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Instrumente Structurale
2007 - 2013

Ministry of European Funds

**Framework agreement for the evaluation of structural instruments
during the period 2011-2015**

Lot 1 – Evaluation, Subsequent contract no. 5/23/07.03.2013

***"Ex-Ante evaluation of the Partnership Agreement 2014-
2020"***

**Evaluation Report on the administrative
capacity of the beneficiaries and authorities
of CSF funds**

ANNEXES

30 August 2013

Document information

Date: 30 August 013
Version: 2.0
Status (draft/pending endorsement/approved): pending endorsement

Document modification Log

Version	Date	Contents of modification
1.0	13.05.2013	Draft
2.0	30.08.2013	pending endorsement

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Evaluation Report on the administrative capacity of the beneficiaries and authorities of CSF funds

The current situation

First report - ANNEXES

Client: Ministry of European Funds, Romania

Bucharest, 30 August 2013



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Instrumente Structurale
2007 - 2013

Table of contents

Annex 1 – Documents consulted during the desk research activity regarding the administrative capacity of the Authorities and the Beneficiaries	5
Annex 2 - Checklists for administrative capacity (Question II)	8
Annex 2.A Checklist for Question II - Administrative Capacity of the Authorities	8
Annex 2.B Checklist for Question II – Administrative Capacity of the Beneficiaries	32
Annex 3 - Questionnaires - Survey Authorities and Survey Beneficiaries	41
Annex 3.A - Online questionnaire for Authorities	41
Annex 3.B - Online questionnaire for Beneficiaries	49
Annex 4 – Summaries of the survey results	56
Annex 4.A – Summary of the survey results on administrative capacity of the authorities	56
Annex 4.B – Summary of the survey results on administrative capacity of the beneficiaries	79
Annex 5 – Interviews with Authorities on the evaluation of administrative capacity of Authorities and Beneficiaries of CSF funds	87
Annex 6: Focus groups on Administrative Capacity	88
Annex 6.A Focus group for Authorities on Administrative capacity	88
Annex 6.B Focus group for Beneficiaries on Administrative capacity and electronic systems	91
Annex 7 Database with the Administrative Capacity of Authorities of CFS funds	94
Annex 7.A Quantitative indicators	94
Annex7.B Qualitative indicators	104



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GUVERNUL ROMÂNIEI



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

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Title
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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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MEF, 2013, Situation of the blockages and measures , June 2013
ACIS, 2011, Monitoring of the Priorities Measures Plan
MEF, 2012, Minuta CM POS CCE 18.10.2012
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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 ¹)/ 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

¹ (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 ¹)/ 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 programing 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 ¹)/ 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 MAs² 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 improvement 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 administration⁵.</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. FLAG⁶ and LAG⁷)</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 MAs; 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 an external organisation based on a delegation contract is</p>

² In case of NRDP the coordinating body over the paying agencies

⁵ Commission Working Staff Document Assessment of the 2013 national reform programme and convergence programme for ROMANIA

⁶ Fisheries Local Action Groups

⁷ 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 ¹)/ 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). ³ Significant difficulties are highlighted in audit reports, evaluation reports regarding the inter-institutional cooperation within the SIS ⁴		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) ⁸

³ Monitoring paper of the Priority Measures Plan at 30 June 2011

⁴ Structural Instruments System

⁸ 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 ¹)/ 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 ¹)/ 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 ¹)/ 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 ¹)/ 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 ¹)/ 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 ⁹	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

⁹ 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 ¹)/ 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 90% 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 ¹)/ 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 ¹)/ 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 ¹)/ 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 ¹⁰ , 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

¹⁰ 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 ¹)/ 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 ¹¹)/ 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 ¹¹ :	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

¹¹ 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 ¹)/ 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 ¹⁾ / 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. ¹² 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 ¹³	<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>

¹² Result indicator pilot report post 2014, DG Regio, 2012

¹³ 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 ¹⁴)/ 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 ¹⁴ 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

¹⁴ 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 ¹)/ 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 ¹)/ 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%) ¹⁵	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

¹⁵ 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 ¹⁾ / 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 ¹⁶ , and NARPP. The mechanisms for preventing conflict of interests difficult to be implemented ¹⁷	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	

¹⁶ National Council for Resolution of Complaints

¹⁷ 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 ¹)/ 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 ¹⁸	

¹⁸ 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 ¹)/ 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 ¹⁹	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 ²⁰ . Low effectiveness and efficiency of the whole public administration system including focused on process rather than results, ineffective HR policies ²¹ ...

¹⁹ 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#

²⁰ Romania Functional Review, Center of Government, World Bank, 2010

²¹ 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 ¹)/ 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 ²² Analyses available indicate corruption is a key issue in Romania [will quote]

²² 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 ²³ 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 ²⁴ 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.

²³ 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

²⁴ 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 relevance²⁵. 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	75% of the respondents indicate a need for more experienced project managers out of which: 26.5% mention this is a significant need. 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.
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

²⁵ 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%);²⁶</p> <p>The capacity in the regions²⁶ 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. More detailed analysis is needed at sectoral level on the capacity for implementation of projects pipelines, including provision of TA support.²⁷</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>

²⁶ Evaluation of the administrative capacity of the regions, 2011, Ministry of Regional Development and Tourism.

²⁷ 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 ²⁸ : 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

²⁸ 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. ²⁹
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>

²⁹ 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). 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</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 Audit³⁰ 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>

³⁰ Annual Report 2011

Annex 3 - Questionnaires - Survey Authorities and Survey Beneficiaries

Annex 3.A - Online questionnaire for Authorities

1. Please, specify the type of Authority that your organisation represents

- Ministry for European Funds
- Managing Authority
- Interim Body / Regional Interim Body
- Certifying Authority
- Audit Authority
- Other, please, specify

2. Please, specify the operational programme that your organisation is managing / working with

- ROP
- SOP IEC
- SOP Environment
- SOP Transport
- SOP HRD
- OP ACD
- OPTA
- NPRD
- OP Fischery
- CBC RO-BG
- CBC RO-RS
- CBC RO-UA-MD
- CBC Black Sea Basin
- Other, please, specify

3. Does your organisation participate in the Inter-ministerial Committee for the Partnership Agreement?

- Yes
- No
- Don't know

4- 7. On a scale from 1 ("poor") to 4 ("excellent") how would you rate?

	1 (poor)	2	3	4 (excellent)	5 We did not receive information	Don't know / Not applicable
4 The information that was given to you in the process of development of the Partnership Agreement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. The opportunities that are given to your organisation to take part in the development of the Partnership agreement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

6 The taking into account of your organisation's opinion on the development of the Partnership agreement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
7. The level to which the interests of your organisation are (or are expected to be) addressed in the PA	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y

8. How would you distribute the budget envisaged in the Partnership agreement between the following 11 thematic objectives (please, distribute 100 budget units, you can also leave some of the thematic objectives blank):

	Strengthening research, technological development and innovation
	Enhancing access to and, use and quality of information and communication technologies
	Enhancing the competitiveness of SMEs, the agricultural sector (for the EAFRD) and the fisheries and aquaculture sector (for the EMFF)
	Supporting the shift towards a low-carbon economy in all sectors
	Promoting climate change adaptation and risk prevention and Management
	Protecting the environment and promoting resource efficiency
	Promoting sustainable transport and removing bottlenecks in key network infrastructures
	Promoting employment and supporting labour mobility
	Promoting social inclusion and combating poverty
	Investing in education, skills and lifelong learning
	Enhancing institutional capacity and ensuring an efficient public Administration
100	

9. Please, specify with reference to your own OP whether, in your opinion, beneficiaries faced difficulties in the application process (you can select more than one answer)

- Beneficiaries did not face difficulties in the application process
- Difficulties with several sections of the Application form
- Difficulties with the budget that was included in their applications
- Difficulties in developing the indicators included in the Application form
- Difficulties in preparing the supporting documents for the project/s application
- Others, please, specify
.....
- Don't know / Not applicable

10. With reference to your OP, do beneficiaries face problems during the implementation of the project/s in any of the fields below (you can select more than one answer, based on your experience):

- Ambiguities in the reporting documents (e.g. progress reports)
- Payment procedures
- Financial management and reporting
- Tendering
- Monitoring and reporting of the indicators
- Coordination with the project partners (if applicable for your project)
- Coordination and control over the contractors and sub-contractors (if applicable for your project)
- Archiving
- Information and publicity requirements
- Beneficiaries do not face any problems during project implementation
- Other, please, specify
.....

