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2007 - 2013

Ministry of European Funds

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during the period 2011-2015**

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2020"***

First Interim Evaluation Report on the Administrative Capacity of the Authorities and Beneficiaries of CSF Funds

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Ex-ante evaluation of the Partnership Agreement 2014- 2020

First Interim Evaluation Report on the
Administrative Capacity of the
Authorities and Beneficiaries of CSF
Funds

Ministry of European Funds, Romania



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List of abbreviations

Abbreviation	Explanation
AA	Audit Authority
ACIS	Authority for the Coordination of Structural Instruments
ACP/CPA	Certifying Payment Authority
AIR	Annual Implementation Report
NASR	National Agency for Scientific Research
NA for Roma	National Agency for Roma population
CAP	Common Agriculture Policy
CFP	Common Fisheries Policy
CC	Consultative Committees
CF	Cohesion Fund
CPA / ACP	Certifying and Paying Authority
CPR	Common Provision Regulation
CSF	Common Strategic Framework 2014-2020
UAPE	Department for Analysis Programming and Evaluation
DLAF	Department for Fight against Fraud
EARDF	European Agriculture and Rural Development Fund
EBRD	European Bank for Regional Development
EC	European Commission
EMFF	European Maritime and Fishery Fund
EIB	European Investment Bank
ER	Evaluation Report
ERDF	European Regional Development Fund
ESF	European Social Fund
ETC	European Territorial Cooperation
EU	European Union
ECU	Evaluation Central Unit
FR	Final (progress) Report
FWC	Framework Contract
GD	Government Decision
IB	Intermediate Body
ICPA	Inter-institutional Committee for the Partnership Agreement
IR	Inception Report
M	Month
MA	Managing Authority
ME	Ministry of Economy



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MEF	Ministry of European Funds
MLFSPE	Ministry for Labour, Family, Social Protection and Elderly
MNE	Ministry of National Education
MEUR	Million Euro
MR	Monthly Report
MRDPA	Ministry for Regional Development and Public Administration
NSRF	National Strategic Reference Framework
OP	Operational Programme
OP ACD	Operational Programme Administrative Capacity Development
OPTA	Operational Programme for Technical Assistance
PA	Partnership Agreement
PAIA	Paying Agency for Interventions in Agriculture
PARDF	Paying Agency for Rural Development and Fisheries
NPRD	National Programme for Rural Development
OPF	Operational Programme for Fishing
ROF	Regulation for organisation and functioning (Internal Regulations)
ROP	Regional Operational Programme
Q	Evaluation question
SI	Structural Instruments
SMIS	Single Management Information System
SOP IEC	Sectoral Operational Programme Increasing Economy Competitiveness
SOP HRD	Sectoral Operational Programme Human Resources Development
SOP E	Sectoral Operational Programme Environment
SOP T	Sectoral Operational Programme Transport
ToR	Terms of Reference
WG	Working Groups



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1 EXECUTIVE SUMMARY

“The poor administrative capacity is a core concern for Romania. The ineffectiveness of the Romanian public administration with overregulation and cumbersome and inefficient procedures hampers the business environment and the capacity for public investment”

(European Commission, 2013)

The low administrative capacity is considered as one of the main factors contributing to the low rate of absorption under the current programming period; Romania is currently lowest in the EU rankings for structural, cohesion and fishery funds.

In this context, the Ministry of European Funds commissioned an assessment of the administrative capacity of the institutions with responsibilities in the management of EU funds as part of the Ex-ante evaluation of the Partnership Agreement. The first assessment looks at the 2007-2013 periods in order to identify the lessons learned that could be used for improving the administrative capacity.

After the new institutional framework is defined, the assessment will then look at the proposed institutional framework for 2014-2020 in order to formulate an opinion regarding the way Romania could improve the administrative capacity in order to make the best use of the funds available.

The assessment has to respond to the question: “Is the authorities’ and beneficiaries’ administrative capacity sufficient for an appropriate implementation of CSF funds?”

A summary of the main needs for improving the administrative capacity of the authorities and beneficiaries, based on the conclusions of the assessment, is presented below.

Summary of conclusions regarding the administrative capacity of the authorities and beneficiaries

The administrative capacity of the authorities and beneficiaries is a serious challenge for the effective implementation of the CSF funds. **Significant improvements are needed**, which should be built on the capacities developed during the 2007-2013 period.

The challenge for the Romanian authorities is to find the appropriate solutions to improve the administrative capacity and performance in the system responsible for EU funds management, in an environment where the progress in improving the entire public system is slow and uncertain. During the period 2007-2013, the measures to improve the administrative capacity of the EU funds management system were hindered by the systemic weaknesses of the Romanian public administration.

Romania is doing well in terms of **formal compliance**, such as setting up structures, formalising cooperation, creating tools and systems, but the **functioning of the system remains poor**.

The experience of the current programming period indicates the fact that increased authority of the management and coordinating bodies, **stability of the organisations’ structures and the whole overall framework have to be ensured**, in order to improve the institutional performance and the inter-institutional cooperation.

Although the partnership structures are created, **limited capacity in policy management, ineffective communication and cooperation tools** are among the factors influencing the effective participation of the partners in the programmes management cycle.



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Ensuring adequate human resources quantitatively and qualitatively is a key problem of the system. Largely **the HR function is limited to compliance with the requirements** to set up specific HR processes but their effectiveness is limited. The organisations **do not have a sufficient capacity to effectively use HR policies and practices**, to ensure adequate resourcing and to respond to the performance requirements and changes in the environment.

There is a need to align people performance with the organisation's performance, a shift from competences based to "results based" performance management, in order to better **orient efforts of the individuals towards the OPs performance targets**. The **reward system** has to be able to attract and retain good professionals and stimulate performance.

There is a need to create and offer training opportunities in order to ensure the competences in critical areas and a continuous professional development of the staff. The **training system has to be strengthened** using the past good practice such as the training mechanism managed by ACIS and the training practice from ROP MA, reinforcing the coordination and renewing the approaches and methods according to the best practices in the training world.

It is evident from the 2007-2013 period that, in the case of organisations where the capacities were built on the previous experience and with stable human resources at management level and critical positions, these organisations dealt better with the demanding performance requirements and the constraints of the economic and social environment. **More stability of the structures, of the managers** and people in key positions has to be ensured.

As a general feature, the **implementation system looks overregulated with complicated** and in many cases unclear procedures associated with excessive bureaucracy and high administrative burden have slowed down and even blocked the processes, mainly at the expense of the beneficiaries.

The allocation of responsibilities at all levels has to be reviewed and **procedures simplified** reducing the administrative burden. The tools used in programme implementation in all phases have to be clear, useful and friendly to beneficiaries.

A more effective indicators system, with an improved design, methodologies and capacity at all levels to use, calculate and report indicators. Production of data needed for the indicators selected has to be ensured.

The potential of the electronic systems is not fully used, and improvements are needed in terms of reliability and user friendliness. For 2014-2020 more useful features for the users are required than the present ES have. **Implementation of the e-cohesion concept** will enhance the simplification, administrative burden reduction and transparency.

A key problem encountered in the 2007-2013 exercise in using the systems and tools, is **the limited reliability of the management and control systems**. The irregularities identified in the management and control of public procurement would appear to be of a systemic nature, while other system irregularities in the activities of project appraisal and selection appear, such as fraud, suspicion of conflicts of interest and connivances.

The procedures for payment flows, expenditure forecasts and certification of expenditure need significant improvements being **excessively bureaucratic with prolonged processes**, and **low predictability** of the forecasts.

The **internal audit** does not appear to contribute to early detection of system irregularities. **Risk management is not properly used** as a management tool in all organisations and the



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management of irregularities has significant gaps in terms of prevention and correct recording of the current and future management.

The programming period **2007-2013 was a challenge for the beneficiaries**, due the new rules that were significantly different from those applied in the pre-accession programmes, the larger sizes of the projects, and, in some cases, involvement of the same entity in a large number of projects.

The **project management capacities built in the public institutions** responsible for a large amount of the funds to be absorbed, such as local and central public institutions, who are the key operators of public infrastructure, are a major area for further development.

Strengthening of the organisational capabilities to ensure sustainable capacities for project management is a key need and includes improved management and control systems, better integration with other functions of the institution, and improved competences in particular areas of expertise. **Public procurement and project management skills** continue to be training priorities. **Improved capacity for preparation of the technical documentation** in the case of infrastructure remains an issue to be addressed. There is limited capacity of the key development actors at regional, local, and sectoral level to manage project pipelines and ensure mature projects ready for implementation. For a number of sectors at regional level, there is no organisation empowered to implement sectoral policies, e.g. RDI, tourism, SMEs etc. The intentions to use more strategic integrated projects in 2014-2020 period will impose strengthening of these development actors mentioned above, able to facilitate or directly develop and implement such projects.

In the case of private and small beneficiaries, there needs to be ensured **simple procedures, clear guidelines** and **easy access to consultancy services** in terms of availability and affordability. **Consultancy services have to evolve** to respond to the market needs, through smooth and transparent procurement processes and predictable opportunities created in the programmes' implementation.

The beneficiaries have a limited capacity to mobilise financial resources, which remains a key issue and risk factor for programmes performance.

Recommendations

R1. Ensure increased authority¹ of the management and coordinating bodies, stability of the organisations' structures and the overall framework, in order to improve the institutional performance and the inter-institutional cooperation.

R2. Improve effective participation of the social partners in the programming process and the monitoring committees; improved coordination of the processes, provision of information and improvement capacity of the social partners has to be considered.

R3. *Develop the HR function in the system of the CSF funds.* Capacity for the management of the HR function has to be created with a central body at the level of MEF, strong coordination and adequate use of TA resources. Cooperation with the HR departments of the ministries and integration with their processes as many as possible is needed. Use of models from the business sector, analysis of the HR processes should be regularly performed in order to monitor effectiveness of the function and progress in development of the administrative capacity

¹ Power made legitimate by laws, written rules, and regulations.



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R4. Revision of the whole management system in order to simplify procedures, should focus on the optimal use of call for proposals, reasonable/minimum documents requirements for all phases, clarity and agreement on the interpretation of the procedures by all control bodies, the use of standard costs and lump sums where appropriate, etc.

R5. Develop user friendly guidelines, manuals, helpdesks, tutorials, with an extended use of ICT, in order to ensure easy access for all beneficiaries.

R6. Ensure development of an effective indicators system in line with the EC methodology, with adequate capacity at project and programme level to use the indicators and to produce data for the calculation and monitoring of the indicators. This should be implemented through coordination at MEF level, including a provision of guidance and training to all users of the system. MEF have to ensure the data providers have the capacity and ability to assume production of data.

R7. Extend implementation of the e-cohesion concept in all processes of data exchange with the beneficiaries.

R8. Strengthen the management and control systems of the authorities. This needs to be implemented through improved competences in internal control, risk management, and the prevention, detection and management of irregularities.

R9. More effective technical assistance support measures for the beneficiaries are needed to address the key weaknesses: project management skills, management of project pipelines, public procurement, technical skills, access to guidance and assistance, etc.

R10 Identify, strengthen or create, capacities for policy implementation for the key sectors funded from CSF, at the national and regional level, e.g. regional bodies for RDI policy implementation, SMEs, Human Capital, etc

R11. Improved access of the beneficiaries to finance to be ensured through accessible pre-financing mechanisms, an improved bankability² of the projects, simplified and quick reimbursements during the projects implementation,

Other factors enhancing the capacity of the authorities and beneficiaries

Implementation and progress of the public administration reform in Romania is a key external factor necessary to create a favorable environment for the implementation of administrative capacity measures addressed to the public institutions authorities and beneficiaries.

For the private beneficiaries, an essential external factor is the improvement of the business environment with a reduced administrative burden that will stimulate entrepreneurship and investments.

² The adequacy of a project to qualify for a bank loan in order to cover cofinancing and implementation cash-flow needs



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2 Introduction

2.1 Background and context

This report is part of the Ex-ante Evaluation of the Partnership Agreement (PA), commissioned by the Ministry of European Funds to the Consortium Ecorys Nederland – L&G Business Services srl.

The Ex-ante Evaluation of the PA 2014-2020 is delivered under the framework agreement no. 23/22.08.2011 for the evaluation of structural instruments during the period 2011-2015, lot 1 – evaluations, subsequent contract no. 5.

The objective of the ex-ante evaluation of the PA is defined in the Terms of Reference (ToR) as:

“to bring a real added value and to improve the quality of the documents that are to be negotiated with the European Commission (EC), according to the new draft regulations on the funds of the Common Strategic Framework (CSF) 2014-2020 and to make value judgments and recommendations regarding the programming related aspects, issued by experts independent of those involved in programming”.

The ToR defines three specific objectives of the assignment:

- To ensure the internal and external coherence of the PA;
- To ensure the adequate administrative capacity of the authorities and beneficiaries for a good implementation of the CSF funds;
- To ensure adequate electronic systems for the exchange of information between the authorities and the beneficiaries.

The present report contributes to the second objective of the assignment.

The implementation of the 2007-2013 programmes raised concerns regarding the current administrative capacity of the authorities and beneficiaries involved in the EU funds³ management, because the low performance of the operational programmes, the slow implementation, low absorption of funds and the corrective measures applied by the European Commission.

The preparations for the 2014-2020 period has already started and the Romanian authorities have to undertake the appropriate measures to ensure the system for the implementation of the CSF funds will have sufficient administrative capacity for delivering the expected outputs and achieve the EU policies objectives.

This current report aims to inform the Ministry of European Funds on what has worked and what did not work in the system, which weaknesses have to be addressed, and which strengths could be used in building the administrative capacity for the 2014-2020 period.

³ By EU funds we refer in this report the following: Cohesion Policy Funds (European Regional Development Fund, Cohesion Fund, and European Social Fund), the Common Agriculture Policy Fund (European Agricultural Rural Development Fund) and the Common Fisheries Policy (European Fisheries and Maritime Affairs Fund).



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2.2 Evaluability of the administrative capacity of the beneficiaries and the authorities

According to the ToR, the evaluators are asked to respond to the question: “Is the authorities’ and beneficiaries’ administrative capacity sufficient for an appropriate implementation of CSF funds?”

The [Common Provisions Regulations \(CPR\)](#), [Title I, Article 4](#), paragraph 9 stipulates “ the Commission and the Member States **shall ensure the effectiveness of the CSF Funds during preparation and implementation**, including through monitoring, reporting and evaluation”. In order to fulfil this requirement, the Partnership Agreement has to provide, according to [Article 15, Title Me of the CPR](#) the arrangements for the administrative capacity of the authorities and where appropriate, beneficiaries.

The **authorities responsible** for the efficient implementation of the CSF are all partners involved in the programming and later in the implementation of the operational programmes. According to the CPR Title 1, Article 5, the partners include competent regional, local, urban and other public authorities as well as economic and social partners, and concerned bodies representing civil society, environmental partners, nongovernmental organisations and bodies responsible for promoting equality, and non-discrimination.

In the sense of this assessment “authorities” means all organisations falling in the category described above and “beneficiaries” means any organisation involved in the preparation or implementation of a project funded from EU funds.

The current assessment, the first of the three assessments foreseen for question II of the assignment is performed before the institutional architecture for the CSF 2014 – 2020 is established.

For this reason, the assessment is focused on the current capacity of the authorities and beneficiaries involved in the implementation of the 2007 – 2013 operational programmes, with a view to the potential transfer of capacity to the future CSF and operational programmes. The analysis also looks at the programming processes for 2014-2020, as has been implemented to the reporting date, 10th of May 2013.

The assessment of the administrative capacity of the authorities and beneficiaries is a very complex assignment. Our work is limited to providing support to MEF to make value judgements and recommendations regarding the aspects related to administrative capacity of the authorities and beneficiaries for CSF 2014-2020.

Therefore, the assessment is limited to the functions related to the policy/programme/project cycle management and will not assess the authorities/beneficiaries organisations as a whole entity.

The analysis is based mainly on the previous studies and evaluations, evidences available in the organisations from internal analyses, and management tools used to identify the existing capacity or gaps. These sources have been completed and verified with information collected through interviews, online surveys and focus groups. In instances where there has been an unavailability of good quality data and evidence the findings are limited to opinions or to more general conclusions and require further analysis. These areas where further analysis is needed are clearly indicated in the report.

The quality of the data and information collected through the surveys depends on the response rate and the experience/understanding of the administrative capacity issues of the person assigned by each institution to fill in the questionnaire.



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In the case of the beneficiaries' surveys, and based on previous similar experiences, we anticipated a limited participation and a low rate of responses. This fact has imposed a precautionary interpretation of the results, mentioned upon each respective case.

The common and the particular fund regulations are still provisional and their approval is expected in autumn 2013. The issues in a discussion between the European Commission, the Council and the Parliament indicate there will not be changes with significant impact on the administrative capacity requirements.

The structure of the report is composed of five chapters

The first chapter is the **Executive Summary** presenting in a concise manner the assessment scope and method, the key findings of the analysis the conclusions and the recommendations for strengthening the administrative capacity of the authorities and the beneficiaries.

Chapter 2 is the **Introduction**, consisting of the background and context information, the scoping and the limitations of the assessment

Chapter 3, the **Approach and Methodology** inform about the methods applied in the assessment; we present previous experiences in similar assessments, the selection the meaning of the elements and criteria for assessments. Each method and tool has a short description of the scope and how was applied.

Chapter 4 comprises the **Assessment of the authorities** and includes a short presentation of the way the methods have been applied, the analysis with the findings of the current capacity of the authorities, the conclusions and recommendations.

Chapter 5 is dedicated to the **Assessment of the beneficiaries** and includes similarly to the previous chapter the practical aspects of the data and information collection, the analysis, the findings regarding the current capacity of the beneficiaries, the conclusions and recommendations for the improvement of the beneficiaries capacity.



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3 Approach and methodology

The aim of the project is

to provide a clear image on the current administrative capacity of the authorities and the beneficiaries, with a view to the necessary measures for improvement, to ensure the efficient implementation of the CSF Funds 2014-2020.

Definitions and components of the administrative capacity

Administrative capacity can be defined as the ability and skill of central and local authorities to prepare suitable plans, programmes and projects in due time, to decide on programmes and projects, to arrange the co-ordination among principal partners, to cope with the administrative and reporting requirements, and to finance and supervise the implementation correctly, avoiding irregularities as far as possible (ECORYS/NEI, 2002).

For the authorities

Broadly three elements of administrative capacity can be distinguished – **policy (including structure), people** and **systems** (World Bank, 2006b). These dimensions relate to three specific types of capacities that are subjects of administrative development interventions. These components have also been used for the development of key indicators to measure the administrative capacity to manage Structural Funds (ECORYS/NEI, 2002).

The first dimension deals with **structural development of the institutional framework and the organisations** and seeks to enhance the existing organisational structures and mechanisms that exist in order to improve the policies implementation.

The **human resources dimension** aims at the development of the individual capacity and is part of the broad area of human resource management. This dimension includes recruitment, equipping individuals with information, knowledge, and training in order to enable them to effectively carry out their tasks. Interventions focus on recruitment and career management, as well as on the existing incentive and merit systems.

Finally, the dimension of **systems and tools** refers to the development of instruments, methods, guidelines, manuals, systems, procedures, forms, etc., which enable organisations to transform tacit and implicit knowledge (within the heads of individual people) into explicit knowledge that can be shared across organisations (ECORYS/NEI, 2002). ICT infrastructure, and in particular E-Government as a tool to improve service delivery, is a particular aspect of the dimension of systems and tools.

The relevant literature reveals the influence of contextual factors on the administrative capacity development measures. We distinguished the institutional stability, stakeholder involvement, alignment of goals between the involved actors and effectiveness of cooperation between actors involved (SEOR, 2006). Other success factors in the implementation of the administrative capacity development measures include the following: the existence of a custom, country-specific approach that clearly identifies the main weaknesses of administrations as well as the central policy areas that require administrative support (diagnosis level), sufficient focus on the regional and local dimension, and the need for the institutional and administrative capacity building process to follow a framework of coherent reforms – rather than ad hoc actions (Ecorys,2010). The context factors, relevant for the Romanian EU funds system, are fully considered in the design of the analysis tools.



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For the Beneficiaries

Three key dimensions of the administrative capacity of the beneficiaries have been identified in the previous study "Challenges associated to the capacity of SI Beneficiaries" (NSRF 2011) and have been adopted for this assessment for consistency of the methodology and comparability. The three key dimensions are capacity of the beneficiaries to manage projects, capacity to mobilise human resources, capacity to mobilise financial resources.

The first dimension Capacity of the beneficiaries to manage projects aims at ensuring the organisational capabilities to integrate the project management into the organisation, including a provision of adequate project structures, managers and expertise, reliable management and control function, preparation of mature projects.

Capacity to mobilise human resources aims at ensuring the adequate expertise quantitatively and qualitatively and include internal resources or use of external expertise through outsourcing.

The third dimension is the capacity to mobilise financial resources and looks at the availability of own and or borrowed financial resources as well as at the capacity to use the prefinancing mechanisms in place.

As in the case of the authorities administrative capacity we have considered a number of contextual factors part of them relating to the authorities capacity. The contextual factors refer to the environment of the projects implementation generated either by the EU funds system functioning (e.g. e-tools, adequacy of the guidelines, manuals and advice provided by authorities and contextual factors particular for the public administration in Romania, e.g. civil servants effectiveness and efficiency, corruption risks.

Methods

We have used in this assessment different methods to respond to the specificities of the assignment and ensure the triangulation principle is observed, as follows:

- *Literature and documentary research* for accessing public and published studies (including those from international organisations) and other related public documents, commonly not published but made available by the Ministry of European Funds and other institutions that are part of the system. The task was challenging due to the complexity of the subject area and the multitude of documents. The evaluation team has performed an inventory of the relevant studies and evaluations, and this will be continuously updated for the next two follow-up assessments foreseen in the assignment. The list of the documents analysed is included in Annex 1
- *Checklist*; in order to structure the analysis on the key issues reflecting the administrative capacity for each of the three dimensions we have designed two checklists; one for the assessment of the authorities, and one for the assessment of the beneficiaries, in order to capture the most relevant elements of the administrative capacity according to their different roles. The checklists will also be used as the basis for further assessments.
- *Online survey*; to collect information and data in an efficient manner from a large number of authorities and beneficiaries
- *Interviews*; to collect additional information and clarify information and preliminary findings from the survey and the documentary research.
- *Focus groups*; for facilitating and exploring mutual experiences at system, programme and national level; we have designed two focus groups, one for the assessment of the authorities, and one for the assessment of the beneficiaries
- *The data base*; collection of a broad variety of information, in a structured and meaningful manner, relevant to the assessment criteria. The information and data included in the database



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are linked to the checklists' items. Every time the assessment is run, the database provides the analysis with information and data that enables the evaluator to analyse the fulfilment of the criteria of the checklist.

- Presentation in the Inter-institutional Committee in charge of drafting the Partnership Agreement is a requirement in the ToR for consultation, information sharing and obtaining support for implementation of the recommendations.



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4 Analysis of the administrative capacity of the authorities

4.1 Information and data collection

The collection of information and data for the assessment of the authorities' administrative capacity started with the documentary analysis. The full list of the documents analysed is provided in Annex 1.

Based on the documentary analysis the checklist was designed and composed of elements of the administrative capacity of the authorities to be assessed individually. The checklist is structured on the three dimensions of the administrative capacity Structures, Human Resources, Systems and Tools.

Most of the requirements for appropriate Structures, Human Resources, Systems and Tools, are generated by the EU regulations and/or the Romanian legislation. A number of the elements derive from practice/good practice in HR, organisation and management and refers to the so called appropriate functioning.

The administrative capacity checklist translates the requirements identified and formulated as elements of the administrative capacity into a list of criteria used in the analysis and the assessment. The completed checklist with the assessment is attached as Annex 2a.

The evidence needed for the assessment of each criterion has been collected using several methods including the documentary analysis, an online survey, interviews and through the focus group.

The documentary analysis consisted of a review of studies, evaluations, internal analysis, and management tools applied in the organisations assessed. The evaluators reviewed a large number of studies and evaluations elaborated for the current period, but only a small number of these studies and evaluations included consistent analysis of the administrative capacity. The most relevant and detailed in content are: "Challenges associated to the capacity of SI Beneficiaries" (2011) and "The Assessment of the Administrative Capacities of Regions" (2011). Other studies and evaluations, intermediate/midterm assessments, formative assessments, and thematic assessment include sections covering the implementation of the operational programme and issues related to the administrative capacity.

An important tool for collection of data and information is the online survey. The questionnaire for the survey was applied using the Survey Monkey⁴ platform, which has multilingual support (including in Romanian), offers a user-friendly interface both for the developers of the questionnaire and for the respondents, processes the information and provides the results in a variety of formats and graphs. Another advantage of the online survey is the large number of respondents that can be reached quickly and efficiently. The questionnaire is attached in Annex 3 a.

The questionnaire contained thirty questions, combining a number of types of questions, simple choice or multiple choices, and matrix questions. All questions offered the possibility to introduce comments and explanations. The online questionnaires were applied to all MAs, IBs, Payment Agencies, Audit Authority and the Coordinating Structures of the Ministry of European Funds.

⁴ <http://www.surveymonkey.com>



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64 invitations to complete the survey were sent out. The rate of response was 73%. The MAs and the IBs had the largest participation to the survey 47.4% and 39.5%, respectively. 47 respondents from a population of 64 indicate a 95% confidence level that the answers are accurate to within +/- 7%. 95% is the accepted norm for confidence levels in surveys (American Association of Public Opinion Research (AAPOR) and American Marketing Association (AMA)), and the margin of error varies but 5% is fairly standard.

Most of the responses were provided by institutions involved with SOP Environment (27%) and SOP HRD (21%) followed by ROP with 19% and FOP 16% and the CBC programmes each with 11%. The Certification Authority did not provide any response or any input regarding their administrative capacity, either by interviews or focus groups. Although SOP IEC is a relatively large programme with four Intermediate bodies, we received only 2 responses. A summary of the survey results is presented in Annex 4a.

In order to obtain further qualitative information, we performed interviews with a number of organisations which could efficiently provide additional information regarding their capacity or that of other organisations they are working with or are responsible for. Interviews have been held with persons in a coordinating position or representing large operational programmes, e.g., Agriculture and Rural Development Managing Authority. The list of interviews is presented in the Annex 4.

Finally, one focus group with representatives of the authorities was organised to ensure through the interaction of the participants, clarification and provision of very valuable insight on specific preliminary conclusions from the methods applied. The focus group had 22 participants representing all OPs and types of authorities⁵. Details on this focus group are included in Annex 6.a (Agenda and List of participants).

In order to simplify the processing of information and data collected for the scope of the assessment, the evaluation team started developing a database, where the key data and information can be stored in a structured and meaningful way.

The database is Excel-based and includes data for the following institutions:

- Managing Authorities
- Intermediate Bodies
- Ministry of European Affairs
- Paying Agencies for NRDP and FOP
- Audit Authority
- Certifying Authority

The database includes the following elements:

- Indicator
- Measurement unit
- Source of information
- Link to checklist
- Value
- Date.

We suggest at this stage a number of indicators, but the database could be enriched by experience gained throughout the process of setting up and developing the CSF system. The utility of the database is reflected by the direct link of the data and information to the assessment criteria of the checklist. The assessment was largely based on the survey conducted during the present exercise, In the future regular assessments and surveys are proposed for the administrative capacity dimensions: e.g. the training function, performance and reward system assessment, etc. They

⁵ The CPA participated as a beneficiary of TA and their inputs did not regard their institution administrative capacity

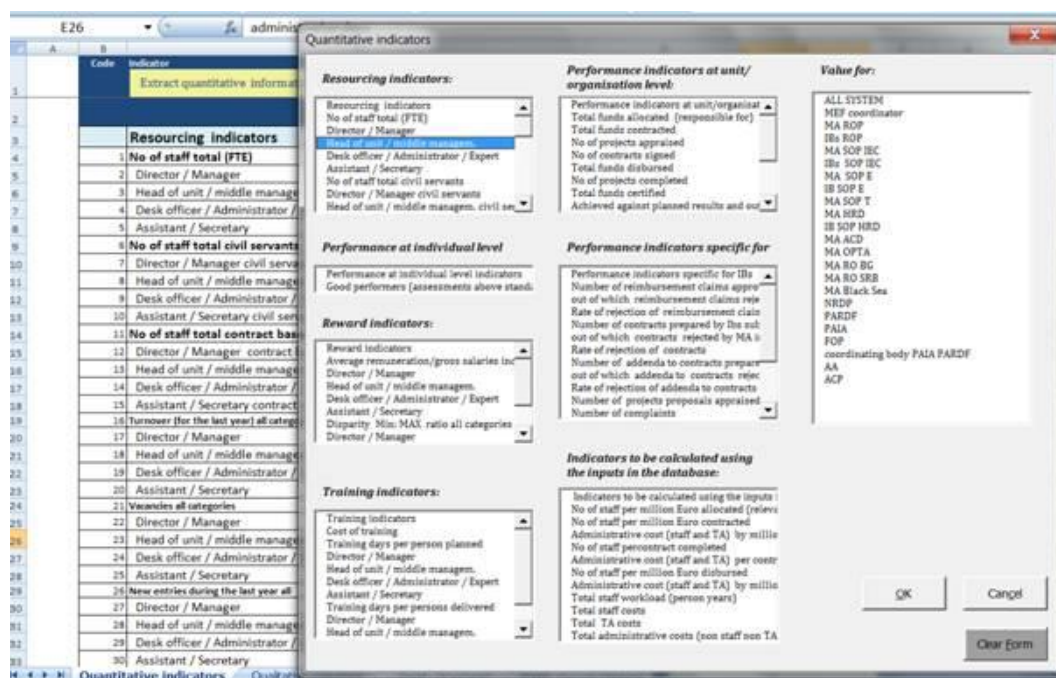
should be performed annually. More frequent assessments are justified only if there is a specific interest to verify a change process which could lead to an improvement of specific indicators. We strongly recommend maintaining a relatively reduced number of indicators in order to have an efficient monitoring with a reasonable effort required to institutions

Some of the data proposed in the database –the sheet quantitative indicators - could not be collected during the first assessment, and will need a reasonable period of time to be prepared and processed in each authority.

The interface of the database will be developed using Visual Basic for Applications (VBA), which is an implementation of Microsoft's programming language Visual Basic. The users will be able to use the following options:

- Generate graphs; the user is able to visualize the values of a single (or more) indicator among different institutions, or data about several indicators of a single institution throughout the years;
- Calculate averages; through the interface the user is able to select indicators and calculate their averages;
- Extract data; the user is able to extract data on certain indicators, for particular time periods, and among different institutions.

An example of a screenshot of the database is presented in the figure below.



The actual database with the collected information to the reporting date is annexed to this report, please see Annex 7.

The first assessment has provided a very good test of the tools created for this purpose. This assessment will be updated twice again during this assignment. The survey, the interviews and the focus group will be applied again. The data and the information will be processed and stored in the database. The files generated by the online survey, as well as the findings and the conclusions of the intermediary and final report, will be stored and used as a reference for future assessments. The checklist, the online questionnaire and the database are tools which are sustainable, allowing



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all authorities to continue to use them for self-assessments of their capacity, of the progress in filling the gaps identified.

4.2 Analysis and findings

The analysis is presented on the three dimensions of the administrative capacity; the Structures, Human resources, and the Systems & Tools, following the checklist items.

4.2.1 Structures

The assessment of the Structures relates to the clear assignment of responsibilities and tasks to institutions, at the level of departments or units, to good working relations and to inter-institutional cooperation. The analysis refers to a range of programme tasks including management, programming, implementation, evaluation & monitoring, financial management & control, auditing tasks, and partnership.

The assessment seeks answers to the following questions:

- To what extent the authorities are designated and comply with the Regulations' requirements? Are all MA's, IB's, coordination structures, Certification, Paying and Audit Authorities designated?
- Is the institutional framework adequate? To what extent does the location of the authorities in the public administration allow them to fulfil their management and coordination role, or to have sufficient contact with the beneficiaries? Are the responsibilities and tasks clearly allocated in the structures at department and/or unit level?
- Are the partnership structures in place and do they work effectively in all phases of the programme cycle?

The structures designated for the 2007 – 2013 programming period

The institutional architecture within the 2007- 2013 programming period for EU funding implementation has been tailored on the three EU policies: the Cohesion Policy, the Common Agriculture Policy and the Common Fisheries Policy.

The Cohesion policy is implemented through the Structural Instruments⁶ with seven OPs within the convergence objective, and four OPs within ETC for which Romania has the management responsibility of the programme⁷. CAP and CFP are each implemented through single operational programmes, the National Rural Development Plan OP and the Fisheries OP.

The institutional framework for the coordination and management of the SI in Romania was set-up by Government Decision (GD) No 497/2004 (amended and supplemented by GD No 1179/2004 and GD No 128/2006) and GD No 457/2008 replacing the original decision⁸.

The entities involved in the management and implementation of SI are the following: a coordinating structure being the Authority for the Coordination of the Structural Instruments (ACIS), Managing Authorities (MAs), Intermediate Bodies (IBs), the Certifying and Paying Authority, as well as the Audit Authority (AA).

ACIS (part of the Ministry of Public Finance) was assigned to act as the national coordinator of SI, being responsible for the development of the institutional and legal framework and for ensuring coordination and coherence between the OPs and these and the NRDP and the OP for Fisheries.

⁶ Structural Instruments include ERDF, ESF, CF

⁷ Romania –Bulgaria CBC OP, Romania – Serbia CBC OP, Romania – Ukraine/Moldova CBC OP and Black Sea Basin CBC OP

⁸ Source: A formative evaluation of the structural instruments, 2010



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The whole institutional framework is located in the public administration system with the exception of the eight RDA's, having the role of IBs for ROP and more recently for PA 1 of SOP IEC. They have the status of "NGOs of public interest" being set up on the basis of the Law 315/2004 for regional development. Leader interventions within NRDP and POP are implemented through the Local Actions Groups which are associations of local organisations.

