

INCEPTION REPORT

FOR THE EX POST EVALUATION OF THE EUROPEAN SOCIAL FUND (2000 – 2006)

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Enterprise



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Executive Summary

This Inception Report (IR) has been developed at the request of the Commission in order to clarify the research methodology and the organisational approach proposed by the Consortium in fulfilling the stated aims of the project. It has been produced by the Consortium led by Enterprise LSE Ltd in partnership with Vision & Value, Red2Red Consultores, Expanzió Consulting Ltd and Deutschland Denken! E.V, selected by the Commission to undertake the 'Ex post Evaluation of the European Social Fund (2000-2006)'.

Following a discussion with the Commission's Steering Committee for the project during the kick-off meeting and the clarifications that were subsequently provided, the IR details the revisions to the methodology and general project organisation scheme initially proposed by the partners and the reasons for these changes.

In particular, the IR clarifies the following points:

- The aim and the scope of the evaluation (section 1)
- Literature review (section 2)
- The methodological approach and operationalisation of the evaluation questions – within this, section 3.7 will address in particular the preliminary formulation of the hypotheses for the analysis of the 13 evaluation questions, as well as the 9 additional ones (section 3)
- The work plan, organisation and management – including the list of the staff participating in the study, the organisational structure of the research team, the allocation of staff resources, and the organisation of the links with the Commission (section 4)
- The draft table of contents of the First Interim report (section 5)
- Key general terms and definitions (section 6)
- Bibliography of references (section 7)

The ex post evaluation project adopts a methodological approach that is congruent with the mandate received from the Commission of assessing the multiple impacts of the 2000-2006 ESF programmes. The approach is based on a broad scope evaluation on the impact of the ESF expenditure in relation to the 211 operational programmes implemented in 25 member states (MS). The comparative analysis to be carried out across the MS will be largely based on secondary data, while primary data will be considered only when relevant. It will attempt to provide the optimal balance between breadth and depth of coverage (overall and specific assessments). The ex post evaluation attempts to answer 13 'thematic questions' and it does so at the EU level; it also attempts to answer 9 additional questions posed by the Commission.

The methodological approach will be based on the following principles:

- The 13 thematic questions are grouped into 5 Research Themes (I. Utilisation of resources and level of intervention - II. Lifelong learning, work force adaptability and information society - III. Labour market policy - IV. Social inclusion - V. Gender equality).
- These themes will provide the essential information to answer the 9 additional questions as requested;
- The analysis is hypothesis-driven and is mainly based on available secondary data;
- Primary data collection will be undertaken only when necessary (therefore only in case of lack of relevant secondary data);

The specification of the 13 thematic questions, clustered as requested in the Terms of Reference, is presented in the table in section 3.4. Each evaluation question is described in section 3.7, where they adopt the following structure:

- A. Summary and Justification (of the logic supporting the methodological approach)
- B. Operationalization of the concepts used
- C. Hypotheses
- D. Key indicators
- E. Case analysis
- F. Sources and tools
- G. Additional questions correspondence.

The complexity of the ex post evaluation project has necessitated a division of labour scheme among all of the partners in terms of two aggregations:

Thematic Hubs:

The five teams will work on the questions clustered within that theme by formulating and refining the appropriate hypotheses, finalizing their respective methodological approaches, analyzing the data and information and synthesising the results. On the basis of their sampling methods of member states and regions within them, the five teams will be responsible for their theme in the five sets of selected countries and regions. They will essentially create requests to be carried out by the regional hub.

Regional Hubs:

Each team in the Regional Hub will respond to specific requests from the Thematic Hub for complementary information on other themes in their respective sample of member states and regions. Moreover, the Regional Hub will identify key contacts for field-work activities, will organize and deliver interviews and other designed tools for primary and secondary data gathering in Member States of responsibility. The regional hub will also discuss with the thematic hub on the optimal way for collecting the relevant data.

1. AIMS AND SCOPE OF THE EVALUATION

This ex post evaluation project adopts a methodological approach that is congruent with the Commission's mandate to assess the multiple impacts of European Social Fund programmes (2000-2006).

The approach is in essence a broad scope evaluation, covering 25 countries and looking across 211 programmes. Comparative analysis across these countries, which will be largely based on secondary data, aims to provide the optimal balance between breadth and depth of coverage (overall and specific assessments).

Article 40 of Regulation (EC) No 1260/1999 mandates that Community structural assistance shall be subject to evaluations, including ex post evaluation. This ex post evaluation responds to article 43 of the regulation which states it is to be based on the evaluation results already available, the utilisation of resources, the effectiveness and efficiency of the assistance, its impact, and identify success or failure factors. The aim of this ex post evaluation is to assemble and synthesize all the evaluations and studies carried out under ESF 2000-2006 ex post evaluation.

The content addressed by the ex post evaluation is twofold: the 13 'thematic questions' posed by the Commission; and to answer the 9 additional questions also posed by the Commission.

