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COMMUNITY PROGRAMME FOR EMPLOYMENT AND SOCIAL SOLIDARITY

"PROGRESS"

Ex-ante evaluation

{COM(2004)488 final}

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1. CONTEXT AND METHOD OF THE EX-ANTE EVALUATION

1.1. Context

The ex-ante evaluation has to be conducted in the following context:

– Following the adoption of the Communication on the financial perspectives on 10 February -COM (2004) 101 final- for 2007-2013, the Commission has decided to present by 14 July 2004 a legislative package. This implies the preparation of the proposals for next generation of programmes at an early stage.

– The EU Treaty states that the Community shall have as part of its tasks that of promoting a high level of employment and of social protection and the raising of the standard of living and quality of life throughout the Community and economic social cohesion. The EU is based on discrimination, which are central to European Social Model.

– Strategic objectives have been decided by Lisbon council with targets for 2010. Some of the objectives decided are included in the policy framework defined in the Social Policy Agenda (SPA). This Agenda is ending in 2005. The preparation of next strategic framework for Social Policies is currently on-going. The streamlining process on social inclusion, pensions and healthcare[1] will be effective in 2006. The progress made in the achievement of Lisbon objectives will be reported in the spring council 2006.

  Programmes under the SPA have started in 2001 and 2002. They are at mid-term of the implementation. For those having started in 2001 mid-term evaluation results are available. Results of the Programme relating to the Community framework strategy on gender equality and (2001-2005) and Community Action Programme to combat discrimination 2001-2006 will be published shortly.

– The ESF regulation is also ending in 2006. The impact assessment of the new ESF regulation has been carried out.

The time frame of the strategic policy framework coincides with that of the programmes. The preparatory work for the next strategic framework has started but will not be completed in summer 2004.

1.2. Method

The DG EMPL multi-annual evaluation plan foresaw the ex-ante of the programmes mainly in 2005. The context described above implies carrying out the ex-ante evaluation at an early stage. This ex-ante evaluation has been performed internally by the DG EMPL evaluation unit in cooperation with all units involved in the process of defining the programme.

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[1] COM (2003) 261 of 27.05.2003 "Strengthening the social dimension of the Lisbon strategy: streamlining open coordination in the field of social protection"

1.2.1. Use of evaluation results and lessons from the past

In the context described above, the evaluation results available show the appropriateness of the different actions supported to achieve the goals set in the Social Policy Agenda. Several innovative approaches have been evaluated. The evaluation results already published are presented in annex 1 Evaluation results and annex 2: list evaluation carried out.

Ex-post

Ex-post evaluation results show that preparatory measures or previous generation of programmes have prepared the ground for the launch of the fourth action programme. The multi-dimensional approach has been explored through a wide variety of themes. Common and specific challenges and their European dimension have been well identified. The interventions contributed to raising awareness on the needs to act upon common EU objectives. This was a good opportunity to involve a great number of actors and stakeholders. Linkages between organisations active in those different fields in different MS have been supported.

On-going

The programmes are currently evaluated following a common evaluation approach. This has facilitated drawing horizontal conclusions on the first results. The evaluation results confirm the relevance of the overall strategy. The programmes objectives are achieving the improvement of knowledge and understanding, exchange of common objective, capacity transfer and awareness rising. Evaluators pointed out that the programmes decisions were not always explicitly defined as supporting the EU strategy. Nevertheless implementation is well targeted to support the Community level of action and to achieve the strategy set in the social policy agenda (or other strategic policy frameworks). Some first evaluation results on trans-national projects shows that they bring together different types of organisations. However, the evaluations also point out that a significant human and financial resources are devoted to those activities. There are several causes for this substantial work load. One explanation could be that some organisations still face difficulties accommodating administrative procedures. That has created additional workload for Commission services to ensure individual assistance to those projects. This happens in a context of HR constraints, which affect the Commission services ability to properly monitor and disseminate the results of those actions. The comparison between the EU value added generated by these actions with the cost incurred is an issue to be considered. The evaluations address this question. However, at this stage of implementation, it is too early to have firm conclusions on this issue. Another issue evaluated is the complementarity between the programmes and other budget lines. Some possible overlaps for instance between exclusion and anti-discrimination programmes have been identified. In order to maximise the synergy between the different fields of intervention the evaluators have recommended further strengthening the exchanges between programmes.

1.2.2. Support to the definition of objectives

A 'logic frame' derived from the evaluation of the programmes has helped to structure the definition of general, specific and operational objectives of the programme.

The preparatory works have started just after the adoption of the Commission Communication on the next financial perspective. Internal working group have been set up with representatives of the units concerned, SPP and evaluation unit.

1.2.3 Recommendations

In addition to giving a support in the design of the policy, the aims of the ex-ante evaluation is also to identify further actions needed to implement the new programme. Some recommendations are presented in a synthetic table together with the main conclusions. Further evaluation results will be reported and taken into account to implement the programme decision.

2. CURRENT SITUATION

In relation to employment and social cohesion, the Union has the task of contributing to the development of a modern, innovative and sustainable European Social Model with more and better jobs in an inclusive society based on equal opportunities. It plays a key role in promoting positive interaction between economic, social and employment policies, bringing in the main players who can help to achieve the strategic Lisbon objective of making Europe the world most competitive and dynamic knowledge-based economy, capable of sustainable economic growth, with more and better jobs and greater social cohesion.