11. How would you rate the following needs in your organisation as concerns programme preparation?

	1 Badly needed	2 Needed	3 There are opportunities for improvement	4 Not needed	Don't know / Not applicable
More staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Better qualification of the staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Trainings of the staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Better procedures, manuals, guidance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Better structure of the PA/OP management (directorates/units)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Other, please, specify	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y

12. How would you rate the following needs in your organisation as concerns programme implementation?

	1 Badly needed	2 Needed	3 There are opportunities for improvement	4 Not needed	Don't know / Not applicable
More staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Better qualification of the staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Trainings of the staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Better procedures, manuals, guidance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Better structure of the PA/OP management (directorates/units)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Better working conditions (office equipment and premises)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Other, please, specify	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y

13. Which do you think are the key competencies that need to be strengthened in your organisation for a more effective implementation of the PA and Ops (you can specify more than one answer):

- Better knowledge of the European and national legislature, strategies, and policies
- Better knowledge and skills in the field of financial management and control
- Better organisational and management skills of the staff
- Better technical skills (language, software applications)
- Better skills in public procurement
- Don't know
- Others, please, specify
.....

14. Did any of the following changes occur in your in structure during the last year?

- Transferring of your structure from one institution to another
- Transferring of your structure from one department to another within the same institution
- Significant internal restructuring

- Nothing changed
- Others, please, specify
.....

15. Do you think that the work conditions in your organisation need to be improved in the following fields:

	1 Badly needed	2 Needed	3 There are opportunities for improvement	4 Not needed	Don't know / Not applicable
Office equipment - hardware, office machines, etc.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Software applications	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Office premises	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Archiving	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Other, please, specify	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y

16. What are the main staff needs in your organisation (you can specify more than one answer):

- Management team
- Staff with experience in management and implementation of programmes and projects
- Staff in specific fields – infrastructure, transport, waters, etc.
- Don't know
- Others, please, specify
.....

17. Do you think that the HR policy and practice in your organisation needs to be improved in the following fields:

	1 Badly needed	2 Needed	3 There are opportunities for improvement	4 Not needed	Don't know / Not applicable
Wages	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Performance management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Career development opportunities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Bonuses/encouragement for obtaining good results	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Trainings	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y

Other, please, specify	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
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18. Do you think the reward system in your institution is adequate? Please provide your opinion on the following elements:

	1 No	2 Largely no	3 Largely yes	4 Yes	Don't know / Not applicable
The reward system could attract professionals into the system, corresponding to the expected level of expertise?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Is the rewarding system perceived as clear?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Is the rewarding system perceived as fair?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
The reward system could assure the retention of the staff?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Other, please, specify	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y

19. Do you think the resourcing in your institution is adequate?

	1 No	2 Largely no	3 Largely yes	4 Yes	Don't know / Not applicable
Is the staff turnover manageable within your institution?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Does the staff turnover affect the performance of the institution?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Does your institution have a HR assessment?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Is there an up-to-date workload analysis done for your institution?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
If your institution will continue to be MA for a new OP 2014-2020, could you tell us if there is a plan done to assure the needed, competent staff for the new structure?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Other, please, specify	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y

20. Could you appreciate the level of staff turnover within your institution in 2012?:

- Less than 5%
- Between 6 – 10%
- Between 11 – 20%
- Between 21-40%
- Over 41%
- Don't know
- Others, please, specify
.....

21. Did you experienced changes in the last year at senior management level?

- General Directors
- Executive Directors



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- Deputy Directors
- No changes occurred
- Don't know

22. Could you assess the extent of vacancies in total staff in your institution?

- Vacancies are below 5%
- Vacancies are between 6 – 10%
- Vacancies are between 11 – 20%
- Over 21%
- Don't know
- Others, please, specify

.....

23. How would you characterize the training planning in your institution?

- Annual training plans available
- No training plans available but open to accept training offers received
- No training plans available
- Don't know
- Others, please, specify

.....

24. How would you characterize the effective implementation of the training plans in your institution?

- Training plans are largely implemented and brings/improved the staff's competencies
- Training plans are largely implemented with poor improvements of the staff competencies
- Training plans are modestly implemented with poor/no improvements of the staff competencies
- Training plans are not implemented
- Don't know
- Others, please, specify

.....

25. Do you think the staff performance is adequate within your institution? Choose one option below:

- Over 90% of the yearly performance appraisal results show that staff performance is satisfactory or higher
- Between 70 - 89% of the yearly performance appraisal results show that staff performance is satisfactory or higher
- Between 50 - 69% of the yearly performance appraisal results show that staff performance is satisfactory or higher competencies
- The performance appraisal results does not reflect accurately the real individual performance
- Don't know
- Others, please, specify

.....

26. How would you rate the availability of expertise in critical/ specific areas (public procurements, state aid, environment and regulations, internal audit, risk management, monitoring and evaluation, etc.) within your institution?

	Good	Largely good	Largely poor	Poor	Don't know / Not applicable
The coverage of the critical areas	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Expertise availability	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Quality of the expertize	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Other, please, specify	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y

27. Could you tell us what is the source of the expertize utilized within your institution for the below mentioned critical/ specific areas (public procurements, state aid, environment and regulations, internal audit, risk management, monitoring and evaluation, etc.) within your institution?

	public procurements	state aid	environment and regulations	internal audit	risk management	monitoring and evaluation
Internal						
Technical Assistance						
Outsourced						
Does not exist						
Other, please, specify						

28. Do you think the previous experience of your institution, acquired in 2007-2013 period is useful/valORIZED for programming the next period, 2014-2020?