The consortium will apply the "Social Value Chain"¹ whenever possible, as a framework for structuring the interviews with key stakeholders and presenting research results. Particularly, it will be used for the following purposes:

- To illustrate to the interviewees the different phases and components of any ESF programme, and then ask them if any specific strengths/weaknesses have emerged throughout the programme cycle (in the 9 steps of the value chain, detailed in annex 1)
- To understand whether each of the themes to be evaluated shows recurrent criticalities within specific steps of the value chain (i.e. a communication problem, or one in the implementation phase, or the difficulty of engaging with key stakeholders, etc.)
- To share a common frame for the cross analysis of achieved data and the identification of key recommendations and possible improvements (i.e. which of the 9 steps proved critical and how improvements could be designed).

In this way the Social Value Chain will be used also as a structure for presenting the findings in the final report, in order to more clearly identify key areas of strength/weaknesses and possible recommendations which will have emerged through the research and analysis process. In certain EQs, *case studies* will be elaborated as a tool for analysing the research on selected cases.

¹ The Social Value Chain is a proposed scheme for the analysis of the entire process, starting with the identification of priorities in the allocation of ESF funds up to the implementation, monitoring and communication of the ESF supported measures. Further details can be found in the specific annex to this Inception Report.

2. Literature review

This section offers a review of the critical points of current knowledge and evaluation methods of some of the major themes being addressed in this study.

Social Inclusion

Since the late 1990s the increasingly dominant view of scholarly literature and of international organizations on development has emphasized the significance of social inclusion (Sabel, Evans, Portes-Landolt 1996, Evans-Syrett 2007, Trigilia 2001 on the basis of Hirschman and Schumpeter) for social development. Relying on a dynamic definition of social capital this view has challenged traditional approaches to social inclusion based on an immobile relationship between passive recipients (disadvantaged groups) and a benevolent state/ESF (or policy regime) providing financial aid that serve the (re)integration of disadvantaged groups. Representatives of the new approach hold that social inclusion is a dynamic process based on the development of personal social networks that ultimately enable the individual to recognize and make use of her/his opportunities and to achieve things (income gains, education, employment) in mainstream society (i.e. to integrate).

Following from Evans's concept of the "enabling state" that supports and encourages particular types of social networks that mobilize resources for development, social networks at the individual level social networks can mobilize various kinds of capital, such as human (inclusion in mainstream education, employment) and financial (income gains). In other words, social networks enable people to recognize and make use of opportunities (Sabel, 1994/b) and to achieve things (Evans-Syrett 2007, Trigilia, 2001).

This approach that emphasizes the significance of social networks for social inclusion/cohesion is related to a new, more dynamic concept of social capital. This definition/approach describes a dynamic social capital concept which unlike the Putnamian definition of the term as "trust", or "cultural norms", sees social capital as a tangible asset whose importance resides in its ability to lever in and maximize the use and development of other sources of capital; in other words in order to gain meaning, it must be activated or generated for instrumental purposes (Portes-Landolt 1996, Evans-Syrett 2007, Trigilia 2001). This alternative approach conceives social capital in terms of a set of relationships, i.e. as social networks and sees the significance of such networks not in their "existing level" but in terms of the way different forms of social capital are marshalled to achieve different things in a balanced way (Evans-Syrett 2007, Trigilia, 2001).

From this point of view, it is necessary to study the specific conditions that foster – and those that might hinder – the evolution of social capital as positive resources for development (Trigilia, 2001). A "good endowment of social capital allows for policies which are more efficient and effective for promoting human capital and specialized knowledge, and for providing collective goods such as services, ... social capital can be a strategic resource to favour the competitiveness of a certain area" (Trigilia, 2001: 438). This alternative view of social capital suggests that "well-defined policies can help these processes by encouraging networks but also by restraining their attitudes to collusion and rent-seeking" (Trigilia, 2001: 439). Hence, the role of the state and of larger regimes – such as the EU and ESF – is essential in supporting local actors from above through policies to mobilize their resources from below through networks and cooperation (Trigilia, 2001).

We suggest that access to networks and rules of inclusion/exclusion can be analyzed with a view to the interaction between external framework conditions and their endogenous interpretation by actors themselves in the course of the enactment of institutions. Thus, the efficiency and effectiveness of ESF-measures for social inclusion must be understood and evaluated within domestic institutional systems that filter the original goals of the EU regime. This is where Evans's concept of the "enabling state" can explain different models of social inclusion. According to this, states can and should enable actors (at lower levels of the state as well as non-state actors) with tools to direct social change rather than directly intervene. Policies thus should induce social inclusion indirectly by providing the means for disadvantaged groups to have access to social networks that encourage their (re)integration to the labor market, mainstream education and training systems, etc. As long as policies offer free-riding and actors are not enabled but rather directed through direct policy intervention, personal social networks will not be able to mobilize positive resources for social development (rather the opposite: collusive networks, rent-seeking). Most success stories of ESF-funded projects show that social rehabilitation and network revitalization was an integral part of the (otherwise strongly employment oriented) projects (European, 2005).

Life Long Learning

This overview explains some background, methodological considerations, assumptions and data sets employed by Deutschland Denken! In order to create the human capital accounting tool that underpins its human capital research and publications, as well as ultimately also the ex post evaluation of the ESF programming period 2000-2006. We call it TBM-HCA – **Time-based Measurement Human Capital Accounting** – because its distinguishing characteristic is to be estimating the total *Human Capital Stock* of a nation, region, company or program by measuring the **total amount of time** that was spent creating it.