The Community is playing its part in addressing the main challenges and formulating concrete responses with a view to achieving these strategic Lisbon objectives, more especially as regards:

– the creation of more and better jobs in an inclusive Labour Market;

– managing change, structuring the world of work by approximating national legislation and regulating the labour market;

– developing social dialogue at European level, modernising labour relations, and making the EU workers more mobile;

– modernising social protection systems including pensions and social inclusion by reinforcing the co-ordination between Member States and combating poverty and social exclusion

– promoting equality and fighting discrimination

- **Social Policy Agenda**

The Social Policy Agenda is the Union's roadmap for policy and action in the employment and social sphere as part of the overall Lisbon Strategy aims at achieving these goals. To reach the Lisbon objectives, the Social Policy Agenda defines a combination of instruments such as legislation, the open method of coordination, the social dialogue, as well as financial supports such as the European Social funds and a number of other financial tools.

- **Financial supports available in this area**

– The **ESF** is the main instrument to cover the social cohesion objective set in 2000. It aims mainly at investing in human capital and facilitating the integration of people in the labour market.

– Four Community Action Programmes have been established and endowed with limited financial resources. These include two Action Programmes that aim at supporting the OMC in the employment area (Employment Incentive Measures) and the social inclusion area (Action Programme to combat social exclusion). These are complemented by two other programmes dealing with the fight against discrimination and the promotion of gender equality. The four Action Programmes are implemented in a similar manner and

support comparable types of measures. They will all come to an end in 2006 except for the Gender Equality Programme, which will expire in December 2005[2].

Community action programmes	Treaty Art.
Community programme Employment Incentive Measures	129
Community Programme Measures combating and preventing exclusion	137 (2)
Community Programme Measures to achieve equality between men and women	13
Community Programme Measures combating and preventing discrimination	13

– **Agencies:**

Three European agencies are active in the employment and social area and make important contributions to implementing the Social Policy Agenda:

– the European Foundation for the Improvement of Living and Working Conditions (Dublin),

– the European Agency for Health and Safety at Work (Bilbao)

– the European Monitoring Centre on Racism and Xenophobia (Vienna).

They will be financed by other specific budget lines.

– **Other budget lines**

Budget line	Treaty Art.
Eures (European Employment Services)	40
Analysis of and studies on the social situation, demographics and the family	
Industrial Relations and Social Dialogue	138
Information and training for Workers' organisations	138
Information, consultation and participation of representatives of undertakings	138
Health protection, hygiene and safety at work	137
Free Movement of Workers, coordination of social security systems, measures for migrants	42
European Women's Lobby	13
Women's organisations	13
Platform of Social NGO's	308

[2] In order to avoid any discontinuity of the actions in favour of gender equal, the Commission will adopt a proposal to extend the Gender Equality Programme by 1 year.

- **Budgetary challenges**

In its Communication "Building our common Future - Policy challenges and budgetary means of the enlarged Union 2007-2013"[3], adopted last February, the Commission identified the implementation of the Social Policy Agenda as one of the main tools to achieve the global Lisbon goal.

The Communication presents a set of criteria for simplification:

– The choice of budgetary instruments must reflect the criteria of simplicity and consistency. There is a need to simplify, as far as possible, the budget structure, avoid duplication of instruments and provide beneficiaries and partners with administrative simplification;

– While retaining the political duty to define strategic objectives and frameworks for? expenditure programmes, the Commission will limit the number of cases where it has direct responsibility for implementation and management;

– Proportionality must be maintained between the amount of resources and the administrative burden related to their use.

[3] COM (2004) 101 final

3. PROBLEM ANALYSIS AND NEEDS ASSESSMENT

In order to comply with this situation, the following needs analysis has been performed to examine the relevance of the approach, the effectiveness of the actions carried out, the efficiency, the delivery mechanism and the human resource constraints. Those analyses resulted in five guiding principles that have been applied to design the new budgetary interventions:

1/ *Relevance* of **continuing the strategy**

Regarding the objectives set until 2010, there is no need to modify the approach. The need to promote a high level of employment and social protection, improved working conditions, combating discrimination and promoting gender equality are explicit objectives of European Union as laid done in the Treaty.

The actions financed under the programme will be justified to support the Commission role in promoting EU governance. It should contribute to the achievement of EU objectives related to the modernisation of the European Social Model. It should target the delivery instruments at EU level in reinforcing the Commission initiative role in:

- proposing of EU strategies and legislations;
- implementation and follow-up of the EU objectives and their translations into national policies;
- transposition and follow-up of EU legislation's application in a coherent way through Europe;
- promotion of the co-operation and co-ordination mechanisms between Member States;
- cooperation with the organisations representative of civil society.

As presented in the evaluation results, the first results confirm the appropriateness of the current strategy carried out under the programmes. Most of the actions needed to reach the EU objectives in the Employment and Social policies will by supported through national policies. Nevertheless the evaluations have shown the relevance of a specific Community intervention level.

2/ Improvement of the *effectiveness* in ensuring a real focus on **activities in accordance with the EU's objectives** and level of intervention

Considering the broad policy objectives covered through the programme and the variety of type of intervention related to the improvement of the social situation in Europe, future activities need to be focussed on actions that create higher value added at EU level.

As Member States have the main / most important competences in the social policy domains covered, the strict application of the principle of subsidiarity is needed. Only actions that would not achieve their goals if not financed at EU level will have to be funded.

3/ *Efficiency* of the **continuity of financial means**

In order to face the new challenges common to all Member States and to manage changes in the context of enlargement, the Social Policy Agenda must be implemented actively.

The current level of funding seems adequate to deal with the programme tasks as defined below. This means that no substantial increase in the level of funding would be necessary other than an increase to cope with enlargement and to compensate for inflation.