The coordination bodies (ACIS) and the CPA having responsibilities for all OPs were initially located in the Ministry of Public Finance. ACIS was relocated in the last two years to the General Secretariat of the Government, then to the Ministry of European Affairs, and since 2013 has been reorganised as the Ministry of European Funds. The MAs are located in the ministries according to the policy area they relate to: Ministry of Economy⁹, Ministry of Labour, Ministry of Environment, Ministry of Transport, Ministry of Administration and Internal Affairs, Ministry of Regional Development. The IBs are located either in ministries (e.g. Ministry of Education and Research, Ministry of Communications and Information Society, or Agencies (e.g. National Agency for scientific Research under the Ministry of Education and Research).

The NRDP and FOP structures are embedded in the structure of the Ministry of Agriculture and Rural Development (MARD) and include the MAs located at the level of general directorates, the Paying Agency¹⁰ and the Certification body. There is additionally a coordination body for the two paying agencies of NRDP. The certification of the expenditures function was assigned to the CPA within the Ministry of Public Finance. The FOP has an MA also located within the MARD and the paying and certification functions are allocated to the PARDF and the CPA in the Ministry of Finance. A particular feature of the NRDP and FOP is the territorial extension on three - national, regional and county, and even four levels (local) in the case of PAIA.

The CPA is located within the Ministry of Public Finance, and the Audit Authority is located within the Court of Accounts, an independent body responsible for the financial control regarding the formation, administration and use of public funds.

Practice in other member states

"The management of the Structural Funds can be placed either within the government or by parallel structures attached to it. [...] in some countries] extensions to the public administration have been created for the whole management of the Structural Funds, which has led to a dual system. Both approaches have their own advantages, depending on strengths and performance of the governmental system. As a general rule, it is vital to locate the MAs of Operational Programmes in line with the position in the national hierarchy and the existing administrative structures". (Ecorys/NEI, 2002)

The institutional frameworks based on extensions to the public administration, also called "differentiated systems" have the advantage of stronger administrative coherence and greater overview of costs (SWECO, 2010). The disadvantage for the use of dedicated structures could be higher costs because they are not using existing structures and channels of the public system. Nevertheless, studies on administrative costs indicate that there are not major differences between the different systems in terms of workloads¹¹.

The key success factor for the proper functioning of the system is to ensure to the management and coordinating bodies a sufficient amount of authority and power. In the case of the IBs, they have to have sufficient contacts with the beneficiaries (Ecorys/NEI 2002). As a general rule, the issue of authority and power depends on the position of the body in the public system hierarchy.

⁹ The name of the ministries changed several times during the programming period 2007- 2013 and for this reason we have indicated the name reflecting the main function

¹⁰ PARDF was designated as a paying agency for EARDF and EMFF investments; the paying function delegated to PAIA for EFGC

¹¹ Regional governance in the context of globalization: reviewing governance mechanisms & administrative costs (Sweco, 2010)



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There are large variations from country to country depending on the traditions and specific features of the public system.

Key issues regarding the proper functioning

The Structural Instruments system reveals that initially the location of the coordinating bodies (ACIS) and the MAs were in the existing public administration system, in eight different ministries at the same hierarchical level. In the search for a solution to ensure a stronger management of the system, ACIS has been relocated in 2011-2012 from the Ministry of Public Finance to the General Secretariat of the Government and later to the Ministry of European Affairs. In 2013, the Ministry of European Affairs became Ministry of European Funds¹² with a significant change of the structure, dedicated to the implementation of the EU policies and instruments.

The location of the IBs is in some cases at the same level with the MAs in a ministry (e.g. Ministry for Information Society is IB for the MA SOP IEC in the Ministry of Economy, Ministry of Education is IB for MA HRD OP in the Ministry of Labour). A typical situation with a risk of difficult coordination (Ecorys/NEI, 2002) is when the IB is located in an Agency subordinated to another ministry than the one where is the MA located (e.g. Agency for Scientific Research subordinated to the Ministry of Education is IB for the MA SOP IEC).

The MA for HRD OP and the MA for SOP E are using for most of their interventions the ministries' own territorial structures (de-concentrated bodies) as IBs. The evaluators found two special situations regarding IBs designation.

The first is the ROP using as IBs the RDAs with a good territorial deployment and the Directorate for the Management of the Community Funds in Tourism without any territorial structure.

The second was SOP IEC which had, for part of the interventions on PA 1, as IB the Ministry of SMEs with its territorial structures. During the implementation period, the IB status changed several times from ministry to agency or department in the Ministry of Economy. The responsibilities of the SMEs IB have been reallocated in 2012 to the RDAs¹³, due to miss-performance and irregularities identified in these IBs.

The NRDP and POP structure (MAs and agencies) are located within the same ministry, as are the territorial structures at regional, county and local level (PAIA).

The inter-institutional cooperation and more specifically the inter-ministerial cooperation is a key weakness of the Romanian public system (World Bank, 2010) which represents a background horizontal issue for the proper functioning of the authorities involved in the EU funds.

The volume of work is variable throughout the programme cycle and imposes adjustment of the structures in terms of sizes of the departments involved in programming, implementation, monitoring and evaluations. Figure 2 shows a projection of the workload variation for the Programme management function for all Member states highlighting a peak in 2009 - 2010. The late start of the OPs in Romania and the slow implementation translate the peak one two years and indicate an increased need of human resources in 2010- 2012 .

¹²Government Decision 43/2013

¹³ Memorandum. 4480/02.11.2012

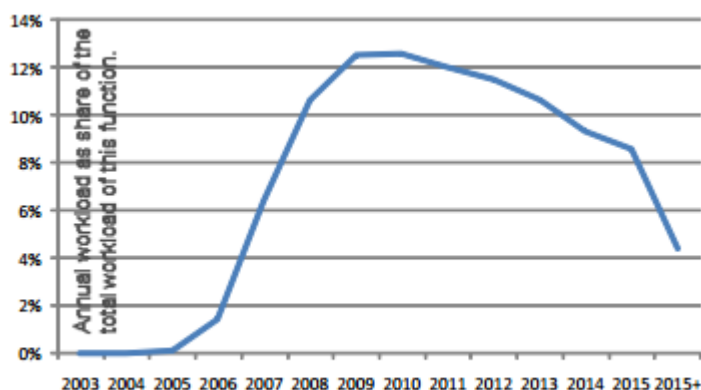


Figure 1 Variation of the overall workload in the 2007-2013;
Source: Sweco (2010) Regional Governance in the context of globalisation

The austerity measures applied to the whole public system in 2010, did not allow the creation of new positions in the departments with increased workload (e.g. implementation, monitoring, control and verification and certification of expenditure, etc.). The departments remained with inadequate resources in all MAs. The situation improved last year when the restrictions to create new jobs was lifted. The evaluators found evidence regarding the lack of analysis of the workloads in order to adjust the sizes of the departments, according to the needs, e.g. SOP IEC, SOP HRD OP (Romanian Court of Accounts, 2011)

The evaluations and reports studied revealed difficulties in the inter-institutional cooperation within the system. The evaluators found in the reports examples such as in SOP IEC implementation difficult communication between MA, IBs, CPA in the certification of the expenditures, a high degree of spread of the control structures, lack of discipline of the structures in applying the procedures, difficult or incomplete communication on general problems of the programme implementation, lack of transparency in the decisions made at the level of MA and IBs, lack of procedures regarding the circulation of the documents in the ministry, including other departments of the ministries (SOP IEC 2012b, Annual implementation Report).

ACIS had difficulties in ensuring consistency of the procedures across the MAs, (according to the interviews). This was confirmed by the lack or late reaction of some MAs to the action plans proposed for resolution of system problems: most frequently the MA for SOP IEC but also SOP HRD OP and OP ACD, SOP E. (ACIS, 2012).

Regarding the structures stability, the survey has indicated the fact that a large number of structures have been subject of changes in the last year. These changes include the transfer of the structure (directorate or department) to another institution, or in another directorate, or within the department itself significant changes have been implemented. Only 25% of the respondents indicated no change of the structure.

A particular challenge for the institutions involved in the implementation of the programmes was the approach based on a large number of small projects, i.e. SOP IEC, HRD OP, ROP, and OP ACD. It is the so called “retail approach” when the contracting authorities disburse the funds through a very large number, i.e. thousands, of small projects. The alternative is to approach larger strategic projects through “whole sellers” which could assume further disbursement and/or contracting with small beneficiaries. According to SWECO, 2010¹⁴, the approach based on many small projects, creates high workloads at the level of IBs and MAs and large fixed administrative costs. McClements and Marinov, 2006 shows that there is a need to have a clear link with the development actor in each policy area; these wholesalers have to be public policies managers with

¹⁴ Sweco 2010, Report on resources structures and functions, DG Regio p16



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sufficient capacity to assume the implementation of strategic projects. In 2007-2013 periods the HRD OP strategic projects proved that compliance with a number of sizes criteria is not enough to enable an organisation to deliver strategic projects; the strategic projects on HRD OP missed the links with the national policies implementation. To what extent such organisations exist and could assume the role of strategic partners is analysed again in the section dedicated to beneficiaries.

The partnership principle

The partnership principle in the preparation of the NSRF and the OPs for 2007-2013 has been formalised in the form of an inter-institutional committee made up of decisions makers from ministries, other public institutions, regional development agencies, research and higher education institutions, and representatives of economic and social partners. At the regional level, the regional committees and the thematic working groups organised have included representatives of the regional development agencies, county councils, prefects' offices, de-concentrated services of the central public institutions, higher education and research institutions and regional economic and social partners (NSRF, 2010). The interviews indicated that the partnership was limited to consultations, and the elaboration of the NSRF and the OPs was a learning process for the social partners, some of them being included in the monitoring committees of the OPs.

The structure reflecting the partnership principle during implementation of the programmes is the Monitoring Committee (MC). The MC has a broad composition, but functional gaps are found in the documents studied. Some examples quoted include: "*The Monitoring Committee's activity is not completely efficient to achieve its mission. It is needed a higher participation of the members, [...]*" (NRDP 2011). The contributions of the partners in the Monitoring Committees are uneven and not sufficient for good monitoring of the programmes implementation, according to the interviews. The Monitoring Committees meetings minutes reveal "*limitation of the meeting to a discussion between EC the MA and IBs, with no input from other members*" (MEF2012 Minutes MC ROP 24.05.2012). The level of discussions is "*too focused on the operational level missing the strategic issues*" (SOP IES MC 18.12.2012.). The weaknesses regarding the contributions of the members are somehow confirmed by the TA project included in the OPTA pipeline (OPTA, 2012, Evaluation of the OPTA absorption capacity) including training measures for the MC members.

Looking ahead to 2014-2020

The programming process for 2014-2020 started officially in June 2012 with the Government "Memorandum for the approval of the actions and documents for the preparation of the accession and implementation of the European funds during 2014 – 2020", which set the foundation of the Partnership framework.

The key body of the partnership framework is the **Inter-institutional Committee for the Partnership Agreement (ICPA)**, organised and coordinated by MEF. ICPA has a consultative role and ensures the coordination of the partnership framework at national level in the programming process for the preparation of the PA and the corresponding operational programmes.¹⁵

The role of ICPA will be extended when the OPs implementation starts with responsibilities related to implementation, monitoring and evaluation. ICPA comprises of twelve consultative committees with a role of identifying and prioritizing the investments at sectoral and regional level. Several working groups are set up for each consultative committee in order to fulfil its role. ICPA has had three plenary meetings on 23rd August 2012, 2nd November 2012 and 14th March 2013, and have prepared a roadmap setting the milestones for finalisation of the programming documents in due

¹⁵ ROF ICPA



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time. The significant reorganisation of the Government has resulted in changes in the Consultative Committees and the working groups, generating some delays of the planned activities.

As of the reporting date 10th of May 2013 the **institutional architecture has not been established**, and the first draft of the PA has also not been finalised, indicating a slight delay from the roadmap deadlines.

The composition of ICPA includes a long list of categories of partners. The composition of ICPA and the representativeness of the members were discussed following the reorganisation, and the proposed adjustments put forward and approved.

The information collected through the survey regarding the effective partnership cooperation revealed a positive opinion: 80% of the respondents who were members in ICPA consider that they receive excellently and good information and 75% consider their opinion and the interests of their organisation are very well or excellently represented. The respondents in the survey are not necessarily representative for the participation in the programming process. The current programming process is based on a wider framework including sectoral and regional policy makers with only a few MAs and IBs being directly involved. The interviews revealed that this is a new approach in Romania and part of an attempt to increase integration of the EU policies with the national policies. Romania has had practically two parallel processes¹⁶ with different rules, different visibility, and different image, missing potential synergies. The new approach implies, however, from the structural point of view a strengthening of the public policy units at central level, line ministries and regional level. The approach was in line with the recommendations of the World Bank Functional Review, 2010.

There is no evidence in the documents studied regarding the existence of procedures for the PA preparation including the current phase, preparation of the socio economic policies, clarifying the way each partner performs, or how the contributions will be summed up in the final documents. This concern was expressed in the last ICPA meeting by one of the members. The survey did not reveal issues regarding the method raised by the partners from a specific category.

There were mentioned in the interviews the difficulties in mobilising the partners but also obtaining added value contributions in the process. The absence of studies and evaluations needed in the public policy making process¹⁷ make the socioeconomic analysis and prioritisation of investments difficult.

4.2.2 Human Resources

This section analyses the human resources available and their capacity to perform adequately. The key issues analysed have been selected from the previous studies and evaluations, as main factors affecting functioning and performance.

The assessment will focus in this section on the following questions:

- Are the Human Resources available in adequate quantity and competences?
- Are the HR policies able to ensure the adequate human resources including planning, rewards, performance management, training, and management effectiveness?

¹⁶ Functional Review –Center Government, World Bank 2010

¹⁷ Functional Review –Center Government, World Bank 2010



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Studies and evaluation reports regarding the current programming period identify “**chronic understaffing**”¹⁸ of the MAs and IBs as one of the reasons for the delays in implementation of the OPs.

A **large number of vacancies have been reported in 2010 and 2011**, e.g. only 36 % of the positions were occupied in the SMEs IB¹⁹, and high workloads have been found in specific departments, linked with delays in the implementation of the programmes. The annual implementation reports indicate insufficient staff as the main reason for the delays in monitoring, verification and payments and the resultant low absorption.

2010 was the year when several factors overlapped: (i) the increased number of contracts in implementation requiring more human resources in monitoring, control and audit, financial management, (ii) the start of the implementation of the budgetary austerity measures, when creation of new positions in the organisation charts and existing vacancies were blocked, (iii) salary reductions in the public system which generated a migration of the staff towards the private sector or higher levels of salaries in the public system. **Recently, temporary leaves** (maternity, studies, others) not included in the vacancies terminology are also present and increase the staffing difficulties.

All OPs have been affected by the insufficient staff in the MAs and IBs, and worrying levels of understaffing have been highlighted in SOP IEC, MA, and IB for Information Society, SMEs IB, and IBs for PA1 of OP HRD. **The situation improved starting** with the implementation of the Priorities Measures Plan (ACIS, 2011) and continued in 2012 when some flexibility in employment in the public administration was permitted. The annual reports on 2012 still mention insufficient staff in SOP IEC, SOP T, HRD OP, OP AC, and NRDP.

The survey reveals that only 48% of the respondents consider the need of additional staff very important, the others considering only some improvements are needed or not needed at all. SOP IEC, HRD OP and OPTA have more than 50% responses indicating additional staff is needed to a large extent.

There are opinions, shared in interviews, that the workloads are not even across the organisations, and the use of the existing staff could be optimized, including business process re-engineering and simplification of procedures. The **real size of the staffing gap** needs **systematic use of the workload analysis**. We found in the survey a large number of answers indicating existence of updated workloads analyses, more frequently found in ROP, SOP E, HRD OP than in SOP IEC, NRDP and FOP. Nevertheless the interviews and the focus group confirmed the workload analysis is not used in a systematic way to justify the HR planning. This finding is confirmed by the conclusions of the Audit Authority⁶, having stated that MAs do not perform workload analysis, and the result of this can be seen mainly in the cases of significant staffing problems, high turnover, and the large numbers of vacancies.

The survey reveals the opinion that largely the **turnover level is manageable**, and 65% of the respondents have indicated a level below 10%. Organisations in specific OPs have indicated in the survey higher levels above 11%. The answers indicate structures with higher levels of the turnover above 20% in SOPIEC, HRD OP, ETC, SOP E, OP ACD, the ETC programmes and SOP T.

More respondents have a positive opinion (48%) on **capacity to manage the turnover** than respondents with a negative opinion (40%). Despite the high level of the turnover on some OPs the opinion about the capacity to manage it is good, only SOP IEC and HRD OP structures indicating that the turnover is difficult to manage.

There is a largely shared opinion (70%) that the turnover despite being manageable, **affects the level of performance of the organisation**. The situation is difficult to be managed when key persons (specialists or middle and top managers) are leaving the organisations. The interviews and

¹⁸ Achievements of the Cohesion Policy in Romania, EVALNET, DG Regio, 2012

¹⁹ Annual Public Report, Court of Accounts. 2011



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the focus group confirmed that higher levels of the turnover are associated with organisational and environment factors such as the implementation of the austerity measures and salaries reductions, or reorganisations, which generated important turnover of key persons.

Our survey revealed 67% of the respondents indicate vacancies of less than 10% of which 41% are less than 5%. Levels above 10% are found in HRD OP, SOP IEC and one in ROP. One extreme case indicates **vacancies above 20%**.

The survey reveals that, during the last year, there have been **significant changes in the organisations at the top management level** the highest levels being 58, 3% for general directors and, 41, 7% for deputy directors. Only 19.4% of the respondents indicated no change in the top management. The survey indicates a significant turnover at management level in all OPs, except OPTA with no change in the last year and ROP where only one change of the general director was reflected in the answers. The participants in the focus group shared the opinion that the capacity of the organisations and the level of performance are higher in the organisations with good stability of the managers and key staff. ROP including MA and IBs are examples supporting this assumption.

The respondents in the survey and the persons interviewed indicated the need for **HR policies and practices** to be improved. The improvements suggested regarding the incentives; motivation and training are ranking higher in the opinion of the respondents, followed by performance management and salaries review.

91% of the respondents consider **the reward system** should be improved and more than half, (51%) consider this need is very important.

The **survey reveals more positive opinions than negative ones regarding** competitiveness of the **reward system** on the labour market:

- The statement “the reward system could attract the expected professionals” have 54% positive responses against 37% considering that the system could not attract professionals
- the system could ensure retention in the opinion of 55% of the respondents, against 35% responses that the system could not retain professionals

The high share of positive opinions is explained by the large number of respondents from institutions with higher levels of the salaries. Reward systems able to retain and attract professionals are indicated in NRDP (PARDF) and ROP while the weak systems are indicated in the SOP IEC, HRD OP, and OP ACD, OPTA NRDP (MA), the ETC programmes and FOP. Despite the fact that, the SOPT MA is referred in interviews as an organisation with a low level of the salaries compared to other public organisations the respondents indicate the system is to a large extent effective, in the terms specified above. There is a migration process of personnel from lower salaries organisations to organisations with higher salaries, e.g. from MA for NRDP to the PARDF.

The interviews and the focus groups highlighted the lack of competitiveness of the salaries in most of the institutions and the difficulties in attracting professionals in specific areas of expertise, i.e. engineers in the environment projects.

The survey respondents have provided a negative opinion about the clarity of the reward system 45%, found it unclear while 35% had a positive opinion. Regarding the fairness of the reward system the respondents indicated a negative opinion 39%, against 33% with a positive opinion.

The interviews and the focus group highlighted as a key problem regarding the fairness of the system are the large differences of the salaries among the institutions. The min/max ratio of the average salary in the organisations is 1:3²⁰, which is confirmed by the data used for the analysis the

²⁰ Achievements of the Cohesion Policy in Romania, EVALNET, DG Regio, 2012



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administrative costs in the study. The data is confirmed by the study Regional Governance in the context of globalisation, DG Regio, 2010²¹.

The **improvement of the training policy and practice** is seen by 100% of the respondents as needed, and 42.4% consider it is very much needed. 83% of the respondents, however, indicated their organisation has annual training plans.

The coordinating unit for the structural instruments (ACIS) put in place at the beginning of the 2007-2013 periods a mechanism for the training function, including planning the use of TA for implementation and support to the MAs. In the last years, the mechanism was less used mainly due to the weakened training function in a number of MAs, the difficulties to access the TA resources, and the limited availability of staff to attend training courses under the pressure of increased workloads. There are good experiences with the training function in ROP MA, OP ACD and ACIS.

A surprising large number of respondents (14%) indicate that the organisations do not have a training plan, but the institutions are open to use the training opportunities. We understand in this case that the legal requirement of having a training plan is fulfilled at a higher level for the overall institution e.g., at the level of the ministry, and the ownership of the training plan at the level of the organisation (unit/directorate) is significantly diminished.

Interviewees and participants in the focus group confirmed the training plans are elaborated in the majority of the organisations in an effective way and record the real training needs.

67% of the respondents indicate the **training plans are implemented and are effective** ensuring improvements, while only 20% consider the training plans are implemented to a small extent or not at all. We found contradictory assessments from the same institution regarding the effectiveness of the training plans. The interviews and the focus group explained the implementation constraints during the last year, consisting of the unavailability of budget allocations for training and procedural difficulties in using the TA to contract training. **Availability of staff** for formal classical training has diminished, and less time consuming methods such as training at the work place are preferred. There is a limited use of ICT in training, e.g., e-learning.

Improvement of the **performance management** is seen as needed and very much needed by 61.3% of the survey respondents, more than those who consider the need of the salary review (51.3%).

There is an appraisal system in place, being obligatory and 64% of the respondents indicate that over 90% of the appraisal system results are above satisfactory level. The system, therefore, offers a picture of individual high performance to a large extent, even in organisations that are performing poorly.

Only 8% of the respondents believe the results do not reflect correctly the performance level of the staff. The interviews and the focus groups indicate the general opinion that, in most of the institutions, the appraisal system is a compulsory activity; it is done to a large extent for compliance and superficially and does not reflect the real performance. The focus group also highlighted that an essential factor is the **contribution of the managers to ensure performance** is properly managed, and should be a day to day management function, beyond the annual appraisal.

A key element of the administrative capacity is the expertise ensured in the organisation. The survey revealed a positive opinion of the authorities; more than 74% of the respondents considering the competences in critical areas of expertise are covered. The expertise **is available** to a large extent from internal but also from external sources using technical assistance. The AA satisfies the needs from internal resources. The AA has in the implementation a training project, funded from OPTA, to develop the needed capacities. The expertise is perceived largely available and of a good

²¹ The analysis covered only ERDF and CF and indicated a ration 1- 2.9 of the average salaries with higher differences at the top management levels and lower for assistants levels.



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quality by most of the respondents (72%). A limited capacity to ensure the needed expertise is indicated in SOP IEC and HRD OP.

The **main gaps regarding the expertise** indicated by respondents of the survey and confirmed in interviews and focus group are state aid (44% of the respondents), environment regulations (22%) risk management (22%), internal audit (22%).

Despite the good coverage of the expertise, the respondents indicated there is a need to improve competences through training. This is understood as a need to ensure continuous improvement of the internal expertise and capabilities, according to the changes of the legal framework and new methodologies. It is also understood as a need to train and integrate the new employees, mainly in the institutions with high turnover.

For programme implementation the areas of expertise where **training is seen necessary** are Public procurement (72% of the responses), financial management and control (64%), EU and national policies and legislation (44%) and Managerial skills (44). There are small variations from one OP to another regarding the ranking of the priority need which does not follow any pattern that could be used to draw a conclusion.

The focus groups discussions highlighted the importance of **an effective management for the overall performance** of the organisation, the capacity to introduce and use HR practices and tools. There are not available assessments regarding the management effectiveness. Such assessments are useful in organisations aiming at improving the management capabilities and should be considered in the plans for the administrative capacity strengthening.

For 2007–2013 elements of the administrative capacity of the authorities, MAs and IBs are assessed in previous studies and evaluations. The evaluators could not identify **comprehensive assessments of the capacity at the level of the system or institution** or find data collected or available regarding the human resources inputs (volume of work, staff, workloads and costs by institution and phases of the cycle or tasks), needed in order to analyse efficiency of the HR and optimise their use. Data regarding the parameters of the system are missing or incomplete, despite there having been initiatives according to the interview, to collect them e.g. level of salaries, level of the individual performance, training implementation indicators, evaluations of the training function.

An analysis is being performed at present at the level of MEF in order to address the root problems. The OPs ex-ante evaluations for 2014–2020 have not been launched yet, but they are expected to provide an assessment of the institutional arrangements.

4.2.3 Systems and tools

In this section, the assessment is whether the systems and tools used by the MAs and IBs in the current programming period have been adequately designed and used, and what are the relevant conclusions for the future programming period.

The assessment will respond to the following questions

- Is the delegation of tasks clear, formalised and in agreement with the stakeholders??
- Are adequate tools and sufficient guidance available for programme preparation and implementation?
- Are adequate procedures, information and systems in place including the management and control system, financial management, public procurement, risk management, audit , irregularities prevention, detection and management
- Is a competent and active National Audit Authority in place?



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Instrumente Structurale
2007 - 2013

Delegation of tasks

For the 2007-2013 OPs implementations the delegation of tasks, between MAs and IBs, has been formally agreed in the delegation contracts. There is a large positive opinion regarding the adequacy and the consensus on the delegation of tasks (91% positive answers, 9% non-responses), and for the clarity of the roles and responsibilities (55% positive answers and 30% non-responses). Nevertheless, overlaps of the tasks between MAs and IBs have been identified in the AA mission reports, as well as inconsistent interpretation of the procedures by the MAs and IBs leading to confusion amongst the beneficiaries. This criterion is linked with the structures assessment referring to the adequate selection of IBs and definition of responsibilities within the implementation system of the operational programme. The good experience of MA ROP working with the RDAs as IBs based on a delegation contract including performance indicators, suggests extension of the practice in other MAs. Nevertheless the general practice in using performance indicators indicates that are effective only if benefits of the IBs (organisation and staff) depends on the achievement of the targets, or there is a form of penalty if targets are not achieved.

Guidance and tools for the programming and implementation

We analyse in this section to what extent guidance and tools for programming and implementation have been created and if they are adequate. During the setting up of the institutional arrangements for implementation, there were defined processes and tools according to the requirements of the accreditation process. Compliance for accreditation of the institutions was a sound driver for the creation of the required tools. The key challenge for the authorities was to ensure the proper functioning of tools created.

For each operational programme, all processes have defined procedures and corresponding tools. They are implemented and according to the survey, more than 52% of the respondents consider they are adequate, and only some improvements are needed while around 18% consider improvements are very much needed. The focus group has confirmed the opinion of the survey with examples of revision of procedures said to be very much needed.

Annual reports and evaluations reveal difficulties in using the procedures, with negative effects on beneficiaries and the MAs and IBs, mainly from the point of view of the increased administrative workload, costs and burden on the beneficiaries. The reports and studies analysed highlight a number of gaps regarding the adequacy of the procedures including²² lack of clarity of the procedures, overlapping of control procedures, rigid and complicated procedures related to partial reimbursements, excessive requirements and bureaucracy mainly in the phase of reimbursements verification, different and unclear interpretation of the procedures between MAs, IBs and the auditors, etc. Simplification of the procedures and review/creation of new tools and guides for beneficiaries have been proposed in the action plans initiated in the last three years.

Not all the improvement measures undertaken by the Romanian authorities have been effective. In some cases, the measures proposed proved to be impossible to be applied. For example, the improvements undertaken for the prevention and the detection of conflict of interest, according to the European Commission 2011a are limited to basic and not effective measures.

“the mechanism for prevention and detection conflict of interest [...] set by existing legal framework is rather inapplicable (difficult to enforce) and does not actually effectively prevent or detect the conflict of interest in the public procurement process [...] ; it is currently limited to basic and not effective measures²³”

The interviews highlighted the need for a better coordination of the OPs in order to ensure consistent approaches and methodologies; in the current programming the methodological

²² Annual Public Report, Court of Account, 2011.

²³ Assessment of the public procurement system in Romania, 2011



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Instrumente Structurale
2007 - 2013

coordination was not considered effective, some MAs were resistant to the attempts of harmonisation, which led to difficulties in implementation and an increased administrative burden on beneficiaries.

The Indicators system is an essential tool of the programme cycle. It has been positively assessed by 71% of the respondents in the survey. Improvements have been made – as many as possible, during the implementation of 2007-2013 OP. At the present, the system allows for an adequate reporting of the core indicators and programme indicators. A number of indicators used in the current period are not adequate to reflect the effects of the measures, priorities and programme²⁴. For example, the indicator job creation is a programme indicator for ROP and SOP IEC but it is not adequate to measure the intended change through all the priority axes of the programme. The indicator Added value in case of FOP is an indicator included in the guide for FOP indicators and does not have a methodology and possibilities to be measured (FOP, 2011). Other problems with the indicators are related to the values of the indicators. The targets set for the programme indicators have not been properly justified and prove to be far from reality in some cases. Some OPs have reassessed and introduced realistic targets for their indicators (e.g. Transport). Additional difficulties in using the indicators are due to: unclear definition of the indicator and the methodology for calculation, inconsistent use at project and programme level with difficulties in aggregation, availability of data for the calculation of statistical indicators. In 2011 MEF initiated a project to support production of data needed for the calculation of the statistical indicators.

The future programming period brings a significant new approach to indicators²⁵. MEF initiated support actions to guide the people involved in programming for the selection of the indicators. There is good knowhow in MEF related to indicators systems which could be transferred to the designated MAs and IBs.

Several applications have been used during 2007-2013 for the management of the information. SMIS is the most comprehensive and has as a recent development MySMIS able to enhance the functionalities for effective data exchange with the beneficiaries. A decision has not yet been made regarding the future use and development of the existing applications.

53% of the respondents in the survey consider the electronic systems are not fully utilised. According to the recent assessment of the Electronic Systems performed within the same assignment as a parallel task with this assessment²⁶, all the ESs need to improve their portfolio of predefined reports, in order to produce those reports their specific users need. All ESs would benefit from a significant revision in terms of features, data content, and user friendliness. Beside the initial objective of covering the minimal requirements, there is an opportunity for the systems to provide more useful features for their users. SMIS and MIS-ETC need major improvements in terms of usefulness and also in terms of user friendliness. For this latter issue, these systems need a revision of their user interface in order to become easier to understand and to use.

Management and control systems

A reliable management and control system ensures that the funds are used adequately in the scope of achievement of the programme and policies objectives. The management and control system should be able to identify early the isolated irregularities and correct them before becoming a system problem.

The evaluators have identified in their research a number of problems that are performance related which indicate weak management and control systems. The irregularities identified in the management and control of public procurement would appear to be of a systemic nature, while other system irregularities in the activities of project appraisal and selection, fraud (in the case of

²⁴ Result indicator pilot report post 2014, DG Regio, Evaluation Unit, 2012.

²⁵ U:\B2\Core activities\Indicators\Result indicators - pilot study\Result Indicator Pilot report rev 2.doc Commission européenne, B-1049 Bruxelles / Europese Commissie, B-1049 Brussel – Belgium http://ec.europa.eu/regional_policy/

²⁶ Evaluation Report on Electronic Systems for information exchange, Client: Ministry of European Funds, Romania Bucharest, 16 May 2013



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one IB), suspicion of conflicts of interest and “connivances” (MEF, 2013), led to interruptions of payments, suspensions and pre-suspensions of Operational Programmes, some of which are still in force.

The Court of Accounts report on 2011 reveals the fact that as a general feature of public institutions “there is not a systematic monitoring and evaluation of risks, the risk registry is not filled in and where the system exists it does not contribute to the improvement of the efficiency and effectiveness of the activities

There have also been identified weaknesses in applying the procedures: incomplete verifications, delays in applying the procedure; gaps in the irregularities detection; late registration of the irregularities, missing revisions of the procedures (Court of Accounts 2011), etc.

The mechanisms for payments, forecasts and certification, are seen as positive with 73% of the respondents having a positive opinion regarding the mechanisms for monitoring, the payments flow, forecasting and certification; 11.8% consider the mechanisms are not functional.

Despite these positive opinions, there is evidence of difficulties in the payments mechanism reflected in long delays of the payments to beneficiaries, delays in certification of payments and the payments from the EC. The analysis of the budgetary implementation of the Structural and Cohesion Funds in 2012 (European Commission, 2013) mentions Romania with one of the highest error in forecasting the payments from EC in 2012 97%, explained by the interruptions of payments and pre/ suspensions of the programmes.

Procedures for sample checks are in place, but the audit reports indicate delays or partial achievement of the checking plan or incomplete checks. The interviews highlighted the fact that the quality of the checks and verifications should be improved; the conclusions and recommendations should be more meaningful with a view to assist in an improvement.

The large positive opinion collected in the survey, regarding sufficient audit trail, with 91% positive responses, has been confirmed in the interviews. 89% of the respondents consider the audit system is adequate; internal audit reports are available and the audit authority confirms their content is useful for the external audit missions. An indicator of the internal audit effectiveness is the successful prevention and early detection of irregularities and frauds, which is not at a high level of satisfaction at present.

Romania has set up a National Audit Authority for all the Operational Programmes 2007-2013. The mandate is ensured by Law 200/2005, as a body independent of the Managing Authorities and other structures of the system. The National Audit Authority is active, with the activity being reported in the Public Annual Report of the Court of Accounts.

Other horizontal factors influencing the administrative capacity of the authorities.

In this section the evaluation team analyses what are and to what extent other factors influence the administrative capacity of the authorities involved in EU funds management. The analysis is focused on the inter-ministerial relations, the effectiveness and efficiency of the public administration and the risk of corruption factors.

The opinions collected with the survey are positive regarding the horizontal factors influencing the administrative capacity of the authorities.