As intuitive as the link between investment in people and economic performance appears, it is difficult to prove empirically and consistently. Human capital is created in different ways. To measure it comprehensively requires consideration, *inter alia*, of people's generic and specific skills, formal educational attainment, adult learning and work practices. Quantifiable translations are also problematic. For instance: How much learning-on-the-job is needed to substitute for a month of formal adult education? What is more effective in generating human capital: spending to reduce the student teacher ratio for immigrant children or spending on retraining the unemployed? Measurement is further complicated by the fact that different sorts of investment in human capital have different rates of return for different stakeholders (e.g. the individual and society) as well as widely diverging pay-back periods. If human capital and its impacts were more readily quantified, human capital investment might play a bigger role in economic decision making.

Deutschland Denken! employs a human capital accounting model that uses time-based measurements for quantifying economically relevant human capital. The methodology has the following characteristics:

- **Comprehensiveness:** the model captures those four different types of learning which the Deutschland Denken! research has found to be relevant: a) parental and social peer group education received; b) primary and secondary schooling received; c) tertiary and vocational education received; d) adult informal, non-formal and on the job learning conducted

- **Consistency across type, time and country:** The investment in each type of learning is expressed in the same unit – purchasing power parity US dollars (PPP\$) - such that the economic value of all learning is comparable across time and place.
- **Allows for depreciation:** Based on empirical evidence of rates of forgetting and rates of knowledge obsolescence, the model depreciates different human capital investments over different periods of time and at different rates.
- **Accounts for input costs:** The value of the investment in learning is primarily measured by the effective time spent on learning. For that we are using a layered model, whereby every learning that happens accelerates the effectiveness of later learnings. Furthermore, early learning does not get depreciated as fast as later learning. This gives early learning a higher indirect value with long-run effects, and later learning a higher immediate direct value with short-run effects.

TBM-HCA is built on the human capital studies by Gary Becker's, which in 1964 suggested that besides the traditional factors of physical capital and labour, there must also be an education element that promotes economic development. Mincer in 1974 attempted to operationalize this theory by relating real wages to years of schooling and years of labour market experience. This empirical analysis triggered decades' worth of studies for rates of return analysis for additional years of schooling. In the course of these studies it could largely be proven that it is the learning that happens in education which leads to higher wages, rather than education being merely a signalling device.

In a macroeconomic context Mankiw, Romer and Weil in 1992 (MRW) developed the so-called "augmented Solow model" of a neoclassical production function, in which human capital is accorded a distinct role of input towards production. In the MRW models technological progress is still an exogenous factor to the growth equation. Extensive testing of the MRW models revealed inconclusive results, leading to criticisms and alternative variations of the model. Other key authors are Lucas, Grossman and Helpman, or Aghion and Howitt, who tried to link human capital stock and human capital growth to economic growth via the route of technological progress, thereby making technology an endogenous function of human capital endowment. Gundlach in 2002 was able to show how for 23 OECD countries technology would be endogenous. From a different angle, authors such as Nelson and Phelps in 1966 and Schultz in 1975 pointed out the role of education in the dissemination and adoption of technological process. More recently a study conducted by Coulombe, Trembley and Marchand in 2004 showed how human capital stock could be estimated on the basis of adult literacy scores. Hanushek in 2007 paraphrases the research thus: "To give an idea of the robustness of this association, in the recent extensive robustness analysis by Sala-i-Martin, Doppelhofer, and Miller (2004) of 67 explanatory variables in growth regressions on a sample of 88 countries, primary schooling turns out to be the most robust influence factor (after an East Asian dummy) on growth in GDP per capita in 1960-1996." And Fleisher, Belton and Li could prove that: "We find that human capital positively affects output in three ways. First, educated labor makes a direct contribution to production. Workers with more than elementary school education have a much higher marginal product than labor with no higher than elementary schooling. Second, we estimate a positive, direct effect of human capital (measured by the proportion of workers with some senior high school education or above) on Total Factor Productivity (TFP) growth. This direct effect is hypothesized to come from domestic innovation activities. Third, we present evidence of an indirect spillover effect of human capital on TFP growth."

In the present context of globalization, interconnectivity between the different areas of the world and the constant introduction of new technologies, Europe must have as one of its greatest priority the promotion of the adaptability of the workforce. It is considered that this effort that must be done should targeted workers that are employed and workers that are currently unemployed.

Labour Market

The European Employment Strategy confers a great importance to the promotion of the intervention at the local level in terms of its four main pillars of action. Specifically, the EES emphasizes the value that local initiatives have on the improvement of entrepreneurship and job creation.

The commitment towards local initiatives lies in the assumption that at the local level it can be answered in a more effectively way to the problems of unemployment, economic development and social inclusion located in a specific geographic area. This is explained by the following several reasons:

- Allows adjusting more the actions on the real needs.
- Facilitates the collaboration of the actors had a common goal.
- Promotes the use of the available resources in a more efficient approach and promotes a more effective and efficient organization of them.
- Makes easier -or less difficult- the participation of groups at risk of exclusion.

Taking into account the above, local initiatives would be more able than general measures to stimulate investment in the specific area. It is considered that these measures can have better results in the field of improving the human capital and obtaining the most of the potential of the human capital existing in the area.

However, there are other factors that may influence the way they operate these local initiatives and results to be achieved through the activities implemented.