4/ Improvement of *delivery mechanisms* through the introduction of a significant level of **simplification**

A key objective is to simplify instruments both in legal and management terms, to streamline the budget structure, to increase coherence and consistency between programmes and avoid duplication of instruments. Regarding the situation presented in previous chapter, the solution has been to reduce significantly the number of budget lines from 28 to only 2

This simplification is also needed because the organisations receiving funds still face difficulties to accommodate with the administrative procedures and respect of the financial Community roles. Although evaluation results show that DG EMPL services are very efficient in providing guidance under the programmes some improvements seem still needed. The proposed rationalisation would benefit to end users as it increases the visibility, clarity and coherence of the instruments. Potential beneficiaries should find it easier to apply for funding under the different fields thanks to a more standardised approach and implementing provisions.

Attention should be paid that the simplification does not create a lack of visibility for each policy field. This will be achieved with specific objectives related to each section and based on the objectives set by the Treaty.

5/ *Human resources constraints*

Delivery through **alternative delivery mechanisms** (externalisation, or shared management) has been examined in detail but is considered not appropriate given the relatively small amounts involved (externalisation would not be cost efficient) and the need for the Commission to be directly involved in the actions undertaken (funds are used to enable the DG to carry out its core activities, notably development and implementation of legislation and support to EU social dialogue and the Open Method of Coordination). This having been said, if a Gender Institute were to be established, it would carry out part of the actions in the gender equality area.

Taking into account lessons from preparatory measures, the size of projects has been increased. The Commission's human resources were more focused on the monitoring and the dissemination of lessons learned of a smaller amount of projects.

Nevertheless, even with those improvements, Commission services are still facing a problem of lack of human resources to fully benefit from projects financed by the programmes. A stronger focus on the most necessary value adding projects is needed.

Conclusions 1

- The approach is relevant and justified regarding of the overall objectives.
- Actions supported are effective and need to be focused on activities that create the most EU added value
- There is an adequate level of efficiency with the current level of funding and it is necessary to merge the smaller budget lines.
- the proposal to improve and simplify delivery mechanisms is appropriate and should take into account the human resources constrains.

4. OBJECTIVES

The objectives have been organised in an intervention logic (see in annex 3 "logic tree").

4.1 General objectives

The overall objective is reinforcing the initiative role of the Commission in proposing EU strategies and legislations; implementing and following-up EU objectives and their translations into national policies; transposing and following-up of EU legislation's application in a coherent way through Europe; promoting the co-operation and co-ordination mechanisms between Member States; cooperating with organisations that represent civil society. They have been made operational to design the objectives of the programme.

General objectives of the programme have been defined to address this overall objective:

(1) Improving the knowledge and understanding of the situation prevailing in the Member States (and in other participating countries) through analysis, evaluation and close monitoring of policies.

(2) Supporting the development of statistical tools and methods and common indicators in the areas covered by the programme.

(3) Supporting and monitoring the implementation of EU law and policy objectives in the Member States and assessing their impact.

(4) Promoting networking, mutual learning, identification and dissemination of good practice at EU level.

(5) Enhancing the awareness of the stakeholders and the general public about EU policies pursued under each of the 5 sections.

(6) Boosting the capacity of key EU networks to promote and support EU policies.

4.2 Specific objectives

Each section of the programme corresponds to EU objectives fixed by the Treaty.

Support the creation of more and better jobs (art 129)	Contribute to the modernisation of social protection systems (art 137.1.j,k /137.2a)	Protect citizens against all forms of discrimination (art 13.2)	Ensure equality between men and women (art 13.2)	Guarantee working conditions for workers (art 137.1.a/b, 137.2a)

The specific objectives under each section are related to the main instruments and delivery mechanisms used at EU level to achieve the objectives fixed by the Treaty. They support the instruments related to the field of intervention foreseen at EU level such as the Employment strategy, the OMC and streamlining process, the EU legislations.

The impact of specific objectives will depend on the effectiveness of their contribution to the implementation of the overall objective in Europe.

The nature of the programme objectives mentioned above is qualitative. The type of effect created will be improvement of EU governance through better understanding, monitoring, exchange and dissemination of EU policy objectives. Most of those effects will be qualitative. In addition, it would not be feasible to identify direct causal links between the mechanism supported through the programme and the changes observed in the EU social situation. Those changes depend mainly on the implementation of the overall EU strategy and the activities funded under the programme[4] contribute to the implementation of this overall strategy. These "macro impacts" are indeed already assessed with evaluations performed under the auspices of the Council, with the full participation of Members States.

As a consequence, the impact of the programme will not be assessed with a set of impact indicators. The evaluation of the programme will rely mostly on evaluation criteria such as those mentioned in the chapter on EU value added.

4.3. Operational objectives

The operational objectives have been defined to support the mains actions needed at EU level. The Operational objectives will translate the types of supports (analytical and mutual learning activities, awareness and dissemination activities, support to main actors) to be addressed in each policy domain. The operational objectives will correspond to the need to carry out actions, financed at Commission level, to target some specific actors who need to act in this context.

The impact of the operational objectives will be measured by their contribution to the implementation of each specific objective. The main factor to assess the success of the actions financed will be the EU value added they generated (see EU value added chapter 6).

Indicators will be put in place to monitor the efficiency and the effectiveness of the implementation of the operational objectives. The output indicators are directly related to the specific activity carried out. They will be defined in terms of number of projects, main characteristic and cost.

The table below is an example on the types of activities related to the operational objectives and some corresponding indicators. Only examples of outcome and impact are provided. They will be reviewed in the light of the evaluation questions.

[4] Indeed the programme will finance the actions needed to evaluate those impacts.