- 85% of the responses are positive regarding the working relations between the line ministries.
- Appointment and promotion are considered to be based on competencies and merit by most of the respondents, (71%)
- There is a clear separation of functions, a good definition and management of the accountability and responsibilities.



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- There is a code of conduct in each institution confirmed by 93% of the respondents in the survey.

From a different perspective the studies and the evaluations performed in the last years regarding the public policies management highlight a number of weaknesses closely linked to the administrative capacity issues analysed above including the following:

- Weak execution of the public policy management²⁷
- Poor inter-institutional cooperation
- The control system is based on process, costs and activities rather than objectives and results.
- Avoidance of accountability and a lack of policies, systems and tools to measure performance and integrate it into the institutional and management processes.
- A lack of trust within the administration that leads to major risk aversion, blockages in processes and endless controls.
- Politicisation of the public administration reflected in the mobility of staff (management positions) in rhythm with the political cycle. There is evidence that this kind of mobility has extended to lower levels in recent years (Ecorys, 2010).

Studies and evaluations²⁸ have identified as key problems related to the efficiency and effectiveness of the civil servants the following:

- The reward system does not meet the minimum requirements such as merit-based internal and external equity and therefore acts as a demotivating factor.
- A non-motivating appraisal system
- HR system is perceived from inside and outside as less effective, formalised but lacking content
- The lack of analyses studies and researches for public administration and within the organisations to document the decisions.

Effectiveness of the measures addressing corruption is low. Corruption remains a concern and a constraint in developing an effective and efficient public system, according to European Commission 2013a. Our research indicated for, example, introduction of the code of conduct which did not produce improvements. Interviews revealed this is more a formal compliance to the legal requirements than an effective tool able to improve the ethical behaviour in the public administration.

4.3 Conclusions and recommendations regarding the administrative capacity of the authorities

The structures designated for the EU fund management are to a very large extent embedded in the existing structures of the public administration system, largely influenced by the systemic weaknesses regarding the poor **inter-ministerial cooperation, excessive bureaucracy, under staffing, lack of skills, poor transparency in staff recruitment and management, and corruption risks.**

²⁷ Functional Review, Center of Government, World Bank, 2010

²⁸ Assessment of administrative and institutional capacity building interventions and future needs in the context of European Social Fund, Country monograph, Romania, DG Employment 2010.



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The challenge for the Romanian authorities is to find the appropriate solutions to improve the administrative capacity and performance in the system responsible for EU funds management, while the progress in improving the entire public system is slow and uncertain.

The measures to improve the administrative capacity of the EU funds management system are hindered by the systemic weaknesses of the Romanian public administration.

The 2007-2013 experience proves that the legal, institutional framework, set up of the organisation structures, formal allocation of responsibilities, internal rules of procedures, the Monitoring Committees etc., comply with the requirements. However, **the key issue is the proper functioning of the structures, reflected in the bottlenecks of the processes, poor use of resources and delivery of outputs and ultimately the poor performance of the operational programmes.**

Romania is doing well in terms of formal compliance, setting up structures, formalising cooperation, creating tools and systems, but functioning remains poor.

The coordinating bodies (e.g. ACIS) and a number of the MAs did not have sufficient authority to ensure consistent approaches, simple and coherent procedures, the avoidance of overlaps of responsibilities, and the effective implementation of the action plans across institutions in order to resolve the key problems. The MA for ROP located in the Ministry of Regional Development and Public Administration and NRDP MA located in the Ministry of Agriculture and Rural Development proved to have better capacity to manage the programmes than other MAs, being the best performers and benefiting from having extended territorial structures.

A particular challenge was the approach adopted by most of the OPs, based on a very large number of small projects. The alternative of using strategic large projects has benefits in terms of workloads and fixed costs in the IBs and MAs, but need organisations with sufficient capacity to implement such projects. An additional condition for these organisations is the role as development actors and links to the national / regional policies implementation.

The experience of the current programming period indicates the fact that increased authority of the management and coordinating bodies, stability of the organisations' structures and the whole overall framework have to be ensured, in order to improve the institutional performance and the inter-institutional cooperation.

The partnership principle is formalised and well promoted in both programming periods, but with **limited inputs from the social partners** during programming and also during implementation through the participation in the Monitoring Committees. The Monitoring Committees tended to be limited to discussions regarding the programme implementation between the EC and the MAs and IBs with limited meaningful inputs from other members.

Limited capacity in policy management, ineffective communication and cooperation tools are among the factors influencing the effective participation of the partners in the programmes management cycle.

During the 2007-2013 periods, the system had **difficulties in ensuring the adequate human resources both quantitatively and qualitatively**. The austerity measures undertaken in 2010 blocked the resourcing that was required by the volume of work and the increasing number of contracts in implementation. The significant salaries cuts in the whole public system generated a high turnover, high vacancy rates and the resultant increased workloads on the existing staff. The measures undertaken improved the resourcing, however, in a number of MAs the problem still needs to be resolved.



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The **management and the human resources function** in the organisations were not able to find solutions to these problems, through better planning and allocation of tasks, management of the workloads, performance management, retention and stimulating employees. The technical assistance resources were not used sufficiently to cover the internal lack of resources mainly due to the difficulties of the public procurement processes.

The assessment indicated a number of issues that need to be addressed to ensure proper functioning and an adequate level of performance of the staff including:

- workloads analysis and other organisational development tool are not systematically used to support HR planning and optimal allocation of responsibilities,
- limited effectiveness of the performance management,
- a reward system unable to attract, retain and motivate good professionals,
- An ineffective training function unable to provide the training opportunities for specific critical skills and the continuous professional development of the staff.

Largely the HR function is limited to compliance with the requirements to set up specific HR processes but their effectiveness is limited.

The organisations do not have a sufficient capacity to effectively use HR policies and practices to ensure adequate resourcing and to respond to the challenges.

The overall low performance of the operational programmes diminishes the perceived level of performance of the staff, despite the fact that, in many areas, there are good professionals making efforts to achieve their tasks. The current performance management system does not make the difference between good and poor performers in terms of results and contributions to the operational programme achievements.

*There is a need to align people performance levels with the organisation's performance translated into a shift from a competences and process based approach to **"results based" performance management one is needed to better orient efforts toward the OPs performance targets.***

The training system has to be strengthened using the past good practice such as the training mechanism managed by ACIS, the training practice from ROP MA, reinforcing the coordination and renewing the approaches and methods according to the best practices in the training world.

The training function has to ensure **the continuous development of the staff** in all areas and **specific interventions for the areas expertise representing success factors for the OPs performance.**

The critical areas of expertise identified at this stage are state aid, environment regulations, risk management, internal audit, public procurement, financial management and control, EU and national legislation and management skills. These areas of expertise should be considered indicative, and the training function has the role to identify the real and evolving training needs. Technical assistance should be available for the cases where it is not efficient or possible to build the expertise needed in-house.

It can be seen from 2007-2013 that the organisations where the capacities were built on the previous experience and with stable human resources at management level and critical positions, dealt better with the demanding performance requirements and the constraints of the economic and social environment.

The surveys have revealed contradictory results and significantly more positive assessments or opinions than what is indicated by other sources. In many situations the answers were based only



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on opinion or rough assessments in the organisations, because the lack of analysis and data available regarding the human resources and organisational processes.

The experience of the current programming period shows that the **systems and tools** were created and put in place, covering the necessary processes in all phases of the programme cycle, but **many of them are not properly used and are not effective**.

The delegation of tasks is formalised through agreements, but the proper functioning is affected in some area by lack of clarity of responsibilities, overlapping of responsibilities, unclear allocation and different interpretation of the procedures. Revision of the division of responsibilities is a source of simplification in the whole system.

As a general feature, the system looks overregulated with complicated and in many cases unclear procedures, excessive bureaucracy and high administrative burden which have slowed down and even blocked the processes, mainly at the expense of the beneficiaries.

The system has to be streamlined and simple procedures maintained, to be stable and uniform as many as possible across programmes. The assistance to beneficiaries has to be targeted on developmental issues such as quality of the projects, while the simplified administrative requirements could be addressed through more effective guides, tutorials, e-tools.

The allocation of responsibilities at all levels has to be reviewed and procedures simplified reducing the administrative burden. The tools used in programme implementation in all phases have to be clear, useful and user friendly for beneficiaries.

The 2007-2013 periods has shown that the creation and the management of the indicators is a difficult task. The future programming period with the new approach to indicators raises additional challenges. Coordination from the MEF level and training at all programme and project level is needed. Production of data to be used for the calculation of the statistical indicators has to be ensured.

The potential of the electronic systems is not fully used, and improvements are needed in terms of reliability and user friendliness. The electronic systems used in the current programming period fulfil minimum requirements in terms of data reliability, security and user friendliness. Significant higher needs for improving the electronic systems has NRDP. For 2014-2020 more useful features for the users are required. Implementation of the e-cohesion concept will enhance a simplification, administrative burden reduction and transparency.

The key problem encountered in the 2007-2013 exercise is **the reliability of the management and control systems**. The irregularities identified in the management and control of public procurement would appear to be of a systemic nature, while other system irregularities in the activities of project appraisal and selection, fraud (in the case of one IB), suspicion of conflicts of interest and coercion in another, led to interruptions of payments, suspensions and pre-suspensions of Operational Programmes, some of which are still in force.

Despite the positive opinions in the surveys, the procedures for payment flows, expenditure forecasts and certification of expenditure need significant improvements being **excessively bureaucratic with prolonged processes**, and **low predictability** of the forecasts.

The **internal audit appears ineffective** as it does not appear to contribute to early detection of system irregularities. Risk management is not properly used as a management tool, and the management of irregularities has significant gaps in terms of prevention and correct recording of the current and future management.

A snapshot of the current situation of the capacity on the three dimensions analysed is presented in the figures below produced with a selection of data and information registered in the database created within this assignment.

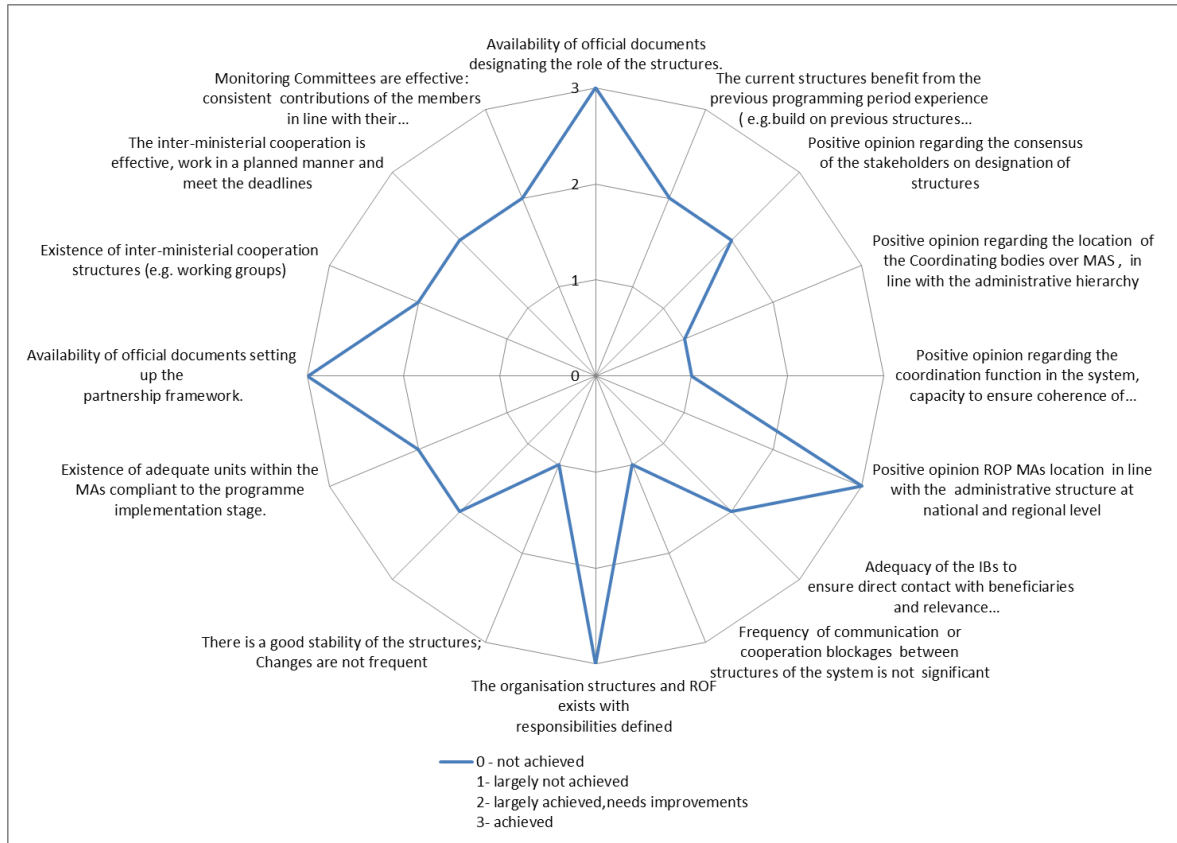


Figure 2 Administrative capacity from the Structures perspective 2007-2013

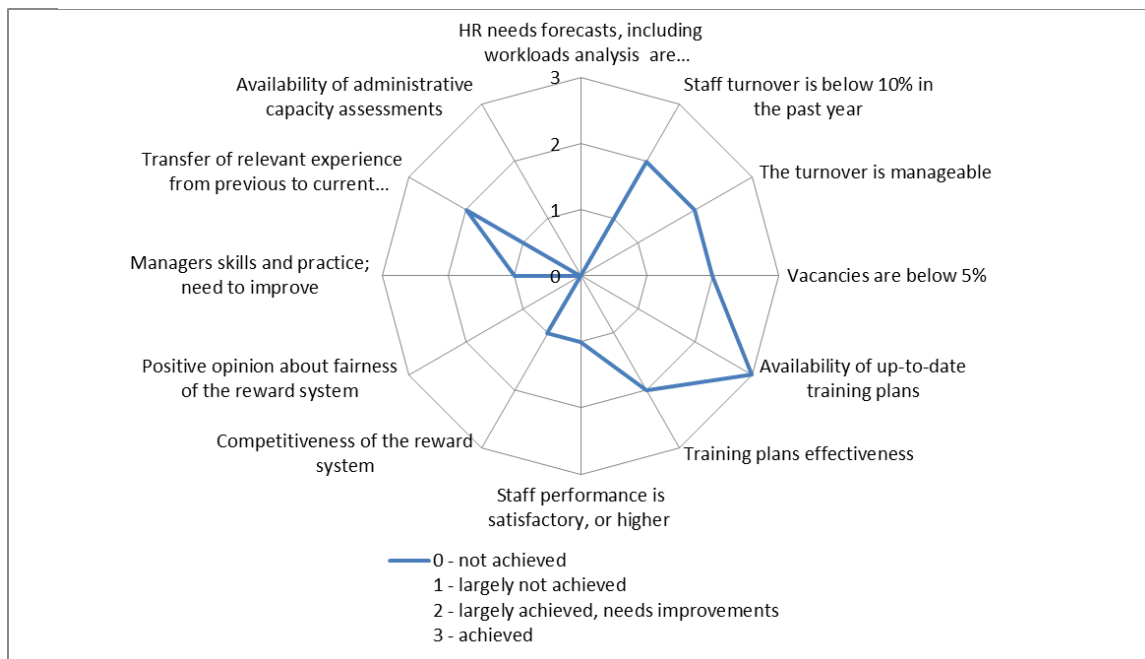


Figure 3 Administrative capacity from the Human resources perspective 2007-2013

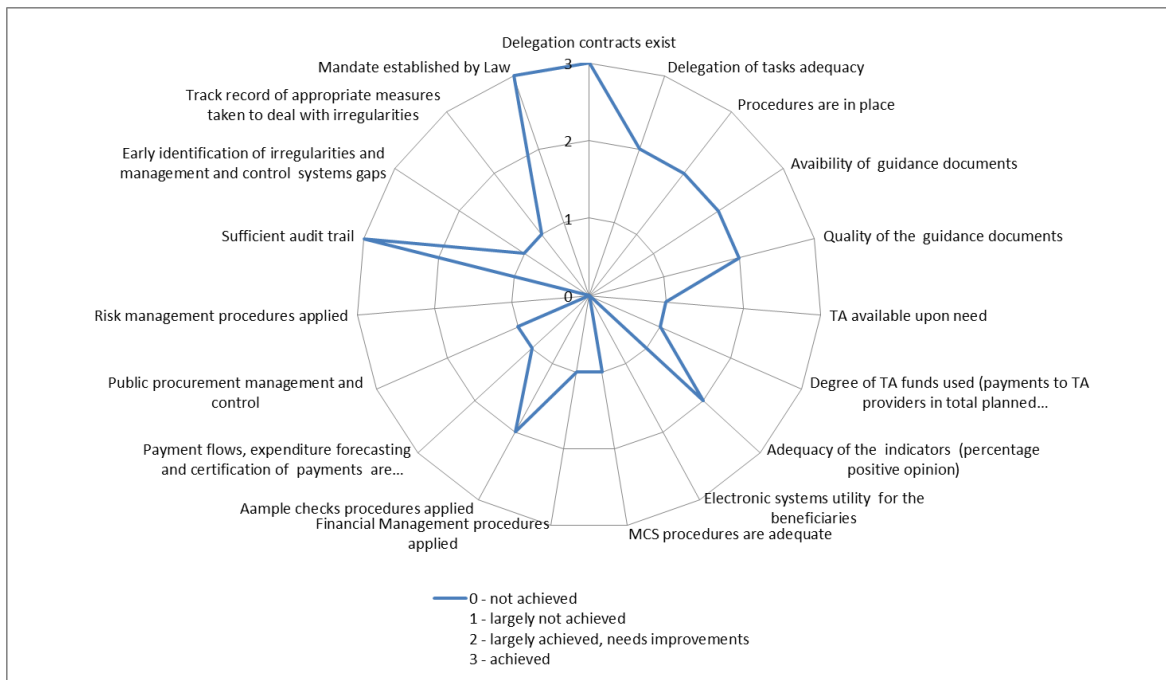


Figure 4 Administrative capacity from the Systems & Tools perspective 2007-2013

Recommendations

R1. Redesign the institutional framework and position the national coordination structure and the MAs within the public administration system in order to boost their authority and ability to promote inter-institutional and multi-sectoral cooperation. This : (1) measures addressed to the structures which proved to have difficulties in the 2007-2013, (2) location of the structures in line with the hierarchy in the administrative system, (3) location of the MAs/IBs difficult to be coordinated in dedicated structures, considering the additional administrative costs, (4) the National coordinator, i.e. MFE to be empowered by the Prime Minister to enforce the rules in the whole system (5) ensure IBs are designated to structures that ensure adequate contact with the targeted beneficiaries. (6) Stability of the organisations' structures and the whole framework has to be ensured, in order to improve the institutional performance

R2. Develop participation of the social partners in the programming process and the monitoring committees; this could be achieved through better coordination of the cooperation, guidelines and plans, updated information and training.

R3. Development of the HR function in the system of the CSF funds; this could be achieved through an intervention designed for the long term over the whole programming period and with the aim of designing and implementing HR policies including HR planning, an optimal allocation of responsibilities and workloads, review of the performance management system with integration of results based approaches, improve the reward system, strengthen the training function. Capacity for the management of the HR function has to be created with centralisation at the level of MEF and the cooperation with the HR departments of the ministries and integration with their processes as many as possible. Outsourcing using TA resources will enhance efficiency.

Analysis should be performed on particular features of the HR function in order to monitor effectiveness of the function and progress in development of the administrative capacity



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R4. Revisions of the whole management system in order to simplify procedures, clarify allocation of responsibilities, and reduce the administrative burden. A study on the minimum requirements generated by the regulations and legislation should be contracted.

The simplification should have in view; optimal use of grant schemes calls for proposals, reasonable/minimum documents requirements in all phases, levels of controls, clarity and agreement on the interpretation of the procedures by all control bodies, use of standard costs and lump sums, etc.

R5. Develop user friendly guidelines, manuals, helpdesks, tutorials, with an extended use of ICT, in order to ensure easy access of all beneficiaries

R6. Ensure development of an effective indicators system in line with the EC methodology, adequate capacity at project and programme level to use the indicators and production of data for the calculation of the indicators. This needs to be implemented through coordination from MEF level, with provision of guidance and training to all users of the system. MEF have to ensure the data providers have the capacity and assume production of data.

R7. Extend the e-cohesion concept in all processes of data exchange with the beneficiaries.

R8. Strengthen the management and control systems of the authorities. This should be implemented through improved competences in internal control, risk management, prevention, detection and management of irregularities. To be explored are modalities of how evaluation criteria linked to the MCS can be included in the performance appraisal of the managers, and additionally sanctions on cases of lack of discipline to be applied. The improvement of the procurement procedures has to continue.

Other measures to support the strengthening of the administrative capacity of the authorities.

Implementation of the public administration reform to create a favorable environment for the development of the administrative capacity of the authorities involved in the management of the EU funds.

- Specifically improved capacity of the policy design and implementation is needed
- Improvement of the effectiveness and efficiency of the public administration system.
- Addressing corruption in a more effective way,



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5 Analysis of the administrative capacity of the beneficiaries

5.1 Information and data collection regarding the administrative capacity of the beneficiaries

The evaluation team initiated the analysis of the administrative capacity of the beneficiaries with the documentary analysis. The documents analysed are listed in Annex 1, which is a common list of sources that was also used for the assessment of the authorities. Two of the evaluations consulted are focused specifically on the capacity of the beneficiaries: "Challenges associated to the capacity of SI Beneficiaries" (2011), and "The Evaluation of the Administrative Capacities of Regions" (2011). Other evaluations and studies, and implementation reports mention the capacity of the beneficiaries in the context of OPs implementation analysis, and identification of factors influencing performance.

The assessment is structured on three dimensions of the administrative capacity

- (i) Capacity of the beneficiaries to manage projects
- (ii) Capacity to mobilise human resources
- (iii) Capacity to mobilise financial resources

A checklist with indicators for the capacity of the beneficiaries has been designed and include for each of the three dimensions the most relevant elements as presented below and in the checklist attached in Annex 2b.

- (i) **Capacity of the beneficiaries to manage projects, including:**
 - Integration of the project management in the organisation, capacity to create functional interdisciplinary teams, extent to which all functions of the organisation are fully covered ;
 - The expertise available in project management/ EU funded projects;
 - Availability of experienced project managers;
 - Capacity to produce mature projects and use project pipelines.
- (ii) **Capacity to mobilise human resources, including:**
 - Availability of human resources to implement the projects in sufficient quantity;
 - Capacity to manage turnover;
 - Competences availability in key processes;
 - Adequate quality of the consultancy services available.
- (iii) **Capacity to mobilise financial resources:**
 - Availability of sufficient financial resources, internal or accessed to ensure co-financing and cash-flow during implementation;
 - Pre-financing arrangements adequacy and accessibility for all type of beneficiaries.
- (iv) **Horizontal factors affecting the capacity of the beneficiaries:**
 - Clarity and consistency of the procedures, EU and national regulations applicable to the project;
 - Sufficient capacity of the MAs and IBs to support the beneficiaries;
 - Existence of electronic systems of data exchange with MAs and IBs;
 - Civil servants effectiveness and efficiency;



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- Corruption risks are addressed.

The elements of the checklist, are used as assessment criteria, derive primarily from practice, identifying the key factors influencing projects performance in terms of successful achievement of the projects objectives. The selection of the beneficiary's criteria is consistent with the previous evaluations, mainly with Challenges concerning the capacity of the structural instruments beneficiaries. The complete checklist with the assessment is attached in Annex 2b.

The evidence needed for the assessment of each criterion has been collected using several methods including: the documentary analysis, an online survey and a focus group.

An important tool for collection of data and information is the online survey. The questionnaire for the survey was applied using the Survey Monkey platform, as detailed in section 3. The questionnaire is attached in Annex 3 b.

The questionnaire contained fifteen questions²⁹, utilizing a combination of types of questions, single choice or multiple choices, and matrix questions. All questions offered the possibility to introduce comments and explanations. The online questionnaires were applied to all beneficiaries of the Cohesion Policy operational programmes and FOP. In the case of the Agriculture and Rural Development a database with electronic contacts was not available. For this reason the evaluation team has searched the email addresses of the beneficiaries of investments projects, identifying as many as possible from public sources, this resulted in 196 email addresses. The questionnaire had a Romanian and an English version – addressed to the CBC beneficiaries from other countries.

The results of the survey are based on the 571 answers received from the 7654 beneficiaries with valid³⁰ email addresses, invited to fill in the on-line questionnaire uploaded on the SurveyMonkey platform (<https://www.surveymonkey.com/s/GRJ8QRB>).

The 571 respondents from a population of 7654 gives a 95% confidence level that the answers are accurate to within +/- 4%³¹.

For the analysis accuracy, only 525 responses were taken into consideration as relevant because they provided answers to more than 60% of the questions (maintaining a similar 95% confidence accuracy of just over +/-4%).

The participation in the survey is largely consistent with the relative sizes of the categories of beneficiaries invited. The largest participation is from the private sector followed by public administration and NGOs, as detailed in Table 4.1.

Table 4.1 – Structure of respondents by type of organization

Private sector (all types of entrepreneurs)	Public administration & institutions	NGOs	Universities & RD Institutes	Other types	Didn't indicate the type
43.8%	27%	19.4%	7%	2.7%	4%

²⁹ The questionnaire was used to collect information for the parallel assessment regarding the Electronic systems, for which 6 additional questions were included in the questionnaire.

³⁰ Should be noted that around 10% of the beneficiaries' addresses weren't valid (probably were changed after the financing contract closure).

³¹ Based on AAPOR & AMA confidence and accuracy levels generated through <http://www.surveysystem.com/sscalc.htm>

Detailed structure of respondents by type of organization (as resulted from Q1):

Private sector (all types of entrepreneurs)				Public administration & institutions			NGOs	Universities & RD Institutes		Other types			Didn't indicate the type
43.8%				27%			19.4%	7%		2.7%			4%
Micro	SME	Large	Producers (agri&fish)	Central PA	Local PA	Publ instit	19.4%	Univ	RD Instit	Trade unions	CCI& Empl. org	Publ. Co.	4%
14.7%	22.9%	6.1%	0.2%	5.1%	14.3%	7.6%		5.9%	1.1%	0.8%	0.2%	1.7%	

The participation by OP had most respondents indicated as HRD OP beneficiaries, followed by ROP and SOP IEC as detailed in Table 4.2.

Table 4.2 – Structure of respondents per OP (some of the beneficiaries were founded from more than 1 OP)

SOP HRD	ROP	SOP IEC	OP ACD	SOP ENV	CBC (4)	RDNP+OPF	POAT +SOP T
41.6%	27.6%	26.6%	9.6%	8.1%	8.1%	5.6%	3.5

Over 83% of the respondents were/are project managers, more than 65% recently finalized project(s) and around 50% have project(s) still in implementation.

Opinions of the authorities regarding the capacity of the beneficiaries were collected through the survey addressed to the authorities, which included two specific questions on the subject. (See annex 5.a.)

In order to collect more qualitative data a focus group was organised for clarification and provision of insight on specific preliminary conclusions from the methods applied. The membership of the focus group was intended to have a good representation of the categories of beneficiaries and categories of projects: local and central public administration, private beneficiaries, beneficiaries of large projects (Transport, Environment). The focus group had 17 participants (out of 28 invited), representing almost all types of organizations eligible for finance under the OPs 2007 – 2013. Annex 6.b includes: the agenda, and the list of participants.

5.2 Analysis and findings

The analysis is structured on three dimensions of the administrative capacity of the beneficiaries, highlighting the specific findings and conclusions for the typical types of beneficiaries

The first major segment of beneficiaries is represented by public administration at central and local level (county municipalities, towns and communes) as well as other public institutions e.g. agencies, public institutions in education, research, other social and economic sectors.

The second category is the public operators of public infrastructures, included in this group are operators in water, waste water infrastructure, waste management, transport, and others.



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These categories have a high importance in the implementation of the CSF funds, because they have the responsibility for implementation and production of results from large amounts of the funds for which they are eligible.

The context of the administrative capacity of these organisations is given by the conclusions of previous reports and summarizes the following issues:

- a. Low capacity at the local public administration level to manage large complex projects associated with reduced ownership in case of projects implemented in partnership.
- b. Risks related to weaknesses of the management and control systems (Court of Accounts Annual Report, 2011, e.g National Roads Administration Company audit mission conclusions)
- c. Weaknesses in monitoring and evaluating achievements against planned results
- d. Difficulties in compliance with instructions and deadlines

Another category are the private beneficiaries usually accessing funds of smaller amounts; they do not generally develop internal capacities on the long term, either they use their own business project development units and/or outsource project development and management services. A large category of smaller units, mainly individuals and farmers in rural development, have difficulties related to accessibility and affordability of the consultancy services. A particular feature of this category is reluctance to engage where they fear an administrative burden and difficulties in understanding excessive bureaucratic requirements.

The final category are other non-profit organisations, including NGOs in various sectors, trade unions etc.; they have more sustainable project development units in their structures and are more willing to learn and comply with the public funds requirements.

Within the analysis we will highlight specific features of the issues analysed for each category.

5.2.1 Capacity to manage projects

For this dimension of the administrative capacity we seek to answer to the question:

“To what extent the organisations have the capabilities for implementation of the projects?”

This aspect has a particular importance for public beneficiaries and the operators implementing large projects.

The survey revealed a strong positive opinion regarding the integration of the project management in the organisation:

- 87.3% of the respondents consider the involvement of top management very good & excellent;
- 67.2% rated the interdisciplinary teams very good & excellent.

When looking to the type of organizations, it should be mentioned that the project management is more integrated in the organization management within the private sector than in the public sector. For example: within the projects implemented by SMEs, the involvement of top management is rated at 91.2% in comparison with 64% within the projects of central public administration. The overall percentages are similarly rated at NGO level and other types of organizations.

With regard to the interdisciplinary teams created for the project, the overall percentage is fairly consistent based on each type of organization. From the comments included to this question, we can surmise how the different types of organisations dealt with the project management issue:



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- e. The private entities, which tended to be more flexible but with small number of staff (and/or not specialized in project management), hired specialized staff for implementing the project.
- f. The big organization could afford to create interdisciplinary teams for different types of projects. Those organizations have units/departments focused on the projects' management.
- g. Strong project communication tools were used within the projects with many partners (or partners from different countries) or in the case of big organizations where the interdepartmental cooperation is weak.

The above opinions have been confirmed in the focus group.

Other documentary sources including previous evaluations and Court of Accounts Reports³² revealed a number of weaknesses regarding the integration of the project management into the organisation including the following:

- Difficulties of the beneficiaries in setting up and managing interdisciplinary teams, ensuring interdepartmental cooperation;
- Diminished ownership in the case of large regional projects or in the case of use of external services for project implementation;
- Ineffective internal/managerial control systems which allows irregularities, (suspected) frauds, infringement of the use of public funds.

Previous studies³³ also highlighted as a weakness beneficiaries not using risk management as a management tool.

Improvements are needed with a specific focus on the weaknesses identified in beneficiaries of large infrastructure projects. It can be concluded that for all beneficiaries the integration of the project into the organisation should be part of the project management training.

The beneficiaries should be trained how to prepare a good "methodology for implementing the project" and how to present this methodology in the dedicated section of the application form (usually there are only "pure theories/stories" written on many pages at this section). The assessors should be trained how to evaluate the project methodologies. The evaluation grids should include a higher score for "Methodology", with impact on the general score.

The level of **expertise in project management** in the organisation is another element of the beneficiaries' capacity to manage projects.

The survey reveals:

- 97% of the respondents claim they have sufficient expertise in project implementation and
- 71% of the respondents consider having sufficient expertise in project preparation phase.

According to the survey results the expertise of the beneficiaries is ensured mainly from internal resources. The percentage of organisations using external resources is higher for beneficiaries from the private sector (micro, SME, large enterprises and local producers).

In the project development phase 47% are using internal resources (lower percentage for private sector) while 24% are using external resources (lower percentage for public sector and NGOs).

During the implementation phase 85% are using their own expertise and 11.7% are using external project management expertise (higher percentage in using external staff for private sector).

A large number of respondents consider that specific skills needed in project implementation are present in their organisations: 80.5% of the respondents have expertise in project monitoring and

³² Formative evaluation of the structural instruments in Romania, 2010; First Ad hoc Evaluation: Challenges in the capacity of public and private structural instruments beneficiaries, Final Report of March 2011; Evaluation of the administrative capacity of the regions in the regional development area, 2011; Annual report of the Court of Accounts, 2011

³³ First Ad hoc Evaluation: Challenges in the capacity of public and private structural instruments beneficiaries, Final Report of March 2011



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reporting; 85.2% are experienced in financial management; 82.8% in EU visibility rules; 77.3% have expertise in public procurement.

From the comments included by the respondents to this question, the difficulties that are most encountered include the followings:

- h. Public procurements procedures are not easy to be understood and follow by the beneficiaries from the private sector.
- i. Technical studies/feasibility studies are expensive and have a limited duration (2 years). Most of the beneficiaries don't have internal staff specialized in preparing those documents.
- j. The small organizations (especially the NGOs) have overloaded staff but they are able to transfer the expertise from one project to another.

The beneficiaries' opinion is only partially confirmed by the authorities consulted in a similar survey. The authorities' opinion is that beneficiaries encounter difficulties in the following areas:

- k. Around 50% of the beneficiaries have difficulties with preparation of the application form, budgeting and setting indicators.
- l. Between 50% and 86% of the respondents have indicated beneficiaries' difficulties in public procurement, financial management and reporting indicators.

The focus groups confirmed the conclusions of the survey and highlighted the overall good expertise, but that it is was uneven across beneficiaries. There are different levels of expertise and development needs for different categories of beneficiaries and types of projects.

The beneficiaries developed their expertise mainly during the current programming cycle. Previous experiences from pre-accession programmes tended to have a reduced relevance³⁴. It was considered that SAPARD had more relevance, as it was more closely linked to EARDF than the other pre-accession instruments against their successor (PHARE etc.). A large amount of learning had to take place, and was considered especially challenging in many cases, because of difficult guidelines for applications, inconsistent appraisal and a high administrative burden.