The study of real experiences has demonstrated the existence of some obstacles for the development of these local initiatives related to legal and financial instruments implementation, political and administrative systems, or in the mismatch between the demands and the supply of training, etc.

The activities developed within the framework of these local initiatives can target different target objective. Therefore, there is a large list of possible actions from activities that focus directly towards individuals or firms, to others that are aimed to the promotion of improvements in systems and structures for several areas: training, education and research, public service employment, for the anticipation of training needs, skills, new forms of work organization, etc.

However, the implementation of local initiatives does not guarantee achieving immediately the expected results in terms of socio-economic development, job creation and social inclusion. In this sense, the results in each of these areas may differ depending on the objectives and the exogenous factors that could have been involved.

Although many interventions of the European Social Fund are not explicitly targeted at the employment creation, they have important effects on employment. This means that some limitations or prudency should be taken when analysing the impact on employment of the ESF. As it has been indicated, ESF-supported activities that are aimed indirectly towards creation of employment have tend to arise the results in the medium or longer term. Therefore, the difficulty to isolate and measure these effects among specific interventions is high.

It has been considered that the links between Structural Funds interventions as ESF-supported activities and the effects on employment could be categorized referring to their direct or indirect casual-effect. These aspects are shown in the following table²:

Direct effect ←		→ Indirect effect		
Construction and implementation	Employment subsidies	Training	Support for productive activities	Infrastructure and increased competitiveness

On the basis of the methodology proposed for the ex post evaluation, the analysis will be focused on those ESF-supported measures that would be included in those categories with more direct effects. Assuming that the ESF fund have less presence in activities such as “construction and implementation” or “infrastructure and increased competitiveness”.

Finally, when analyzing the impact on employment of ESF-supported activities it must be taken into account that the creation of employment will not necessarily have only direct effects on the reduction of the unemployed. Furthermore, this kind of measures can generate increments in the activity rates as people that were inactive could be attracted to look and to find a job thanks to the measures that have been implemented.

On labour market and employment indicators, scholarly papers have predominantly analysed efforts to develop and monitor indicators on labour market going beyond simple employment figures and instead to employment quality. However job quality has also become an economic policy issue, both at the international level through the definition of “decent work” by the ILO (ILO, 1999) and at the European level through the inclusion of employment quality indicators in the European Employment Strategy in 2001 (European Commission, 2001). There have been studies on Content of work and working conditions, including the intensity of work (Green, 2006) Job satisfaction (Happiness economics). This discussion has been reflected in the EU, where analysis of the Laeken indicators show there is some heterogeneity among EU countries concerning job quality and that there are synergies between job quality and labour market quantitative performances (Lucie Davoine, Christine Erhel). Debates around these indicators however suggest that European indicators are limited in their effectiveness. This has led to calls for complementary indicators such as the dynamics of employment quality (Fremigacci & L’Horty (2006)) and its relationships with labour market performances, economic growth, or policies. The quality of work debate is in the context of the policies on different approaches of flexicurity. Alternative policy approaches within Europe show employment and social protection policies can support flexibility for firms while ensuring income and broader social security to workers at the societal level. While in many countries this problem has been explained by the slow economic recovery, there is growing evidence that even in those countries where economic growth was relatively high over a longer period, employment was stagnating. The issue discussed in papers is now to find a new balance between appropriate adjustment flexibility for enterprises, with no impediments to productivity improvements, and reasonable employment and income security for workers, contributing towards reduction of unemployment and poverty.

Gender

By the late 1990s, when the 2000-2006 European Social Fund (ESF) resources were being allocated, the employment status of women in the EU was very unsatisfactory. *Over half of the EU’s population, women, were underutilized, making this an enormous developmental challenge.* The problem was recognized as being multifaceted, as women were present in the workforce in smaller numbers, encountered greater obstacles in securing their first job, filled lower paying jobs, tended to lose them faster and had fewer career advancement opportunities.

² Based on: European Commission (1999): “Evaluation socio-economic programmes: Transversal evaluation of impacts on the environment, employment and other intervention priorities.” Means Collection. Volume 5. p.83. Office for Official Publications of the European Communities. Luxembourg

The Lisbon Strategy, among other Community actions, acknowledged the problem and incorporated it into its own 'competition' and 'cohesion' challenge. The ESF's strategic approach followed on its heels, specifically mandating that Operational Programmes have a developmental focus on women and work. But the EU was neither alone nor unique in assessing the terms of the problem of women in the workforce. Ample literature had been produced on the several related issues.

Empirically measured determinants of the low level of female employment in the EU have been found to be the rigidity and strictness of labour market institutions, but also individual preferences particularly linked to educational levels and for young women also to decisions to have children where conditions of service support are inadequate. Higher levels of unemployment throughout the economy constitute another factor discouraging women from seeking work, especially the younger ones, while life habits of not having participated in the labour market at younger age, explain the difficulty on the part of older women to enter at a later stage in their life (Gomez, Genre and Lamo, 2005). Furthermore, on the issue of family responsibilities and in the more traditional Southern flank of the EU, the compatibility between women's low levels of family wealth and work has been identified in flexible work arrangements, especially part-time work options and family leaves (Del Boca, Pasqua, 2005). Empirical findings from the study of a larger sample of countries assesses the importance of 'women friendly' public policies in order to achieve a more intensive and egalitarian labour market integration of women compared to that of men (Stadelmann-Steffen, 2008),