Example of type of action to achieve the operational objectives	Example of Type of outcome indicators	Example of Type of impact indicators
Analytical and mutual learning		
Development of indicators	N° of indicators defined in a common format	Use in the discussion on the achievement of the related objective
Collection and disseminations of data	N° of indicator filled robustness of data collection (validity, margin of error, etc) use of databases	Results available through Europe (such as Euro barometer) Robustness of comparisons through EU
Studies Evaluation Assessment of impact	% of topics covered coverage rate of surveys key issues and relevance of recommendations	Coverage of publication Use in the programming decisions
Seminar / peer review	N° and type of participants Satisfaction rate Type of learning effects	Progress made in the implementation on the achievement of the related objective
Awareness and dissemination activities		
EU level conferences Events	N° and type of participants Satisfaction rate Type of learning effects	Coverage of the event (media) Publication on the related subject Quality in the message communicated Policy making influence
Publication	Coverage of potential beneficiaries	% of target population addressed Quality in the message communicated
Support to the main actors		
EU Networks	Topic coverage at EU level n° and representative of supporting organisations and MS Lessons learned	Effects of the exchanges / Transfer of information to " organisations" and other main stakeholders
Trainings / seminars / exchanges between officials	N° and type of participants Satisfaction rate Type of learning effects	Progress made in the implementation on the achievement of the related objective
Expert networks	N° of participants Satisfaction rate Type of learning effects	Publication on the related subject Policy making influence
EU level observatories	% of EU topics covered coverage rate of EU surveys key EU issues and relevance of recommendations	Publication on the related subject Policy making influence
Cooperation with international institutions	N° / coverage of shared topics	Adoption of common "objectives"

4.5 Target operators and target populations

- Those actions will be implemented by promoters representing key stakeholders that will be identified to carry out actions such as Member States, Public employment services, local and regional authorities, specialised bodies, social partners, non-governmental organisations organised at EU level, Universities and research institutes, National statistical offices, Media.
- Actions implemented will focus on the MS representatives and the key actors (such as civil servant, practitioners, etc) and stakeholders. Most of those key stakeholders have been identified within the previous programmes and community actions. They will act as direct support to intermediate actors such as NGO's at national level. Their involvement will create synergy effects in the targets groups under each specific objectives and civil society. Actions aiming at promoting awareness will have to focus also on the European citizen.

Conclusion 2

The programme objectives have been designed to ensure a more explicit targeting on the instruments/strategy needed to implement the EU objectives. Specific objectives have been defined regarding the EU competencies fixed in the Treaty. Value added has been identified regarding those specific objectives. Operational objectives have been set-out and examples of related indicators provided.

The common framework for definition of objectives will significantly reinforce the internal / external coherence of the activities financed at the level of the Commission.

One of the main changes introduced compared with the 2001-2006 generation of programmes is to rationalise the interventions previously carried out under different budget lines into one single programme.

Main stakeholders will be targeted taking into account experience from the previous interventions.

5. DELIVERY MECHANISMS

The programme should support the implementation of strategies or create synergies and complementarities with the strategic Union's objectives. Those objectives will be defined before the programme implementation will start. They will be taken into account when defining the implementations guidelines before to launch the activities.

5.1 The role of implementation mechanisms

The strategic priorities at Union's level will be taken into account to define general guidelines to address the programme. Those guidelines will be translated in corresponding work programmes. The purpose of this programme is to support a limited type of actions needed at EU level.

5.2. Types of actions have been identified to focus on the EU level of action:

Types of actions financed

The following types of actions can be financed under the programme:

Analytical activities

- Collection, development and dissemination of data and statistics
- Development and dissemination of common methodologies and indicators/benchmarks
- Carrying-out of studies, analysis and surveys and dissemination of their results
- Carrying-out of evaluations and impact assessments and dissemination of their results
- Elaboration and publication of guides and reports

Mutual learning, Awareness and Dissemination activities

- Identification of best practices and organisation of peer review by means of meetings/workshops/seminars at EU or national level
- Organisation of Presidency conferences/seminars
- Organisation of conferences/seminars in support to the implementation of Community law and policy objectives
- Organisation of media campaigns and events
- Compilation and publication of materials to disseminate information as well as results of the programme

Support to main actors

- Support to running costs of key EU networks

- Organisation of working groups of national officials to monitor the implementation of EU law
- Funding of training seminars addressed to legal practitioners, key officials and other relevant actors
- Networking among specialised bodies at EU level
- Funding of experts' networks
- Funding of EU level observatories
- Exchange of personnel between national administrations
- Cooperation with international institutions

Furthermore, Mutual learning, Awareness and Dissemination activities should have a strong EU dimension, an appropriate scale in order to ensure a real EU added-value and be carried out by (sub)national authorities, specialised bodies foreseen under EU legislation or actors which are considered the key player in their area.

Access to the programme

Under the conditions and arrangements for implementation specified in this Annex, access to this programme shall be open to all public and/or private bodies, actors and institutions involved in at least one of the programme's Sections, in particular:

- Member States;
- Public employment services;
- Local and regional authorities;
- Specialised bodies foreseen in EU legislation;
- Social partners;
- Non-governmental organisations organised at EU level;
- Universities and research institutes;
- National statistical offices;
- Media.

The Commission may also undertake Analytical, Mutual learning, Awareness and Dissemination activities.

Method of presenting applications for support

The above mentioned types of actions may be financed either by:

- a service contract following a call for tenders. For cooperation with national Statistical Offices, the Eurostat procedures will apply.

- or a partial subsidy following a call for proposals. In this case, the EU co-financing may not exceed, as a general rule, 80 % of the total expenditure incurred by the recipient. Any subsidy in excess of this ceiling can only be granted under exceptional circumstances and after close scrutiny.

Mutual learning, Awareness and Dissemination activities may be subsidised in respond to requests for subsidies, for example from Member States.

5.4. Monitoring and evaluation

The programme will be monitored regularly in order to follow the implementation of the activities carried out under each section. Annual activity reports will be transmitted each year to the programme Committee in order to inform it of progress made and discuss reorientations if necessary.

