and became inactive once Romania's official position was adopted.

7. Furthermore, two more working groups were initially organised: Implementation/Manuals WG & Financial Management and Control WG. These two WGs met only at the beginning of the programming period and can be considered inactive.

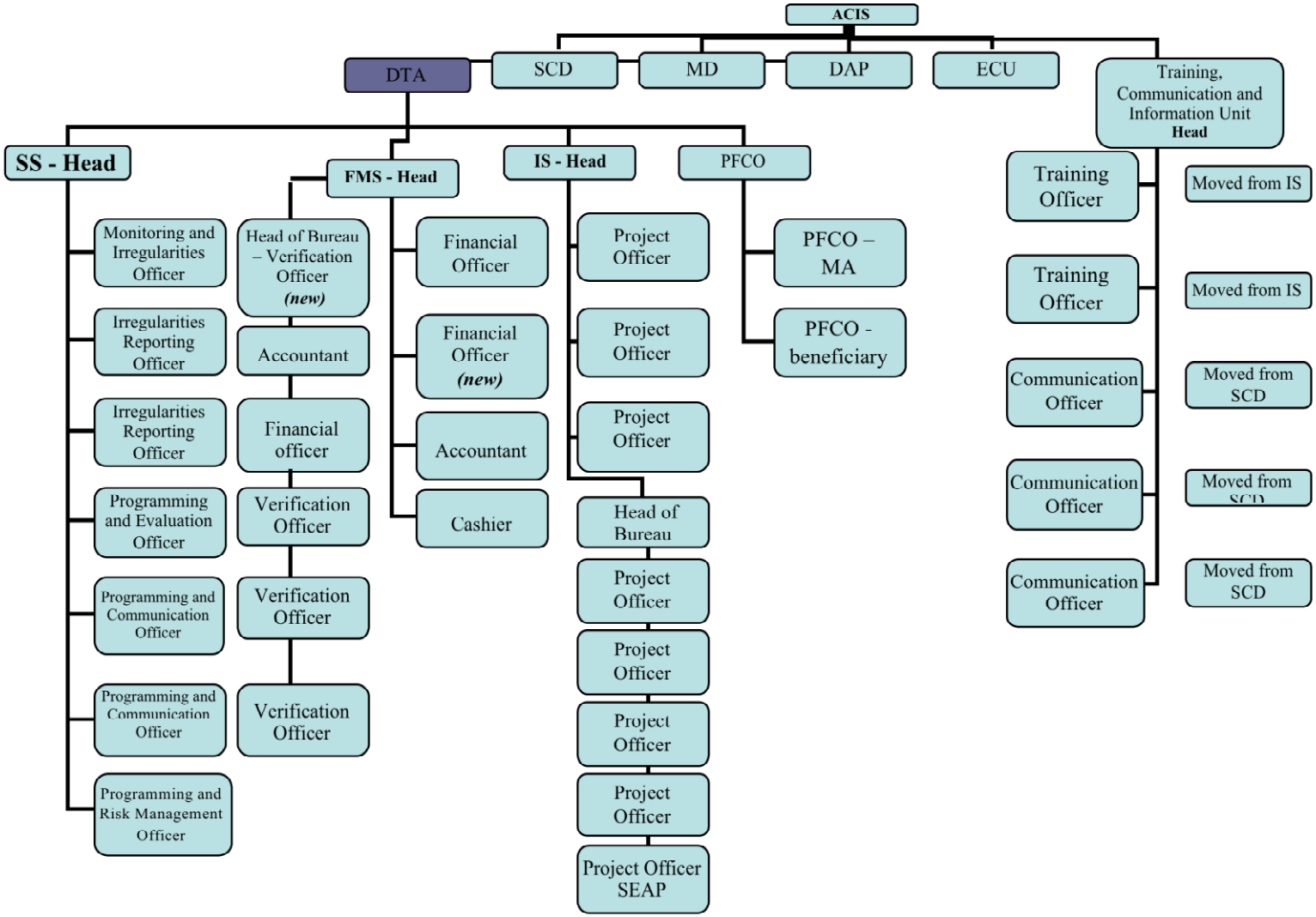
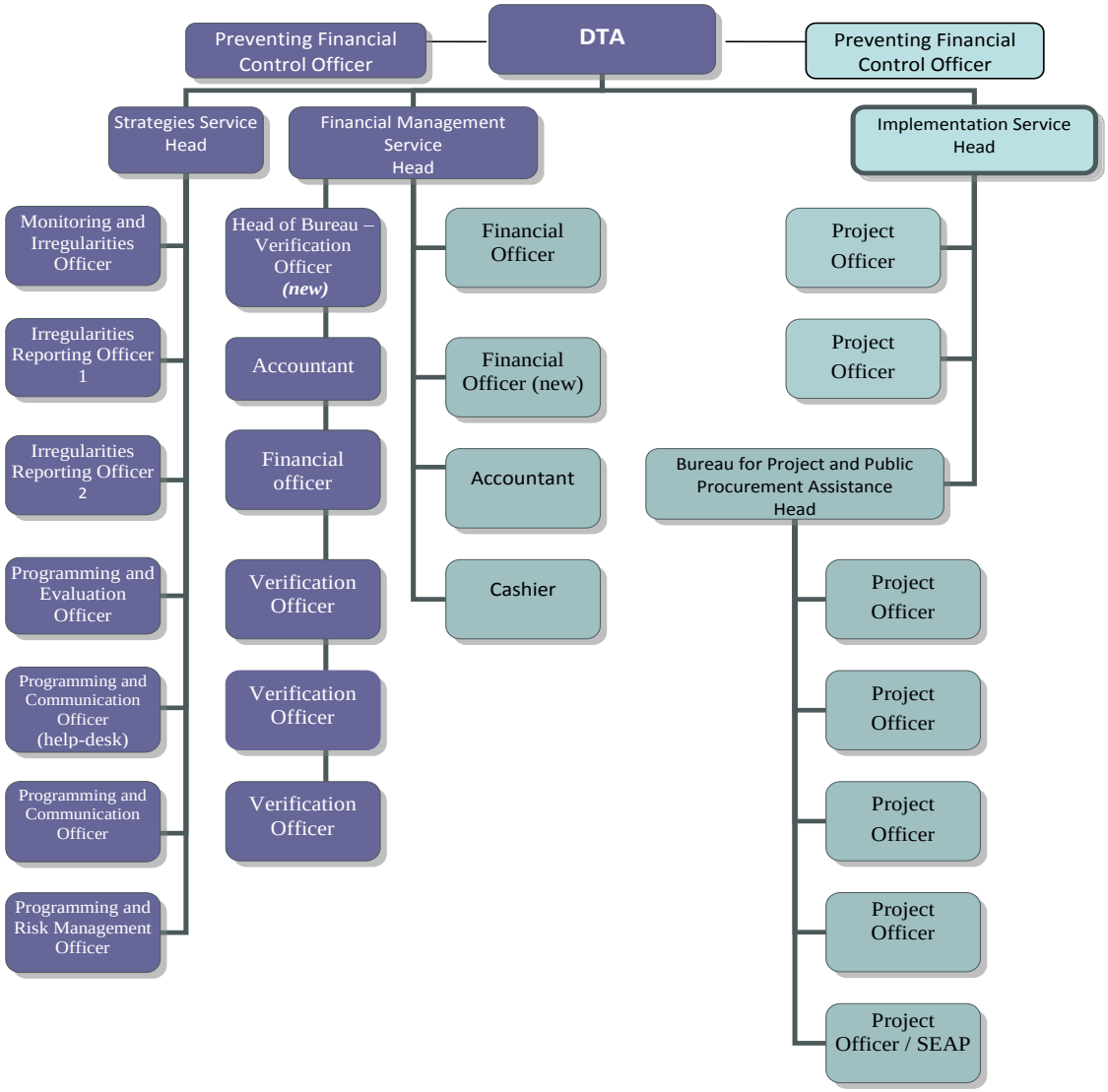
As a procedure, the conclusions and the recommendations of all the WGs are brought to the MCC/NCC

[110] *Source: MWG Functioning and Organisation Regulations.*

[111] *Source: CBA WG Functioning and Organisation Regulations.*

attention, and are taken into consideration for the strategic and operational improvements of SI implementation. The activity of MCC, CC AT and of all WGs is eligible for OPTA support.

## Annex 8 – Proposed Organizational Chart - ACIS



## Annex 9 – Proposed Organizational Chart - DTA