Expertise in project management is an area in need of improvement; specific skills have to be developed according the type of project sizes and complexity.

There are areas where the beneficiaries are not aware about their weaknesses, i.e. how to establish adequate project indicators or prepare & describe the project implementation methodology. Workshops/practical trainings (with concrete examples given) could reduce those difficulties.

Meanwhile, the staff of MAs/(R) IBs should be trained in the specific area of the projects they are monitoring or they should ask for help from experts in order to avoid mistakes in monitoring the project and in applying undeserved financial corrections.

Availability of projects managers is a key element of the beneficiaries' capacity to implement projects.

59% of the survey respondents indicated a need for more experienced project managers out of which: 26.5% mention this is a significant need.

Within the public sector the significant need for experienced managers is higher (at local administration level it is ranked at 34%, at central level is ranked at 32% and in other public institutions is rated at 43%).

The opinions collected during the focus group nuanced the results; the availability of experienced project managers varies, upon sizes and type of organizations, and location. It was considered

³⁴ First Ad hoc Evaluation: Challenges in the capacity of public and private structural instruments beneficiaries, Final Report of March 2011



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more likely to find experienced managers in urban areas, in sectors with more experience in EU funds, and in larger organisations.

The public sector cannot afford to pay adequate salaries for attracting experienced project managers and specialized staff for different projects. NGOs are running many projects and the young staff are interested in accumulating experience to be used later.

However the survey results indicate the perception that the quality of the project management is not adequate to the needs of the beneficiaries and the experience of the projects managers is an essential part of their competence.

The situation is explained partially by the high increase of the demand for projects managers in the last year with thousands of projects in the implementation phase. On the other hand there are situations that the difficulties in managing the project are due rather to the lack of clarity and the changing procedures than the capacity of the project manager.

The proportion of the respondents indicating the need for more experienced project managers is very high and confirmed by the market conditions. The availability of experienced projects managers is not proven

Significant improvements are needed in order to ensure project managers in all areas and for types of beneficiaries.

To what extent there is capacity to create and manage project pipelines is most relevant in the case of beneficiaries with a significant development role in a social or economic area. It has a particular applicability at the individual level, but will be mainly limited to the interests of the respective beneficiary.

The survey results indicate the following opinions:

- 75% of the respondents consider that there is a need for mature projects and project pipelines;
- There are sufficient internal financial resources to develop projects pipelines (60%); and sufficient expertise for project development (47%).

The focus group participants confirmed the survey findings and gave examples from their own experience of projects already identified/in progress within a project pipeline, managed by various types of beneficiaries.

There are not significant differences in the percentages rated by different categories of beneficiaries (public versus private sector or NGOs).

There are comments made by the public companies regarding the dependencies between a good project pipeline and the specific documents needed for developing those projects (quality, costs and validity of feasibility studies and other documents required for a project).

The theory and the experience show that the capacity to create and manage a project pipeline means more than a project development capacity. There are many factors that influence the realistic and deliverable project pipeline and the more complex the area of development is, the more complex the process of developing a project pipeline becomes. Managing a project pipeline requires both resources and good working relations.

The capacity of the regions³⁵ to identify, prioritize, develop, manage and implement the projects is considered limited and needs attention to be further developed. In the case of the sectoral programmes the MAs and IBs experienced difficulties with the development of projects pipeline. In 2007-2013 the key actors did not succeed to produce mature projects, as needed, and this can be identified as one of the main reasons for the delays in implementation and the resultant absorption difficulties.

³⁵ Evaluation of the administrative capacity of the regions, 2011, Ministry of Regional Development and Tourism.



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McClements and Marinov, 2006 mention the typical problem found in the new member states, where “the managing authorities are de facto isolated from domestic investment planning. Additionally they are inadequately linked to agencies who should be expert in particular sector and who often play the role of intermediate bodies e.g. national tourism agencies, public employment agency, small business promotion agencies, and research and innovation promotion agencies and so on. And such agencies are themselves very weak “.

Looking at the Romanian institutional set up and policy makers we can see a similar situation.

In RDI sector according to INNOVA Europe, 2010³⁶ the complex and fragmented institutional framework is reducing National Agency for Scientific Research (NASR) capacity to act as unitary coordinator of RDI in Romania

The report also mention that there is a lack of coordination between and integration of regional and national actions to foster RDI. In 2007-2013 the regional offices of the IB for Priority Axis 2 Research and Development of SOP IEC, could hardly deal with the administrative tasks as an interface of the IB, with no role as development actor supporting RDI in the regions. Despite almost all regions had regional innovation strategies adopted, there was no competent body in the regions to support implementation and a real integration with the SOP IEC funding.

A similar situation was found in other sectors, tourism, i.e. no capacity in the regions, SMEs sector with weak regional capacities, HRD OP, etc.

RDAs are the single bodies with good territorial coverage which plays a development role in the regions, at present “managers” of the regional policy. Their successful functioning might suggest allocation of additional responsibilities for other sectors as they have already become IB for SMEs interventions of the SOP IEC. New responsibilities allocated to RDAs for specific sectors implementation will impose support measures for creating the specific sectoral capacity and adequate empowerment.

The experience of 2007-2013 operational programmes reveals a common opinion regarding the need to have mature projects when the calls for proposals are launched, and to manage them through projects pipelines.

It is too early to assess the stage of project pipelines for 2014- 2020 as a large number of regional and sectoral planning processes are still in progress. More detailed analysis is needed at regional and sectoral level on the capacity for implementation of project pipelines, including provision of TA support.³⁷

There were a high percentage of respondents indicating the need for project pipelines. Despite specific cases of project pipelines being given as examples by the participants in focus group, the experience of the current OPs lacking mature projects in time lead to the conclusion that the criteria is not achieved.

The above findings lead to the conclusions that the development of projects pipeline needs special attention and support and is linked to the capacity of the development actors for each sectors.

5.2.2 Capacity to mobilise and effectively use human resources

The Human Resources dimension of the beneficiaries’ capacity includes the following questions:

- To what extent the beneficiaries have sufficient staff for projects development and implementation including the capacity to manage the staff turnover?
- To what extent the staff possess the needed expertise?
- To what extent the needs could be covered with outsourcing consultancy services?

³⁶ Management of public R&D institutions in Romania

³⁷ OPTA AIR 2011



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The responses to the survey indicate a need of additional human resources in preparation and implementation of the projects: additional staff (around 47% of the responses), more expertise, and improved competencies (53% of the responses).

The participants in the focus group reiterated the differences depending on the project location, type of project and type of beneficiaries.

Availability of competent staff is more difficult at the local level, and in deprived, rural, or isolated areas. Smaller organisations – public administration or private companies – tend to have more difficulties to mobilise human resources for project development and implementation. In the case of large organisations issues regarding mobilisation of staff are due to increasing workloads, understaffing (in some cases), and weaknesses in organising the work.

Project development processes appear more sensitive to allocation of resources as in most cases this activity is funded from the (potential) beneficiary's own resources and bears the risk of non-funding (unsuccessful project application).

The associations of the local public administration, trade unions, and employers' associations in some cases support their members-beneficiaries in dealing with staff difficulties.

There could be identified gaps for specific specializations, mainly when there is a sharp increase of the demand work opportunities (i.e. the launch of waste management projects in the 2007-2013 cycle).

The public administration & institutions at county, regional and central level as well as universities have experienced fewer problems with HR availability. The internal resources could be supplemented with outsourced capacity.

A more detailed analysis for the future programming will be needed, considering the types of beneficiaries and types of projects.

At present the information indicates a significant gap – of around 50% of the beneficiaries being confronted with the (UN) availability of human resources.

This gap has to be interpreted in the conditions of excessive bureaucratic requirements. From our own experience with implementation of projects in various domains and types of beneficiaries we can see that for all types of projects the administrative requirements in all phases involves a volume of work exceeding the allocation of resources, even in the case of eligible expenditure with project management. Unclear guidelines and variable interpretation of the procedures increase the burden.

Even with the circumstances of excessive bureaucracy the conclusion is that there are insufficient human resources available for project development and implementation.

Ensuring adequate staffing needs improvements, but the measures have to start with reducing the administrative burden for all beneficiaries.

To what extent **the turnover is a negative factor on the capacity is more relevant for public beneficiaries** where they rely more on internal resources. 79.3% of the survey respondents consider that the staff turnover does not affect the project implementation. The focus group participants confirmed the staff turnover is at a manageable level.

The situation has to be analysed on types of beneficiaries³⁸: Large public beneficiaries, including Central Government have been affected by significant staff departures due to the budgetary restrictions and salary reductions. The process was less significant in other public administration bodies like local administration.

The beneficiaries have to deal more and more with a human resource under the pressure of lower salaries, increased workloads and insecurity, both in the private and public sector. More effective

³⁸ All AIRs on 2011



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human resources policies and practices have to be applied in the whole organisation including the project team.³⁹

Despite the small share of beneficiaries participating in the survey indicating difficulties in dealing with staff turnover, the increasing mobility of staff, downsizing of the organisations due to the economic crisis and the migration between state and private sector, lead to the conclusion that for a large number of the beneficiaries the turnover is challenging. Special attention needs to be given to the stability of the project teams and quick replacements. Outsourcing with affordable and accessible consultancy services could compensate understaffing in the most affected beneficiaries.

And finally the qualitative dimension of the human resources looks at the availability of competences needed for proper development and implementation of the projects.

The respondents in the survey have indicated as key areas of competence possessed in the organisation the following: application form preparation, public procurement, financial management, project monitoring and reporting, information and publicity of EU support, competences related to the specific projects, technical specific competences.

The responses reveal more than 75% of the respondents have the expertise in the following areas:

- public procurements 77.3%;
- financial management 85,2%;
- project monitoring and reporting 80.5%;
- Information & publicity of EU support 82.8%;
- technical competencies 78.9%.

A lower level of expertise is indicated in project preparation, 47.1% of the responses.

The evaluation report on beneficiaries' capacity shows there are differences between beneficiaries depending on their experience in PM, their organisation type and size.

The criterion is partially achieved and improvements are needed with a focus on project development and public procurement. The project development should be seen in relation with simplification of the project application procedure.

Use of outsourcing in order to cover lack of internal resources is a solution for all categories of beneficiaries.

The opinions of the respondents indicate the consultancy services are available but do not meet the expectations of the beneficiaries. The results of the survey are presented below:

- 57% of the responses indicate as good the availability of the consultancy services;
- 48.7% of the responses indicate as good the quality of the consultancy services;
- 40% of the responses indicate as good the price quality ratio.

We find in the responses the opinion of the beneficiaries that the consultancy services are expensive and do not meet the quality expectations. The availability of consultancy services appears rated to a high extent, but the quality and the price quality ratio are rated lower.

Participants in the focus group highlighted differences regarding the availability of the services upon types of projects, sectors, area of residence, types of beneficiary. This is confirmed from our own experience in implementation of a technical assistance project, "support for project development for research development and innovation interventions" within SOP IEC, PA 2. There were few consultants on the market familiar with the RDI concepts and requirements of the interventions.

Consultants had little experience with public funding and the various programme requirements. A constraint in developing the consultants market was the fact that some MAs and IBs restricted the participation of the consultants in events for the provision of information and transfer of knowhow,

³⁹ Ad-hoc evaluation Challenges in the Capacity of Public and Private Structural Instruments Beneficiaries



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but there are examples of more open treatment by MAs and IBs and recognition of the need to have well informed and competent consultants. The survey results could not capture all features of the consultancy market. We suggest further analysis is needed for each OP regarding the availability and affordability of the consultancy services and to ensure availability in affordable conditions for each segment of beneficiaries.

Where services are available in adequate quantity the fair, competitive procedures of selection will enhance development of the market on a commercial basis. In this sense it should be considered the fact that the quality and the price-quality ratio are compromised in the case of the public beneficiaries by the “lowest price” award procedures used extensively in public procurement.

5.2.3 Capacity to mobilise financial resources

This dimension of the capacity of the beneficiaries to mobilise financial resources looks at two issues:

- Existence of sufficient internal and borrowed financial resources to ensure co-financing and the implementation cash flows and,
- Adequacy of the pre-financing mechanisms in order to ensure accessibility to finance for all types of beneficiaries

The survey responses reveal that:

- 62.3% of respondents are able to ensure co-financing and cash-flow from internal or accessed financial resources;
- 34.8% have access to bank loans and
- 30% have access to bank guarantees.

It should be mentioned that the private sector has bigger problems in obtaining banks' support for their projects (38%) or accessing bank guarantees (41%).

Considering that all respondents are beneficiaries of funding with projects implemented or in implementation, the rate of 62.3% of respondents able to ensure co-financing and cash-flow is worrying and suggests it is a high risk for the operational programmes performance. The focus group highlighted the extensive problems in implementation due to reduced capacity of the beneficiaries to ensure the financial resources, aggravated by large delays of the reimbursements (e.g. 230 days instead of 45 days; and quoted 27 months delay of the final payment).

Access to bank loans is difficult and very often the loan conditions are changing between the application and the contracting date.

Similar conclusions have been found in the interim evaluations, studies and annual implementation reports, e.g. SOP IEC, 2009, ROP 2011, a, DG Regio, Evalnet 2012

The interviewees mentioned the need for a better fine tuning between the banks criteria and the programme. The “comfort letters” required with the application form to ensure the endorsement of the bank were not useful at least because the long appraisal procedures which changed the economic and financial conditions for the investment. Undercapitalised private beneficiaries, a weak public administration affected by low budgetary incomes at local and national level, combined with a rigid banking system with extreme risk aversion create high constraints in ensuring the funding for projects implementation.

Regarding the pre-financing mechanism the results of the survey reveal that 42.9% of the respondents indicate that they did not experience problems with pre-financing.

From the comments addressed to this question it can be shown that the beneficiaries faced problems when the pre-financing percentage was reduced (from 30% to 10%). Also, they complained about the lack of predictability in preparing good cash-flows.



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Less than 50% of the respondents, all being beneficiaries with projects in implementation or finalised, found adequate and accessible pre-financing for their type of organization.

The participants in the focus group explained typical problems with pre-financing:

- unpredictable mechanism including reduction of the pre-financing rate during implementation, change of the conditions, delays in payments;
- the access to bank guarantees depends on the type of organization and their size, but there is a mismatch between the EU funding selection criteria and qualification conditions for bank loans;
- the public sector has an advantage.

The interim evaluation reports (e.g., SOP IEC, ROP, and HRD OP) provide similar conclusions.

The measures for improving efficient use of the pre-financing had in some cases opposite effects than expected. A study regarding solutions for optimal pre-financing is now on-going and will provide recommendations for the future mechanism to be used.

The capacity of the beneficiaries to mobilise financial resources is an area of concern and a priority for urgent measures.

5.2.4 Horizontal issues affecting the capacity of the beneficiaries

In this section we have analysed five factors affecting the capacity of the beneficiaries:

- **Clarity and consistency of the procedures**
- **Sufficient capacity of the MAs and IBs to support the beneficiaries**
- **Existence of electronic systems of data exchange with MA/ IB and AA**
- **Civil servants effectiveness and efficiency**
- **Corruption risks are addressed**

Analysing the survey results we have found that 87.4% of the survey responses indicate the lack of clarity and consistency of the procedures.

There is a generally shared opinion about the lack of clarity and consistency of the procedures:

- 46% of the respondents indicate ambiguities of reporting procedures;
- 36.4% experience difficulties due to the reimbursement procedures and
- 25% beneficiaries faced difficulties with public procurement.

Only 23.5% beneficiaries did not experience difficulties in project(s) implementation.

During the focus group, the participants confirmed the lack of clarity and consistency of the procedures with examples: guidelines changed by MA during the preparation and/or implementation period, different interpretation given by MA/IB/RIB and NARMPP and AA at the cost of the beneficiary.

In conclusion the clarity and consistency of the procedures and the guidelines need significant improvements.

The capacity of the MAs and IBs to support the beneficiaries was interpreted as “good working relations with the MAs and IBs”.

More than 50% of the responses indicate a good cooperation of the beneficiaries with the MAs and IBs. The cooperation is perceived better in implementation (70% of the responses) than in project preparation (58% of the responses) and project identification (52% of the responses).

The survey as well as the focus group and the reports reveal significant gaps in the support provided by the MAs IBs to the beneficiaries.

79.8% of the responses indicate a need for more guidance from MA/IB/RIB during preparation and implementation



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The participants in focus group provided examples of gaps in the cooperation:

- Poor quality of information or guidance received from MA/ IB/ RIB, especially during implementation;
- Lack of flexibility and predictability;
- Changes of the rules during the game;
- Excessive interpretations;
- Unilateral contractual contract modifications;
- Insufficient support to beneficiaries: clearly and timely provision of information, practical training, guidance, partnership principles in implementation, helpdesk, facilitate harmonization of interpretation of rules and procedures with all authorities, etc.

Support provided by MAs and IBs to beneficiaries have to be more effective, significant improvements are needed.

The survey revealed a reduced used of electronic systems in relation with the MAs and IBs. This is confirmed by their reduced number of applications for beneficiaries with limited functions.

The survey results reveal the following findings

- 60,7% of the respondents confirm they use one of OPs specific electronic systems;
- 22.7% of the respondents did not know there was any electronic system they could use in relation with the MA or IB;
- The remaining part 16.6% of the respondents stated that they use only emails or applications with a wider use than the operational programme/ project implementation;
- 49% of the users find the ES easy to use and time saving;
- More positive opinions regarding utility, (83% of the respondents' rate utility above average), recall of data from the system (82.7%).

In their opinion the ES are easy to use and reduce the time spent on various project tasks.

Gaps regarding the effective use of the electronic systems have been mentioned in the focus group:

- Poor guidance and support to use the ES (especially for up-dates or revised modules, i.e. recently revisions on ActionWeb). Electronic data provision, duplication with printed versions of the documents
- Low efficiency of the ES, not really time saving.

The use of ES at the level of the beneficiary in relation with the MAs and IBs need significant improvements

- **Civil servants effectiveness and efficiency**

Analysing the survey results we found 78.6 % of the respondents considering their capacity to implement project could be affected by the public administration weaknesses.

The participants in the focus group highlighted the constraints of the civil servants to perform at high standards due to the public system weaknesses.

They mentioned as negative factors in the implementation of the projects the unhelpful attitudes and lack of professionalism of the civil servants in monitoring, verification and control activities.

The responses combine the perspective of private beneficiaries and NGOs affected by the civil servants performance as part of the IBs and MAs and the public beneficiaries which are influenced internally within their own organisation by this factor.

This indicator should be included in regular surveys regarding beneficiaries' performance and satisfaction and monitored over the entire programme cycle.



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More than 50% of the respondents consider they could be affected by the public administration system and civil servants effectiveness and efficiency. Connected with the weaknesses of the public administration system in Romania as described in the section 3.2.3 the conclusion is that this factor does not positively influence the capacity of the beneficiaries and the negative influence could be significant.

In conclusion the civil servants effectiveness and efficiency is an important factor influencing the beneficiaries' capacity and needs significant improvements. It is largely linked to the public administration reform expected to create a more favourable environment for projects implementation and business environment.

The corruption risks are perceived by the respondents in the survey as factors affecting their capacity to implement projects.

The results of survey reveal:

- 34.4% of the respondents consider they are not affected by corruption (at all or too a large extent).
- More than 50% of the beneficiaries believe they could be affected by corruption.
- 81.4% of the respondents consider there is a lack of transparency in the appraisal and selection process.

The focus group discussion confirmed the opinions highlighting the fact that the lack of transparency of the processes creates suspicion about the fairness and correctness of the process and potential corruption factors.

There are typical weaknesses in the public institutions which could create premises for corruption cases. The Court of Audit⁴⁰ found as a general weakness of the public beneficiaries the poor implementation of the internal/managerial control systems which lead to late identification of irregularities, (suspected) frauds, and infringements of the public funds principles and rules.

The general opinion is that the corruption risks are not addressed properly; the beneficiaries could be affected by the corruption cases.

5.3 Conclusions and recommendations regarding the administrative capacity of the beneficiaries

The programming period 2007-2013 was a **challenge for the beneficiaries**, due to the new rules that were significantly different than those applied in the pre-accession programme, the larger sizes of the projects, and in some cases involvement of the same entity in a large number of projects.

The capacities continue to be built and include **creation and strengthening of dedicated departments** for project development and implementation, competences development through formal training and through learning by doing. In the case of private beneficiaries, who are accessing funds for their own development, the capacity for project development and implementation relies mostly on outsourcing the services to consultancy companies. The capacity to manage projects varies depending on the type of beneficiary.

An important segment of beneficiaries are the public institutions from the local level (counties and localities), the main operators in environment and transport, institutions in education and labour market sector, etc., who are responsible for a large amount of funding to be absorbed and the corresponding achievements. The **project management capacities built in these institutions are a strong basis for further development.**

⁴⁰ Annual Report 2011



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Nevertheless, the level of performance of the operational programmes and individual projects indicate the need for improvements in all types of beneficiaries. In the case of the large public beneficiaries, **strengthening of the organisational capabilities** to ensure sustainable capacities for project management is a key need and includes improved management and control systems, better integration with other functions of the institution, and improved competences in specific areas of expertise.

A particular aspect of the beneficiary's capacity is the existence and the capacity of the policy "managers", organisations at national and regional level, empowered to implement sectoral policies, e.g. RDI or SMEs policies. Absence of these capacities contributed in 2007-2013 to a spread of the funding in a large number of small projects without a strategic sectoral view. The scenario for 2014-2020 considering reduction of the number of small projects contracted, and introducing large strategic projects, will even more require identification and strengthening or creation of these development actors. The process is complex and cannot be implemented overnight but has to be initiated as soon as possible. **Creation and management of project pipelines** is linked to the existence of the above mentioned development actor. They are the key organisations able to prepare project pipelines. For this reason readiness of mature projects and effective project pipelines proved to be a challenging task in the 2007-2013 period. There is a clear need of increased capacity of the development actors in this area. Assistance and training will be required.

Public procurement, project management skills, continue to be the top training priorities, partially due to the lack of clarity and changing guidelines, procedures and instructions, unfriendly support tools, and variable interpretation of the procedures at different levels of control. Other training needs have been revealed as priorities in the assessment including skills linked to **the application form, budgeting and setting indicators, public procurement, financial management and reporting indicators**

Continuous development in project management with a better focus on development qualitative issues will remain a priority need for the next programming period. Evaluations have also indicated **limited technical capacity** in specific areas and a **low quality of the technical documentation** mainly for infrastructure projects.

There have also been indicated **staffing difficulties, shortages of skills, and project managers or consultants** in the case of specific beneficiaries or specific sectors, (e.g. public administration in smaller localities and rural areas or specific sectors with that have benefitted less from public investments in the past, such as waste management). The beneficiaries need to **improve capacity to use outsourced services in order to compensate for the gaps in their internal resources**.

In the case of private and small beneficiaries, they have to be ensured **simple procedures, clear guidelines** and **easy access to consultancy services** in terms of availability and affordability, depending on the type of beneficiary, to successfully access, implement and manage ESIF supported initiatives.

On the supply side, the consultancy services have to evolve to respond to the market needs. At present the **consultancy services are available to a large extent, but the quality and the price to quality ratio are** perceived by the beneficiaries **relatively low**. The quality and the price-quality ratio are affected in the case of the public beneficiaries by the "lowest price" award procedures used extensively in public procurement and also the constraints in project selection and implementation. **Smooth implementation processes, predictable demand on the market, clearer implementation processes and a focus on quality** instead of administrative compliance, will enhance the development of the consultancy services market.



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An important factor influencing the beneficiaries' capacity to implement EU funded projects is the limited capacity of the beneficiaries to mobilise financial resources for co-financing and the cash-flow needed for implementation. The beneficiaries encountered additional difficulties due to large delays of the reimbursements, difficult access to pre-financing, bank loans and changing loan conditions between the application and the contracting date. **The limited capacity to mobilise the financial resources remains a key issue and risk factor for programmes performance.**

There is a need to improve capacity of the beneficiaries to manage projects, the project management and technical skills, access to support services and financial resources.

Recommendations

R9. Provide more effective technical assistance support measures for the beneficiaries. This will be implemented focused on the following capacity development needs

- Organizational capabilities, which is a key aspect in the case of public beneficiaries implementing large infrastructure projects.
- Continuous development in project management targeting mainly the public beneficiaries and the sectors/ where gaps have been identified. An assessment in the context of the new operational programmes will be needed.
- Flexible TA intervention able to provide, just in time access to training opportunities for specific skills needed. Training has to be approached in more customized way, more individualized and connected to the project management processes. E-learning should be considered in compliance with the type of learners, etc.

This recommendation is in connection with the recommendations number 4 and 5 from the authorities section which will reduce the administrative effort of the beneficiaries and will be able to focus more on the developmental issues of the projects and achievements.

R10 Identify, strengthen or create, capacities for policy implementation at sectoral, national and regional level, e.g. regional bodies for RDI policy implementation, tourism policy, SMEs. These organisations will be able to ensure the adequate delivery mechanisms, the development and implementation of the strategic integrated projects as an alternative to the large number of small projects. They should play the key development role for each sector with adequate capacity to create and manage project pipelines and adequate empowerment by law. A dedicated study should be undertaken for identification of the most appropriate modalities to create and strengthen these capacities, as a key component of the capacity of the beneficiaries.

R11. Improved access to finance to be ensured through accessible pre-financing mechanisms, an improved bankability of the projects, simplified and quick reimbursements during the projects implementation,

The measures under this recommendation include the tailored prefinancing mechanisms according to the type of beneficiary, type of projects and the conclusions of the study regarding the experience in 2007-2013 period in using the prefinancing.

A better fine-tuning of the project selection criteria with the banks loan conditions for the cofinancing and implementation cash-flow. MEF should coordinate the discussions between the IBs responsible for projects selection and the banks offering dedicated products for the beneficiaries of EU funded projects.

And finally MEF has to coordinate in cooperation with all national bodies the creation of a financial mechanism to ensure reliable forecasting, smooth transfers and payments in the whole system.



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Annex 1 – Documents consulted during the desk research activity regarding the administrative capacity of the Authorities and the Beneficiaries

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SOP E, 2012, Interim evaluation of SOP ENV, 2012
OPTA, 2012, Evaluation of the OPTA absorption capacity, 2012
ROP, 2011/2012a, Annual Implementation Report



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Title
SOP IEC, 2011/2012a Annual Implementation Report
SOP E, 2011/2012a, Annual Implementation Report
SOP T, 2011/2012a, Annual Implementation Report
SOP HRD, 2011/2012, Annual Implementation Report
OP ACD, 2011/2012a, Annual Implementation Report
OPTA, 2011/2012a, Annual Implementation Report
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Title
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MEF, 2012, Minuta CM POR 24.05.2012

Annex 2 - Checklists for administrative capacity (Question II)

Annex 2.A Checklist for Question II - Administrative Capacity of the Authorities

Administrative capacity of the authorities (the supply side)	Criterion for accomplishment	Achieved Yes/ No/ Yes* (partially yes and needs improvements ⁴¹)/ Largely no	Evidences (of non-achievement)	Sources of information	Comments
Structures					
Designation of MAs, IBs and other structures					
- The MAs and IBs for the programming period are designated	Availability of official documents designating the role of the structures	Yes (No)	The institutional structured approved (The first draft of the PA including the institutional architecture not finalised as of the reporting date)	NSRF, NRDP, FOP MEF communication to the evaluation team	NSRF institutional framework official documents : Government Decision (GD) N° 497/2004 (amended and supplemented by GD N° 1179/2004 and GD N° 128/2006). GD N° 457/2008 has since replaced the original decision NRDP institutional framework set up official documents Government Decision no. 385/2007 setting up the MA within MARD - General Directorate for Rural Development and Fisheries Government Emergency Ordinance no. 13/2006 setting up the Paying Agency for Rural Development and Fishery (PARDF) Law no. 1/2004 (and follow up modifications) setting up Paying and Intervention Agency for Agriculture (PIAA). FOP institutional framework official documents Government Ordinance no. 15/2009 setting up The Managing Authority functions as a structure within the Ministry of Agriculture and Rural Development, respectively General Directorate for Fisheries General Directorate Certifying and Payment Authority within the Ministry of Public Finance has been designated as

⁴¹ (In brackets is the situation for 2014 – 2020)

Administrative capacity of the authorities (the supply side)	Criterion for accomplishment	Achieved Yes/ No/ Yes* (partially yes and needs improvements ⁴¹)/ Largely no	Evidences (of non-achievement)	Sources of information	Comments
					Certifying Authority for POP 2007-2013 based on the Emergency Government Ordinance no. 74/2009 Government Ordinance no 15/2009 and the Government Decision no 25/2010 setting up The General Directorate Budget Finance and European Funds within MADR as designated Paying Agency responsible with payments related to FOP
- The Paying, Certifying, Audit and Control authorities are designated	Availability of official documents designating the role of the structures	Yes (No)	As above	As above	The Audit Authority operates by virtue of Law no. 200/2005 on the approval of Government Emergency Ordinance no. 22/2005 for the amendment of Law no. 94/1992 The competent authority for NRD is organized as an unit within MARD in accordance with Government Decision no. 385/2007, directly subordinated to the Minister of Agriculture and Rural Development.
- The experience from the previous programming is transferred into the new programming period	The MA and IB structures for the 2014-2020 programming period are largely the same as the 2007-2013 period; There are new structures but there are means of transfer of experience	Yes* (N/A)	limited relevance of preaccession (The first draft of the PA including the institutional architecture not finalised as of the reporting date)	As above	Despite the relevance of Phare and ISPA are limited for Structural Instruments positive experiences been considered in MA for ROP and the RDAs More relevant was found SAPARD experience and the transfer was ensured by building the PARDF on the structure of SAPARD
- There is consensus on the designation of the institutional framework	Agreement between the interviewed parties Consensus in the partnership structures	- (N/A)	As above	Minutes of ICPA meetings	The information regarding the agreement on designation of the institutional framework for 2007-2013 was not found in the documents available. (Although a decision has not been made regarding the institutional framework, there is no evidence that the designation of the MAs IBs has been discussed in the ICPA meetings)

Administrative capacity of the authorities (the supply side)	Criterion for accomplishment	Achieved Yes/ No/ Yes* (partially yes and needs improvements ⁴¹)/ Largely no	Evidences (of non-achievement)	Sources of information	Comments
The institutional framework for the implementation of FESI is adequate					
- The existing structures have sufficient authority to fulfil their role	<p>Authority of the Coordinating bodies over MAs⁴² is in line with the administrative hierarchy</p> <p>Authority of the MAs over IBs is in line with the administrative hierarchy</p> <p>There is a positive opinion regarding the coordination function in the</p>	<p>Largely No significant improvements are needed</p> <p>(N/A)</p>	<p>In a number of cases IBs have been positioned at the same level with the IBs and difficulties in cooperation have been reported (Ministry for Communication and Information Society is IB for MA SOP IEC within Ministry of Economy, Ministry of Education is IB for HRD OP within Ministry of Labour, etc.)</p> <p>ACIS the coordinating structure for NSRF has been positioned in the Ministry of Public Finance at the same hierarchical level with the MAs. The coordination difficulties with some MAs have not been resolved when ACIS have been moved to the General Secretariat of the</p>	Audit reports Evaluations	<p>The inter-institutional cooperation is a system problem in the Romanian public administration⁴⁵.</p> <p>The institutions responsible for the implementation of the EU policies are embedded in the public administration almost in totality (except the RDAs and other local structures with a low share in the total funding implemented, e.g. FLAG⁴⁶ and LAG⁴⁷)</p> <p>Difficulties in cooperation and communication appear even when the structures are in line with the hierarchies.</p> <p>The position in the hierarchy is one source of power for the MAs and coordinating bodies, additional sources being needed, including the endorsement from the Prime Minister level and strong management capacities and tools.</p> <p>Alternative solution is to create a parallel structure for FESI implementation outside the existing ministries. Creation of the Ministry of European Funds is a first step. The parallel structure could be extended to the level of MA s; the disadvantage is that there will be needed tools to keep the policy makers –located in the ministries – involved in the implementation process and integrating their part of FESI in the overall national policy implementation.</p> <p>At the level of IBs delegation of the implementation tasks to</p>

⁴² In case of NRDP the coordinating body over the paying agencies

⁴⁵ Commission Working Staff Document Assessment of the 2013 national reform programme and convergence programme for ROMANIA

⁴⁶ Fisheries Local Action Groups

⁴⁷ Local Action Groups for Rural Development

Administrative capacity of the authorities (the supply side)	Criterion for accomplishment	Achieved Yes/ No/ Yes* (partially yes and needs improvements ⁴¹)/ Largely no	Evidences (of non-achievement)	Sources of information	Comments
	system, capacity to ensure coherence of procedures, practices and actions		Government. Lack of reaction or ineffective communications from some MAs, e.g. SOP IEC, HRD OP, to action plans proposed by Ministry of European Funds (ACIS at the respective time). ⁴³ Significant difficulties are highlighted in audit reports, evaluation reports regarding the inter-institutional cooperation within the SIS ⁴⁴		an external organisation based on a delegation contract is frequent.
- Location of ROP MAs is in line with the administrative structure (regional levels)	Positive opinion ROP MAs location in line with the administrative structure at national and regional level	Yes (N/A)		NSRF and ROP	Being a first exercise under structural instruments Romanian authorities decided to have one central Regional OP
- IBs selection is adequate for the type of interventions and targeted beneficiaries	- Positive opinion regarding the adequacy of the IBs to ensure direct contact with beneficiaries and relevance for the respective policy	Yes* (N/A)	there are IBs with a limited capability to have direct contact with beneficiaries; for priority axis 1 the IBs Ministry for SMEs have been replaced with the RDAs	-	In the case of a number of sectoral programmes addressing to a large number of beneficiaries on the whole territory e.g. SOP IEC the implementation remained to a high degree centralised managed from Bucharest reducing effective contacts and communication with the beneficiaries. The other IBs did not have regional representatives or only small offices (NASR) ⁴⁸

⁴³ Monitoring paper of the Priority Measures Plan at 30 June 2011

⁴⁴ Structural Instruments System

⁴⁸ National Agency for Scientific Research

Administrative capacity of the authorities (the supply side)	Criterion for accomplishment	Achieved Yes/ No/ Yes* (partially yes and needs improvements ⁴¹)/ Largely no	Evidences (of non-achievement)	Sources of information	Comments
			having a better capacity to fulfill the role at the regional level.		Many OPs have extensive territorial structures at the level of IBs. NRDP is the most extensive with structures at four levels - (PIAA have also local structures). The structures are fully integrated within the Ministry of Agriculture and Rural Development and ensure the conditions for a smooth management.
- Agreements between MAs and IBs / Paying Agencies/ CPA exists	Official documents exists	Yes (N/A)		Agreements – official documents	
- Good well established working relations between coordination bodies, MAs, IBs, Agencies and other structures	Positive opinion regarding consistency of procedures, practices, responsibilities overlaps are avoided Frequency of communication or cooperation blockages is not significant	Largely No significant improvements are needed	The evaluations and the audit reports revealed in some cases weaknesses and difficulties (e.g.: inconsistencies / overlaps between the MA and IBs procedures, lack of power of the MA to ensure across IBs consistent approach, different interpretation and application of the procedures).	Interviews Survey (Q Court of Accounts Annual Report 2011	The general opinion in the survey is the working relations, between MAs and IBs are good in the current programming period (2007-2013). The evaluation and audit reports contradict the opinion, main difficulties in have been found in the case of SOP IEC, HRD OP
- Roles, responsibilities and tasks are assigned in an effective manner at the level of departments, units, jobs	The organisation structures and ROF exists with responsibilities defined Positive opinions regarding the allocation of responsibilities: clear, coherent with the processes and	Yes* (N/A)	overlaps of responsibilities	Interviews Governance decisions for ROF approvals Annual Audit Report 2011	The institutional framework for the implementation of the 2007- 2013 Structural Instruments, CAP, PPAM , including the structures roles and responsibilities assigned (MA.s IBs, CPA, AA, Coordinating Structures, Agencies) is approved by government decisions. Being public bodies, their organisation structures, the internal regulations are public documents, subject of verifications for compliance with the legal

Administrative capacity of the authorities (the supply side)	Criterion for accomplishment	Achieved Yes/ No/ Yes* (partially yes and needs improvements ⁴¹)/ Largely no	Evidences (of non-achievement)	Sources of information	Comments
	avoid overlaps and duplications				requirements. There is a high degree of compliance with this requirement.
Adequate structures for all phases of the programmes management are in place	Existence of adequate units within the MAs compliant to the programme implementation stage. Agreement between interviewees and respondents regarding existence of adequate <ul style="list-style-type: none"> - programming unit - implementation units - monitoring units - verification, payments and certification units - evaluation units - internal audit compliant with the legislation 	Yes* (Yes *)	Sizing of the structure according to the variations of the volume of work not timely adapted in the structures	Organisation charts Interviews Survey Focus group.	In the MAs there are established units with programming responsibilities. In other bodies (i.e. IBs) there are persons assigned with programming responsibilities. The interviews and the focus group confirmed there is a capacity for programming in the MAs and in MEF; it is largely built on the staff with experience from the previous programming periods and the guidance received at present. Technical assistance is seen important to complete the capacity gaps. Key problems were met in the implementation phase when the increase of the number of contracts in implementation led to the increase of human resources needs; this could be covered either by extending the current structures or by outsourcing
Partnership principle effectively applied in the policy programmed					
- Partnership is present	Availability of official documents setting up the partnership framework	Yes (Yes)		Memorandum for the approval of the actions and documents for the preparation of the accession and implementation of the European funds during 2014 – 2020, June 2012.	ICPA established and functional
- Systematic and effective inter-ministerial coordination of socio-economic policies	Existence of inter-ministerial structures (e.g. working groups) The inter-ministerial cooperation is effective, work in a planned manner	Yes* (Yes*)	Limited involvement of the responsible institutions in the management of the policy implementation in general.	ICPA Internal Regulations (ROF) Interviews Regional and Sectoral	ICPA includes twelve consultative committees each with several working groups. There is evidence of delays in the implementation of the action plans and the delivery of the planned outputs to deadlines.