The programme will also be subject of a mid-term evaluation at the level of the sections with an overview on the programme to measure the progress made regarding the impact of the programme objectives and its EU value added[5]. It will be carried out by the Commission with the assistance of external experts. When available, the results of those interim evaluations will be reported in the activity report mentioned above.

An ex-post evaluation will be carried out one year after the end of the programme by the Commission with the assistance of external experts to cover the all programme. It will be transmitted to the other institutions.

Conclusion 3

This programme decision bringing all the budget lines into the same framework will introduce much more coherence and complementarity in the delivery of the activities.

The delivery mechanisms have been examined in order to define them at an early stage but allowing flexibility to ensure the concentration on the action most needed. In the implementation of the Decision, attention should be given to the definition of

- Framework guidelines and corresponding work programme
- Relating specific definition of target operators and activities
- The monitoring and evaluation processes are addressed to take into account the current experience with the Community action programmes

[5] See Chapter 6 on EU value added

6. COMPLEMENTARITY

When preparing the programme intervention specific attention has been put on the way the programme will complement the others types of activities financed in the same policy fields.

a) Other financial supports within the competence of DG EMPL

1/ The European Social Fund

The ESF is the main instrument addressing the social cohesion objective set in 2000. It aims to improve the Employment system in EU and to facilitate people to integrate the labour market.

ESF interventions 2000 – 2006 cover some of the same policy field than the programme. ecause the ESF regulation 2007- 2013 has not been defined yet it will be difficult to examine possible overlaps. However, the ESF interventions focus on improvement in MS labour markets in order to support the achievement of EU objectives in this policy field. ESF interventions have a direct impact on people situation in the labour market or on the services and policies dealing with those objectives. Nature of the interventions is not creating the same type of effects as those expected from the programme. There is no real risk of duplication. Nevertheless, the results obtained in each domain could be exchanged in order to maximize the learning effect and EU value added.

2/ The Agencies

European agencies will still be active in the employment and social area as - the European Foundation for the Improvement of Living and Working Conditions (Dublin) and the European Agency for Health and Safety at Work (Bilbao). They make an important contribution to implementing the Social Policy Agenda.

There could be some overlaps between the interventions areas covered by the programme and the Agencies activities. As it is already the case, co-operation exchange and synergy mechanisms will be implemented.

3/ Budget line based on an autonomous basis[6] or existing regulations:

– Support to Social Dialogue: Adequate financial resources are indispensable to allow the Commission to fully exploit its autonomous Treaty based competence of promoting and strengthening social dialogue[7]. Without the commitment and full involvement of social partners, the Lisbon policy goals of full employment, better jobs, increased competitiveness and social cohesion will not become a reality. The Commission will therefore continue to encourage and support partnership and social dialogue both at inter-sectoral and at sectoral levels, including activities to promote the contributions of companies to European policy objectives, to finance activities related to negotiations, information, training and capacity-building of the actors, and to ensure the dissemination

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6 Cf. Financial Regulation art 49 and art 33 of its implementing rules

7 Cf. Art 138: "The Commission shall have the task of promoting the consultation of management and labour at Community level and shall take any relevant measure to facilitate their dialogue by ensuring balanced support for the parties."

and promotion of results at all levels. The objectives and content of the actions foreseen under the second area of activity will be described in a Communication.

In most of the social policies the involvement of Social partners as key stakeholders has proved its effectiveness. In order to avoid double financing and incoherence between interventions under the programme and the autonomous line for Social dialogue, the participation of the Social partners will not be supported in the programme.

– Analysis and studies on the social situation, demographics and the family[8]. This budget line ensures the Commission right to take initiative. In some cases, it could involve studies and evaluations that could also be supported within the programme.

– Activities in the area of free movement of workers, notably the EURES network as provided for in part 2 of Council Regulation 1612/68.

Until now, the implementation of all DG EMPL budget lines has not created duplication. The strategic evaluation of small budget lines identifies some possible overlaps between some lines. The evaluation recommendations were already taken into account when the results were discussed. As it is already the case, mechanisms will be used in order to maximize the exchanges between the programme and the budget lines and avoid any duplication.

b) Complementarities with other DG

There are other DG EMPL domains of competence where there are opportunities for cooperation. For instance, DG EAC is considering programmes in the field of lifelong learning, DG JAI likewise in the domain of refugees or violence against women, DG SANCO likewise for programme of Community action in the field of public health (2003-2008), DG REGIO likewise for cohesion, etc.

Special attention should be given to measures financed under the PHARE programme to avoid overlap with the present programme which can cover third countries.

The existing European Monitoring Centre on Racism and Xenophobia will have its mandate extended to become a Human Rights Agency. That coincides with the development of EU policy on fundamental rights. It is expected that the remit of this Agency will be complementary to some DG EMPL areas of action, notably in the field of non-discrimination.

Conclusion 4

In general the very specific nature of the programme intervention in the field of social policy will not create any duplication or risk of overlap. Nevertheless, for closely linked interventions, exchanges and mutual learning effects will continue to be supported. The programme decision has included a chapter on complementarity to ensure the complementarity and it is foreseen to be evaluated.

Special attention will be devoted in promoting procedure avoiding overlaps and mechanisms to increase the exchanges and synergy effects.

[8] Based on Art 140, 143 and 145 of the TEU

7 EU VALUE ADDED

The EU Value added concept as been fully integrated in the definition of the objectives of the decision. It will support the initiative role of the Commission in:

- roposing EU strategies and legislations;
- implementing and following-up the EU objectives and their translations into national policies;
- transposing and following-up of EU legislation's application in a uniform way through Europe;
- promoting the co-operation and co-ordination mechanisms between Member States;
- cooperating with organisations that represent civil society.