But low employment levels are only one of the issues discriminating the status of women in the workplace. The continued fairly systematic occurrence of a pay gap between women and men is a phenomenon which has been exacerbated by the impact of globalization and its unequal distribution of resources. This has happened not just in the developing economies, but also in the developed economies and more so across the lower ranks of private sector service work (Seguino, Grwon, 2006). In this regard, as women have been narrowing the gaps in education and experience, the pay gap needs to be explained more broadly, that is by including workplace characteristics, an issue which calls for gender mainstreaming pay policies and practices (Rubery, Grimshow, and Figueiredo, 2002; EGGSI, 2007). Countries such as the USA and the UK, which on the one hand have a higher gender wage gap than Southern European countries, on the other tend to have a higher female employment rate as well. The explanations advanced for such differences includes ever more the 'soft variables', that is the cultural beliefs about gender roles and family values in addition to attitudes towards money, individual ambitions and altruism (Olivetti and Petrongolo, 2008).

All of which speaks of the balance between work and private/family life in determining female employment rates and rewards, which in turn translates into the need for family reconciliation policies as part of employment led social policy at the EU as well as the member state levels. The EU directive of 1996 on parental leave was a good step in the right direction. Nonetheless, studies have shown that the follow up by states has been quite uneven, with Nordic countries coming in as best performers in implementing policies which reduce the conflict level between work and family life (Lewis, Knijn, Martin, and Ostner, 2009; Crompton and Lyonette, 2005; EGGSI, 2005). As European population age, the informal or non institutional care of the elderly has increasingly become a constraining element for women's employability. Informal care giving has a differential negative impact on the probability of female employment in different member states, but it is particularly evident for middle age women and single women (Viitanen, 2005). Moving on to another issue, at one high end of the employment scale, typified by self employment in the hi-tech sectors, (Mayer, 2008) studies begin to show significant increases in the number of women starting or owning a business in non traditional sectors. However, again, even in the USA this encouraging trend is moderated by the acknowledgment of important intra-metropolitan sectoral and spatial segmentation differences for female-typed high-tech firms.

3. SPECIFICATION OF METHODOLOGY

3.1. Overview

The methodological approach is based on the recommendations in the *Study on the Relevance and Reliability of Available Information for the Ex Post Evaluation of the ESF (2000-2006)* – hereafter the Euréval/Rambøll study – on how to use the available information and how to fill the existing gaps; and the recommendations originating from the Commission, with regards to (i) centering this evaluation on the effects of the ESF 2000-2006 in terms of effectiveness, efficiency, impact and sustainability, and (ii) looking at all 25 member states, although with limited attention to the individual member states' institutional context. Moreover, it has been readjusted according to the following **principles**:

1. **The 13 main evaluation questions** are grouped into five Research Themes, as described in section 3.4. The results of each evaluation question will provide the basic elements for answering the nine additional questions, also presented in section 3.4.
2. **Resource allocation will be analysed for all the OPs in all EU member states**, drawn mainly from the SFC Commission's database through indicators at the level of "measures".
3. **Hypothesis driven analyses** are formulated to answer each question, taking into account the lack of relevant and reliable information. Preliminary hypotheses have been established for each question, so that the analysis will be focused on validating these initial hypotheses and assessing them against the degree of success achieved.
4. **Evaluation results already available**, particularly those related to mid-term and updated mid-term evaluations, will be taken into account in the ex post evaluation.
5. **Primary data** are considered, but only in case of substantive lack of secondary sources. Hence, field-work is foreseen and only if approved by the Commission.
6. **Coordination with other evaluators** will maximize results: comparing our approach with that of others will allow for the creation of significant complementarities and synergies, while at the same time avoiding overlaps in the methodology and coverage.
7. **Context similarities and differences among Member States and Regions** of Europe are considered, by grouping all European States within four different 'geographical aggregations' that could reflect socio-economic and institutional similarities/differences. States and MS are compared within these aggregations and the consortium also takes into account a balance of different Objectives 1, 2 and 3 at the regional levels.

On this basis, and in order to efficiently address the complexity of data collection, the Consortium has decided to undertake the research through the creation of five thematic and five regional teams (hereafter named "thematic/regional hubs"), and to allocate specific responsibilities to each team as described below:

Thematic Hubs:

The five teams will work on the questions clustered within that theme by formulating and refining the appropriate hypotheses, finalizing their respective methodological approaches, analyzing the data and information and synthesising the results. On the basis of their sampling

methods of member states and regions within them, the five teams will be responsible for their theme in the five sets of selected countries and regions. They will essentially create requests to be carried out by the regional hub.

Regional Hubs:

Each team in the Regional Hub will respond to specific requests from the Thematic Hub for complementary information on other themes in their respective sample of member states and regions. Moreover, the Regional Hub will identify key contacts for field-work activities, will organize and deliver interviews and other designed tools for primary and secondary data gathering in Member States of responsibility. The regional hub will also discuss with the thematic hub on the optimal way for collecting the relevant data.