Administrative capacity of the authorities (the supply side)	Criterion for accomplishment	Achieved Yes/ No/ Yes* (partially yes and needs improvements ⁴¹)/ Largely no	Evidences (of non-achievement)	Sources of information	Comments
	and meet the deadlines		Their involvement in the OPs implementation is limited to the participation in the Monitoring Committees.	consultations calendar Minutes of the meetings	
- Social partners, regional partners, NGOs systematically involved in the design of socio-economic policies	Existence of structures (e.g. working groups) and/or procedures involving NGOs, regional and socio-economic partners	Yes* (Yes*)	There is no evidence regarding existence of procedures for the processes of the PA preparation and other socio economic policies, clarifying the way each stakeholder will perform.	ICPA Internal Regulations Consultations calendar Survey Minutes of ICPA meetings	The structures exist and cover all categories of stakeholders; Working groups and Consultative Committees are setup as part of ICPA To a large extent, the respondents opinion is that their involvement in the PA preparation process is effective (80% of the respondents members in ICPA receive excellent and good information, and 75% consider their opinion and the interests of their organisation are very well and excellently approached) The work is based on roles defined in the ICPA ROF, work plans and calendars.
- Monitoring Committees are set up, an approval document exists, they have an adequate composition and functioning	Availability of official documents setting up the structures Consistent contributions of the members in line with their interests	Yes* (N/A)	Uneven contributions of the member in the monitoring committees	Annual Implementation Reports by OP Interim evaluation report (NRDP)	Monitoring Committees formally set up, for the 2007-2013, through Government Decisions.
Human Resources					
Resourcing is adequate					

Administrative capacity of the authorities (the supply side)	Criterion for accomplishment	Achieved Yes/ No/ Yes* (partially yes and needs improvements ⁴¹)/ Largely no	Evidences (of non-achievement)	Sources of information	Comments
<p>- Human resources planning within MAs and IBs exist</p>	<p>HR needs forecasts exist, including workloads analysis They are applied and used to support managerial decisions</p> <p>Additional indicators to be monitored: Staff resources needed (FTE) in total by programme phases</p>	<p>No</p> <p>not available at present</p>	<p>There is no evidence that a systematic workload analysis and HR planning is used</p>	<p>Interviews Focus group Audit reports</p>	<p>It has been reported in the interviews and confirmed in the focus groups actions to analyse the workload take place, but there is no evidence that the tool is used in a systematic way to identify the variation of the HR needs over the programme cycle and influence the HR plans. The Annual Audit Report of the Audit Authority confirm the fact that MAs do not perform workload analysis mainly in the cases of significant staffing problems (high turnover, allocation of responsibilities, large number of vacancies (SOP IEC, SOP HRD, OP ACD)</p>
<p>- Staff turnover is manageable</p>	<p>Staff turnover is below 10% in the past year The turnover is manageable</p> <p>Additional indicators to be monitored: staff turnover</p> <p>Employed staff by function and OP (FTE)</p>	<p>Yes *</p>	<p>in some OPs staff turnover reached very high levels 25% and is difficult to manage (MA HRD OP , MA SOP IEC – OIPSI)</p>	<p>Survey (Q11, Q12,Q19,Q20,Q21) Previous evaluations</p>	<p>Turnover <10% (65% of the respondents) SOP Environment, SOP HRD, have indicated in the survey higher levels above 11%. The interviews and the focus group confirmed that higher levels of the turnover are associated with work environment factors such as it was the implementation of the austerity measures and salary reductions, or reorganisations. More respondents have a positive opinion (48%) on capacity to manage the turnover than respondents with a negative opinion (40%) There is a large common opinion (70%) that the turnover, although manageable, affects the level of performance of the organisation. More difficult to manage are the situations when key persons are leaving. The survey reveal that during the last year there have been significant changes in the organisations at the top management level the highest levels being 58,3% for general directors and , 41,7% for deputy directors. Only 19,4% of the respondents indicated no change in the top management</p>

Administrative capacity of the authorities (the supply side)	Criterion for accomplishment	Achieved Yes/ No/ Yes* (partially yes and needs improvements ⁴¹)/ Largely no	Evidences (of non-achievement)	Sources of information	Comments
- Proof possibility/capacity for staffing vacancies	Vacancies are below 5% there are options available to fill in the vacancies Additional indicators to be monitored: vacancy rate by OP/ institution	Yes*	In some OPs vacancies have a higher level	Survey (Q22) Interviews Focus group Previous reports studies and evaluations ⁴⁹	67% of the respondents indicate the vacancies less than 10% and 41% less than 5%. One extreme case indicated vacancies above 20%. Temporary leaves (maternity, studies, others) not included in the vacancies terminology are present and increase the staffing difficulties. Increased demand on the labour market for specific specialization make more difficult attraction of new staff. The economic crisis diminished migration towards the private sector and a reverse process is possible. All studies and evaluations highlight understaffing problems in some areas. The institutions could not create new jobs and employ new people needed for the increased volume of activity. Due to hiring freezes.
Human resources development and performance management					
- Training planning	Availability of up-to-date training plans	Yes		Survey (Q23) Interviews Focus group	The training plan is a legal requirement for public institutions. 83% of the respondents indicate their organisation have annual training plans. A surprisingly large number of respondents (14%) indicate that the organisations do not have a training plan but there is openness to the training opportunities. We understand in this case that the legal requirement is fulfilled at a higher level for the overall institution e.g., ministry, but the ownership of the training plan at the level of the organisation (unit/directorate) being significantly diminished. Interviewees and participants in the focus group confirmed the training planning is elaborated in a large part of the

⁴⁹ Annual Implementation Reports 2011 all OPs; Formative evaluation of the structural instruments in Romania, 2010; Annual report of the Court of Accounts, 2011:

Administrative capacity of the authorities (the supply side)	Criterion for accomplishment	Achieved Yes/ No/ Yes* (partially yes and needs improvements ⁴¹)/ Largely no	Evidences (of non-achievement)	Sources of information	Comments
					organisations in an effective way and record the real training needs.
- Effective implementation of the training plans	<p>Positive opinion regarding the training plans effectiveness: they are implemented and effective, ensuring improvements</p> <p>Additional indicators to be monitored: number of training events implemented/ number of training events planned number of training days per employee (year) achieved/ planned effectiveness of the training plan – above satisfactory (evaluation of the training on an annual basis to be considered)</p>	Yes*		Survey (Q24) Interviews Focus groups	<p>67% of the respondents indicate the training plans are implemented and are effective ensuring improvements, while only 20 % consider the training plans are implemented to a small extent or not at all.</p> <p>The interviews and the focus group add details on training implementation. The implementation constraints consist of unavailability of budget allocations for training and procedural difficulties in using the TA to contract training. Availability of staff for formal classical training has diminished and more on-the-job training, at the work place is preferred.</p>
- Staff performance in MAs and IBs is adequate	<p>Staff performance is satisfactory, or higher 99% of the yearly attestation results show that staff performance is satisfactory, or higher</p> <p>Additional indicators to be monitored: Number of staff/ funds allocated Number of staff/ amounts paid to beneficiaries Number of staff/ certified expenditure</p>	Largely No		Survey (Q25) Interviews Focus groups	<p>64% of the respondents indicate that over 90% of the appraisal system results are rated above satisfactory. Regarding the credibility of the appraisal system, only 8% of the respondents believe the results do not reflect correctly the performance level of the staff.</p> <p>The interviews and the focus groups indicate the general opinion is that in most of the institution the appraisal system is a compulsory activity, it is done superficially and does not reflect the real performance.</p>

Administrative capacity of the authorities (the supply side)	Criterion for accomplishment	Achieved Yes/ No/ Yes* (partially yes and needs improvements ⁴¹)/ Largely no	Evidences (of non-achievement)	Sources of information	Comments
	Absorption rate of the OP Achievements according to the performance framework				
- Availability of expertise in critical/ specific areas (procurement, evaluation, etc.)	Positive opinion regarding the availability of expertise	Yes*	areas where the significant needs are still needed public procurement financial management and control state aid	Survey (Q26,27) Focus group	<p>74% of the responses indicate a very good coverage of the critical areas of expertise respondents consider they have a good or very good coverage of the expertise needs Expertise is available to a large extent from internal and external sources.</p> <p>The expertise is perceived largely available and of a good quality by most of the respondents (72%)</p> <p>The expertise is ensured with internal sources fully in some institutions but most of them use technical assistance funds to contract additional expertise.</p> <p>The main gaps indicated by respondents of the survey and confirmed in interviews and focus group are state aid (44% of the respondents), environment regulations (22%) risk management (22%), internal audit (22%).</p> <p>Despite the good coverage of the expertise, the respondents indicated the need for improved competences and training. This is understood as a continuous improvement of the internal expertise according to the changes of the legal framework and new methodologies.</p> <p>For programme implementation the areas of expertise where training is seen necessary are Public procurement (72% of the responses) Financial management and control (64%), EU and national policies and legislation (44%) and managerial skills (44%).</p> <p>The focus groups discussions highlighted the importance of an effective management for the overall performance of the organisation, including resolution of many of the administrative capacity problems.</p>

Administrative capacity of the authorities (the supply side)	Criterion for accomplishment	Achieved Yes/ No/ Yes* (partially yes and needs improvements ⁴¹)/ Largely no	Evidences (of non-achievement)	Sources of information	Comments
Reward system in MAs and IBs is adequate	•				
- The reward system is competitive on the market	<p>Positive opinions regarding competitiveness of the reward system</p> <p>Positive opinions in the online questionnaire and previous evaluations</p> <p>Additional indicators to be monitored: average salary at operational and managerial level / average salary in Romania</p>	Largely No	91% of the survey respondents consider the system has to be improved 35% of the respondents opinion is that the system is not competitive	Survey (Q17) Interviews Focus group Previous evaluations	<p>91% of the respondents consider the reward system should be improved and more than half (51%) of them consider this need is very important.</p> <p>The need to include incentives in the system is seen more important than the revision of the salaries.</p> <p>The survey reveals more positive opinions than negative regarding competitiveness of the reward system on the labour market:</p> <ul style="list-style-type: none"> - the reward system could attract the expected professionals – 54% of the responses against 37% opinions the system could not attract professionals - the system could ensure retention 55% of the responses against 35% responses the system could not retain professionals <p>The high share of positive opinions is explained by the large number of respondents from institutions with higher levels of the salaries.</p> <p>The interviews and the focus groups highlighted the lack of competitiveness of the salaries in most of the institutions and the difficulties in attracting professionals in specific areas of expertise, i.e. engineers in the environment projects.</p> <p>There is a migration process of personnel from lower salaries organisations to organisations with higher salaries.</p>
- The reward system is clear and fair	<p>Positive opinion about clarity</p> <p>Positive opinion about fairness</p> <p>Evidences in previous evaluations</p>	No	Negative opinion about clarity from 45% of the respondents, against 35% with a positive opinion	Survey (Q17,18) Interviews Focus group Previous evaluations	The interviews and the focus group revealed a stronger negative opinion than the survey. This could be explained by a possible distortion generated by the answer option: do not know / not applicable.

Administrative capacity of the authorities (the supply side)	Criterion for accomplishment	Achieved Yes/ No/ Yes* (partially yes and needs improvements ⁴¹)/ Largely no	Evidences (of non-achievement)	Sources of information	Comments
	Additional indicators to be monitored: Min – max average salary by institution less than 10% indicators min: max salary in the institution min: max salary in the FESI		Negative opinion about fairness 39% against 33% with a positive opinion The min max ratio of the average salary in the organisations is 3.5		The average salary varies across organisations dramatically; the ration min – max being reported in an evaluation in 2011 ⁵⁰ , is 1 to 3.
Other key factors	•				
Managerial capacity is adequate	Positive opinion of staff regarding the managers skills and practice; percentage of answers confirming need to improve Turnover at the level of managerial positions is reduced <ul style="list-style-type: none"> Positive opinion of staff regarding the managers skills and practice Indicator <ul style="list-style-type: none"> Average years of experience in management and leadership Number of training days in management related 	Largely no	during the last year High turnover at managerial level in a number of institutions Limited managerial skills reduced management effectiveness	Survey Q 13 Interviews Focus groups	Significant improvements are needed The whole public administration system is characterized by a low effectiveness of the management function transferred to the EU policies implementation institutions
- Previous experience acquired in previous EU projects is transferred into next programming cycle)	Positive opinion regarding the ways to transfer previous experience <ul style="list-style-type: none"> concrete measures to transfer relevant experience 	Yes* (Yes*)	the relevance of preaccession was limited to a number of institutions Ministry of Regional Development, RDAs, ACIS	Survey (Q28) Interviews Focus group	There is a positive opinion regarding the use of the existing expertise in the programming phase. This is considered 100% relevant, but only 42, 9% of the respondents have indicated they are aware of having a role in the next programming. The transfer of expertise in implementation depends on the

⁵⁰ Report on Achievements of the Cohesion Policy, Romania country report, EVALNET 2011.

Administrative capacity of the authorities (the supply side)	Criterion for accomplishment	Achieved Yes/ No/ Yes* (partially yes and needs improvements ⁴¹)/ Largely no	Evidences (of non-achievement)	Sources of information	Comments
			(MEF at present)		institutional architecture and the stability of the staff. 2007-2013 proved performance depends of maintaining core teams, who are able to transfer knowledge to newcomers and develop the required competences. Frequent organisational changes, losing the key employees in a unit are negative factors for the unit performance.
- Performed assessment of the relevant institutions administrative capacity for each OP	<ul style="list-style-type: none"> Availability of administrative capacity assessments in the OP ex-ante evaluations or other evaluations and studies Positive assessments of the OP ex-ante evaluations or other evaluations and studies 	No	not available	Documentary analysis Interviews Focus groups	For 2007 – 2013 elements of the administrative capacity of the authorities MAs and IBs are found in previous studies and evaluations, but there is no comprehensive assessment available. There are few analyses and institutional tools regularly applied in the institutions that could provide evidences regarding the administrative capacity status and progress. An analysis is performed at present at the level of MEF in order to address root problems. OPs ex-ante evaluations for 2014 – 2020 have not been launched yet.
Systems and tools (answers regards the experience in 2007-2013)					
Delegation of tasks					
- Arrangements for delegation of tasks exists	Availability of official documents, delegation contracts	Yes		Survey (Q29) Interviews Focus group	For 2007-2013, the delegation of tasks between MAs and IBs are formally agreed in delegation contracts.
- There is consensus among stakeholders regarding delegation of tasks	Opinion regarding the delegation of tasks adequacy is positive Positive opinion regarding the delegation of tasks adequacy	Yes*		Survey (Q29) Interviews Focus group	There is a large positive opinion regarding the way the delegation of tasks is made and the consensus on the delegation of tasks (91% positive answers, 9% non-response). The clarity of the roles and the responsibilities in the OP 15% of responses are negative (not clear or largely not clear) This is confirmed by studies and reports where overlaps have been identified between MAs and IBs tasks, inconsistencies of

Administrative capacity of the authorities (the supply side)	Criterion for accomplishment	Achieved Yes/ No/ Yes* (partially yes and needs improvements ⁴¹)/ Largely no	Evidences (of non-achievement)	Sources of information	Comments
					the procedures applied at the two levels.
Sufficient guidance and adequate tools on programming and implementation is provided to MAs and IBs					
- Adequate procedures and guidelines for programme preparation exist and effectively applied	<ul style="list-style-type: none"> Procedures are in place Availability of programming guidance documents Dissemination of guidance documents Assessment on the sufficiency/quality of the guidance by the respondents and interviewees 	Yes*	Lack of studies for the programme preparation No evidence of comprehensive guidelines for programming tailored on the Romania specific processes	Survey (Q29) Interviews Focus groups Study of administrative costs ⁵¹ :	For the 2007-2013 Romania benefited of a high volume of TA for programming funded from pre-accession funds. The whole process has been highly centralised, for the Cohesion Policy led by the Authority for Coordination of Structural Instruments. The EC provided guidance in the process. For 2014 – 2020 there is coherent approach of the Cohesion, Agriculture and Rural Development, Fisheries and maritime affairs Policies, all three contributing to the thematic and EU 2020 objectives Participants in the focus group highly appreciated the guidance from the European Commission (DG Agra, DG Employment and DG Regio)
- Adequate procedures and guidelines for programme implementation exists and are disseminated	<ul style="list-style-type: none"> Procedures are in place Positive opinion regarding the procedures adequacy Availability of guidance documents Positive opinion regarding dissemination of implementation guidance documents Dissemination of guidance 	Yes*	Procedures excessively bureaucratic in all phases increasing the administrative burden of the beneficiaries The guidelines for the beneficiaries need more clarity mainly in public procurement and	Survey (Q29) Interviews Focus groups	All respondents indicated that better procedures and manuals and guidance for the OPs implementation are needed; 52% consider that only some improvements are needed while 18% consider improvements are very much needed. These findings have been confirmed in the focus groups Better coordination of the OPs is needed in order to ensure consistent approaches and methodologies; in the current programming the methodological coordination was not effective, some MAs being resistant to the attempts at

⁵¹ Regional Governance in the context of globalisation, DG Regio, 2010,

Administrative capacity of the authorities (the supply side)	Criterion for accomplishment	Achieved Yes/ No/ Yes* (partially yes and needs improvements ⁴¹)/ Largely no	Evidences (of non-achievement)	Sources of information	Comments
	<ul style="list-style-type: none"> Positive opinion regarding the sufficiency/quality of the implementation guidance by the respondents and interviewees Assessment on the sufficiency/quality of the guidance by the respondents and interviewees <p>Additional indicators to be monitored satisfaction of the beneficiaries regarding the clarity of the guidelines</p>		reporting requirements. SOP T MA include in their action plans manuals and guides for Beneficiaries guides for good practice regarding projects preparation		harmonisation , which led to higher admin for the management of the programmes and burden on beneficiaries. Simplification of the procedures has been indicated in some cases.
- Technical Assistance is planned and used effectively	TA is available just in time for time for support functions – positive opinion Additional indicators to be monitored Time between the request for TA is formulated to the availability of the TA Degree of TA funds used (payments to TA providers in total planned annually)	Largely No	difficult to access TA not available TA in some OPs, (FOP, NRDP) long delays in implementation the TA plans Reduced use of the funds allocated for TA – due to difficult procurement processes incapacity of the units to implement the dedicated Priority Axis.	evaluations audit reports	
Indicators system in OPs is in place and adequate	Positive assessment of the ex-ante evaluations of the OPs Positive opinion regarding the adequacy and indicators	Yes*	significant improvements are needed in defining the appropriate indicators, clarity on methodologies to calculate and report, reduce the administrative	Survey (Q Studies and evaluations Interviews Focus group	71% of the responses in the survey reveal a positive opinion regarding the assessment of the indicator system in previous evaluations and studies. The indicators system has been improved during implementation of 2007-2013 and allows an adequate reporting of the core indicators and programme indicators.

Administrative capacity of the authorities (the supply side)	Criterion for accomplishment	Achieved Yes/ No/ Yes* (partially yes and needs improvements ⁴¹)/ Largely no	Evidences (of non-achievement)	Sources of information	Comments
			burden		A number of indicators used in the current period are not adequate to reflect the effects of the measures, priorities and programme. ⁵² The targets set for the programme indicators have not been properly justified and prove to be far from reality in some cases. Some OPs have reassessed realistic targets for their indicators (e.g. Transport)
Electronic systems - Full utilisation of electronic systems for data exchange					
Existence of electronic systems for data exchange designed for the 2014-2020 period	<ul style="list-style-type: none"> Overall ES for the 2014-2020 available Access to the ESs to be provided to MAs and IBs before launching the OPs 	N/A		Report on Electronic Systems ⁵³	<p>Several electronic systems have been used by authorities for the 2007-2013 periods. SMIS is the most comprehensive, covering 7 OPs. For SOP HRD, SMIS is used in parallel with Action Web, a system dedicated to this OP. NPRD and OPF have their own specific electronic systems, called SPCDR, respectively SIMPOP. These last two programmes do not use SMIS.</p> <p>The existing electronic systems were designed for the 2007-2013 period. In order to use them for the 2014-2020 period, an upgrade will be required for each of them.</p> <p>As regards the electronic data exchange between beneficiaries and authorities, at present, practically there are no such systems in place. There is only one significant exception, within SOP HRD, the system ActionWeb covers partially this process.</p> <p>However, a new system, called MySMIS, have been developed with the purpose to cover the entire process of data exchange between beneficiaries and authorities, for 6 OPs (SOP HRD</p>

⁵² Result indicator pilot report post 2014, DG Regio, 2012

⁵³ Electronic Systems Report 1, Ex-ante evaluation of the Partnership Agreement project, May 2013

Administrative capacity of the authorities (the supply side)	Criterion for accomplishment	Achieved Yes/ No/ Yes* (partially yes and needs improvements ⁴¹)/ Largely no	Evidences (of non-achievement)	Sources of information	Comments
					was excluded initially). But this system is not implemented yet.
- Existence and reliability of the ESs is secured, based on past experience	<ul style="list-style-type: none"> System stability Data security Data quality, querying and aggregation 	Yes*	significant problems in introducing data in the system (for HRD OP lack of records in SMIS has been a reason for payments interruption) significant problems with MIS in NRDP ⁵⁴ the systems are functional but nor fully utilised	Survey Report on Electronic Systems	In general, all the existing electronic systems prove to be satisfactory from the technical point of view (reliability, security, data quality etc.). Only few and rather small issues would require improvements for some of the systems.
- ESs are largely accessible and user friendly	<ul style="list-style-type: none"> Positive opinion about ease of use by the beneficiaries General usefulness Technology 	No	Low satisfaction of the users	Survey (Q30) Report on Electronic Systems	53% of the respondents consider the electronic systems are not fully utilised In terms of users' satisfaction, most of the existing electronic systems need many improvements in various aspects. Some major areas where improvements are needed for most of these

⁵⁴ Interim evaluation report of NRDP

Administrative capacity of the authorities (the supply side)	Criterion for accomplishment	Achieved Yes/ No/ Yes* (partially yes and needs improvements ⁴¹)/ Largely no	Evidences (of non-achievement)	Sources of information	Comments
	Positive opinion about utility for the beneficiaries				systems are: <ul style="list-style-type: none"> Improvement of the portfolio of predefined reports, accordingly to the specific needs of the various users. All ESs would benefit of a major revision in terms of features and data content as such to become more user oriented. The systems should try to provide more useful features for their users.
Adequate procedures information and systems are in place					
- management and control system of the programme	Procedures are in place Procedures are in place for MCS Procedures are adequate and applied Procedures are adequate and applied for MCS; Positive opinion about reliability	Yes*	gaps identified in all OPs system gap in project appraisal –HRD OP public procurement irregularities first level control excessively bureaucratic reporting in some OPs	Evaluation reports Audit reports	The Romanian public system is deeply affected by the weak management and control systems and a poorly functioning public procurement system being a source of systemic irregularities.
- financial management and control	Availability of procedures Availability of procedures for Financial Management Procedures are applied Procedures are applied Financial Management	Largely No significant improvement are needed	the interruption of payments, pre suspensions and suspensions of the programmes due to: fraud case in one ROP IB, systemic problems related to public procurement and certification of expenditure , conflicts of interests	audit annual reports evaluation reports	

Administrative capacity of the authorities (the supply side)	Criterion for accomplishment	Achieved Yes/ No/ Yes* (partially yes and needs improvements ⁴¹)/ Largely no	Evidences (of non-achievement)	Sources of information	Comments
- sample checks	Availability of procedures Availability of procedures Sample checks Procedures are applied Positive opinion regarding sample check procedures application	Yes*		Survey (Q29) Interviews Court of Accounts Annual audit reports	Procedures are in place. Gaps have been identified: Plans are only partially implemented in some MAs The interviews highlighted the quality of the checks and verifications needs to be improved, the conclusions and recommendations should be more meaningful, useful for an improvement of the implementation.
- payment flows, expenditure forecasting and certification of payments	<ul style="list-style-type: none"> • Procedures are in place • Procedures for payment flows, expenditure forecasting and certification of payments are in place • Procedures are clear and correct • Procedures for payment flows, expenditure forecasting and certification of payments are effectively applied • Manuals and guidance is available • The process have a smooth functioning <p>Additional indicators to be monitored Duration of the expenditure certification and payments errors in annual forecasting below the EU average Duration of the expenditure certification</p>	Largely No	Procedures found inadequate with overlapping requirements Processes have very long durations High level of errors in annual forecasting transmitted to the Commission (97%) ⁵⁵	Survey (Q29) Studies and evaluations Annual Implementation Reports	73% of the respondents have a positive opinion regarding the mechanisms for monitoring payment, forecasts and certification. 11, 8% consider the mechanisms are not functional. Despite this positive view there are evidences of difficulties related to large delays of the payments to beneficiaries, certification of payments and the payments from the EC. High level of errors in the expenditure forecasts

⁵⁵ Analysis of the budgetary implementation of the Structural and Cohesion Funds in 2012 May 2013 European Commission

Administrative capacity of the authorities (the supply side)	Criterion for accomplishment	Achieved Yes/ No/ Yes* (partially yes and needs improvements ⁴¹)/ Largely no	Evidences (of non-achievement)	Sources of information	Comments
- Management and control of the public procurement	Positive assessments of the public procurement management and control	Largely No	Serious gaps in almost all OPs have been identified Lack of coherence in interpretation of public procurement by the competent authorities MA, CPA, AA, NCRC ⁵⁶ , and NARPP. The mechanisms for preventing conflict of interests difficult to be implemented ⁵⁷	Annual audit report	Partially met, significant improvements are needed Improvements have need done.\ There are continuous efforts to improve the management and control system and the methodologies, frequent assessments of the control systems in the high risk beneficiaries, improved risk management, Measures undertaken had positive results but it is a continuous struggle to prevent and detect irregularities and fraud
- Presence of a sufficient audit trail	Positive opinion regarding sufficient audit trail	Yes		Survey (Q29) Interviews Focus group	Large positive opinion about sufficient audit trail 91% of the respondents, confirmed in the interviews
- Risk management	Positive opinions and assessments regarding the risk management procedures and practices as a management tool	No	Risk management is not an effective practice, it is limited to procedures and formal compliance with system requirements Risk management practice is found as a weakness in the whole public administration system	Interviews Court of Accounts annual report	

⁵⁶ National Council for Resolution of Complaints

⁵⁷ European Commission, Directorate General Regional Policy Assessment of the Public Procurement System in Romania Final Report august 2011: [...] specific provisions of the Romanian legislation are inappropriately putting the responsibility/task of preventing the conflict of interest on the economic operators by imposing them to make statements of eligibility. For instance, a 2010 amendment¹¹ requires that: "The tenderer/ candidate /associate tenderer/ subcontractor that has as members of the board of directors/management or supervisory body and/or has shareholders or associates who are husband/wife or close family relative to the forth degree inclusively, or who is in commercial relations, as they are referred to under art. 69 point a) with persons holding positions of decision within the contracting authority is excluded from the awarding procedure".The above-mentioned is a relevant example of bureaucratic and not-applicable legislative requirement towards economic operators. Moreover, its interpretation and application can create abuses and lead to cases when EOs may be disqualified just on the ground that a person holding positions of decision within the CA (or any of their relatives) may hold only few shares in the EO involved

Administrative capacity of the authorities (the supply side)	Criterion for accomplishment	Achieved Yes/ No/ Yes* (partially yes and needs improvements ⁴¹)/ Largely no	Evidences (of non-achievement)	Sources of information	Comments
- Audit	Audit plans are implemented at all levels Positive opinions regarding the audit function Early identification of irregularities and management and control systems gaps	Yes*	inability of the internal audit systems to prevent frauds, systemic management and control system problems identified in several OPs	Survey (Q29) Documentary analysis Interviews	89% of the respondents consider the audit system is functional. Audit reports are available. The effectiveness of the internal audit is challenged by the inability to identify and prevent irregularities and frauds. improvements are needed in a number of institutions where irregularities have not been identified and led to systemic problems
- The irregularities are detected and properly managed	Positive opinion regarding the Existence of adequate records on financial irregularities Track record of appropriate measures taken to deal with irregularities	Largely No	Gaps in detecting, recording, and managing the irregularities in a large number of OPs	Annual audit report 2011	The irregularities procedures are in place in all MAs, including recording irregularities and monitoring actions for recovery of debts. Annual audit report reveals significant gaps regarding the detection, recording of the irregularities and the recovery of debts.
Competent and active National Audit Authority	Mandate established by Law Annual reports available	Yes		Annual reports available Interview	The mandate of the Audit Authority is set by Law 200/2005. Activity reported in the public annual report of the Court of Accounts. All reports of the National Audit Authority have been accepted by the EC.
Other capacity horizontal factors					
- Public policy management performance	Positive opinion in evaluations regarding the performance of the public policy management	No	Low performance of the public policy management in Romania	Functional review of the World Bank (Center Government 2010)	
- Availability of independent evaluation	Positive opinion regarding: Sufficient evaluation expertise of the	Yes * improvements	evaluation culture index is 75.14% out of 100% for the	Evaluation culture measurement 2013 ⁵⁸	

⁵⁸ Ministry of European Funds, Examination of the evaluation culture, 2013

Administrative capacity of the authorities (the supply side)	Criterion for accomplishment	Achieved Yes/ No/ Yes* (partially yes and needs improvements ⁴¹)/ Largely no	Evidences (of non-achievement)	Sources of information	Comments
expertise	supply Local expertise has international quality standards The evaluation culture is at an adequate level Additional indicator to be monitored evaluation culture index (and components)	are needed	demand side diffusion of the evaluation in the SIS the supply side 67.53% lowest index resulted for institutionalization of the evaluation 57.75%		
- Efficient and good working relation between ministries and other public institutions	Positive opinion regarding the efficient and good working relation between ministries concerned Performance oriented processes	Largely No significant improvements are needed		Survey (Q30) Interviews Previous studies	85% positive responses regarding the work relations between the line ministries This is contradicted by the Functional review of the World Bank (Center Government 2010) specifically recommending in the policy development and implementation, the need for improvement of the inter-ministerial cooperation...
- Civil servants effectiveness and efficiency	Positive opinion	Yes* partially yes significant improvement needed	governance effectiveness below world average ⁵⁹	Survey (Q30) Desk research interviews	The survey indicates a positive opinion regarding the effectiveness and the efficiency of the civil servants: Appointments and promotion is considered by most of the respondents (71%) to be based on competencies and merit, There is a clear separation of functions, a good definition and management of the accountability and responsibilities. A key issue in the policy development and implementation process was the weak management of achievements against planned results, gaps in compliance with instructions and meeting deadlines ⁶⁰ . Low effectiveness and efficiency of the whole public administration system including focused on process rather than results, ineffective HR policies ⁶¹ ...