	1 No	2 Largely no	3 Largely yes	4 Yes	Don't know / Not applicable
Is your institution experience relevant for next period?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
If your institution will have a role in implementing the new OPs, have been an estimated workload done and a transition plan from the current responsibilities to the new expected ones after 2014?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Other, please, specify	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y

29. What is your opinion regarding the processess and tools specific for your institution?

	1 No	2 Largely no	3 Largely yes	4 Yes	Don't know / Not applicable
Are you aware of the existence of a structure empowered to offer guidance for the new MAs/IBs/RIBs to implement the new OPs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Did you receive guidelines, materials for preparing the new OPs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Did you receive guidelines, materials regarding to new MAs/IBs/RIBs structures?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Does your MA structure include a programming unit?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Do you consider the roles and responsibilities are clearly defined within in your institution, with regard to your OP	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Are arrangements for delegation of tasks established within your institution?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Could you appreciate if there is consensus among stakeholders regarding delegation of tasks within your institution?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Is there a positive assessment of the Indicators system in the last evaluation reports/AIRs/ex-ante evaluations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Are you considering there is a full utilization of electronic systems for data exchanged at present?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Are the arrangements on payment flows, expenditure forecasting and certification of payments systems in place?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Are there documented audit trails for all activities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Do you maintain a risk record book?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Is the audit system in place?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Other, please, specify	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y

30. What is your opinion about the following horizontal capacity factors mentioned below?

	1 No	2 Largely no	3 Largely yes	4 Yes	Don't know / Not applicable
Are efficient and good the existing working relations between ministries concerned?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Appointments and promotion are based on competency and merit?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
The performance management system is transparent and effective?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Is there a clear separation of functions?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Is there in place a clear definition of management responsibilities and accountability?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Is there a code of conduct that includes ethical behaviour in place within your institution?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Other, please, specify	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y



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2007 - 2013

Annex 3.B - Online questionnaire for Beneficiaries

1. Please, specify the type of organization you represent (only one option can be choose)

- Local public administration
- Central public administration
- Other public institutions that do not fall into the above mentioned categories
- Research Institute
- University
- NGO
- Trade union
- Chamber of commerce and other business association
- SME (without microenterprises)
- Micro-enterprise
- Large Enterprise
- Individual producers in agriculture / fishery
- Public companies (e.g. regional water operators)
- Other (please, specify)

2. Please, specify the operational programme under which you implemented, or you are still implementing, your project/s

- POR
- SOP IEC
- SOP Environment
- SOP Transport
- SOP HRD
- OP ACD
- OPTA
- NPRDA
- OPF
- CBC RO-BG
- CBC RO-RS
- CBC RO-UA-MD
- CBC Black Sea Basin

3. What is your project/s status? When was your project/s completed (several options are possible)

- Recently started
- In implementation
- Completed less than 3 years
- Completed more than 3 years
- Other, please, specify

4. What was your role in the project/s?

- Project manager
- Expert
- Other, please, specify

5. Please, specify whether your organisation faced difficulties in the application process (you can select more than one answer)

- We did not face difficulties in the application process
 - We had difficulties with several sections of the Application form
 - We had difficulties with the budget that was included in your application
 - We had difficulties in developing the indicators included in the Application form
 - We had difficulties in preparing the supporting documents for the project/s application
 - I do not know
 - Others, please, specify
-

6. Did you face problems during the implementation of the project/s in any of the fields below (you can select more than one answer)

- Ambiguities in the reporting documents (e.g. progress reports)
 - Payment procedures
 - Financial management and reporting
 - Tendering
 - Monitoring and reporting of the indicators
 - Coordination with the project partners (if applicable for your project)
 - Coordination and control over the contractors and sub-contractors (if applicable for your project)
 - Archiving
 - Information and publicity requirements
 - We did not face any problems during project implementation
 - Other, please, specify
-

7. On a scale from 1 ("poor") to 4 ("excellent") how would you rate your cooperation with the Managing authority and/or Intermediate body (in case you implemented projects under different Operational programmes, please, provide your answers only for the most recent project):

	1 (poor)	2	3	4 (excellent)	Don't know / Not applicable
During project identification	☐	☐	☐	☐	Y
During project preparation	☐	☐	☐	☐	Y
During project implementation	☐	☐1	☐	☐	Y

8. How would you rate the following needs in your organisation as concerns the preparation of project proposals?

	1 Badly needed	2 Needed	3 There are opportunities for improvement	4 Not needed	Don't know / Not applicable
More staff	☐	☐	☐	☐	Y
Better staff competencies	☐	☐	☐	☐	Y
Trainings of the staff	☐	☐	☐	☐	Y
More guidance from the Managing Authority/Intermediate body	☐	☐	☐	☐	Y

Other, please, specify	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
--	--------------------------	--------------------------	--------------------------	--------------------------	--------------------------

9. How would you rate the following needs in your organisation as concerns the project/s implementation?

	1 Badly needed	2 Needed	3 There are opportunities for improvement	4 Not needed	Don't know / Not applicable
Experienced project managers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
More staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
More competent staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trainings of the staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
More guidance from the Managing Authority/Intermediate body	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other, please, specify	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

10. On a scale from 1 ("poor") to 4 ("excellent") how would you rate the project management integration in the organisation management?

	1 (poor)	2	3	4 (excellent)	Don't know / Not applicable
Involvement of top management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Interdisciplinary teams were created	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Others, please, specify and add more rows if needed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

11. Do you think the resourcing in your institution is adequate?

	1 No	2 Largely no	3 Largely yes	4 Yes	Don't know / Not applicable
Did the staff turnover affect the performance of your institution in implementing a project?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other, please, specify	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

12. Do you think the competences available in your institution are adequate for drafting and implementing projects?

	1 No	2 Largely no	3 Largely yes	4 Yes	Outsourced	Don't know / Not applicable
Application forms preparation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Y
Public procurement	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Y
Financial management and implementation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Y
Project monitoring and reporting	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Y
Information and publicity of EU support	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Y
Specific project/s competencies (e.g. technical competences, financial engineering)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Y
Other, please, specify	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		Y

13. On a scale from 1 ("poor") to 4 ("excellent") how would you rate the consultancy/outsourced services you can address on the market?

	1 (poor)	2	3	4 (excellent)	Don't know / Not applicable
Availability	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Adequacy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Value for money	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Others, please, specify and add more rows	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y

14. On a scale from 1 ("poor") to 4 ("excellent") how would you rate your capacity to mobilise financial resources?

	1 (poor)	2	3	4 (excellent)	Don't know / Not applicable
Existence of sufficient internal financial resources to ensure a proper preparation of mature projects pipeline	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Existence of sufficient internal financial resources to ensure co-financing and the implementation cash flows	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Access to credit for co-financing or assuring the project cash flow	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Access to bank guarantees	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Pre-financing is adequate and accessible for my type of beneficiary	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Others, please, specify and add more rows	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y

15. Do you think the following horizontal issues could affect/affected your capacity as beneficiary?

	1 No	2 Largely no	3 Largely yes	4 Yes	Don't know / Not applicable
VAT reimbursements quick and easy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Civil service effectiveness	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Public administration effectiveness	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Clarity and consistency of the procedures applicable for the entire period of preparation and implementation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
The transparency of selection and award process	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
The risks of corruption were addressed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y
Other, please, specify	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Y

16. Which of the following electronic systems is used in relation to the authorities responsible for the management and control of EU funded programs?

- SMIS
 - ActionWeb
 - ES for uploading the Financial Requests for SOP IEC - Axys 1
 - ES for uploading the Financial Requests for SOP IEC - Axys 2
 - ES for uploading the Financial Requests for SOP IEC - Axys 3
 - MIS for RDNP
 - MIS for OPF
 - MIS for CBC RO-BG
 - MIS for CBC RO-SR
 - MIS for CBC RO-UA-MD
 - MIS for CBC Black Sea Basin
 - SIMPOSDRU
 - There aren't ES to be used in the relationship with authorities
 - I don't use any ES in the relationship with authorities even there is one available
 - Other, please, specify
-

17. How easy is to use "[Q16]"?

1 Very difficult to use	2 Difficult to use	3 Average difficulty	4 Relatively easy to use	5 Very easy to use	Not applicable
?	?	?	?	?	?

18. How do you estimate the time needed for your tasks using "[Q16]" compared to the time that would be necessary to fulfil the same task without using the electronic system?

It takes much less using the ES	It takes less using the ES	There is no significant difference	It takes much more using the ES	It takes more using the ES	Not applicable
?	?	?	?	?	?

19. How useful do you think is "[Q16]"?

1 completely useless	2 relatively difficult	3 average difficulty	4 easy	5 very easy	Not applicable
?	?	?	?	?	?