The scope of the study is informed by a framework which has been devised for selecting evaluation cases:

1. All measures are mapped, to see which are the most relevant for analysing each evaluation question.
2. Socio-economic macro-indicators and indicators of ESF financial contribution are applied to the relevant measures and mapped onto a 'case selector' graph. The results are 'correlated groupings' of MS and regions. From the graph, the consortium compares states and regions between similar institutional settings for meaningful comparisons. From within these aggregations, widely divergent cases in the four quadrants are chosen in order to investigate cases that may either point to some differences that are likely to explain success or some commonalities that may be generalized for the very reason to have been found in very different cases. Although not indicative of performance per se, this graph will inform us of the most diverse and interesting cases to then select for study.
3. Characterization of all of the OPs through the review of available data (i.e. typology of measures, financial allocations, country of pertinence, as well as extensive literature reviews) further informs our selection of cases from the correlated groupings yielded by the case selector graph. It is to be noted that Themes II and V will apply a further dimension to this case selection framework, given the nature of these theme's EQs.
4. The consortium then makes a selection of the measures, instruments and institutions/beneficiaries (management authorities, managers of measures, final beneficiaries) best suited to address the hypothesis of each question.
5. The most adequate research techniques/ tools for the study are then selected to gather the information necessary to test the hypothesis and draw conclusions.

In section 3.7, the above steps 1-3 are described in detail for each specific EQ in their 'case analysis' sections, while point 4 and 5 is set out in respective sections, 'sources and tools'.

3.2. Criteria for the selection of relevant external studies

The criteria below will be used when selecting studies, different from ESF evaluations, which may be appropriate for generating conclusions and recommendations that are useful for the purpose of the ex post evaluation.

About the sources:

- Studies must be done by relevant public or private organizations, with a demonstrated expertise in the related field.
- The territorial activities coverage of the organizations should be representative at the national level: NUTS I or NUTS II

Inclusion criteria (to choose one study/document):

- Thematic coverage: the study must be in the area of one of the themes of the evaluation:
 - Utilisation of resources and level of intervention
 - Lifelong learning, work force adaptability and information society
 - Labour market policy
 - Social inclusion
 - Gender equality
- Territorial coverage: NUTS I or NUTS II
- Temporal coverage: published in 2005 or later (as the evaluation aims to study the results in the programming period³).

Exclusion criteria (to reject one study/document):

- For a quality check on available data, the consortium will refer to criteria defined in the Annex A of the Commission's tender specifications: appropriate methodological design, reliable data, sound analysis, credible findings, valid conclusions, helpful recommendations, clarity of exposition.

3.3. Resource Interpretation

As discussed among the members of the consortium and with the Commission, the simplification of the analyses to be made within the ex post evaluation framework is essential to ensure a successful project. As highlighted in the Euréval/Rambøll study, there is in fact a significant gap between the evaluation goals and availability of data. To ensure an overall feasibility in the proposed methodology, we will therefore:

1. Use literature review and the early analysis of available financial and physical data to generate preliminary hypotheses and consolidate or reformulate those hypotheses;
2. Consolidate or reformulate hypotheses at an early stage of the project for each evaluation question (therefore constantly verifying the scope of the methodological design);
3. Verify availability of needed data and sources since the early stage of the evaluation.

The analysis of available data will therefore start at an early phase of the evaluation, in order to provide focus to check both availability and robustness of the basic information that is needed for all the evaluation questions.

3.4. Operationalisation of the Evaluation Questions

Questions to be addressed

The consortium has grouped the 13 thematic questions into 5 Research Themes as represented in the table below. The table also illustrates the level of available information, as reported in the Euréval/Rambøll study.

³ The focus, at least for the EU10, will be on the most recent studies (those finalised in 2007-2008).

Research Theme	Availability of information according to Euréval/Rambøll study
I. Utilisation of resources and level of intervention	
I.a To what extent has actual ESF expenditures been targeted at achieving the main objectives set out in the European Employment Strategy (EES)?	High
I.b In which instances have the level of intervention (national, regional, local) made a difference in achieving the intended impacts? (level of intervention)	Low
II. Lifelong learning, work force adaptability and information society	
II.a. To what extent and how have the ESF-supported activities contributed to improving the adaptability of the organisation of work within the enterprise? (adaptable work organization)	None
II.b Have ESF-supported activities paid sufficient attention to the issue of lifelong learning, and has this successfully contributed towards the objectives/targets of the EES and the EU benchmarks in education and training? (lifelong learning)	Low
II.c To what extent and how have the ESF-supported activities contributed to improving the adaptability of active people? (adaptable workforce) <i>NB: For the analysis this question will be divided into two: II.c.a and II.c.b</i>	Moderate
II.d Have ESF-supported activities paid sufficient attention to the social and labour market dimensions of the Information Society, and has this successfully contributed towards the objectives of the EES? (information society)	Low
III. Labour market policy	
III.a To what extent and how have the ESF-supported activities contributed to accelerating the matching of demand and supply in the labour market? (labour market management)	None
III.b To what extent have the ESF supported activities contributed to reshaping policies at the national and regional levels in line with the EES and Lisbon?	Low
III.c To what extent have the ESF-supported activities contributed towards raising the level of employment? (impact on employment)	None
IV. Social inclusion	
IV.a To what extent and how have the ESF-supported activities contributed to promoting equal opportunities for disadvantaged groups to access the labour market?	Moderate
IV.b To what extent have the ESF-supported activities contributed to achieving social cohesion? (impact on social cohesion)	None
V. Gender equality	
V.a To what extent and how have the ESF-supported activities contributed to equal opportunities for women and men in accessing the labour market, and in the workplace? (gender and the labour market)	Low
V.b Apart from gender-specific activities, to what extent have the rest of ESF-supported activities been managed in order to maximise the ESF's potential impact on gender equality?	None