⁵⁹ Kaufmann D., A. Kraay, and M. Mastruzzi (2010), The Worldwide Governance Indicators: Methodology and Analytical Issues, available at http://info.worldbank.org/governance/wgi/sc_chart.asp#

⁶⁰ Romania Functional Review, Center of Government, World Bank, 2010

⁶¹ Assessment of administrative and institutional capacity building interventions and future needs in the context of European Social Fund, Country monograph, Romania, DG Employment 2010

Administrative capacity of the authorities (the supply side)	Criterion for accomplishment	Achieved Yes/ No/ Yes* (partially yes and needs improvements ⁴¹)/ Largely no	Evidences (of non-achievement)	Sources of information	Comments
- Corruption risks are addressed in an effective manner	A code of conduct exists and is effective Internal control function is effective in the public institutions Additional indicator to be monitored Corruption index measured by the Euro barometer survey – decreasing trend	No	international surveys (EC, World Bank) indicate a high level of corruption and an increasing trend	Survey (Q30) Desk research Interviews Other evaluations	There is a code of conduct in each institution confirmed by 93% of the respondents in the survey. Interviews revealed it is more a formal compliance to the legal requirements than a tool for ethics in the institutions. Internal control function is weak in many public institutions ⁶² Analyses available indicate corruption is a key issue in Romania [will quote]

⁶² Annual Public Report, Court of Accounts, 2011

Annex 2.B Checklist for Question II – Administrative Capacity of the Beneficiaries

Administrative capacity of the beneficiaries (the demand side)	Criterion for accomplishment	Achieved Yes/ No/ Yes* (largely yes, improvements are needed) largely no	Evidences (of non-achievement)	Sources of information	Comments
Capacity to manage projects					
1. Project management is fully integrated in the organisation management (e.g. Interdisciplinary teams are created, involvement of top management)	Project teams have adequate structures, include decision makers and relevant specialist from various departments	Yes*	Weaknesses in the management and control systems Interdepartmental cooperation gaps limited ownership	Survey (Q10) Focus group Previous evaluations and studies Annual report of the Court of Accounts 2011	There is a strong positive opinion regarding the integration of the project management in the organisation. <ul style="list-style-type: none"> 89.4% of the respondents consider the involvement of top management very good & excellent 71.8% rated the interdisciplinary teams very good & excellent The opinions have been confirmed in the focus group. Previous evaluations and Court of Accounts Reports ⁶³ revealed some gaps in the capacity of the beneficiaries: <ul style="list-style-type: none"> Difficulties of the beneficiaries in setting up and managing interdisciplinary teams, ensuring interdepartmental cooperation. Ineffective internal/managerial control systems which allows irregularities, frauds, infringement of the public funds use. Diminished ownership in the case of large regional projects or in the case of use of external services for project implementation. Previous studies ⁶⁴ highlighted the poor use of risk management as a management tool.
2. Sufficient expertise in project management, funded from European funds exists	<ul style="list-style-type: none"> 90% of beneficiaries claim they have sufficient expertise (knowledge, previous relevant 	Yes*	low performance of a large number of projects	Survey (Q12, Q8, Q9) Focus groups Documentary analysis – Previous evaluations and	97% of the respondents claim they have sufficient expertise in project implementation and 71% of the respondents consider having sufficient expertise in project preparation phase.

⁶³ Formative evaluation of the structural instruments in Romania, 2010; First Ad hoc Evaluation: Challenges in the capacity of public and private structural instruments beneficiaries, Final Report of March 2011; Evaluation of the administrative capacity of the regions in the regional development area, 2011; Annual report of the Court of Accounts, 2011

⁶⁴ First Ad hoc Evaluation: Challenges in the capacity of public and private structural instruments beneficiaries, Final Report of March 2011

Administrative capacity of the beneficiaries (the demand side)	Criterion for accomplishment	Achieved Yes/ No/ Yes* (largely yes, improvements are needed) largely no	Evidences (of non-achievement)	Sources of information	Comments
	<ul style="list-style-type: none"> experience) in project management Positive assessment in previous / ex-ante evaluations 		implementation survey project tasks where additional expertise is needed (see comments)	studies	<p>The beneficiaries built their expertise mostly during the current programming cycle. Previous experience from pre-accession had a reduced relevance⁶⁵. A little more relevant was SAPARD, more closely to EARDF than other pre-accession instruments.</p> <p>According to the survey results the expertise of the beneficiaries is ensured mainly from internal resources.</p> <p>In the project development phase 47% are using only internal resources while 24% are using external resources.</p> <p>During implementation phase 85% are using their own expertise and 11.7% using external project management expertise.</p> <p>A large number of respondents consider that specific skills needed in project implementation are present in their organisations: 80.5% of the respondents have expertise in project monitoring and reporting; 85.2% are experienced in financial management; 82.8% in EU visibility rules; 77.3% have expertise in public procurements).</p> <p>The beneficiaries' opinion is only partially confirmed by the authorities consulted in a similar survey. The authorities opinion is that beneficiaries encounter difficulties in the following areas:</p> <p>Around 50% of the beneficiaries have difficulties with preparation of the application form, budgeting and setting indicators. Between 50 and 86 % of the respondents have indicated difficulties in public procurement, financial management and reporting indicators.</p> <p>The focus groups confirmed the conclusions of the survey and highlighted the different level of expertise and needs depending on the type of beneficiary and type of project.</p>
3. Availability of experienced project managers	<ul style="list-style-type: none"> 80% of beneficiaries did not experience problems finding experienced project managers Positive assessment in previous evaluations 	No	21% of the beneficiaries do not need more experienced project managers	Survey (Q9) Focus group Documentary analysis Previous evaluations, AIRs	<p>75% of the respondents indicate a need for more experienced project managers out of which: 26.5% mention this is a significant need.</p> <p>The opinions collected during the focus group nuanced the results; the availability of experienced project managers varies, upon sizes and type of organizations, location. More likely to find experienced managers is in urban areas, in sectors with more experience in EU funds, in larger organisations.</p>
4. Maturity of projects, use	<ul style="list-style-type: none"> Projects ready without 	No	73.5% of the	Survey (Q9,Q12,Q14)	There is a large common opinion regarding the need to have mature

⁶⁵ First Ad hoc Evaluation: Challenges in the capacity of public and private structural instruments beneficiaries, Final Report of March 2011

Administrative capacity of the beneficiaries (the demand side)	Criterion for accomplishment	Achieved Yes/ No/ Yes* (largely yes, improvements are needed) largely no	Evidences (of non-achievement)	Sources of information	Comments
of projects pipelines	<p>delay when programmes launched</p> <ul style="list-style-type: none"> Major projects identified and fully developed 		respondents indicate the need for mature projects pipeline	Focus group Previews evaluations Studies	<p>projects when the calls for proposals are launched, managed through projects pipelines.</p> <p>It is too early to assess the stage of project pipelines for 2014- 2020 as long as a large number of regional and sectoral planning processes are in progress.</p> <p>In 2007-2013 the key actors did not succeed to produce mature projects, as needed, being one reason for the delays in implementation and absorption. The survey respondents claim there are sufficient internal financial resources to develop projects pipelines (60%); and sufficient expertise for project development (47%);</p> <p>The capacity in the regions⁶⁶ to identify, prioritize, develop, manage and implement the projects, means more than project development; this capacity is considered limited and needs attention to be further developed.</p> <p>More detailed analysis is needed at sectoral level on the capacity for implementation of projects pipelines, including provision of TA support.⁶⁷</p> <p>At individual level projects portfolios represent a good practice which depends of the strategic approach and capabilities of each organisation. The focus group participants confirmed the survey findings and exemplified projects already identified, and in progress within a projects pipeline, managed by various types of beneficiaries</p>

⁶⁶ Evaluation of the administrative capacity of the regions, 2011, Ministry of Regional Development and Tourism.

⁶⁷ OPTA AIR 2011

Administrative capacity of the beneficiaries (the demand side)	Criterion for accomplishment	Achieved Yes/ No/ Yes* (largely yes, improvements are needed) largely no	Evidences (of non-achievement)	Sources of information	Comments
Capacity to mobilise and effectively use human resources					
5. Human resources are available in adequate quantity	<ul style="list-style-type: none"> 80% of beneficiaries did not experience problems finding suitable team members Positive assessment in previous / ex-ante evaluations 	No	47% of the respondents indicate the need for additional staff and 53% for more competent staff	Survey (Q8,Q9) Focus groups Documentary analysis Studies, evaluations Previous / ex-ante evaluations	The responses of the survey indicate a need of additional human resources in preparation and implementation of the projects: additional staff (around 47% of the responses), more expertise and improved competencies (53% of the responses). Nevertheless the availability of competent staff is not in all locations and for all types of projects. The participants in the focus group informed the availability of competent staff is more difficult at local level, deprived, rural, or less accessible areas. Associations of the local public administration could support their members-beneficiaries dealing with staff difficulties. Same for trade unions, employers' associations etc. There could be found gaps for specific specializations, mainly when there is a sharp increase of the demand work opportunities (i.e. launch of waste management projects in 2007-2013 cycle). The public administration & institutions at county, regional and central level plus universities have experienced fewer problems with HR availability. The internal resources could be supplemented with outsourced capacity. A more detailed analysis for future programming will be needed, considering the types of beneficiaries and types of projects
6. Staff turnover has a manageable level	<ul style="list-style-type: none"> 80% of beneficiaries did not experience problems retaining team members, which led to significant delays of the project implementation Positive assessment in previous / ex-ante evaluations 	Yes*	difficulties in specific institutions e.g, central administration	Questionnaire (Q11) Focus groups Studies, evaluations	79.3% of the respondents consider the staff turnover does not affect the project implementation. The focus group participants confirmed the staff turnover has a manageable level. The situation has to be analysed on types of beneficiaries ⁶⁸ : Large public beneficiaries, including Central Government have been affected by significant leaves due to the budgetary restrictions and salaries reductions. The process was less significant in other public administration bodies like local administration. The beneficiaries have to deal more and more with a human resource under

⁶⁸ All AIRs on 2011

Administrative capacity of the beneficiaries (the demand side)	Criterion for accomplishment	Achieved Yes/ No/ Yes* (largely yes, improvements are needed) largely no	Evidences (of non-achievement)	Sources of information	Comments
					the pressure of lower salaries, increased workloads and insecurity, both in the private and public sector. More effective human resources policies and practices have to be applied in the whole organisation including the project team. ⁶⁹
7. Competences are available in: Application forms preparation Public procurement Financial management and implementation Project monitoring and reporting Information and publicity of EU support Competences related to the specific project/s of the beneficiaries (e.g. technical competences, financial engineering)	<ul style="list-style-type: none"> 80% of the beneficiaries are able to ensure internal or accessed external resources to for the project implementation Positive assessment in previous / ex-ante evaluations 	Yes*	gaps in project preparation, public procurement	Questionnaire (Q 12) Focus group Documentary analysis Previous evaluations	<p>The responses reveal more than 75% of the respondents have the expertise in the following areas:</p> <ul style="list-style-type: none"> public procurements 77.3%; financial management 85,2%; project monitoring and reporting 80.5%; Information & publicity of EU support 82.8%; Technical competencies 78.9%. <p>A lower level of expertise is indicated in project preparation 47.1% of the responses, an area that should be addressed with support measures. The evaluation report on beneficiaries⁴ capacity shows there are differences between beneficiaries, depending on their experience in PM, type and size.</p>
8. Adequate quality of consultancy services are available	Positive opinion regarding the availability and quality of consultancy services for outsourcing tasks	Yes*	Gaps in quality and availability of the consultancy services	Questionnaire (Q13) Focus group Studies, Previous evaluations	<p>The consultancy services are to a high extent available, but the quality and the price quality ratio are rated lower than the availability.</p> <p>Good availability - 57% of the responses Good quality - 48.7% of the responses Good Price quality ration - 40% of the responses</p> <p>Participants in the focus group highlighted differences regarding the availability of the services upon types of projects, sectors, area of residence, types of beneficiary. More detailed analysis is recommended to ensure the appropriate measure is addressing the specific root problems. The quality and the price-quality ratio are affected in the case of the public</p>

⁶⁹ Ad-hoc evaluation Challenges in the Capacity of Public and Private Structural Instruments Beneficiaries

Administrative capacity of the beneficiaries (the demand side)	Criterion for accomplishment	Achieved Yes/ No/ Yes* (largely yes, improvements are needed) largely no	Evidences (of non-achievement)	Sources of information	Comments
					beneficiaries by the “lowest price” award procedures used extensively in public procurement.
Capacity to mobilise financial resources					
9. Existence of sufficient internal or borrowed financial resources to ensure co-financing and the implementation cash flows	<ul style="list-style-type: none"> 80% of the beneficiaries are able to ensure internal or attracted resources to for the project implementation Positive assessment in previous / ex-ante evaluations 	Largely no	more than 33% of the beneficiaries are not able to ensure co financing and cash-flow with internal/ borrowed financial resources	Questionnaire (Q14) Focus groups Studies, Previous evaluations / ex-ante evaluations	<p>The survey responses reveal that</p> <ul style="list-style-type: none"> 62.3% of respondents are able to ensure cofinancing and cash-flow from internal or attracted financial resources. 34.8% have access to bank loans and 30% have access to bank guarantees. <p>The focus group highlighted the extensive problems in implementation due to reduced capacity of the beneficiaries to ensure the financial resources, aggravated by large delays of the reimbursements (e.g. 230 days instead of 45 days; 27 months delay of the final payment)</p> <p>Access to bank loans is difficult and very often the loan conditions are changing between the application and the contracting date.</p> <p>Similar conclusions found in the interim evaluations, Studies and annual implementation reports.</p> <p>Considering that all respondents are beneficiaries of funding with projects implemented or in implementation the rate of 62.3% of respondents able to ensure co-financing and cash-flow is worrying.</p>
10. Pre-financing is adequate and accessible for all types of beneficiaries <ul style="list-style-type: none"> Private SMEs/large Public local adm. Public central adm. NGOs 	<ul style="list-style-type: none"> 80% of beneficiaries did not experience problems with pre-financing Positive assessment in previous / ex-ante evaluations 	Largely no	more than 50% of the beneficiares experience problems with prefinancing	Questionnaire (Q14) Focus groups Studies, Evaluations, Reports.	<p>Only 42.9% of the respondents found adequate and accessible pre-financing for their type of organization.</p> <p>The participants in the focus group explained typical problems with pre-financing:</p> <ul style="list-style-type: none"> unpredictable mechanism including reduction of the pre-financing rate during implementation, change of the conditions, delays in payments; the access to bank guarantees depend on the type of organization and their size, but there is a mismatch between the EU funding selection criteria and qualification conditions for bank loans. the public sector has an advantage. <p>Similar conclusions found in the evaluation reports, studies and annual implementation reports.</p>

Administrative capacity of the beneficiaries (the demand side)	Criterion for accomplishment	Achieved Yes/ No/ Yes* (largely yes, improvements are needed) largely no	Evidences (of non-achievement)	Sources of information	Comments
Horizontal issues affecting the capacity of the beneficiaries					
11. Clarity and consistency of the procedures	<ul style="list-style-type: none"> 90% of beneficiaries did not experience serious problems due to lack of clarity and consistency of the procedures Positive assessment in previous / ex-ante evaluations 	No	87.4% responses indicate the lack of clarity and consistency of the procedures	Survey (Q15 & Q6) Focus groups Documentary analysis Studies, Previous evaluations / ex-ante evaluations	<p>There is general shared opinion about the lack of clarity and consistency of the procedures.</p> <p>46% of the respondents indicate ambiguities of reporting procedures; 36.4% experience difficulties due to the reimbursement procedures and 25% beneficiaries faced difficulties with public procurements; Only 23.5% beneficiaries did not experience difficulties in project(s) implementation</p> <p>During the focus group, the participants confirmed the lack of clarity and consistency of the procedures with examples: guidelines changed by MA during the preparation and/or implementation period, different interpretation given by MA/IB/RIB and NARMPP and AA at the cost of the beneficiary. Evaluation reports and studies revealed similar conclusions.</p>
12. Sufficient capacity of the MAs and IBs to support the beneficiaries through: <ul style="list-style-type: none"> - Manuals and guidelines - Trainings - Info days - Websites - Direct communication with beneficiaries 	<ul style="list-style-type: none"> Positive assessment by the beneficiaries of the MAs and IBs support Positive assessment in previous / ex-ante evaluations 	Largely no	Gaps in the effectiveness of the support provided by MAs and IBs (see comments)	Questionnaire (Q7, Q8, Q9) Focus groups Documentary analysis Studies, Previous evaluations / ex-ante evaluation	<p>More than 50% of the responses indicate a good cooperation of the beneficiaries with the MAs and IBs. The cooperation is perceived better in implementation (70% of the responses) than in project preparation (58% of the responses) and project identification (52% of the responses).</p> <p>The survey as well as the focus group and the reports reveal significant gaps in the support provided by the MAs IBs to the beneficiaries.</p> <p>79.8% of the responses indicate a need for more guidance from MA/IB/RIB during preparation and implementation</p> <p>The participants in focus group provided examples of gaps in the cooperation:</p> <ul style="list-style-type: none"> - Poor quality of information or guidance received from MA/IB/RIB, especially during implementation. - Lack of flexibility and predictability - Changes of the rules during the game - Unilateral contractual contract modifications. - Insufficient support to beneficiaries: clearly and timely provision of information, practical training, guidance, partnership principles in implementation, helpdesk, facilitate harmonization of interpretation of rules and procedures with all authorities, etc.
13. Existence of electronic	Confirmation of using the	Largely no	utility is	Survey (Q16-Q21)	60,7% of the respondents confirm they use one of OPs specific electronic

Administrative capacity of the beneficiaries (the demand side)	Criterion for accomplishment	Achieved Yes/ No/ Yes* (largely yes, improvements are needed) largely no	Evidences (of non-achievement)	Sources of information	Comments
systems of data exchange with MA/IB and AA	electronic system and positive opinion regarding their benefits		recognised but more than one third do not use any other application than email in relation with MAs and IBNs	Focus group	<p>systems; 22.7% of the respondents do not know there is any electronic system they could use in relation with the MA or IB The remaining part 16.6% of the respondents stated that they use only emails or applications with a wider use than the operational programme/ project implementation. 49% of the users find the ES easy to use and time saving. More positive opinions regarding utility, (83% of the respondents' rate utility above average), recall of data from the system (82.7%) In their opinion the ES are easy to use and reduce the time spent on various project tasks. Gaps regarding the effective use of the electronic systems have been mentioned in the focus group.</p> <ul style="list-style-type: none"> - Poor guidance and support to use the ES (especially for up-dates or revised modules, i.e. recently revisions on ActionWeb). - Electronic data provision, double with printed versions of the documents - Low efficiency of the ES, not really time saving.
14. Civil servants effectiveness and efficiency	General perception Less than 50 % of the beneficiaries believe effectiveness and efficiency of the public administration system affect significantly their capacity	No	78.6 % of the respondents consider their capacity could be affected by the public administration system effectiveness and efficiency poor effectiveness and efficiency of the whole public administration	Survey (Q15) Interviews Studies and evaluations Assessment of the 2013 national reform programme and convergence programme for ROMANIA	<p>78.6% of the respondents believe the effectiveness and efficiency of the public administration system affect their capacity to implement projects. The respondents do not make a difference between the public administration system effectiveness and efficiency and civil servants performance, rating their influence similarly.</p> <p>The participants in the focus group highlighted the constraints of the civil servants to perform at high standards due to the public system weaknesses. They mentioned as negative factors in the implementation of the projects the inadequate attitudes and lack of professionalism of the civil servants in monitoring, verification and control activities. This indicator should be included in regular surveys and monitored over a longer period of time, the entire programme cycle.</p>

Administrative capacity of the beneficiaries (the demand side)	Criterion for accomplishment	Achieved Yes/ No/ Yes* (largely yes, improvements are needed) largely no	Evidences (of non-achievement)	Sources of information	Comments
			system		
<p>15. Corruption risks are addressed General perception of corruption risks Key factors and tools addressing corruption</p>	<p>More than 50% of the beneficiaries believe corruption risks do not affect significantly their capacity for projects implementation.</p>	<p>No</p>	<p>34,4% consider their capacity of implementing projects is not affected by corruption factors</p> <p>international surveys (EC, World Bank) indicate a high level of corruption and an increasing trend</p>	<p>Survey (Q15) Focus group Annual report of the Court of Accounts 2011</p> <p>Assessment of the 2013 national reform programme and convergence programme for ROMANIA</p>	<p>34.4% of the respondents consider they are not affected by corruption (at all or too a large extent). This indicator should be included in regular surveys and monitored over a longer period of time during the entire programme cycle. Linked to the corruption risks, 81.4% of the respondents consider there is a lack of transparency in the appraisal and selection process. The focus group discussion confirmed the lack of transparency of the processes creates suspicion about the fairness and correctness of the process and potential corruption facts. The Court of Audit⁷⁰ found as a general weakness of the public beneficiaries, the poor implementation of the internal/managerial control systems which lead to late identification of irregularities, frauds, infringements of the public funds principles and rules.</p>

⁷⁰ Annual Report 2011



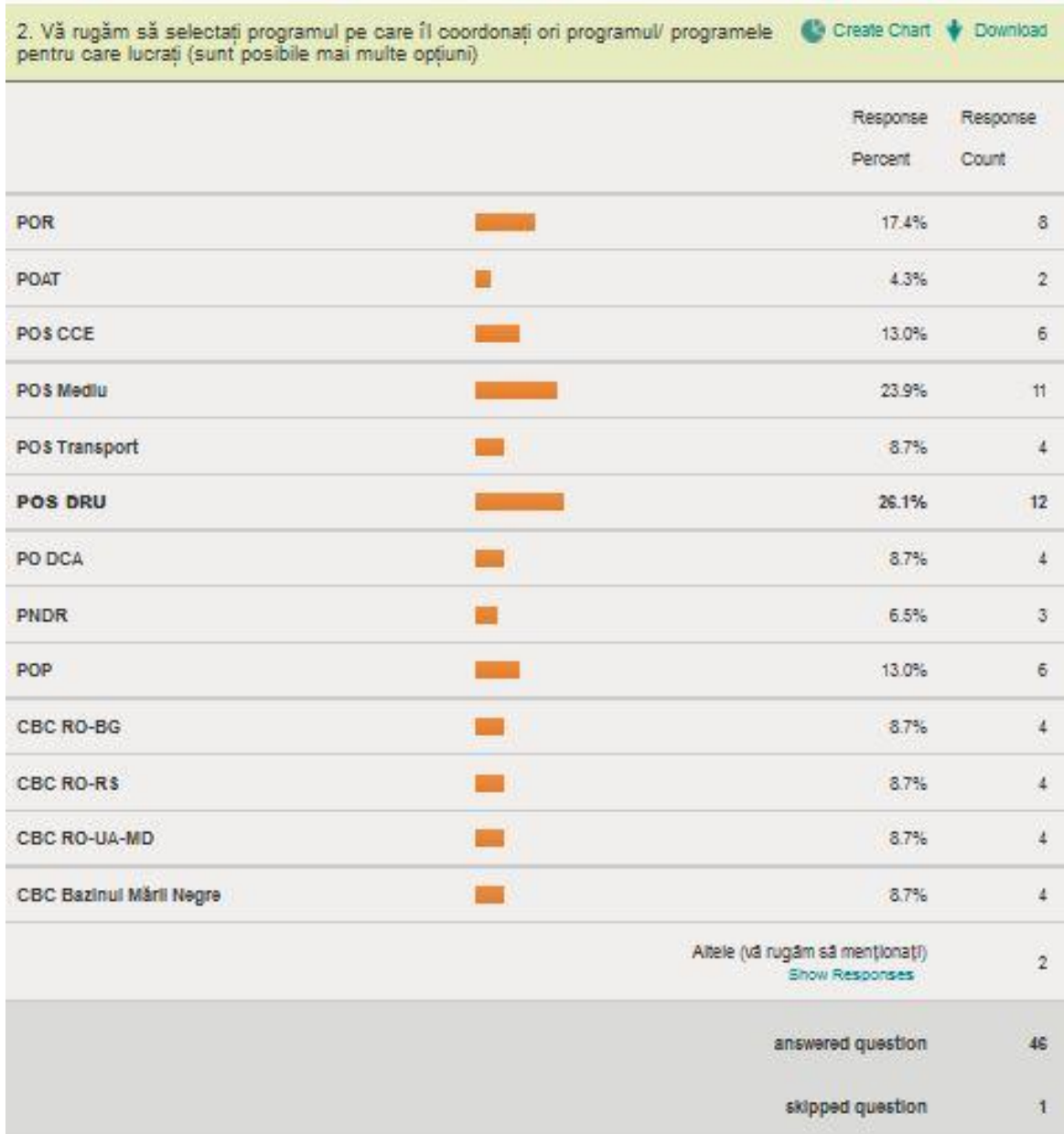
Annex 3 - Questionnaires - Survey Authorities and Survey Beneficiaries

Annex 3.A - Online questionnaire for Authorities




Annex 3.B - Online questionnaire for Beneficiaries

Annex 4 – Summaries of the survey results

Annex 4.A – Summary of the survey results on administrative capacity of the authorities



3. Organizația dumneavoastră este membră a Comitetului Interministerial pentru Acordul de Parteneriat (CIAP) 2014 - 2020? [Create Chart](#) [Download](#)

		Response Percent	Response Count
Da		55.6%	25
Nu		22.2%	10
Nu știu		22.2%	10
answered question			45
skipped question			2

4. Utilizând o scală de la 1 ("slab") la 4 ("excelent"), vă rugăm să apreciați: [Create Chart](#) [Download](#)

	1	2	3	4	Nu am primit informații	Nu știu / Nu este cazul	Rating Count
Informațiile primite în procesul de elaborare a Acordului de Parteneriat	8.9% (4)	2.2% (1)	26.7% (12)	17.8% (8)	15.6% (7)	28.9% (13)	45
answered question							45
skipped question							2

5. Utilizând o scală de la 1 ("slab") la 4 ("excelent"), vă rugăm să apreciați:

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	1	2	3	4	Nu ni s-a oferit oportunitatea	Nu știu / Nu este cazul	Rating Count
Oportunitatea oferită organizației dvs. de a participa la elaborarea Acordului de Parteneriat	4.4% (2)	4.4% (2)	26.7% (12)	20.0% (9)	17.8% (8)	26.7% (12)	45
answered question							45
skipped question							2

6. Utilizând o scală de la 1 ("slab") la 4 ("excelent"), vă rugăm să apreciați:

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	1	2	3	4	Nu a fost luată în considerare	Nu știu / Nu este cazul	Rating Count
În ce măsură a fost luată în considerare opinia organizației dvs. cu privire la dezvoltarea Acordului de Parteneriat	2.2% (1)	8.9% (4)	22.2% (10)	15.6% (7)	0.0% (0)	51.1% (23)	45
answered question							45
skipped question							2

7. Utilizând o scală de la 1 ("slab") la 4 ("excellent"), vă rugăm să apreciați:

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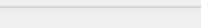

	1	2	3	4	Interesele organizației noastre nu sunt abordate	Nu știu / Nu este cazul	Rating Count
Nivelul la care interesele organizației dvs. sunt (sau vor fi) abordate în Acordul de Parteneriat	4.4% (2)	8.9% (4)	22.2% (10)	17.8% (8)	4.4% (2)	42.2% (19)	45
	answered question						45
	skipped question						2

8. Cum ați distribui bugetul prevăzut în Acordul de parteneriat între următoarele 11 obiective tematice (vă rugăm, distribuiți 100 de unități bugetare; de asemenea, puteți lăsa unele dintre obiectivele tematice fără buget):

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



	5	10	15	20	25	30	35	40	45	50	55	60	65	70	75	peste 80	Rating Average	Rating Count
Consolidarea Cercetării, Dezvoltării Tehnologice și inovării	33.3% (8)	20.8% (5)	16.7% (4)	8.3% (2)	8.3% (2)	4.2% (1)	0.0% (0)	0.0% (0)	0.0% (0)	8.3% (2)	0.0% (0)	0.0% (0)	0.0% (0)	0.0% (0)	0.0% (0)	0.0% (0)	3.08	24
Sporirea accesului, utilizării și calității Tehnologiei Informației și Comunicațiilor	57.1% (12)	14.3% (3)	4.8% (1)	14.3% (3)	4.8% (1)	0.0% (0)	0.0% (0)	0.0% (0)	0.0% (0)	0.0% (0)	0.0% (0)	4.8% (1)	0.0% (0)	0.0% (0)	0.0% (0)	0.0% (0)	2.38	21
Îmbunătățirea competitivității întreprinderilor mici și mijlocii, a sectorului agricol (în cazul FEADR) și a sectorului pescuit și acvacultură (în cazul FEAMP)	16.0% (4)	24.0% (6)	16.0% (4)	4.0% (1)	4.0% (1)	12.0% (3)	4.0% (1)	0.0% (0)	0.0% (0)	8.0% (2)	4.0% (1)	0.0% (0)	0.0% (0)	0.0% (0)	4.0% (1)	4.0% (1)	4.96	25
Sporirea tranziției către o economie cu emisii scăzute de dioxid de carbon în toate sectoarele	36.4% (8)	18.2% (4)	13.6% (3)	13.6% (3)	4.5% (1)	0.0% (0)	0.0% (0)	4.5% (1)	0.0% (0)	9.1% (2)	0.0% (0)	0.0% (0)	0.0% (0)	0.0% (0)	0.0% (0)	0.0% (0)	3.18	22
Promovarea adaptării la schimbările climatice, a prevenirii și gestionării riscurilor	42.3% (11)	15.4% (4)	7.7% (2)	15.4% (4)	3.8% (1)	0.0% (0)	3.8% (1)	3.8% (1)	0.0% (0)	3.8% (1)	3.8% (1)	0.0% (0)	0.0% (0)	0.0% (0)	0.0% (0)	0.0% (0)	3.15	26
Protecția mediului și promovarea utilizării eficiente a resurselor	12.5% (4)	21.9% (7)	9.4% (3)	15.6% (5)	9.4% (3)	9.4% (3)	6.3% (2)	3.1% (1)	0.0% (0)	6.3% (2)	3.1% (1)	3.1% (1)	0.0% (0)	0.0% (0)	0.0% (0)	0.0% (0)	4.53	32
Promovarea sistemelor de transport durabile și eliminarea blocajilor din cadrul infrastructurilor rețelelor majore	12.5% (3)	8.3% (2)	20.8% (5)	12.5% (3)	8.3% (2)	16.7% (4)	0.0% (0)	8.3% (2)	4.2% (1)	0.0% (0)	0.0% (0)	0.0% (0)	0.0% (0)	0.0% (0)	0.0% (0)	8.3% (2)	5.21	24
Promovarea ocupării forței de muncă și sprijinirea mobilității forței de muncă	34.6% (9)	26.9% (7)	0.0% (0)	7.7% (2)	3.8% (1)	0.0% (0)	0.0% (0)	3.8% (1)	0.0% (0)	3.8% (1)	0.0% (0)	0.0% (0)	7.7% (2)	0.0% (0)	3.8% (1)	7.7% (2)	4.88	26
Promovarea incluziunii sociale și combaterea sărăciei	40.7% (11)	11.1% (3)	11.1% (3)	3.7% (1)	7.4% (2)	3.7% (1)	0.0% (0)	3.7% (1)	0.0% (0)	0.0% (0)	0.0% (0)	0.0% (0)	0.0% (0)	7.4% (2)	0.0% (0)	11.1% (3)	4.81	27
Investițiile în educație, competențe și învățare pe tot parcursul vieții	33.3% (9)	25.9% (7)	3.7% (1)	14.8% (4)	3.7% (1)	0.0% (0)	3.7% (1)	7.4% (2)	0.0% (0)	0.0% (0)	0.0% (0)	0.0% (0)	0.0% (0)	0.0% (0)	3.7% (1)	3.7% (1)	3.74	27
Consolidarea capacității instituționale și o administrație publică eficientă	52.0% (13)	16.0% (4)	4.0% (1)	0.0% (0)	4.0% (1)	12.0% (3)	0.0% (0)	0.0% (0)	0.0% (0)	0.0% (0)	4.0% (1)	0.0% (0)	0.0% (0)	0.0% (0)	4.0% (1)	4.0% (1)	3.56	25
	answered question						39											
	skipped question						8											

9. Referindu-vă la programul dvs. operațional, vă rugăm să ne specificați dacă beneficiarii au întâmpinat dificultăți în procesul de solicitare a finanțării (puteți selecta mai multe răspunsuri)

		Response Percent	Response Count
Nu au întâmpinat dificultăți în procesul de solicitare a finanțării		13.6%	6
Au întâmpinat dificultăți la completarea unor secțiuni ale Cererii de Finanțare		52.3%	23
Au întâmpinat dificultăți la completarea bugetului inclus în Cererea de Finanțare		63.6%	28
Au întâmpinat dificultăți la stabilirea de indicatori conform cerințelor din Cererea de Finanțare		56.8%	25
Au întâmpinat dificultăți în pregătirea documentelor justificative/suport solicitate pe lângă Cererea de Finanțare		54.5%	24
Nu știu / Nu este cazul		6.8%	3
		Altele (vă rugăm să precizați) Show Responses	4
		answered question	44
		skipped question	3

10. Cu referire la programul dvs. operațional, vă rugăm să specificați dacă beneficiarii au întâmpinat/ întâmpină probleme în implementarea proiectului/ proiectelor lor într-unul sau mai multe dintre domeniile de mai jos (puteți selecta mai multe răspunsuri, în funcție de experiența dvs.)