20. How easily found in "[Q16]" data you need?

1 Very difficult	2 Relatively difficult	3 Average difficulty	4 Easy	5 Very easy	Not applicable
?	?	?	?	?	?

21. How often have you encountered a significant failure of the system, which prevents its use appropriate?




1 Very often	2 Quite often	3 average frequenting	4 Relatively rare	5 very rare	Not applicable
?	?	?	?	?	?

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: [Create Chart](#) [Download](#)

	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: [Create Chart](#) [Download](#)

	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 ("excelent"), 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
Sprrijinirea 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)	3.16	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)	3.66	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)

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		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 pogramului? [Create Chart](#) [Download](#)

	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) Show Responses			2
				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) Show Responses			5
			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):

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	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?

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	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% (6)	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





20. Care a fost nivelul fluctuației de personal în organizația dvs. în anul 2012? [Create Chart](#) [Download](#)

		Response Percent	Response Count
Mai mic de 5%		34.8%	16
Între 6 - 10 %		28.3%	13
Între 11 - 20 %		13.0%	6
Între 21 - 40 %		13.0%	6
Peste 41 %		2.2%	1
Nu știu		8.7%	4
Altele (vă rugăm să precizați) Show Responses			3
answered question			46
skipped question			1



21. În ultimul an au existat în organizația dvs. schimbări la nivelul managementului superior? [Create Chart](#) [Download](#)

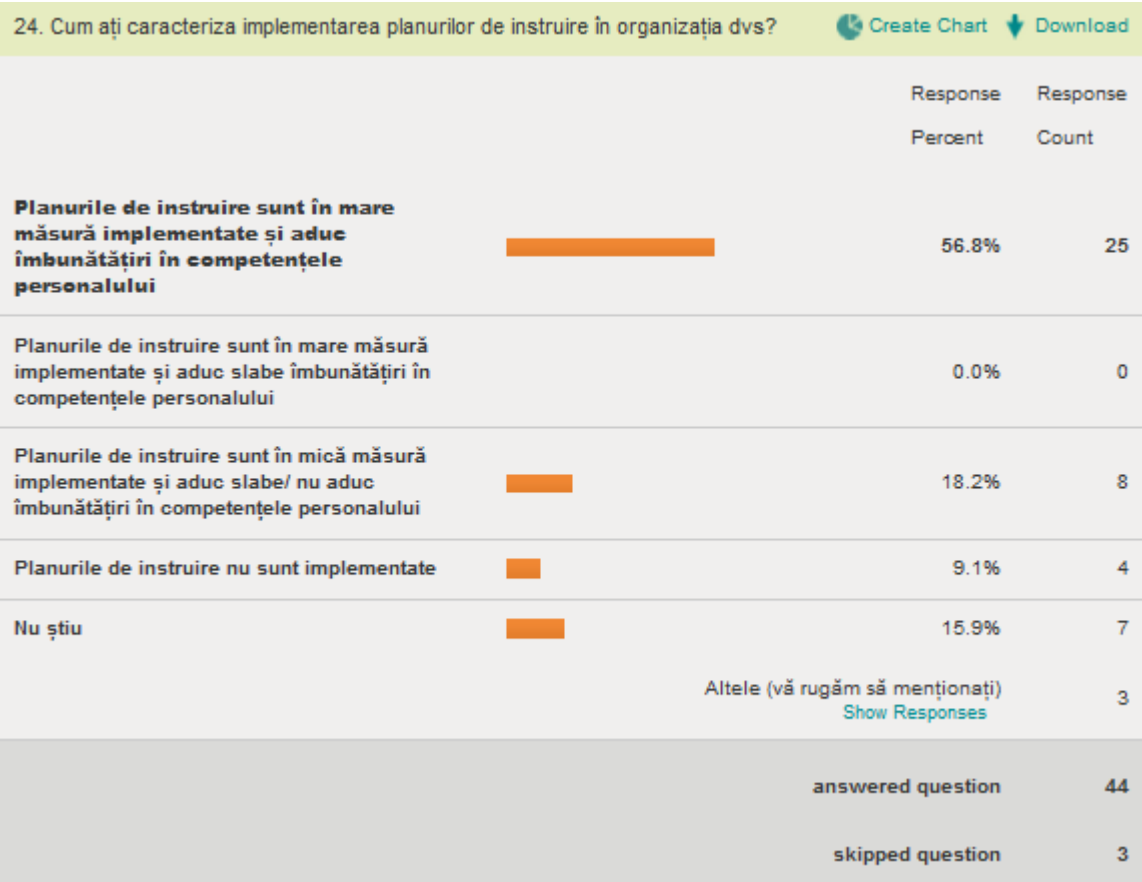
		Response Percent	Response Count
La nivel de director general		48.9%	22
La nivel de director executiv		31.1%	14
La nivel de director adjunct		35.6%	16
Nu știu		0.0%	0
Nu au existat schimbări		20.0%	9
answered question			45
skipped question			2

22. Puteți să apreciați cât reprezintă posturile vacante în structura organizației dvs? [Create Chart](#) [Download](#)

		Response Percent	Response Count
Sub 5%		39.5%	17
Între 6 - 10 %		27.9%	12
Între 11 - 20 %		18.3%	7
Peste 21%		2.3%	1
Nu știu		14.0%	6
Altele (vă rugăm să menționați) Show Responses			3
answered question			43
skipped question			4





23. Care este opinia dvs. asupra planurilor de instruire din organizația dvs? [Create Chart](#) [Download](#)

		Response Percent	Response Count
Există planuri anuale de instruire		80.0%	36
Nu există planuri de instruire dar este deschidere față de ofertele de training primite		15.6%	7
Nu există planuri de instruire		2.2%	1
Nu știu		2.2%	1
Altele (vă rugăm să menționați) Show Responses			2
answered question			45
skipped question			2



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

[Create Chart](#) [Download](#)

	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% (6)	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).

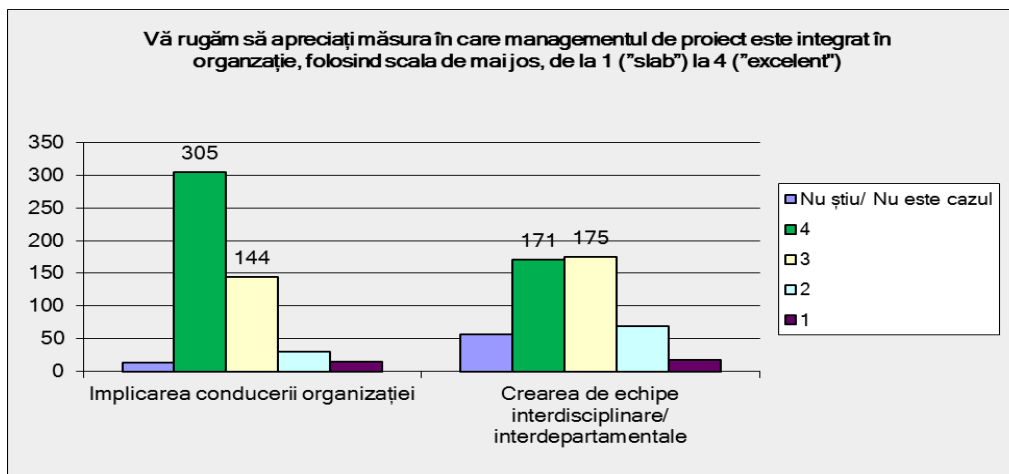
In order to answer to the second part of the evaluation question QII - regarding the administrative capacity of authorities and beneficiaries, "Is the beneficiaries' administrative capacity sufficient for an appropriate implementation of CSF funds?", were used for analyses all the factors and criteria included into the checklist 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.