Criteria for evaluation

A set of common evaluation criteria will be used through all sections to evaluate the success of the interventions regarding the EU value added in relation with the type of effect described above. Example of criteria could be:

- To support only *activities needed at EU level* to sustain EU objectives, EU laws and EU implementation mechanism. For instance by ensuring a uniform understanding ;

- To support activities which will be *complementary with those financed at national level;*

- To reinforce national exchanges at EU level *generating synergy effects* with national activities.

- the involvement of MS representatives in order to fully implement the principle of subsidiarity, complementarity and proportionality:

8 COST EFFECTIVENESS

The principle of economy has been implemented through several cumulative processes.

1) The level of funding is quite low. Regarding previous period, no substantial increase in the level of funding would be necessary other than an increase to cope with enlargement and to compensate for inflation.

2) The rationalisation and simplification of interventions as presented above should logically result in an improved use of financial and human resources, for instance:

   - Common implementation procedures will lead to a reduction of financial Human resources costs.

   - Common database and selection processes will avoid any problem of duplication.

   - More focussed actions will generate more effectiveness regarding EU value added

   - Fewer projects will allow better monitoring and use of outcomes to generate other multiplier effects.

Conclusion 5

Cost effectiveness and EU value added have been fully integrated in the definition of the approach. They have been the central concepts used to rationalise the design of the intervention in the competencies of DG EMPL.

9. CONCLUSIONS	Recommendations for implementation
Conclusions 1 – The approach is relevant and justified regarding the overall objectives; – Actions supported are effective and need to be focused on activities that create the most EU added value – There is an adequate level of efficiency with the current level of funding and it is necessary to merge the smaller budget lines (often created under the EU parliament pressures) – The proposals to improve and simplify the delivery mechanisms are appropriate and it is necessary to take into account the human resources constrains. – Compared with the previous period of implementation, the main change introduced is the reinforcement on certain types of activities needed to ensure the Commission initiative role in promoting EU governance.	No specific recommendation
Conclusions 2 The programme objectives have been designed to ensure a more explicit targeting on the instruments/strategy needed to implement the EU objectives. Specific objectives have been defined regarding the EU competencies fixed in the Treaty. The value added has been identified regarding those specific objectives. Operational objectives have been set-out and examples of related indicators provided. The common framework for definition of objectives will significantly reinforce the internal / external coherence of the activities financed at the level of the Commission. One of the main changes introduced compared with the 2001-2006 generation of programmes is to rationalise the interventions previously carried out under different budget lines into one single programme. That will allow more budgetary coherence. Main stakeholders will be targeted taking into account the experience from the previous interventions.	Attention should be devoted to ensuring that simplification does not create a lack of visibility for each policy field.

Conclusion 3 This programme decision bringing all the budget lines into the same framework will introduce much more coherence and complementarity in the delivery of the activities. – The delivery mechanism have been examined in order to define them at an early stage but allowing flexibility needed to ensure concentration on the most needed actions. – The monitoring and evaluation processes are defined to take into account the current experience with the Community action programmes.	In the implementation of the Decision, attention should be given to the definition of Framework guidelines and corresponding work programme and more specific definition of target operators and activities
Conclusion 4 In general the very specific nature of the programme intervention in the field of social policy will not create any duplication or risk of overlap. Nevertheless, for closely linked interventions, exchanges and mutual learning effects will continue to be supported. The programme decision has included a chapter on complementarity to ensure it is present ands foresees that it should be evaluated.	Special attention will be devoted in avoiding overlap for action designated to be financed under the autonomous basis.
Conclusion 5 Cost effectiveness and EU value added have been fully integrated in the definition of the approach. They have been the central concepts used to rationalise the design of the intervention in the competencies of DG EMPL	

ANNEX 1 EVALUATION RESULTS AVAILABLE

The impact evaluation of the **European Employment Strategy** (EES) shows that the past five years have created clear structural improvements in the EU labour market. It has brought about a gradual change in priority from managing unemployment to managing employment. It became gradually embedded in national policy formulation. These results have been used for the extended impact assessment and the content of the COM (2003)6 final "The future of the European Employment Strategy: a strategy for full Employment and better job". This revision has resulted in the adoption of a new set of Employment Guidelines in April 2003 in the light of the political orientations of the Spring European Council. The impact evaluation will be updated in 2005 to be available for the reprogramming of the social policy Agenda and in 2006 to be reported to the spring council.

The evaluation of the **Incentive measures in the field of employment which support the implementation of the EES** has been launched. Interim results will be available in 2004 before the evaluation of the EES process itself and final results in 2007.

In the same field, the results of the evaluation of the **Preparatory Measures for a local commitment on employment** have been used for the follow-up to the Commission Communication on strengthening the local dimension of the European Employment Strategy. The evaluation concluded that the aim of raising awareness about the European Employment Strategy at local level was achieved. Projects which aimed to develop Local Action Plans for employment (LAP) have also enabled the identification of examples of good practice in local action planning. Those results will be complemented with the horizontal evaluation of the **local employment development** to be finalised in 2004 and the evaluation of preparatory measures 2001 (in a launching process).

The MS have completed the **ESF mid term evaluation** of the operational programmes on the contribution of the ESF to the main policy field such as the EES. Those national evaluations have been subject of a synthesis at European level. The 2003 ESF interim evaluations have supported the mid-term review of the 2000-2006 ESF programmes taking place during 2004. ESF evaluations and/or evaluators have contributed background documents and/or participated as speakers in ESF Conferences in each Member State during October-December 2003. A preliminary synthesis at EU level of the main results of the mid-term evaluation was available in early 2004 in time for the EU Conference on ESF (Brussels, 29-30 January 2004). The up-date of the mid-term evaluation (so called final evaluation) is in a launching process. The results are expected in 2005. In this context and to support the preparation of the next Structural Funds framework of interventions, two thematic studies are foreseen to be launched at Commission level to support the preparation of the next Structural Funds regulations, one on ESF as a policy support mechanism and the other on the design and implementation of monitoring and evaluation systems at different levels of ESF implementation.