Specific methodologies have been detailed for the analysis of the 13 thematic questions and formulated according to a common structure of analytical dimensions, which makes comparisons possible. The proposed methodology for each question is described in more detail in 3.7, where each EQ is proposed according to the following structure:

- A. **Summary and Justification:** This is a summary of the logic supporting the methodological approach.
- B. **Operationalization of the concepts used:** these are the main concepts adopted in the proposed methodology.
- C. **Hypotheses:** the hypothesis that drives the evaluation of the question.
- D. **Key indicators:** specific indicators to be employed with relation to the hypothesis.
- E. **Case analysis:** Here, “Case selectors” define how the evaluation cases are to be selected by identifying a “correlated grouping” of Member States or Regions, and then the specific MS/regions within that grouping. This ‘case analysis’ section, elaborated in more detail in 3.5, describes how the analysis will be performed on the OPs in the sample identified, the individual measure within those OPs, and the target of that measure. The analysis is based on the key indicators of D and the hypothesis set out in C.
- F. **Sources and tools:** sources of data and the evaluation tools to be employed.
- G. **Additional questions applicability:** those additional questions that will be answered through the analysis of the EQ.

As shown in the last point of the above list, in addition to the 13 thematic questions discussed above, the following 9 additional questions posed by the Commission will be addressed in the analysis:

1. To what extent have the ESF-supported activities added a specifically Community ‘value’ to the progress towards social cohesion?
2. Have there been unintended impacts and have these been offset by the benefits of the activities?
3. Has the ESF support induced a real change in the behaviour of the beneficiaries, or have they just done what they would have done in the absence of the support?
4. Has the ESF support attracted additional resources towards the objectives of the EES?
5. How cost-effective were the main implementation arrangements with regard to the specific intended impacts of the ESF-supported activities?
6. Which are the typical success and failure stories of implementation arrangements and what are the main factors explaining them?
7. Which are the main factors affecting the sustainability of the benefits in the case of the identified success stories?
8. Which ESF measures and instruments have been more effective in reaching the objectives set and why?
9. To what extent are ESF and ERDF actions complementary?

The following table illustrates which of the 13 evaluation questions will provide the necessary information for answering each of the 9 additional ones. This is detailed in the section “additional questions correspondence” for each EQ in section 3.7.

Theme	EQ	ADDITIONAL QUESTIONS								
		Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9 ⁴
Utilisation of resources	I.a				X				X	
	I.b		X	X			X	X		X
Life-long learning, adaptability, info-society	II.a		X	X			X	X		
	II.b				X	X	X	X		
	II.c.a			X			X	X		
	II.c.b			X			X	X	X	X
	II.d				X		X	X	X	
Labour market	III.a		X	X	X	X	X	X		X
	III.b	X	X	X	X		X	X	X	
	III.c	X				X			X	
Social inclusion	IV.a	X	X	X	X			X	X	
	IV.b	X			X		X	X		
Gender equality	V.a	X	X				X	X		X
	V.b				X		X	X		

3.5. The scope of the analysis: Sampling and identification of “case selectors”

This section describes in more detail how the consortium selects evaluation cases to analyse. As mentioned in 3.1, the purpose of the “Case Selectors” is to reduce the scope of analysis, rather than to actually perform the analysis. The scope is informed by the following steps, to be applied in each EQ (described in their section E, “case analysis”):

The Evaluation Questions that the consortium is investigating are divided into two types:

1. EQs whose questions are to be investigated across all measures and MS (I.a and III.c)
2. EQs where in-depth investigations of evaluation cases are needed in order to pinpoint the variables of ESF performance. This is the case for the majority of EQs and requires cases either at the national level or regional cases at the level of the measures. Specific choices will be further explained in the EQs in this report.