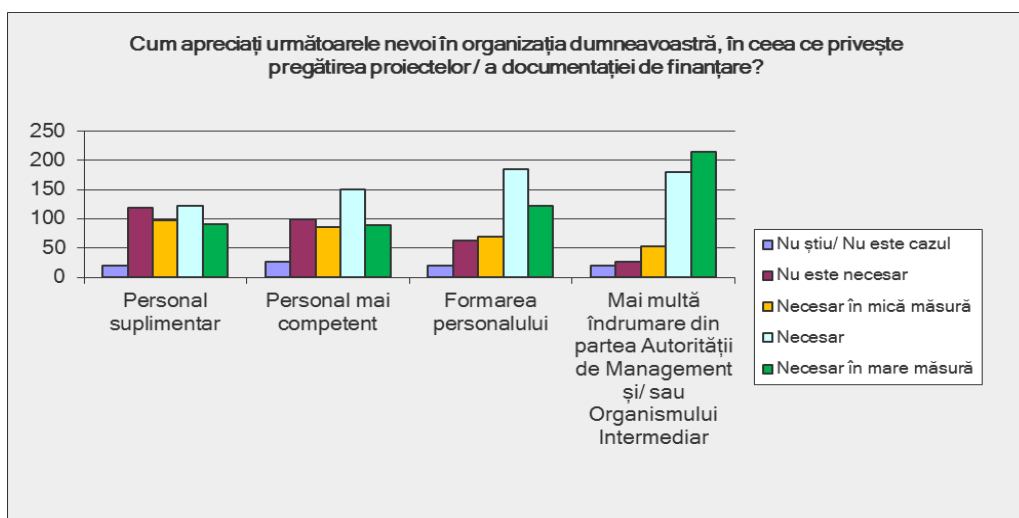
Areas of expertise subject of questionnaire were: Public procurements, Financial management, Monitoring and Reporting, Information and publicity of EU support, Technical expertise.

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



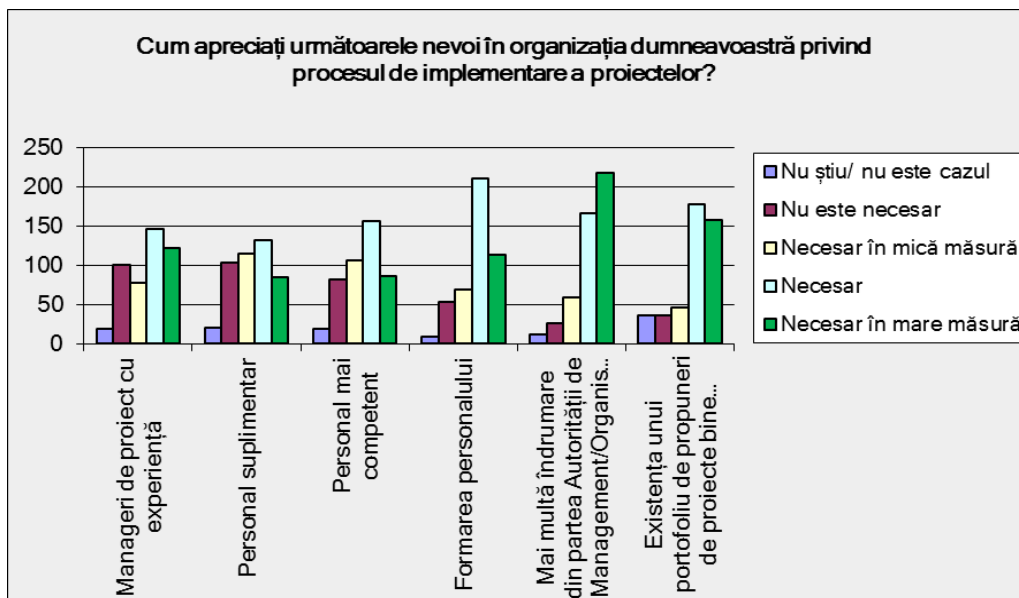
3. Availability of experienced project managers

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:

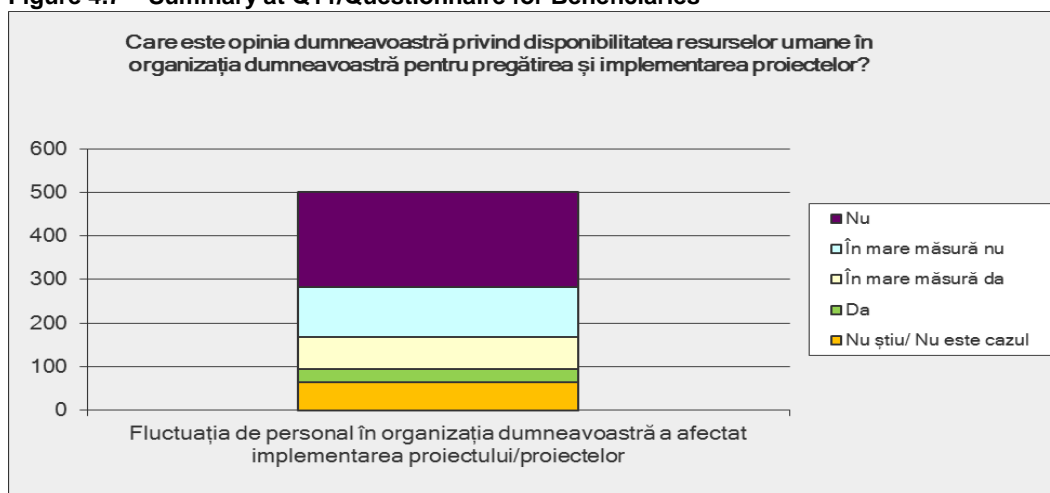
- For projects preparation around 47.3% needs for more staff and 53% needs for more competent staff;
- For projects implementation: 47.6% needs for more staff and 53.9% needs for more competent staff.

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

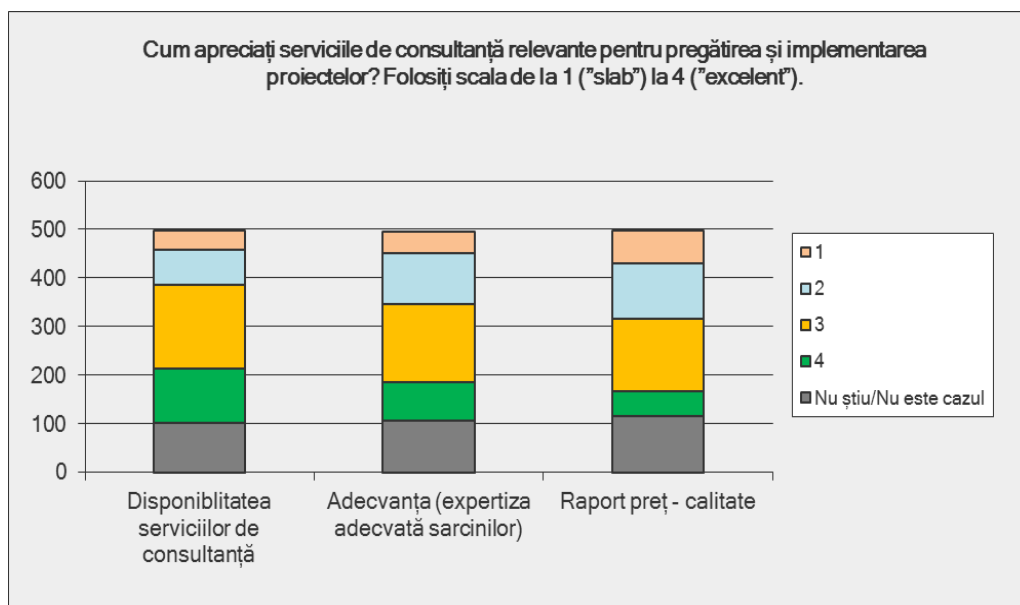
Projects Preparation	Public procurement	Financial management	Monitoring & reporting	EU rules	EU visibility	Technical competencies
47.1%	77.3%	85.2%	80.5%	82.8%		78.9%