T**he** ESF **ex post evaluation 1994-1999** has also been used in a variety of forums during 2003. The results of the evaluation have been presented and discussed at the ESF Committee of December 2003. Provisional findings and data from the ESF ex post evaluation have been used in the DG EMPL contribution to the drafting of the 3rd Cohesion report. The results were presented in an ESF evaluation partnership meeting that represents officials responsible for ESF evaluation in Member States?

External evaluators in MS have also evaluated the **Equal Community Initiative** programmes. An EU wide synthesis of Community Initiative Equal's evaluations will be ready for 2005. The EU-wide evaluation has confirmed the overall appropriateness of the strategies of the CI's programmes. However, the evaluation recommended Member States should pay more attention to inequalities resulting from employment instabilities, and to use EQUAL more widely to explore alternative actions and delivery mechanisms outside current labour market policies. The interim results of the EU wide evaluation have been considered by the Commission in its December 2003 Communication and in the setting up of the second call of EQUAL (COM (2003)840). These evaluation findings will be also used to support the preparation of the future of Structural Funds.

Concerning the evaluation of **Innovative measures under Article 6 of the ESF** Regulation, the evaluation of the 1998 pilot projects on local social capital was completed early 2003. It assessed the achievements of a programme designed to support social inclusion through local partnerships. The results demonstrate the feasibility of the global/small grants mechanism foreseen in Art. 4.2 of ESF Regulation. However, it also shows that facilitating access of small projects to the ESF requires simplification of financial management procedures. For this reason, intermediary Bodies managing global grants need to operate a 'firewall' approach shielding micro-projects and individual participants from the full burden of financial management requirements. The non-monetary aspects of support provided by intermediary bodies are crucial. In addition, micro-Projects should be supported actively, financing should remain limited and flexible in its scope. The results have been presented to the ESF Committee, ESF Evaluation Partnership and widely disseminated including on the web.

The evaluation of the Article 6 projects on the "New economy in the context of social dialogue" has continued and results will be available in 2004.

The evaluation on "local development strategies and innovation 2002 projects" has started in 2003. The interim results will be available in 2005 the completion of the evaluation is foreseen in 2006.

The review of the **EURES implementation** to support new legal base will start in 2004 to produce the results for the finalisation of the Social Policy Agenda (end of 2005).

The evaluation results of **Dublin Foundation** (European Foundation for the Improvement of Living and Working Conditions) and Bilbao Agency (European Agency for Safety and Health at Work) have been used to reinforce the institutionalised links and relationship between the Commission and the Agencies and focus the work programme on fewer strategic issues.

The evaluation of the practical implementation **of national legislation transposing health and safety Directives** 89/391, 89/654, 89/655, 89/656, 90/269 and 90/270 in undertakings and public-sector bodies of the MS is in the process of finalisation. The external evaluation constitutes the background, together with the internal input of DG EMPL and Commission Advisory Committee on Health and Safety at Work, for the preparation of the Commission's Communication early 2004. The results will be used to reinforce the link with the Lisbon's objectives and the promotion of the quality of working conditions. The future interventions must combine the various instruments, promote progressive approaches based on transparent and reliable data and indicators. The recommendations concern the social and civil dialogue which should be strengthened, the actions on the part of the social partners, or voluntary company schemes which are essential to improve the knowledge and awareness of all players, and the necessity to ensure that concerns for health and safety at work are mainstreamed into

all other relevant Community policies. A new evaluation study on the practical implementation and technical conformity of national legislation with Directives 92/29 EEC, 92/57/EEC, 92/58/EEC, 92/91/EEC, 92/104/EEC and 93/103/EEC will be published in 2004.

The role of **Social dialogue** in the design and the implementation of employment and social policy will be evaluated in 2004. The results will be available mid 2005 in order to contribute to the finalisation of the Social Policy Agenda.

A **social inclusion** report describe the main challenges for poverty and social exclusion and provide a launch pad for strengthening policies and programme across the EU cooperation and between members states. It identifies core challenges to be addressed by MS. The evaluation of the open method of coordination in the field of social exclusion will start in 2004 to have interim results available in time to support the reprogramming of the social policy Agenda. The final results are foreseen in 2006 to be reported to the spring council. The **OMC in pension's** field will follow the same evaluation process. Those results will be supporting the preparation of the Communication on the future of the social inclusion process and the streamlining would improve consistency and effectiveness between this area, pensions and health. The **Community action programmes to combat exclusion** will have interim results available in 2004 and final in 2006. They will be used to support the preparation of the future of the programmes and the preparation of the next social policy agenda.

An evaluation of the **Observatory on Racism and Xenophobia** in Vienna has been performed three years after its creation. The recommendations according to which financial and human resources should be focused on the Observatory principal objective of data collection and research have been used to recommend the improvement of the functioning of the Observatory. A Commission communication including those results has been adopted including a proposal for the amendment of Regulation EC 1035/97 establishing the Centre.

Concerning the implementation of the **Anti discrimination Community action programmes**, interim results will be available in 2004 and final in 2005. They will be used to support the preparation of the future of the programmes and the preparation of the next social policy agenda.

The evaluation of the **European Year of People with Disabilities 2003** has been launched in 2003 and the results will be available in 2004.

An external Evaluation the **framework strategy and the Community action programme on gender (2001-2005)** has started in 2003. It has delivered the preliminary evaluation results end of 2003 and final results will be available in 2006. The on-going results will be used in the process of final evaluation of the Social Policy Agenda.