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		Response Percent	Response Count
Ambiguități în documentele de raportare		42.9%	18
Procedurile de efectuare a plăților		40.5%	17
Managementul financiar și raportarea		54.8%	23
Licitații		83.3%	35
Monitorizarea și raportarea indicatorilor		57.1%	24
Coordonarea cu partenerii de proiect (dacă există)		19.0%	8
Coordonarea și controlul asupra contractorilor și sub-contractorilor (dacă este cazul)		23.8%	10
Arhivare		11.9%	5
Cerințele de informare și publicitate		16.7%	7
Beneficiarii nu au probleme în implementarea proiectului/ proiectelor		2.4%	1
	Altele (vă rugăm să precizați) Show Responses		3
	answered question		42
	skipped question		5

11. Cum ați aprecia nevoile organizației dvs. în ceea ce privește pregătirea programului?

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	1 Foarte necesară	2 Necesară	3 Sunt necesare îmbunătățiri	4 Nu sunt necesare	Nu știu / Nu este cazul	Rating Count
Mai mult personal	34.1% (14)	17.1% (7)	31.7% (13)	9.8% (4)	7.3% (3)	41
O calificare mai bună a personalului	22.0% (9)	34.1% (14)	34.1% (14)	4.9% (2)	4.9% (2)	41
Instruiri pentru personal	26.7% (12)	33.3% (15)	35.6% (16)	0.0% (0)	4.4% (2)	45
Proceduri, manuale, ghiduri mai bune	21.4% (9)	21.4% (9)	50.0% (21)	2.4% (1)	4.8% (2)	42
O structură mai bună a managementului programului/ axei prioritare (direcții, departamente)	20.5% (8)	17.9% (7)	38.5% (15)	15.4% (6)	7.7% (3)	39
			Altele (vă rugăm să menționați)			2
			Show Responses			
			answered question			46
			skipped question			1

12. Cum ați aprecia nevoile organizației dvs. în ceea ce privește implementarea programului?

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	1 Foarte necesară	2 Necesară	3 Sunt necesare îmbunătățiri	4 Nu sunt necesare	Nu știu / Nu este cazul	Rating Count
Mai mult personal	39.0% (16)	17.1% (7)	36.6% (15)	4.9% (2)	2.4% (1)	41
O calificare mai bună a personalului	17.5% (7)	40.0% (16)	37.5% (15)	2.5% (1)	2.5% (1)	40
Instruiri pentru personal	25.6% (11)	41.9% (18)	32.6% (14)	0.0% (0)	0.0% (0)	43
Proceduri, manuale, ghiduri mai bune	26.2% (11)	21.4% (9)	47.6% (20)	0.0% (0)	4.8% (2)	42
O structură mai bună a managementului programului/ axei prioritare (direcții, departamente)	15.4% (6)	23.1% (9)	41.0% (16)	12.8% (5)	7.7% (3)	39
Condiții de muncă mai bune (sediul și echipamente de birou)	26.8% (11)	29.3% (12)	31.7% (13)	9.8% (4)	2.4% (1)	41
			Altele (vă rugăm să menționați)			5
			Show Responses			
			answered question			46
			skipped question			1

13. Care credeți că sunt competențele cheie ce trebuie să fie consolidate în organizația dumneavoastră pentru o aplicare mai eficientă a AP și PO (puteți alege mai multe răspunsuri): [Create Chart](#) [Download](#)

	Response Percent	Response Count
Cunoașterea mai bună a legislației, strategiilor și politicilor europene și naționale	46.7%	21
Cunoștințe și competențe mai bune în domeniul managementului financiar și controlului	62.2%	28
Competențe organizaționale și manageriale mai bune pentru personalul propriu	44.4%	20
Competențe tehnice mai bune (limbi străine, aplicații software, etc)	20.0%	9
Competențe mai bune în achizițiile publice	75.6%	34
Nu știu	4.4%	2
Altele (vă rugăm să precizați) Show Responses		2
answered question		45
skipped question		2

14. A apărut cel puțin una dintre modificările enumerate mai jos în structura organizației dvs., în ultimul an? [Create Chart](#) [Download](#)

	Response Percent	Response Count
Transferul structurii de la o instituție la alta	25.0%	10
Transferul structurii de la o direcție la alta, în cadrul instituției	12.5%	5
Restructurări interne semnificative	55.0%	22
Nu s-a schimbat nimic	25.0%	10
Altele (vă rugăm să menționați) Show Responses		7
answered question		40
skipped question		7

15. Cum ați aprecia nevoile organizației dvs. în ceea ce privește îmbunătățirea următoarelor aspecte ale condițiilor de muncă? [Create Chart](#) [Download](#)

	1 Foarte necesare	2 Necesare	3 Sunt necesare îmbunătățiri	4 Nu sunt necesare	Nu știu / Nu este cazul	Rating Count
Echipamente IT și birotică	37.2% (16)	18.6% (8)	32.6% (14)	11.6% (5)	0.0% (0)	43
Aplicații software	34.1% (14)	31.7% (13)	26.8% (11)	7.3% (3)	0.0% (0)	41
Sediu	26.8% (11)	24.4% (10)	22.0% (9)	22.0% (9)	4.9% (2)	41
Arhivare	41.5% (17)	34.1% (14)	19.5% (8)	4.9% (2)	0.0% (0)	41
			Altele (vă rugăm să menționați) Show Responses			4
				answered question		46
				skipped question		1

16. Care sunt principalele nevoi ale personalului organizației dvs.? (puteți selecta mai multe răspunsuri)

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	Response Percent	Response Count
Echipă managerială	20.5%	8
Personal cu experiență în management și implementarea de programe și proiecte	53.8%	21
Personal tehnic - specializat pentru infrastructură, transport, lucrări de apă/canal, etc.	48.7%	19
Nu știu	10.3%	4
Altele (vă rugăm să menționați) Show Responses		6
answered question		39
skipped question		8

17. Credeți că în organizația dvs. trebuie îmbunătățită politica și practica Resurselor Umane în următoarele domenii? [Create Chart](#) [Download](#)

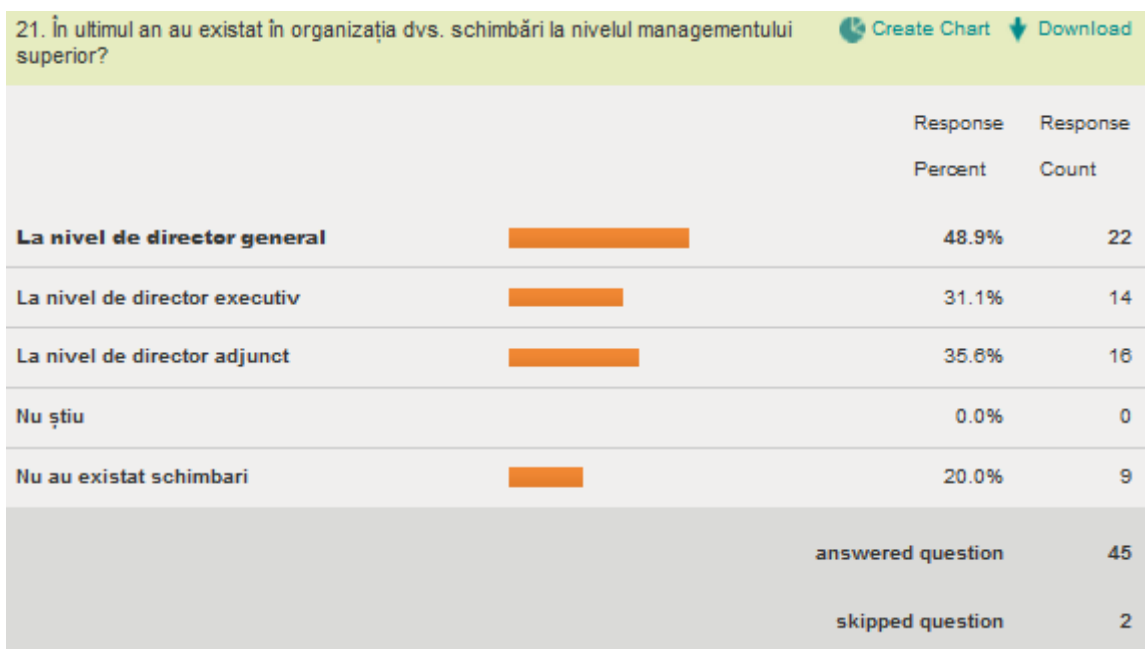
	1 Foarte necesare	2 Necesare	3 Sunt necesare îmbunătățiri	4 Nu sunt necesare	Nu știu / Nu este cazul	Rating Count
Salarizare	45.7% (21)	13.0% (8)	34.8% (16)	4.3% (2)	2.2% (1)	46
Managementul performanței	41.0% (16)	20.5% (8)	33.3% (13)	2.6% (1)	2.6% (1)	39
Oportunitățile de dezvoltare a carierii	33.3% (13)	23.1% (9)	33.3% (13)	5.1% (2)	5.1% (2)	39
Bonusuri / Motivare pentru obținerea de rezultate bune	50.0% (20)	27.5% (11)	17.5% (7)	0.0% (0)	5.0% (2)	40
Instruiri	45.2% (19)	33.3% (14)	19.0% (8)	0.0% (0)	2.4% (1)	42
			Altele (vă rugăm să menționați) Show Responses			5
			answered question			46
			skipped question			1

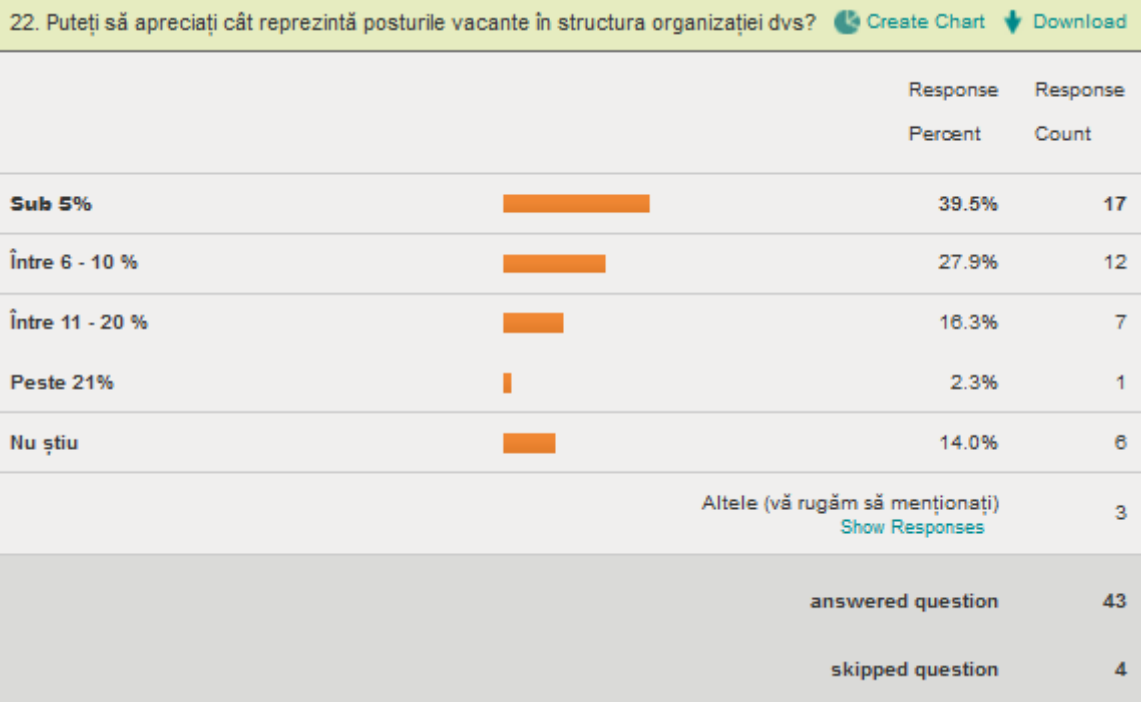
18. Credeți că în organizația dvs. sistemul de recompense este adecvat? Vă rugăm să vă exprimați opiniile asupra elementelor următoare: [Create Chart](#) [Download](#)

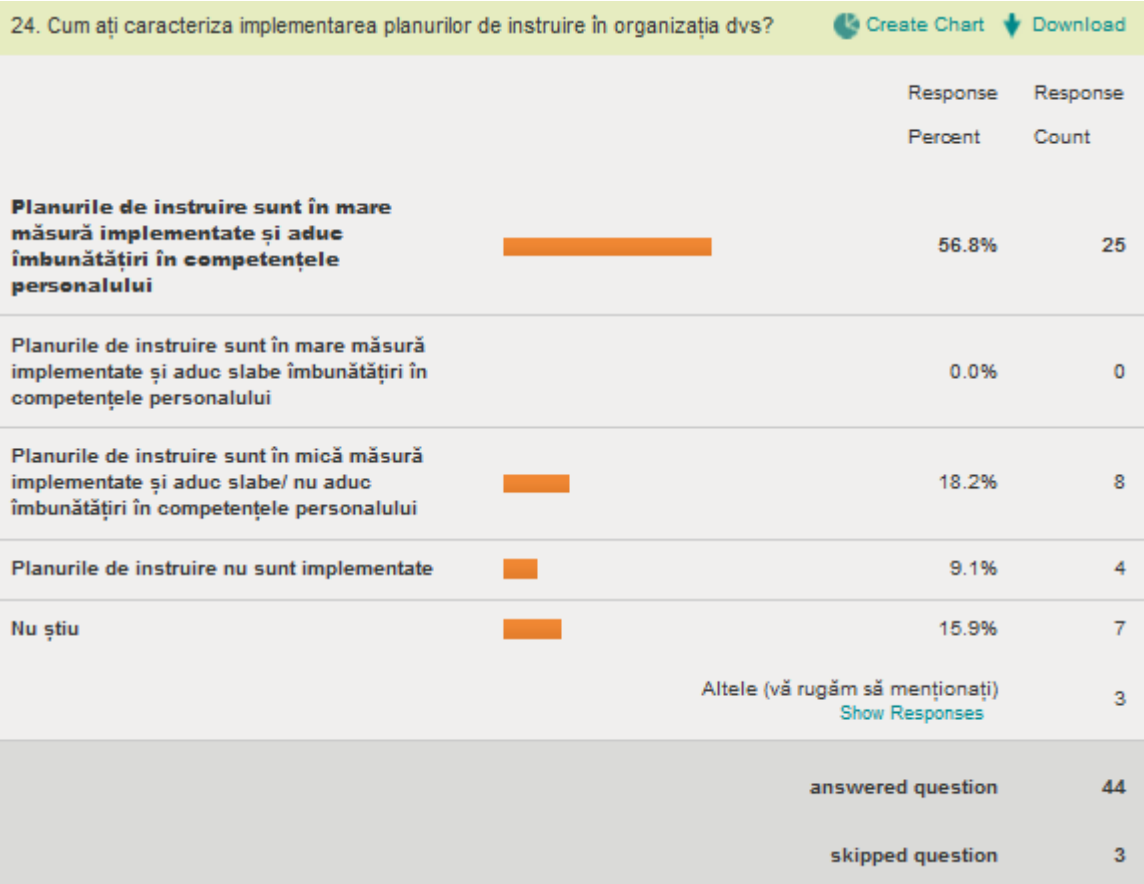
	1 Nu	2 În mare măsură nu	3 În mare măsură da	4 Da	Nu știu / Nu este cazul	Rating Count
Sistemul de recompense poate atrage profesioniști în sistem, corespunzător nivelului de expertiză așteptat	22.7% (10)	15.9% (7)	27.3% (12)	25.0% (11)	9.1% (4)	44
Sistemul de recompense este perceput ca fiind transparent	25.6% (11)	11.6% (5)	16.3% (7)	14.0% (6)	32.6% (14)	43
Sistemul de recompense este perceput ca fiind corect	24.4% (11)	15.6% (7)	15.6% (7)	13.3% (6)	31.1% (14)	45
Sistemul de recompense poate asigura păstrarea personalului	22.2% (10)	11.1% (5)	24.4% (11)	28.9% (13)	13.3% (6)	45
Altele (vă rugăm să menționați) Show Responses						8
answered question						45
skipped question						2

19. Credeți că resursele existente în organizația dvs. sunt adecvate? Vă rugăm să vă exprimați opinia asupra următoarelor aspecte: [Create Chart](#) [Download](#)

	1 Nu	2 În mare măsură nu	3 În mare măsură da	4 Da	Nu știu / Nu este cazul	Rating Count
Fluctuația de personal poate fi gestionată	8.7% (4)	34.8% (16)	30.4% (14)	17.4% (8)	8.7% (4)	46
Fluctuația de personal afectează nivelul de performanță al organizației dvs.?	6.7% (3)	13.3% (6)	24.4% (11)	44.4% (20)	11.1% (5)	45
În organizație se practică evaluarea personalului?	0.0% (0)	2.2% (1)	4.3% (2)	93.5% (43)	0.0% (0)	46
Există o analiză actualizată a volumului de muncă în organizația dvs.?	15.2% (7)	4.3% (2)	15.2% (7)	54.3% (25)	10.9% (5)	46
Dacă instituția dvs. va fi AM pentru un nou PO, 2014 - 2020, există deja o planificare pentru asigurarea personalului necesar și competent?	13.3% (6)	8.9% (4)	20.0% (9)	15.6% (7)	42.2% (19)	45
Altele (vă rugăm să menționați) Show Responses						2
answered question						46
skipped question						1







25. Care este nivelul de performanță a personalului în cadrul organizației dvs?
Alegeți una dintre opțiunile următoare:

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	Response Percent	Response Count
Peste 90 % din rezultatele anuale de evaluare a personalului arată că performanța personalului este ridicată sau satisfăcătoare	68.9%	31
Între 70 - 89 % din rezultatele anuale de evaluare a personalului arată că performanța personalului este ridicată sau satisfăcătoare	11.1%	5
Între 50 - 69 % din rezultatele anuale de evaluare a personalului arată că performanța personalului este ridicată sau satisfăcătoare	0.0%	0
Rezultatele evaluării anuale a personalului nu reflectă în mod corect nivelul de performanță a personalului	8.9%	4
Nu știu	11.1%	5
Altele (vă rugăm să menționați) Show Responses		1
answered question		45
skipped question		2

26. Cum apreciați disponibilitatea expertizei în domenii critice/ specifice (achiziții publice, ajutor de stat, mediu și reglementări, audit intern, managementul riscurilor, monitorizare și evaluare, etc.) [Create Chart](#) [Download](#)

	Bună	În mare măsură bună	În mare măsură slabă	Slabă	Nu știu / Nu este cazul	Rating Count
Acoperirea domeniilor critice	11.4% (5)	54.5% (24)	11.4% (5)	11.4% (5)	11.4% (5)	44
Disponibilitatea expertizei	17.1% (7)	46.3% (19)	14.6% (6)	7.3% (3)	14.6% (6)	41
Calitatea expertizei	14.3% (6)	52.4% (22)	9.5% (4)	7.1% (3)	16.7% (7)	42
Altele (vă rugăm să menționați)						0
answered question						44
skipped question						3

27. Care este sursa expertizei pe care o utilizați în organizația dvs. în domeniile critice/ specifice enumerate mai jos? [Create Chart](#) [Download](#)

	Achiziții publice	Ajutor de stat	Reglementări de mediu	Audit intern	Managementul riscurilor	Monitorizare și evaluare	Rating Count
Internă	43.9% (18)	4.9% (2)	7.3% (3)	4.9% (2)	2.4% (1)	36.6% (15)	41
Asistență tehnică	35.0% (7)	10.0% (2)	5.0% (1)	5.0% (1)	0.0% (0)	45.0% (9)	20
Externă	31.3% (5)	12.5% (2)	6.3% (1)	25.0% (4)	6.3% (1)	18.8% (3)	16
Nu există	15.4% (2)	38.5% (5)	15.4% (2)	15.4% (2)	15.4% (2)	0.0% (0)	13
Dacă vă sunt necesare mai multe opțiuni și aplicația nu vă permite selectarea vă rugăm explicați aici sursa expertizei pentru fiecare arie critică Show Responses							11
answered question						43	
skipped question						4	

28. Credeți că experiența pe care a acumulat-o organizația dvs. în perioada 2007 - 2013 este utilă/ valorificată pentru programarea perioadei 2014 - 2020? [Create Chart](#) [Download](#)

	Nu	În mare măsură nu	În mare măsură da	Da	Nu știu / Nu se aplică	Rating Count
Este experiența organizației dvs. relevantă pentru perioada următoare?	0.0% (0)	0.0% (0)	17.8% (8)	80.0% (36)	2.2% (1)	45
Dacă organizația dvs va avea un rol în implementarea programelor operaționale ale perioadei viitoare de programare, există o estimare a volumului de muncă și un plan de tranziție de la responsabilitățile curente la cele ale perioadei 2014+?	9.1% (4)	13.6% (6)	13.6% (6)	27.3% (12)	36.4% (16)	44
			Altele (vă rugăm să menționați)			0
			answered question			45
			skipped question			2

29. Care este opinia dvs. referitoare la procesele și instrumentele specifice organizației dvs. ?

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	Nu	În mare măsură nu	În mare măsură da	Da	Nu știu / Nu se aplică	Rating Count
Aveți cunoștință de existența unei structuri care oferă AM-urilor și OI/OIR-urilor îndrumare pentru programarea și implementarea noilor OP-uri?	15.9% (7)	6.8% (3)	13.6% (6)	47.7% (21)	15.9% (7)	44
Ați primit un ghid sau materiale pentru pregătirea noilor OP-uri?	52.4% (22)	2.4% (1)	21.4% (9)	19.0% (8)	4.8% (2)	42
Ați primit un ghid sau materiale referitoare la AM-urile / OI-urile pentru noile OP-uri?	59.5% (25)	11.9% (5)	7.1% (3)	14.3% (6)	7.1% (3)	42
Există un departament de programare în cadrul AM-ului dvs.?	4.5% (2)	0.0% (0)	4.5% (2)	61.4% (27)	29.5% (13)	44
Considerați că rolurile și responsabilitățile care privesc OP sunt clar definite?	11.9% (5)	7.1% (3)	11.9% (5)	33.3% (14)	35.7% (15)	42
Sunt stabilite modalitățile de delegare a sarcinilor în organizația dvs.?	2.4% (1)	4.8% (2)	16.7% (7)	69.0% (29)	7.1% (3)	42
Considerați că există consens între părțile interesate în ceea ce privește delegarea sarcinilor în cadrul instituției dvs.?	4.8% (2)	2.4% (1)	16.7% (7)	61.9% (26)	14.3% (6)	42
Există o evaluare pozitivă a sistemului de indicatori în ultimele rapoarte de evaluare / RAI-uri/ evaluări ex-ante?	2.3% (1)	13.6% (6)	31.8% (14)	34.1% (15)	18.2% (8)	44

Credeți că sistemele electronice pentru schimbul de date sunt utilizate la capacitate maximă în prezent?	25.6% (11)	27.9% (12)	23.3% (10)	9.3% (4)	14.0% (8)	43
Funcționează mecanismele care asigură urmărirea fluxurilor de plăți, prognoza cheltuielilor și certificarea plăților?	4.7% (2)	4.7% (2)	37.2% (16)	34.9% (15)	18.6% (8)	43
Există piste de audit identificate pentru toate activitățile?	2.3% (1)	2.3% (1)	18.6% (8)	67.4% (29)	9.3% (4)	43
Completați un registru al riscurilor?	20.9% (9)	0.0% (0)	4.7% (2)	62.8% (27)	11.6% (5)	43
Funcționează un sistem de audit?	4.5% (2)	2.3% (1)	9.1% (4)	72.7% (32)	11.4% (5)	44
Altele (vă rugăm să menționați) Show Responses						4
answered question						45
skipped question						2

30. Care este opinia dvs. asupra următoarelor aspecte orizontale:							Create Chart	Download
	Nu	În mare măsură nu	În mare măsură da	Da	Nu știu / Nu se aplică	Rating Count		
Sunt bune și eficiente relațiile de muncă actuale cu ministerele de linie?	4.5% (2)	4.5% (2)	52.3% (23)	25.0% (11)	13.6% (6)	44		
Numirile și promovarea se bazează pe competență și merit?	6.8% (3)	13.6% (6)	43.2% (19)	25.0% (11)	11.4% (5)	44		
Sistemul de management al performanței este transparent și eficient?	11.4% (5)	22.7% (10)	27.3% (12)	27.3% (12)	11.4% (5)	44		
Există o separare clară a funcțiilor?	2.3% (1)	4.5% (2)	22.7% (10)	70.5% (31)	0.0% (0)	44		
Există o definiție clară și o bună gestionare a responsabilităților manageriale?	4.7% (2)	4.7% (2)	39.5% (17)	46.5% (20)	4.7% (2)	43		
Există un cod de conduită, care face referire și la comportamentul etic, în instituția dumneavoastră?	4.5% (2)	2.3% (1)	4.5% (2)	88.6% (39)	0.0% (0)	44		
Altele (vă rugăm să menționați)						0		
answered question						44		
skipped question						3		

Annex 4.B – Summary of the survey results on administrative capacity of the beneficiaries

The following findings are based on:

- ✓ 567 answers received from the 7654 beneficiaries invited to fill in the on-line questionnaire uploaded on SurveyMonkey platform (<https://www.surveymonkey.com/s/GRJ8QRB>). 00

Table 4.1 – Structure of respondents by type of organization

Private sector (all types of entrepreneurs)	Public administration & institutions	NGOs	Universities & RD Institutes	Other types	Didn't indicate the type
44.3%	27.2%	19.5%	7.1%	1.9%	8%

Table 4.2 – Structure of respondents per OP (some of the beneficiaries were founded from more than 1 OP)

SOP HRD	ROP	SOP IEC	OP ACD	SOP ENV	CBC (4)	RDNP+OPF	POAT +SOP T
41.6%	27.6%	26.6%	9.6%	8.1%	8.1%	5.6%	3.5

- Over 83% of the respondents were/are project managers.
- More than 65% recently finalized project(s) and around 50% have in implementation project(s).

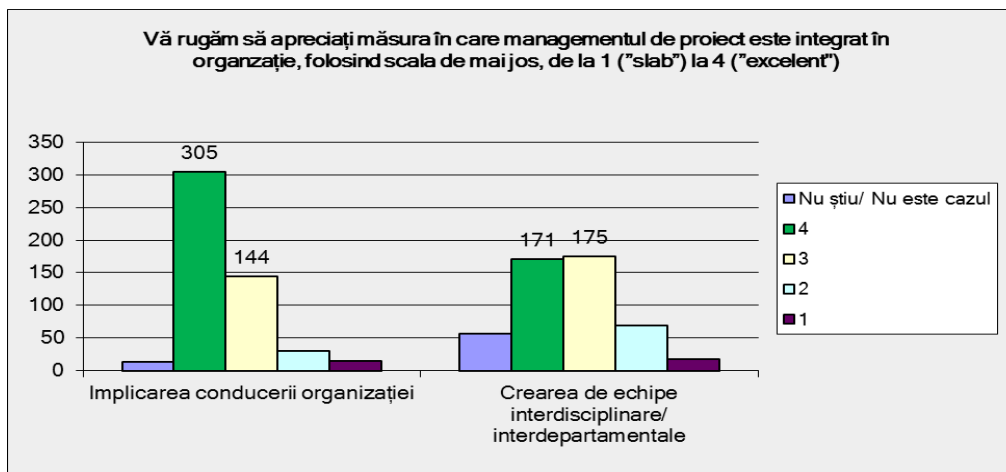
In order to answer to the second part of the evaluation question QII - regarding the administrative capacity of authorities and beneficiaries, "Is the beneficiaries' administrative capacity sufficient for an appropriate implementation of CSF funds?", were used for analyses all the factors and criteria included into the check-list prepared for assessing the beneficiaries' capacity to develop and successfully implement projects under OPs 2007 – 2013, as detailed in the following paragraphs.

Capacity to manage projects

1. *Project management is fully integrated in the organisation management*

- 89,4% respondents rated as "very good" & "excellent" the involvement of top management;
- 71.8% respondents rated as "very good" & "excellent" the existence of interdisciplinary teams.

Figure 4.3 – Summary at Q10/Questionnaire for Beneficiaries

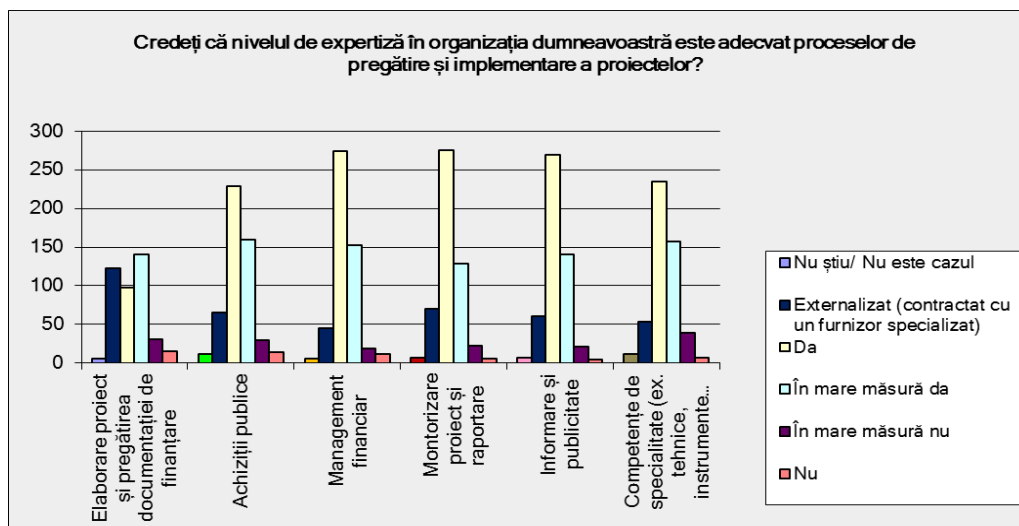


2. Sufficient expertise in project management, specific for OPs 2007 – 2013

- For preparing projects, 47.1% respondents consider they have in-house expertise (were summarized the answers „largely yes” and „yes”) and 24.3% are using external expertise;
- For implementation projects, between 77.3% - 85.2% of the respondents rated as „largely yes”/ „yes” their expertise in project management, plus an average of 11.7% who answered they are using external project management experts.

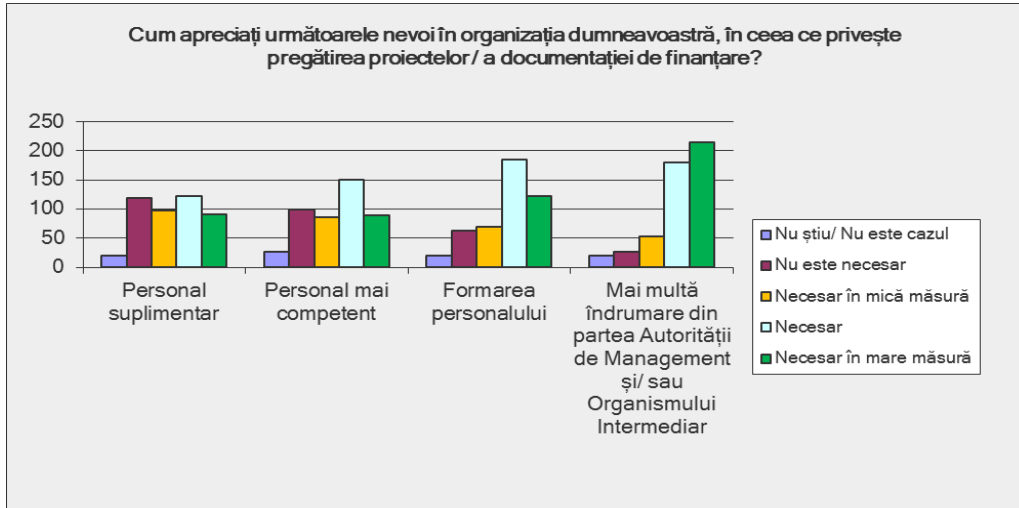
Areas of expertise subject of questionnaire were: Public procurements, Financial management, Monitoring and Reporting, Information and publicity of EU support, Technical expertise.

Figure 4.4 – Summary at Q12/Questionnaire for Beneficiaries



The above mentioned percentages, obtained at Q12, could be in contradiction with the figures resulted from Q8 & Q9, where the need for more competent/ experienced staff is around 47 – 53% for preparing (Figure 4.5) and implementing projects (Figure 4.6), and the need for experienced project managers for implementation is about 58% (Figure 4.6).