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



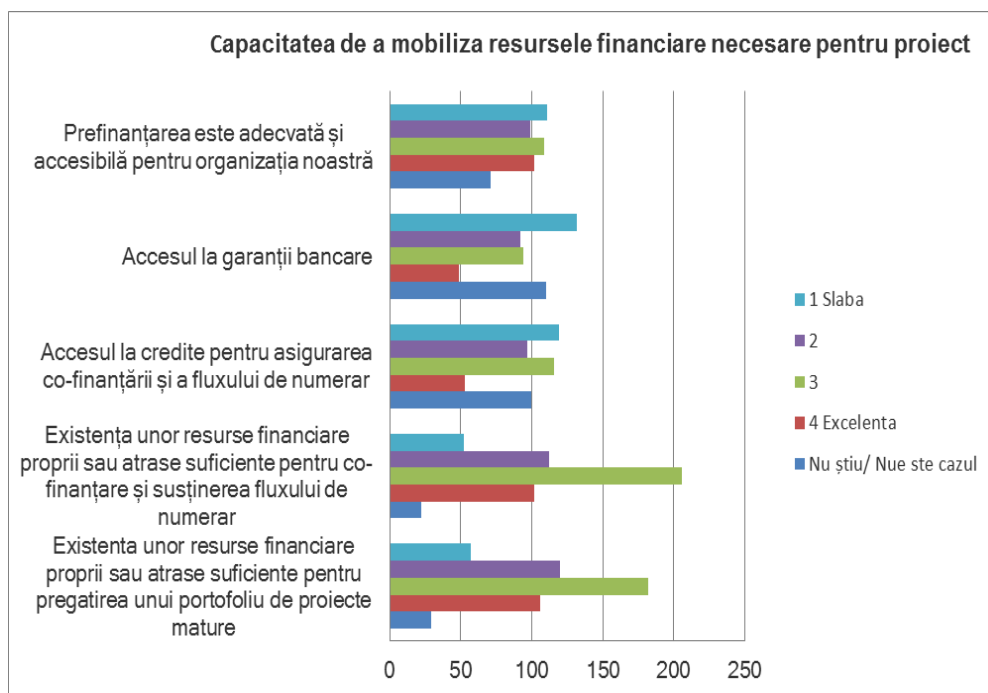
Comparing the answers given to Q13 with the conclusions presented in 2011 in the evaluation report on beneficiaries capacity, we can appreciate there is a small improvement in terms of beneficiaries' perception on the consultancy market.

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



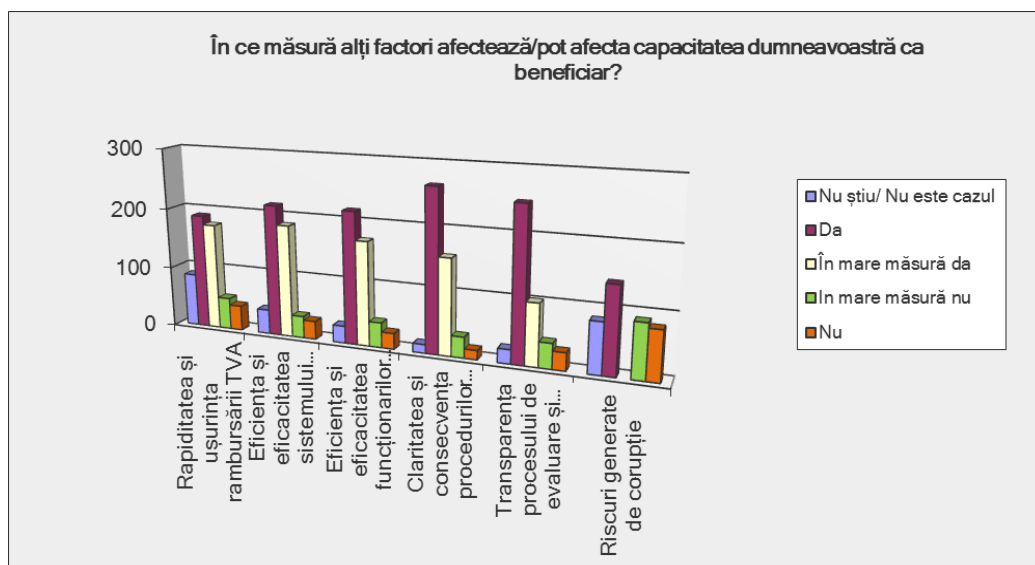
10. *Pre-financing is adequate and accessible for all types of beneficiaries*

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.

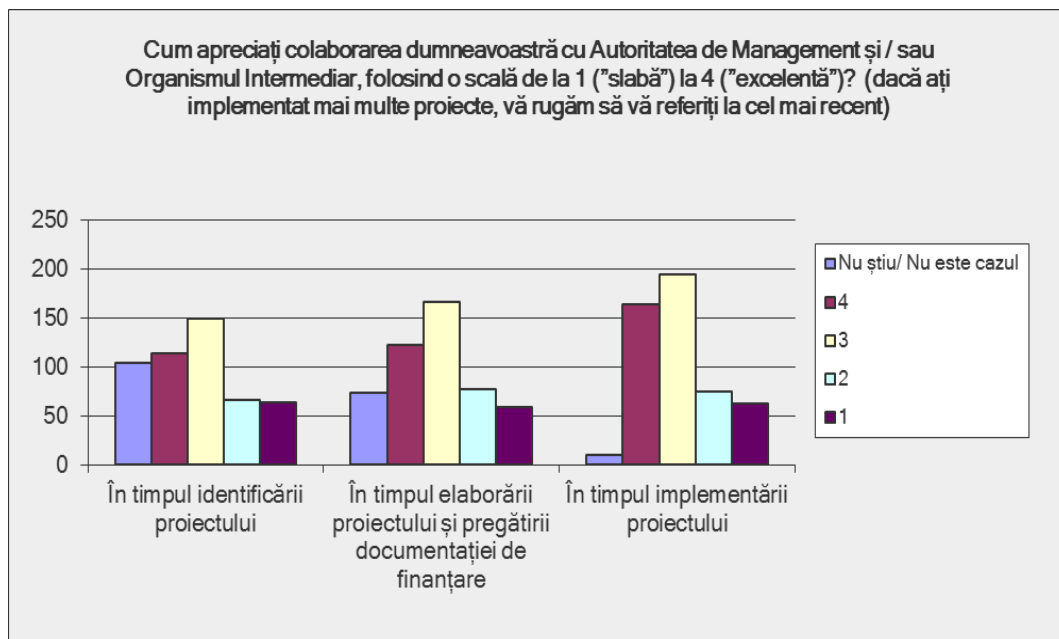
Looking back, at Q6, we see there are 46% beneficiaries who experienced difficulties due to the ambiguities of reporting procedures, 36.4% beneficiaries who encountered difficulties due to the reimbursement procedures and 25% beneficiaries faced difficulties with public procurements.