ANNEX 2 LIST OF EVALUATIONS AVAILABLE

Title	Purpose	Budget line	End	Type of evaluation
0402 Employment & European Social Fund				
Evaluation of the preparatory measures "for local commitment for employment" 2001	Assess the preparatory actions and improve the future actions	B5-5030	nov-04	Mid-term and final
Evaluation of the incentive measures in the field of employment (2002-2006)	Improve the implementation of current programme and design of the new programme	B5-5020	avr-07	Mid-term and final
Ex-ante evaluation of the employment incentive measures		B5-5020	sept-99	Ex-ante
Horizontal evaluation of local employment development	Mainstreaming of LD in the other policies	B3-5030	avr-04	META/Final
Evaluation of the European Employment Strategy	Review and assess the impact of the strategy in 2002	B5-5020	juil-02	Interim
Evaluation of the preparatory measures "Acting locally for Employment" 2000	Assess the preparatory actions and improve the future actions	B5-5030	juil-02	On-going
Troisième secteur et Emploi		B5-5010	janv-01	On-going
Evaluation du Programme ERGO		B5-5010	juin-96	Ex-post
Evaluation du Programme LEDA		B5-5010	juin-96	Ex-post
Evaluation of ex-offenders		B5-5010	déc-96	Ex-post
Synthesis of the ESF mid-term evaluation	Feed back for reprogrammation	B2-1630	juin-04	Mid-term
Art 6 Local Employment strategies and innovation	Feed back for reprogrammation	B2-1630	août-06	On-going
Art 6 New economy in the context of Social Dialogue (2001)	Draw lessons for mainstreaming	B2-1630	oct-04	On-going
EQUAL EU Wide evaluation	Complement the MS Equal evaluation	B2-1420	janv-06	Mid-term and final
ESF ex-post evaluation 1994-1999	Assess the impact of the ESF interventions, input to the evaluation of the EES	B2-1630	avr-04	Ex-post
Art 6 Local social capital pilot projects (99-02)	Provide feedback for good practices and mainstreaming	B2-1630	juin-03	Mid-term
ADAPT CI - Final EU-Wide evaluation		B2-1420	mars-00	Final
EMPLOYMENT-final EU Wide Evaluation		B2-1420	mars-00	Final
0403 Work organisations and working conditions				
Evaluation of financial instruments in support of European social dialogue	Mainstreaming of SD in the other policies	B3-4000 B3-4002 B3-4003	mai-05	Ex-ante Mid-term Ex-post

Evaluation of the practical implementation and technical conformity of national legislation, directive 92/57/EEC 92/91/EEC 93/103/EEC	Evaluate the application of transposition of directives	B3-4310	oct-05	On-going
Evaluation of the practical implementation and technical conformity of national legislation directive 89/391/EEC	Evaluate the application of transposition of directives	B3-4310	avr-04	On-going
Evaluation of the activities of the European Dublin foundation for the improvement of living and working conditions	Improve the implementation of the actions and prepare future interventions	B3-4200	mars-02	On-going
European Agency for Safety and Health at work	Evaluation of the functioning of Bilbao Agency	B3-4311	mars-01	On-going
Evaluation of pilot projects 1995 on European Occupational Diseas Statistics (EODS projects)		B3-4310	sept-98	
Evaluation of EURES	Review the EURES implementation	B3-4011	oct-04	Final
Evaluation of EURES	Partenariats transfrontaliers de EURES	B3-4011	mars-99	On-going
0404 Promoting an inclusive society				
Evaluation of the social exclusion programme 2002-2006	Improve the implementation of current programme and design of the new programme	B3-4105	juin-06	Mid-term/Final
Evaluation of preparatory action 1999	Improve the preparation of the programme	B3-4105	févr-02	On-going
Evaluation of preparatory action 1999	Improve the preparation of the programme	B3-4101	sept-01	On-going
Evaluation ex-ante of the social exclusion programme 2002-2006	Preparation of the programme	B3-4105	sept-99	Ex-ante
Actions de lutte contre la pauvreté et l'exclusion sociale		B3-4103	déc-98	On-going
Evaluation of the Associations formed by disabled people		B3-4106	déc-98	
Evaluation of Helios II		B3-4106	déc-97	
Les leçons du programme pauvreté III		B3-4103	déc-95	
Evaluation of the European Year of people with disabilities 2003	Results of the year	B5-806	oct-04	Mid-term/Final
Evaluation of the programme to combat discrimination 2001-2006	Improve the implementation of current programme and design the new programme	B5-803	juin-06	Final
Evaluation of the preparatory actions 2000 of the anti-discrimination action programme	Improve the implementation of the programme	B5-803	janv-03	Final
Evaluation of the observatory on racism and xenophobia	Improvement of the implementation of the Vienna agency	B5-809	mars-02	On-going
Evaluation of the preparatory actions 1999 of the anti-discrimination action programme	Improve the implementation of the programme	B5-803	août-01	Final
Evaluation ex-ante of the programme to combat discrimination 2001-2005	Prepare the programme	B5-803	sept-99	Ex-ante
Evaluation des actions en faveur des réfugiés (appel 1997)		B3-4113	juin-99	Final
Evaluation of the European Year against Racism		B3-4114	déc-97	Final

0405 Promote gender equality				
Programme and Strategy for gender equality (2001-2005)	Improve the implementation of current programme and design of the new programme	B3-4012	juin-06	Mid-term/Final
Programme for equal opportunity (96-00)	Improve the implementation of the new programme	B3-4012	déc-01	On-going/Final
Troisième programme pour l'égalité des chances entre les hommes et les femmes (1991-1995)	Improve the implementation of the new programme	B3-4012	juin-01	Final
Evaluation of the DG EMPL communication strategy	Ensuring a sound and efficient management		mars-04	On-going

ANNEX 3 GRAPH ON INTERVENTION LOGIC

See separate document