Figure 4.5 – Summary at Q8/Questionnaire for Beneficiaries



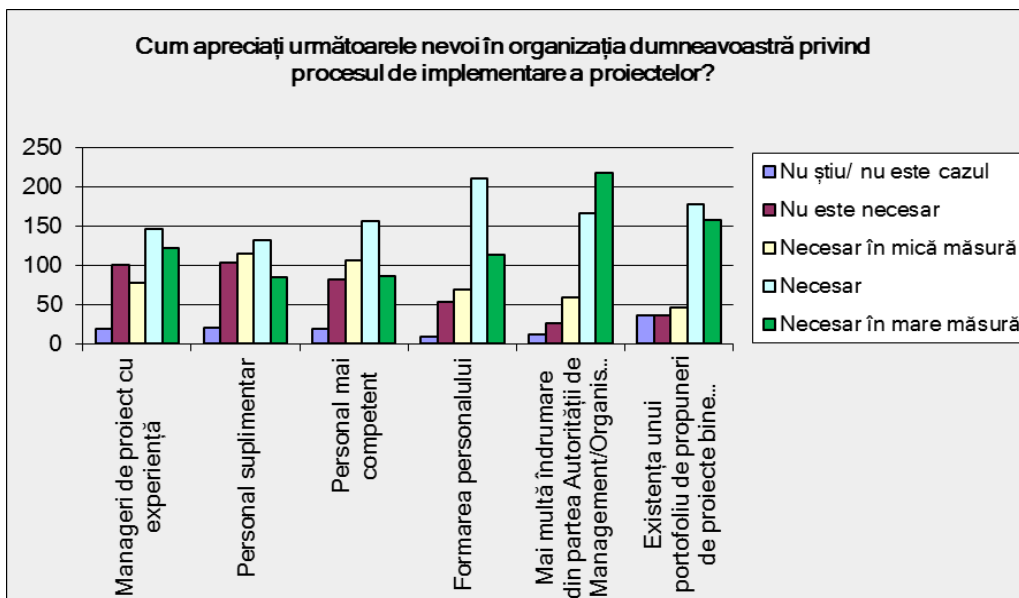
3. Availability of experienced project managers

At Q9, the need for experienced project managers was scored at 58.5% (summarized answers “needed” and “largely needed”).

If we are looking above, on the answers received at Q12, the scores are: 80.5% of the respondents have expertise in project monitoring and reporting; 85.2% are experienced in financial management; 82.8% knows and apply the visibility rules; 77.3% have expertise in public procurements.

Thus, our respondents’ need is for better project managers and less for experts – project team members.

Figure 4.6 – Summary at Q9/Questionnaire for Beneficiaries



4. Maturity of project pipeline

As shown above in Figure 4.6 (summary for Q9), 73.5% of respondents claim the need of a mature projects pipeline into their organization.

This answer is coherent with the one received on Q12, where 47.1% respondents consider they have good expertise in preparing projects.

This issue is important for majority of respondents, as 59.5% answered at Q14 (Table 4.9) they have sufficient internal financial resources to prepare a mature projects pipeline.

Capacity to mobilise and effectively use human resources

5. *Human resources are available in adequate quantity*

When summarizing the answers received at Q8 (Figure 4.5) and Q9 (Figure 4.6), the results are:

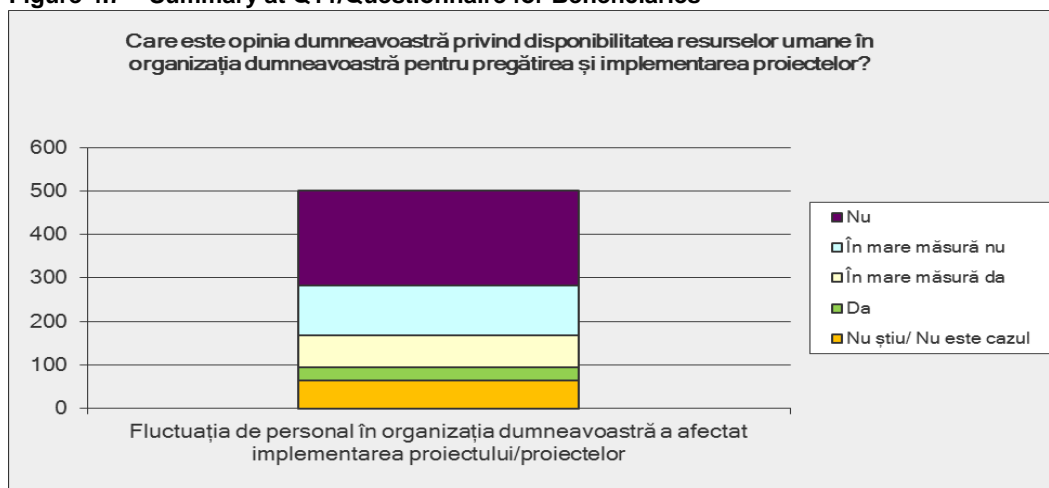
- For projects preparation around 47.3% needs for more staff and 53% needs for more competent staff;
- For projects implementation: 47.6% needs for more staff and 53.9% needs for more competent staff.

Looking to the answers received on Q12, it seems the organizations have expertise in project management areas but not enough.

6. *Staff turnover has a manageable level*

From Q11 results 79.3% of respondents consider the staff turnover did not affected their project(s) implementation.

Figure 4.7 – Summary at Q11/Questionnaire for Beneficiaries



7. *Competences available in: Preparing projects; Public procurement; Financial management; Project monitoring and reporting; Information and publicity of EU support; Competences related to the specific project(s) (e.g. technical competences such water/sanitation, railways, roads, financial engineering etc.)*

Looking back at Figure 4.4 for Q 12, the percentages of available competencies are good. Summarizing the answers “Adequate” and “Largely adequate” the results are:

Table 4.3– Levels of in-house expertise/critical areas available for preparing/implementing projects

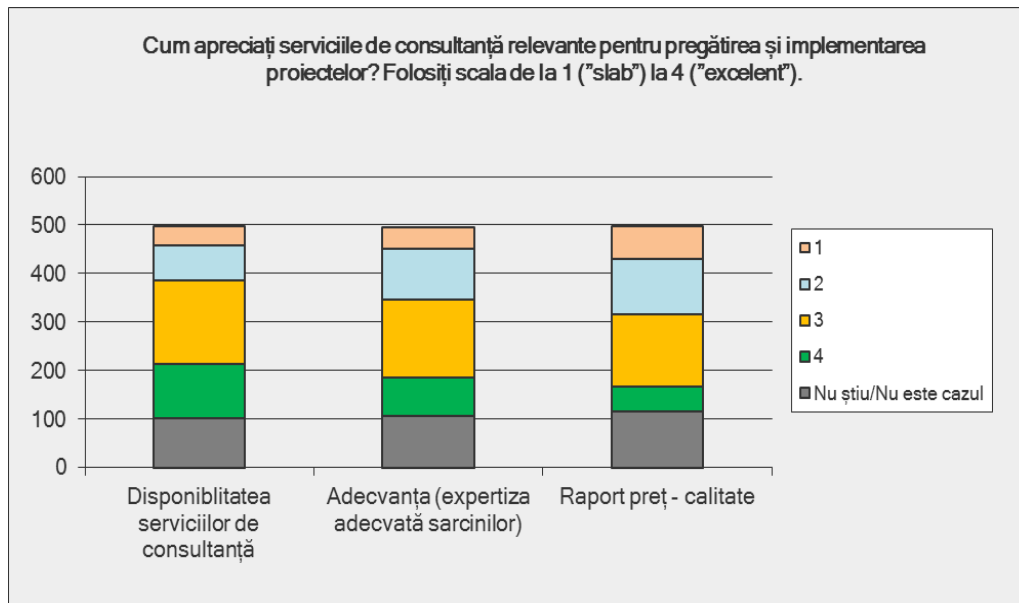
Projects Preparation	Public procurement	Financial management	Monitoring & reporting	EU rules	visibility	Technical competencies
47.1%	77.3%	85.2%	80.5%	82.8%		78.9%

If we are taking into consideration the outsourced expertise, we shall overcome 70% for “project preparation” area and 90% for the rest of critical areas for project implementation.

8. Adequate quality of consultancy services are available

Summarizing the respondents’ perceptions expressed at Q13, besides the 20% who “don’t know”, there are 57% beneficiaries pleased with the availability of consultancy services on the market; and 48.7% beneficiaries appreciated the quality of consultancy services on the market; while 40% of them considered the prices were correlated with the quality.

Figure 4.8 – Summary at Q13/Questionnaire for Beneficiaries



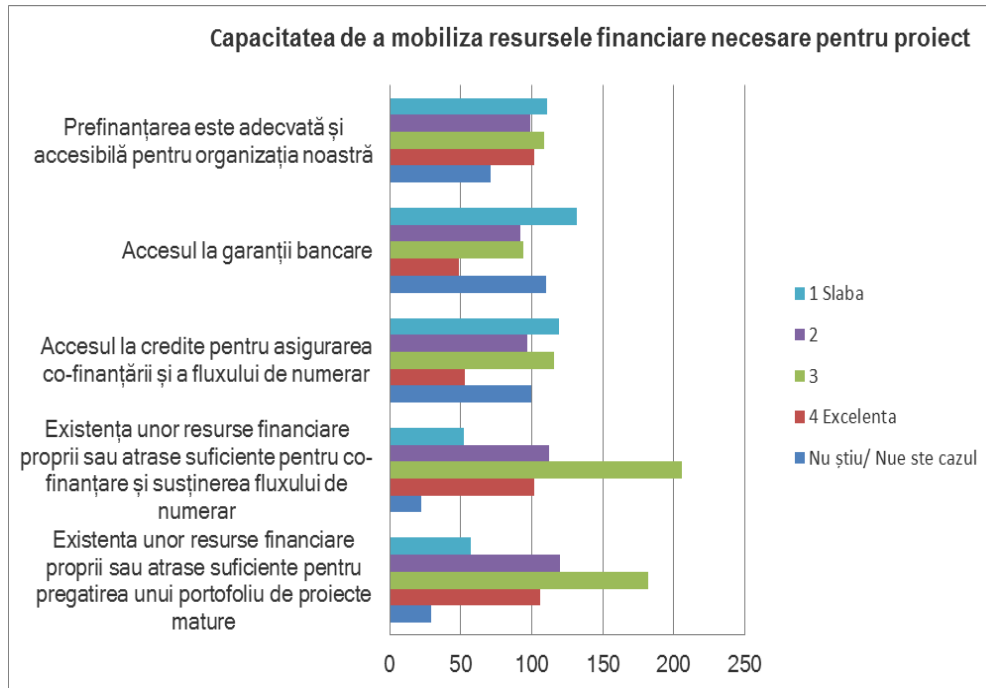
Comparing the answers given to Q13 with the conclusions presented in 2011 in the evaluation report on beneficiaries capacity, we can appreciate there is a small improvement in terms of beneficiaries’ perception on the consultancy market.

Capacity to mobilise financial resources

9. Existence of sufficient internal or borrowed financial resources to ensure co-financing and the implementation cash flows

There are 62.3% respondents at Q14 who declared they have sufficient internal/ borrowed financial resources to ensure co-financing and the implementation cash flows while only 34.8% respondents admit they have chances to obtain loans for implementing projects and 30% of them appreciate they have access to bank guarantees.

Figure 4.9 – Summary at Q14/Questionnaire for Beneficiaries



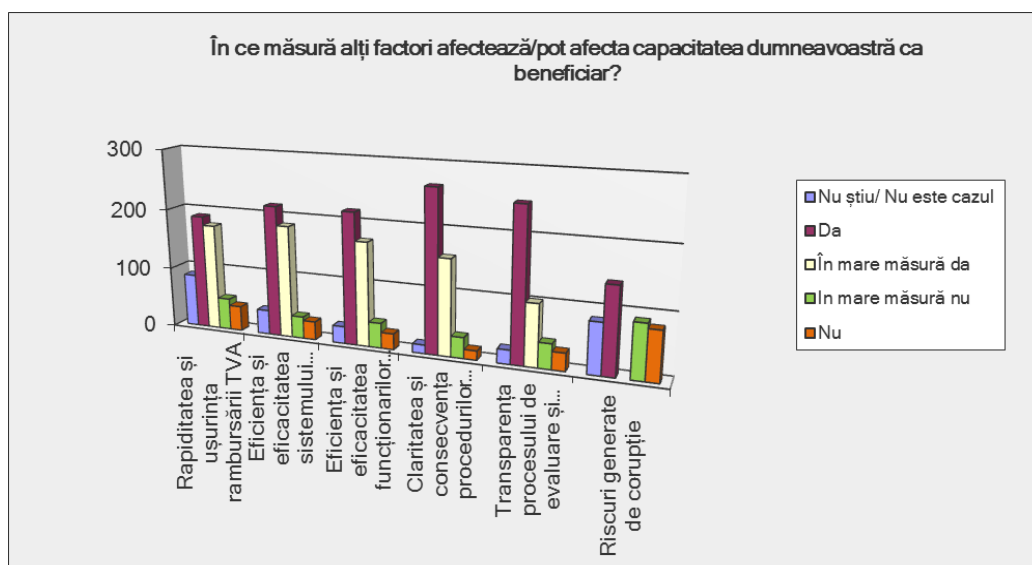
10. *Pre-financing is adequate and accessible for all types of beneficiaries*

From the same Q14 (Figure4.9), 42.9% beneficiaries considered as adequate and reachable the pre-financing for their type of organization.

Horizontal issues affecting the capacity of the beneficiaries

11. *Clarity and consistency of the procedures*

Figure 4.10 – Summary at Q15/ Questionnaire for Beneficiaries



Among the answers received at Q15, there are 87.4% respondents considering the lack of clarity and consistency of the procedures applicable for the entire period of preparation and

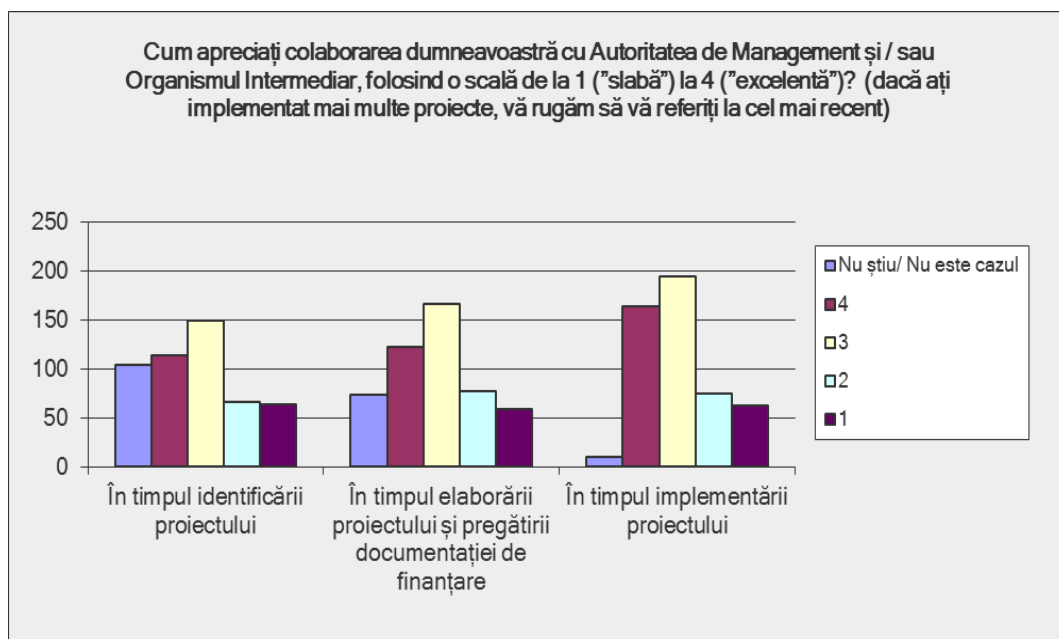
implementation could affect their capacity as beneficiary of European funds.

Looking back, at Q6, we see there are 46% beneficiaries who experienced difficulties due to the ambiguities of reporting procedures, 36.4% beneficiaries who encountered difficulties due to the reimbursement procedures and 25% beneficiaries faced difficulties with public procurements. There are 23.5% beneficiaries who didn't experience difficulties in project(s) implementation.

12. Sufficient capacity of the MAs and IBs to support the beneficiaries

The answers received at Q7 indicate there are 52.9% beneficiaries pleased with the good cooperation they had during project identification period with MA/IB/RIB; 58% respondents had a good cooperation with MA/IB/RIB during project preparation and 70.9% respondents had a good cooperation with MA/IB/RIB during project implementation.

Figure 4.11 – Summary at Q7/ Questionnaire for Beneficiaries



The perceptions shows MA/IB/RIB have sufficient capacity to support the beneficiaries.

But the answers at Q7 are in contradiction with the ones received at Q8 - where 79.8% beneficiaries need more guidance from authorities for preparing projects, and Q9 – where same percentage, 79.8%, of beneficiaries need more guidance from authorities for implementing projects.

13. Existence of electronic systems of data exchange with MA/IB and AA

From the questionnaires result there are ES for data exchange in place; most known being ActionWeb (for SOP HRD). More than 50% respondents recognize the ES are useful, easy to use and reduce the time allocated for some project tasks (Q16-Q21)

14. Civil servants effectiveness and efficiency

Looking at Q15 answers (Table 4.10), there are 78.7% beneficiaries who appreciate their capacity could be affected by the civil servants effectiveness and efficiency. At the same question, 80.9% respondents complain about the administrative system effectiveness and efficiency

15. Corruption risks are addressed



Looking at Q15 answers (Table 4.10), there are 48.9% beneficiaries considering their capacity of implementing projects could be affected by corruption and 81.4% beneficiaries request for transparency.

Annex 5 – Interviews with Authorities on the evaluation of administrative capacity of Authorities and Beneficiaries of CSF funds

Interviewed institution	Participants
<p>Ministry of Agriculture and Rural Development, Managing Authority for National Program Rural Development (MA NPRD)</p>	<ul style="list-style-type: none"> • Mr. Mihai HERCIU, Director MA NPRD • Mrs. Adela ȘTEFAN, director for Coordination • Mrs. Liliana LUCACIU, evaluation expert
<p>Ministry of Agriculture and Rural Development, Managing Authority for National Program Rural Development (MA NPRD)</p>	<ul style="list-style-type: none"> • Mrs. Carmen BOTEANU, deputy Director • Mrs. Liliana LUCACIU, evaluation expert
<p>Romanian Court of Accounts, Audit Authority (AA)</p>	<ul style="list-style-type: none"> • Mr. Ioan Aron POPA, President AA • Mr. Răzvan IFRIM, Director for Methodology, AA • Mrs. Liliana LUCACIU, evaluation expert
<p>Ministry for European Funds, The Coordinating Units of the OPs 2007-2013</p>	<ul style="list-style-type: none"> • Mrs. Antoaneta POPESCU, Director of Coordinating Unit for SOP ACD • Mr. Ionuț MICU, Director of Coordinating Unit for SOP Transport • Mrs. Irina RADU, Director of Coordinating Unit for SOP Environment • Mrs. Cristina COMĂNESCU, Director of Coordinating Unit for SOP HRD • Mr. Răzvan LIUTIEV, Director of Coordinating Unit for Regional OP • Mrs. Marina RUSU, Director of Coordinating Unit for SOP IEC • Mr. Mark BARRETT, evaluation team leader • Mrs. Liliana LUCACIU, evaluation expert
<p>Ministry for European Funds, Analysis Programming and Evaluation Unit (APEU)</p>	<ul style="list-style-type: none"> • Mrs. Mihaela TOADER, Director APEU • Mr. Mark BARRETT, evaluation team leader • Mrs. Liliana LUCACIU, evaluation expert
<p>Ministry for European Funds, System Coordination Directorate (SCD)</p>	<ul style="list-style-type: none"> • Mrs. Andra CHIRILĂ, Director SCD • Mr. Mark BARRETT, evaluation team leader • Mrs. Liliana LUCACIU, evaluation expert
<p>Ministry for European Funds, Managing Authority for Operational Programme Technical Assistance (MA OPTA)</p>	<ul style="list-style-type: none"> • Mrs. Livia CHIRIȚĂ, Director MA OPTA • Mr. Mark BARRETT, evaluation team leader • Mrs. Liliana LUCACIU, evaluation expert
<p>Agency for Regional Development West</p>	<ul style="list-style-type: none"> • Mr. Sorin MAXIM, General Director • Mrs. Liliana LUCACIU, evaluation expert



Annex 6: Focus groups on Administrative Capacity

Annex 6.A Focus group for Authorities on Administrative capacity

Participants to the Focus Group for evaluating the administrative capacity of the Authorities and beneficiaries of CSF funds, *organised with authorities of EU funds*, on 10th May 2013, at the Intercontinental Hotel, in Bucharest, Opera room



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Annex 6.B Focus group for Beneficiaries on Administrative capacity and electronic systems



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Participants to the Focus Group, for evaluating the administrative capacity of the Authorities and Beneficiaries of CSF funds, and the electronic systems for data exchange, organised with Beneficiaries of EU funds, on 10th May 2013, at the Intercontinental Hotel, in Bucharest, Simfonia room

Annex 7 Database with the Administrative Capacity of Authorities of CFS funds

Annex 7.A Quantitative indicators

Code Indicator	Measurement unit	Source of information	previous reference values	Recommended threshold if applicable	Value 05.2013										
			before may 2013		ALL SYSTEM	MEF coordinator	MA ROP	IBs ROP	MA SOP IEC	IBs SOP IEC	MA SOP E	IB SOP E	MA SOP T	MA HRD	IB SOP HRD
Resourcing indicators															
1	No of staff total (FTE)	no FTE person Year	administrative data												
2	Director / Manager	no FTE	administrative data												
3	Head of unit / middle managem.	no FTE	administrative data												
4	Desk officer / Administrator / Expert	no FTE	administrative data												
5	Assistant / Secretary	no FTE	administrative data												
6	No of staff total civil servants	no FTE	administrative data												
7	Director / Manager civil servants	no FTE	administrative data												
8	Head of unit / middle managem. civil servants	no FTE	administrative data												
9	Desk officer / Administrator / Expert civil servants	no FTE	administrative data												
10	Assistant / Secretary civil servants	no FTE	administrative data												
11	No of staff total contract based	no FTE	administrative data												
12	Director / Manager contract based	no FTE	administrative data												
13	Head of unit / middle managem. contract based	no FTE	administrative data												
14	Desk officer / Administrator / Expert contract based	no FTE	administrative data												
15	Assistant / Secretary contract based	no FTE	administrative data												
16	Turnover (for the last year) all categories	%	administrative data												
17	Director / Manager	%	administrative data												
18	Head of unit / middle managem.	%	administrative data												
19	Desk officer / Administrator / Expert	%	administrative data												

20	Assistant / Secretary	%	administrative data																
21	Vacancies all categories	no	administrative data																
22	Director / Manager	no	administrative data																
23	Head of unit / middle managem.	no	administrative data																
24	Desk officer / Administrator / Expert	no	administrative data																
25	Assistant / Secretary	no	administrative data																
26	New entries during the last year all	no	administrative data																
27	Director / Manager	no	administrative data																
28	Head of unit / middle managem.	no	administrative data																
29	Desk officer / Administrator / Expert	no	administrative data																
30	Assistant / Secretary	no	administrative data																
	Other administrative costs																		
31	Office space, internet , telephone, consumable, equipment, etc	Eur/year	administrative data																
32	Total administrative costs	Eur for all cycle	calculated	to be added															
33	Administrative costs/ million Eur allocated	EUR/mil EUR	calculated	to be added															
	Performance at individual level indicators		administrative data																
34	Good performers (assessments above standard, good and very good) to be considered with care	no	administrative data																
	Reward indicators																		
35	Average remuneration/gross salaries including bonuses and incentives (venituri brute) all categories	EUR/month	administrative data	N/A															
36	Director / Manager	EUR/month	administrative data	3127															
37	Head of unit / middle managem.	EUR/month	administrative data	2348															
38	Desk officer / Administrator / Expert	EUR/month	administrative data	1257															
39	Assistant / Secretary	EUR/month	administrative data	490															

40	Disparity Min: MAX ratio all categories	ratio	administrative data	1:2.9															
41	Director / Manager	ratio	administrative data																
42	Head of unit / middle managem.	ratio	administrative data																
43	Desk officer / Administrator / Expert	ratio	administrative data																
44	Assistant / Secretary	ratio	administrative data																
	Training indicators																		
45	Cost of training	RON/employee	administrative data																
46	Training days per person planned	days/person	administrative data																
47	Director / Manager	days/person	administrative data																
48	Head of unit / middle managem.	days/person	administrative data																
49	Desk officer / Administrator / Expert	days/person	administrative data																
50	Assistant / Secretary	days/person	administrative data																
51	Training days per persons delivered	days/person	administrative data																
52	Director / Manager	days/person	administrative data																
53	Head of unit / middle managem.	days/person	administrative data																
54	Desk officer / Administrator / Expert	days/person	administrative data																
55	Assistant / Secretary	days/person	administrative data																
56	Performance indicators at unit/organisation level																		
57	Total funds allocated (responsible for)	Euro/ RON	administrative data																
58	Total funds contracted	Euro/ RON	administrative data																
59	No of projects appraised	No	administrative data																
60	No of contracts signed	No	administrative data																
61	Total funds disbursed	Euro/ RON	administrative data																
62	No of projects completed	No	administrative data																
63	Total funds certified	Euro/ RON	administrative data																
64	Achieved against planned results and outputs	%	calculated																
65	Number of reimbursement claims approved by MA	No	administrative data																
66	out of which reimbursement claims found incorrect by higher levels of control	No	administrative data																

67	Number of complaints regarding the appraisal and selection against number of projects appraised	No	administrative data																	
68	<i>Rate of complaints in the process of appraisal</i>	%	<i>calculated</i>																	
69	Number of irregularities in the procurement process identified by higher levels of control	No	administrative data																	
69	<i>Rate of irregularities not prevented/detected</i>	%	<i>calculated</i>																	
	<i>other indicators have to be identified in order to reflect the areas of performance to be improved</i>																			
	Performance indicators specific for IBs																			
65	Number of reimbursement claims approved by IB	no	administrative data																	
66	out of which reimbursement claims rejected by MA as non compliant	no	administrative data																	
67	<i>Rate of rejection of reimbursement claims</i>	%	<i>calculated</i>																	
68	Number of contracts prepared by Ibs submitted to MA in the contractual phase	no	administrative data																	
69	out of which contracts rejected by MA in the precontractual phase	no	administrative data																	
	<i>Rate of rejection of contracts</i>	%	<i>calculated</i>																	
70	Number of addenda to contracts prepared by Ibs submitted to MA in the contractual phase	no	administrative data																	
71	out of which addenda to contracts rejected by MA in the precontractual phase	no	administrative data																	
	<i>Rate of rejection of addenda to contracts</i>	%	<i>calculated</i>																	
72	Number of projects proposals appraised	no	administrative data																	
73	Number of complaints	no	administrative data																	
74	<i>Rate of complaints of the projects appraised</i>	%	<i>calculated</i>																	
75	Number of processes stopped and redone from a previous phase - due to an error committed by IB, incorrect	no	administrative data																	

	procedure, or missing information or erronated communication to MA																			
76	Number of procurement processes verified	no	administrative data																	
77	Number of procurement procedures with irregularities identified by other control levels	no	administrative data																	
78	Rate of error of the procurement process verification	%	calculated																	
76	Number of notification from MA regarding SMIS inputs errors committed by IB	no	administrative data																	
	Indicators to be calculated using the inputs in the database																			
77	No of staff per million Euro allocated (relevant by OP)	person year/mil EUR	calculated																	
78	No of staff per million Euro contracted	person year/contract	calculated																	
79	Administrative cost (staff and TA) by million Euro contracted	EUR/mil EUR contracted	calculated																	
80	No of staff percontract completed	peson year/contract	calculated																	
81	Administrative cost (staff and TA) per contract completed	EUR/contract	calculated																	
82	No of staff per million Euro disbursed	person year/mil EUR disbursed	calculated																	
83	Administrative cost (staff and TA) by million Euro disbursed	EUR/mil EUR disbursed	calculated																	
84	Total staff workload (person years)	person years																		



85	Total staff costs	EUR																	
86	Total TA costs	EUR																	
87	Total administrative costs (non staff non TA)	EUR																	

Code	Indicator	Measurement unit	Source of information	previous reference values		Value 05.2013													
				before may 2013	Recommended threshold if applicable	MA ACD	MA OPTA	MA RO BG	MA RO SRB	MA Black Sea	NRDP	PARD F	PAIA	FOP	coordinating body PAIA PARDF	AA	ACP		
	Resourcing indicators																		
1	No of staff total (FTE)	no FTE person Year	administrative data																
2	Director / Manager	no FTE	administrative data																
3	Head of unit / middle managem.	no FTE	administrative data																
4	Desk officer / Administrator / Expert	no FTE	administrative data																
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15	Assistant / Secretary contract based	no FTE	administrative data																
16	Turnover (for the last year) all categories	%	administrative data																
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21	Vacancies all categories	no	administrative data																

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29	Desk officer / Administrator / Expert	no	administrative data																	
30	Assistant / Secretary	no	administrative data																	
	Other administrative costs																			
31	Office space, internet , telephone, consumable, equipment, etc	Eur/year	administrative data																	
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34	Good performers (assessments above standard, good and very good) to be considered with care	no	administrative data																	
	Reward indicators																			
35	Average remuneration/gross salaries including bonuses and incentives (venituri brute) all categories	EUR/month	administrative data	N/A																
36	Director / Manager	EUR/month	administrative data	3127																
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38	Desk officer / Administrator / Expert	EUR/month	administrative data	1257																
39	Assistant / Secretary	EUR/month	administrative data	490																
40	Disparity Min: MAX ratio all categories	ratio	administrative data	1:2.9																
41	Director / Manager	ratio	administrative data																	

68	Rate of complaints in the process of appraisal	%	calculated																
69	Number of irregularities in the procurement process identified by higher levels of control	No	administrative data																
69	Rate of irregularities not prevented/detected	%	calculated																
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65	Number of reimbursement claims approved by IB	no	administrative data																
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67	Rate of rejection of reimbursement claims	%	calculated																
68	Number of contracts prepared by Ibs submitted to MA in the contractual phase	no	administrative data																
69	out of which contracts rejected by MA in the precontractual phase	no	administrative data																
	Rate of rejection of contracts	%	calculated																
70	Number of addenda to contracts prepared by Ibs submitted to MA in the contractual phase	no	administrative data																
71	out of which addenda to contracts rejected by MA in the precontractual phase	no	administrative data																
	Rate of rejection of addenda to contracts	%	calculated																
72	Number of projects proposals appraised	no	administrative data																
73	Number of complaints	no	administrative data																
74	Rate of complaints of the projects appraised	%	calculated																
75	Number of processes stopped and redone from a previous phase - due to an error committed by IB, incorrect procedure, or missing information or erronated communication to MA	no	administrative data																

76	Number of procurement processes verified	no	administrative data																	
77	Number of procurement procedures with irregularities identified by other control levels	no	administrative data																	
78	Rate of error of the procurement process verification	%	calculated																	
76	Number of notification from MA regarding SMIS inputs errors committed by IB	no	administrative data																	
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77	No of staff per million Euro allocated (relevant by OP)	person year/mil EUR	calculated																	
78	No of staff per million Euro contracted	person year/contract	calculated																	
79	Administrative cost (staff and TA) by million Euro contracted	EUR/mil EUR contracted	calculated																	
80	No of staff percontract completed	peson year/contract	calculated																	
81	Administrative cost (staff and TA) per contract completed	EUR/contract	calculated																	
82	No of staff per million Euro disbursed	person year/mil EUR disbursed	calculated																	
83	Administrative cost (staff and TA) by million Euro disbursed	EUR/mil EUR disbursed	calculated																	
84	Total staff workload (person years)	person years																		
85	Total staff costs	EUR																		
86	Total TA costs	EUR																		



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Instrumente Structurale
2007-2013

87	Total administrative costs (non staff non TA)	EUR										
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23	Positive opinion regarding the training plans effectiveness: they are implemented and effective, ensuring improvements	Yes/No/ Yes*/ Largely no	Survey (Q24) Interviews Focus group	Effective implementation of the training plans	YES*	66,7%	80%	25%	100%	85,7%	0%	0%	25%	100%	0%	100%	100%	100%	0%	100%	75%	100%
24	Effectiveness of the training plan – above satisfactory (evaluation of the training on an annual basis to be considered)	Yes/No/ Yes*/ Largely no	Training function/plan annual evaluation	Effective implementation of the training plans	Available based on annual evaluations																	
25	Staff performance is satisfactory, or higher	Yes/No/ Yes*/ Largely no	Survey (Q25) Interviews Focus group	Staff performance in MAs and IBs is adequate	Largely no	<90%	< 90%	<90%	< 90%	<90%	0%	70-89%	<90%	<90%	Not available	<90%	<90%	<90%	Is not reflected	70-89%	<90%	<90%
26	Positive opinions regarding competitiveness of the reward system	Yes/No/ Yes*/ Largely no	Survey (Q18) Focus group Interviews Previous evaluations	Competitive and fair reward system	Largely no	100%	100%	50%	0%	43%	0%	100%	63%	100%	0%	0%	0%	0%	100%	20%	0%	
27	Positive opinion about fairness of the reward system	Yes/No/ Yes*/ Largely no	Survey (Q17,18) Focus group Interviews Previous evaluations		NO	66,6%	80%	50%	100%	0%	0%	0%	12,5%	100%	0%	0%	0%	0%	0%	100%	40%	0%
28	Positive opinion of staff regarding the managers skills and practice; percentage of answers confirming need to improve	Yes/No/ Yes*/ Largely no	Survey (Q13) Focus group Interviews management effectiveness assessments recommended	Managerial capacity is adequate	Largely no	33,3%	60%	50%	100%	57,1%	50%	100%	22,2%	100%	100%	0%	0%	0%	100%	0%	20%	0%
29	Concrete measures to transfer relevant experience (more than 50% positive opinions)	Yes/No/ Yes*/ Largely no	Survey (Q28) Focus group Interviews	Previous experience acquired in previous EU projects is transferred into next programming cycle)	YES*	66,6%	75%	25%	0%	28,5%	0%	0%	55,5%	0%	0%	100%	100%	100%	0%	0%	40%	0%
30	Availability of administrative capacity assessments in the OP ex-ante evaluations or other evaluations and studies	Yes/No/ Yes*/ Largely no	Documentary analysis Interviews Focus groups	Performed assessment of the relevant institutions administrative capacity for each OP	NO																	
31	Systems and tools																					



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