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

AGENDA

Focus group with authorities of CSF funds

On the evaluation of administrative capacity of authorities and beneficiaries

10th May 2013

Location: Hotel Intercontinental, Opera room

No. 4 Nicolae Balcescu Blvd., Bucharest -1

8,30 – 9.00	Participants' registration and welcome coffee
9.00 – 9.10	Introduction <i>The purpose of the event</i> <i>Summary of the Ex-ante Evaluation of the Partnership Agreement 2014-2020 project</i>
9.10 – 9.20	<i>Presentation of the participants</i>
9.20 – 9.45	<i>Presentation of the preliminary findings of the evaluation of administrative capacity of authorities and beneficiaries</i>
9.45 – 10.30	<i>Discussion on question 1: Have the structures been adequate for an effective implementation of the funds?</i>
10.30 – 11.00	Coffee Break
11.00 – 12.15	<i>Discussion on question 2: Are the human resources sufficient for an adequate implementation of the funds?</i> <i>Discussion on question 3: Are the systems and tools in place adequate for the effective implementation of the funds?</i> <i>What other factors are affecting the administrative capacity.</i>
12.15 – 12.30	<i>Conclusions</i>
13.00	Lunch



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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

Romanian Court of Accounts	1	DRĂGAN Daniel	head of Service, Audit Authority
Ministry of Public Finance	2	MANCAS Ioana	Head of service for Methodology and Technical Assistance , Certifying and Paying Authority (CPA)
	3	STAIUCU Irina	coordinator of Technical assistance compartment, Certifying and Paying Authority (CPA)
Ministry for European Funds	4	IACOB Diana	expert, Unit for Analysis, Programming and Evaluation
Ministry of Agriculture and Rural Development	5	BOTEANU Carmen	Deputy General Director for Programming, Managing Authority for Rural Development National Programme (MA NPRD)
	6	TOMA Valentin	Deputy General Director, Managing Authority for Rural Development National Programme (MA NPRD)
	7	STEFAN Adela	Head of Coordination service, Managing Authority for Rural Development National Programme (MA NPRD)
	8	ALEXE Alina	senior counsellor, Managing Authority for Fisheries Operation Programme (MA OPF)
	9	ILIE Adriana	senior counsellor, Managing Authority for Fisheries Operation Programme (MA OPF)
Ministry of Environment and Climate Change	10	POPA Cristina	counsellor, Department for CF projects Monitoring and Implementation, SOP Environment
	11	SIMION Valentin	Public Manager, Directorate for Planning and Evaluation, Managing Authority for SOP Environment
Ministry of Labour, Family, Social Protection and Social Protection	12	BUTNARU Anca	Public manager, Managing Authority Sectoral Operational Programme Human Resources Development (SOPHRD MA)
	13	PREDA Cristina	Public manager, Managing Authority Sectoral Operational Programme Human Resources Development (SOPHRD MA)
Ministry of National Education	14	VIZITIU Mihaela	head of service, Education IB, SOP HRD
Ministry of Regional Development and Public Administration	15	ISTRATE Mădălina	counsellor, Planning Service, Managing Authority of the Regional Operational Programme (ROP MA)
	16	SIMION Anca	Counsellor, Evaluation unit, Directorate for the Managing Authority of the European Territorial Cooperation Programmes
	17	VASILE Simona	Counsellor, Evaluation unit, Directorate for the Managing Authority of the European Territorial Cooperation Programmes



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National Agency for Scientific Research (NASR)	18	DUMITRESCU Sorina	Head of Monitoring Unit, Research IB, Increase of Economic Competitiveness Sectoral Operational Programme (Research IB SOP IEC)
National Authority for Tourism	19	MIHĂILĂ Anca	head of Service, Tourism IB, Regional Operational Programme (ROP)
National Agency for Employment	20	STAN Daniela	Main Counsellor, Intermediate Body of the Sectoral Operational Programme for Human Resources Development (SOPHRD IB)
National Centre for the Development of Vocational and Technical Education	21	CÎRSTEA Ioana	Deputy Director, IB for Sectoral Operational Programme Human Resources Development (SOPHRD IB)
North-East Regional Intermediary Body Human Resources Development Sectoral Operational Programme (SOP HRD N-E RIB)	22	MAFTEI Gheorghe	senior counsellor
ECORYS – LIDEEA, “Ex-Ante Evaluation of the Partnership Agreement 2014-2020”	23	BARRETT Mark	team leader
	24	LUCACIU Liliana	expert
	25	SINESCU Catrina	Project assistant



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

AGENDA

Focus group with Beneficiaries of CSF funds

On the evaluation of administrative capacity of authorities and beneficiaries and on the evaluation of electronic systems for data exchange

10th May 2013

Location: Hotel Intercontinental, Simfonia room

No. 4 Nicolae Balcescu Blvd., Bucharest -1

8.30 – 9.00	Participants' registration and welcome coffee
9.00 – 9.10	Introduction <i>The purpose of the event</i> <i>Summary of the Ex-ante Evaluation of the Partnership Agreement 2014-2020 project</i>
9.10 – 9.20	<i>Presentation of the participants</i>
9.20 – 9.30	<i>Presentation of the preliminary findings of the evaluations on administrative capacity of authorities and beneficiaries and on the electronic systems for data exchange</i>
9.30 – 10.30	<i>Discussions – Session 1 (focus on preparation): clarification of some questions and verification of preliminary conclusions</i>
10.30 – 11.00	Coffee Break
11.00 – 12.15	<i>Discussions – Session 2 (focus on implementation): clarification of some questions and verification of preliminary conclusions</i>
12.15 – 12.30	<i>Conclusions</i>
13.00	Lunch

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

National Agency of Civil Servants	1	MIHĂILESCU Daniel	Head of Project Monitoring service, Directorate for External funding Programs
National Agency for Roma Population	2	BUCEANU Mariana	Advisor, Public Policy Service
National Authority for Regulating and Monitoring the Public Procurement	3	IOAN Jenica	Director of Monitoring and Statistics Department
Romanian Association of Communes	4	CONSTANTIN Cătălin Mihai	Reporting & monitoring officer
Association of Romanian Municipalities	5	CIOCAN Doinița	vice mayor of BRĂILA city hall
National Union of County Councils	6	BARAN Cătălina	counsellor
	7	OCHEȘELU Dan	Executive Director
National Railway Company "CFR" SA	8	IRIMES Luca Macedon	Director of European Projects Technical Management Department
Water Public Utilities Company SC APAVITAL SA Iasi	9	DORUȘ Mihail	Technical Director
Public Utilities Company, Focsani Water Canal Branch (SC CUP SA Focsani)	10	CENUȘĂ Dorin	head of Project Implementation Unit
Chamber of Commerce and Industry of Romania	11	NEDELUCU Mihaela	Head Office - National Business Information Centre, National Chamber
The United Nations Fund for Children - UNICEF	12	POP Voica	Child Protection Specialist
Bucharest University of Economic Studies	13	DUMITRESCU Dan	Lecturer. Dr. Faculty of International Economic Relations, Head of EU Funds Department
Romanian Consultants Association for accessing EU funds (ACRAFE)	14	PAVELESCU Robert	Executive Director
National Trade Union Bloc	15	FLORIAN Marin	Expert, Department of Education, Culture and Equal Opportunities
Resource Centre for Public Participation (CeRe)	16	PREDA Oana	Director
Confederation of Democratic Trade Unions of Romania (C.S.D.R.)	17	MINCA Radu	member
ECORYS – LIDEEA, "Ex-Ante Evaluation of the Partnership	18	NIGOHOSYAN Daniel	expert



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Agreement 2014-2020”	19	CONSTANTINESCU Mihaela	Expert
	20	SINESCU Catrina	Project assistant

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															



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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	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																	
	<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	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	no	administrative data																	

	errors committed by IB																				
	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	Recommended threshold if applicable	Value 05.2013													
				before may 2013		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																
5	Assistant / Secretary	no FTE	administrative data																
6	No of staff total civil servants	no FTE	administrative data																
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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																		



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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	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 erroneous 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															

	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															

Annex7.B Qualitative indicators

					Value 05.2013																								
Code	Indicator	Measurement unit	Source of information	Link to checklist	Previous reference values	The entire system	MEF coordinator	MA ROP	IBs ROP	MA SOP IEC	IBs SOP IEG	MA SOP E	IB SOP E	MA SOP T	MA HRD	IB SOP HRD	MA ACD	MA OPTA	MA RO BG	MA RO SRB	MA Black Sea	NRDP	PARDF	PAIA	FOP	coordinating body PAIA PARDF	AA	ACP	
						assessment based on survey and studies	information from survey; grey sells means information was not available																						
1	Availability of official documents designating the role of the structures.	Yes/No/ Yes*/ Largely no	Official documents	Structures have been designated		Yes																							
2	The current structures benefit from the previous programming period experience (e.g.build on previous structures facilitate experience is transferred)	Yes/No/ Yes*/ Largely no	Official documents	The experience from the previous programing is transferred into the new programming period		Yes*																							
3	Positive opinion regarding the consensus of the stakeholders on designation of structures	Yes/No/ Yes*/ Largely no	Official documents interviews	There is consensus on the designation of the institutional framework		Yes*																							
4	Positive opinion regarding the location of the Coordinating bodies over MAS , in line with the administrative hierarchy	Yes/No/ Yes*/ Largely no	Official documents interviews	The existing structures have sufficient authority to fulfil their role		Largely no																							
5	Positive opinion regarding the coordination function in the system, capacity to ensure coherence of procedures, practices and actions.	Yes/No/ Yes*/ Largely no	Official documents				Largely no																						
6	Positive opinion regarding the ROP MAS location in line with the administrative structure at national and regional level	Yes/No/ Yes*/ Largely no	Official documents	Location of ROP MAS is in line with the administrative structure (regional levels)		YES																							

15	The inter-ministerial cooperation is effective, work in a planned manner and meet the deadlines	Yes/No/ Yes*/ Largely no	ICPA Internal Regulations (ROF) Interviews Regional and sectoral consultations calendar Minutes of the meetings Survey Q4, 5,6,7		YES*	>50%		>50%	>50%	>50%	<50%	>50%	<50%	<50%	>50%	>50%	100%	100%	100%	>50%	0%		0%		0%	
16	Monitoring Committees are effective: consistent contributions of the members in line with their interests	Yes/No/ Yes*/ Largely no	Annual Implementation Reports by OP Interim evaluation report (NRDP)	Monitoring Committees are set up, an approval document exists, they have an adequate composition and functioning	YES*																					
17	Human Resources																									
18	HR needs forecasts, including workloads analysis are available They are applied and used to support managerial decisions	Yes/No/ Yes*/ Largely no	Interviews Focus group Audit reports	Human resources planning within MAs and IBs exist	NO																					
19	Staff turnover is below 10% in the past year	Yes/No/ Yes*/ Largely no	Survey (Q20) Previous evaluations	Staff turnover is manageable	YES*	0-10%		o->21%	0 ->40%	6->10%	0->20%	6->10%	21->40%	0->20%	21->40%	6->10%	21-40%	21-40%	<41%	6-10%	6-10%		0-10%		0-5%	
20	The turnover is manageable	Yes/No/ Yes*/ Largely no	Survey (Q11, Q12, Q19, Q20, Q21) Previous evaluations		YES*	100%		60%		50%	0%	60%	0%	0%	44%	100%	100%	0%	0%	0%	0%	100%		20%		100%
21	Vacancies are below 5%	Yes/No/ Yes*/ Largely no	Survey (Q22) Interviews Focus group Previous reports studies and evaluations	Vacancies are manageable	YES*	0-5%		-20,0%	6->20%	-20,0%	0->10%	11-20%	6-10%	0-20%	0->5%	0->5%	11-20%	>5%	11-20%	0->5%	6-10%		6-10%		6-10%	
22	Availability of up-to-date training plans	Yes/No/ Yes*/ Largely no	Survey (Q23) Interviews Focus group	Training planning availability	YES	100%		80%		25%	100%	100%	0%	0%	100%	100%	100%	100%	100%	0%	100%		60%		100%	
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%	100%	100%	100%	0%	100%		75%		100%	

64	Audit plans are implemented at all levels	Yes/No/Yes*/Largely no	Survey (Q29) Documentary analysis Interviews		YES*	100%		100%		25%	100%	100%	100%	100%	55,5%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%	
65	Positive opinions regarding the audit function	Yes/No/Yes*/Largely no	Survey (Q29) Documentary analysis Interviews		YES*	100%		100%		25%	100%	100%	100%	100%	55,5%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	0%	
66	Early identification of irregularities and management and control systems gaps	Yes/No/Yes*/Largely no	Survey (Q29) Documentary analysis Interviews		YES*																								
67	Positive opinion regarding the Existence of adequate records on financial irregularities	Yes/No/Yes*/Largely no	Annual audit report 2011	The irregularities are detected and properly managed	Largely no																								
68	Track record of appropriate measures taken to deal with irregularities	Yes/No/Yes*/Largely no	Annual audit report 2011		Largely no																								
69	Mandate established by Law	Yes/No/Yes*/Largely no	Annual reports available Interview	Competent and active National Audit Authority	YES																								
70	Annual reports available	Yes/No/Yes*/Largely no	Annual reports available Interview		YES																								
71	Positive opinion in evaluations regarding the performance of the public policy management	Yes/No/Yes*/Largely no	Functional review of the World Bank (Center Government 2010)	Public policy management performance	NO																								
72	Positive opinion regarding: Sufficient evaluation expertise of the supply	Yes/No/Yes*/Largely no	Evaluation culture measurement 2013	Availability of independent evaluation expertise	YES*																								
73	Positive opinion regarding: Local expertise has international quality standards	Yes/No/Yes*/Largely no	Evaluation culture measurement 2013		YES*																								
74	Positive opinion regarding: The evaluation culture is at an adequate level	Yes/No/Yes*/Largely no	Evaluation culture measurement 2013		YES*																								
75	Evaluation culture index (and components) improving trend	Yes/No/Yes*/Largely no	Evaluation culture measurement 2013		N/A																								



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76	Positive opinion regarding the efficient and good working relation between ministries concerned	Yes/No/Yes*/Largely no	Survey (Q30) Interviews Previous studies	Efficient and good working relation between ministries and other public institutions		Largely no	100%		75%		25%	100%	71%	100%	100%	66,6%	100%	100%	100%	100%	100%	100%	100%	100%	100%	80%		100%		
77	A code of conduct exists and is effective	Yes/No/Yes*/Largely no	Survey (Q30) Desk research Interviews Other evaluations	Corruption risks are addressed in an effective manner		NO	100%		100%		75%	100%	100%	50%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%		100%		
78	Internal control function is effective in the public institutions	Yes/No/Yes*/Largely no	Desk research Interviews Other evaluations				NO																							
79	Corruption index measured by the Eurobarometer survey – decreasing trend	Yes/No/Yes*/Largely no	Desk research Interviews Other evaluations				NO																							



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