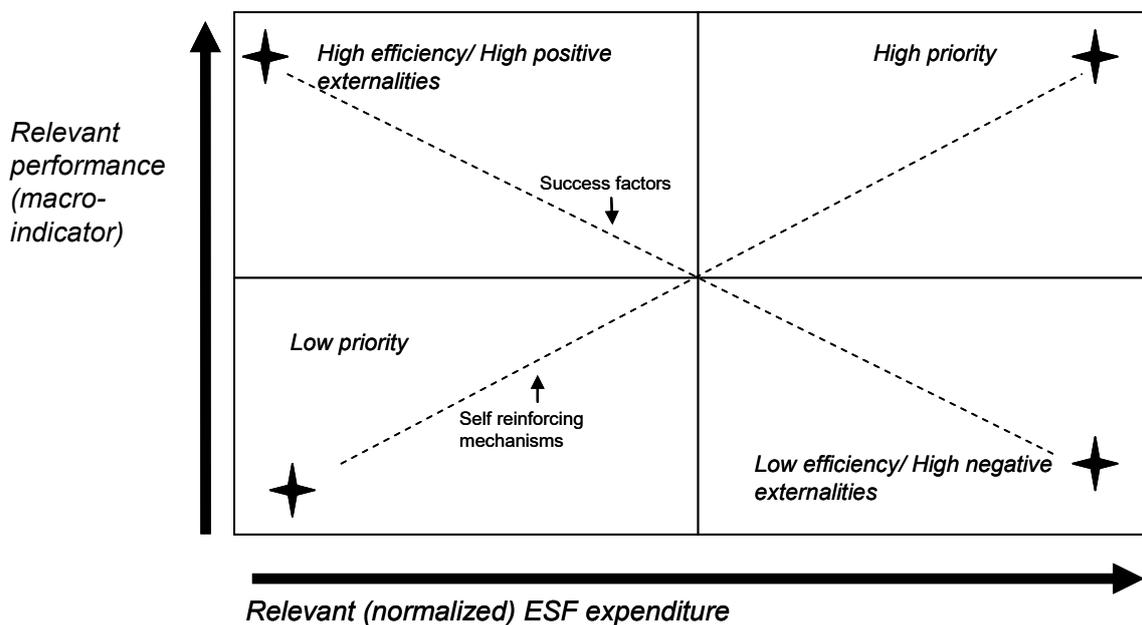
For the second type of EQ, the consortium has devised a process, set out below, for selecting the evaluation cases to analyse. The method has been applied whenever possible and its application has been mitigated by specific considerations for each evaluation question.

Selecting the evaluation cases:

⁴ This question will be answered based on the sum of the results of the specific questions in each theme

The preliminary step is the distribution of all countries in a map similar to the one that we show in the below graph. Essentially, the criteria of the mapping are:

- a) The quantification of the ESF expenditure that comes from measures which seem to be more immediately relevant to the achievement of the objectives that the various evaluation questions ask us to assess. This measurement has been made independently from the absolute size of the country by calculating ratio (per capita, per unemployed person, etc..) so that it has been normalized to the size of the target of final recipients to be reached;
- b) The performance that each country/region appears to have on the same Objectives; such an assessment has been calculated by referring to macro indicators (either economic or qualitative) and thus they have to strongly be considered as not only preliminary but also as being naturally impacted by factors that are external to ESF programmes.



The idea is to proceed with the comparison of ‘couples’ of similar cases positioned at one of the two extreme of the quadrants: so, cases with *apparent* high performance and *seemingly* low expenditure of ESF are compared with cases that have the opposite characteristics; cases with high priority in highly performing countries are compared with cases where the opposite occurs.

In order to select cases that are similar the consortium identifies pairs of countries that belong to the same ‘geographical aggregation’, as described in the below box.

Focus on ‘geographical aggregations’:

The four aggregations that the consortium has devised combine the ‘*political-institutional regime*’ and the ‘*welfare policy regime*’ models, as revealed by literature reviews.

Political-institutional regime (state level): The member states are analyzed in terms of the four prevailing ‘political-institutional models’ offered in the literature, which speak to different institutional capacity and interaction with civil society regimes and more: the ‘corporatist’, the ‘liberal’, the ‘statist’, and the ‘fragmented’.

Welfare policy regime (state level): A refinement of the analysis above focuses on the different models of welfare state identified by the literature (the liberal, the social-democratic, the continental and the southern) and their impact on female employment. What matters here are the keen differentials in family support provisions, educational policy and more.

The models combine into the four geographical aggregations when applied to the 25 member states. They form aggregations of relatively similar socio-political and welfare-policy backgrounds. The distribution of the 25 states among the four aggregations is the following:

Model	Country
Southern European	Spain, Italy, Portugal, Greece
Central European	France, UK, Ireland, Germany, Austria, Luxembourg, Belgium
Northern European	Sweden, Denmark, Finland, The Netherlands
New member states	Eastern European + the 2 island states

When the analysis has to be done at regional level the consortium repeats the above analysis in order to identify in the country couples of regions that are as different as possible⁵.

The logic of such a selection is that the selection of extreme cases in the four quadrants allows the evaluators to investigate cases that may either point to some differences that are likely to explain success or some commonalities that may be generalized for the very reason that they have been found in very different cases. Thus – as illustrated in the graph above – we expect to find evidence of:

- a) differences that may offer insights which are likely to explain different performances;
- b) high positive or negative externalities that may reduce the impact of ESF and may qualify the theory – in terms of a causal chain linking outputs and outcomes at different levels - upon which ESF programmes are developed;
- c) self reinforcing mechanisms that may drive high performing countries to attach high priority to ESF as well as opposite less positive mechanisms that need to be reversed.

It is to be emphasised that the case selector graph overall does not indicate ‘performance’ *per se*. It does however serve to indicate ‘interesting’ cases, in other words divergences that may point to potential success stories, failures and lessons.

The quantity of cases selected for analysis in each EQ depends on the level of analysis; MS or regional. Generally, in the case of regional level analysis, the final cases are selected by choosing two states, each from two different geographical aggregations. In each of those 2 states chosen, 2 regions are then selected. The cases are, as mentioned above, selected initially on the basis of contrasting positions on the axes. Then, choosing MS from within this same aggregation and also regions within the same state ensures that the ensuing analysis of these two pairs of selected regions is as far as possible based on the ESF as a variable whilst socio-political and institutional factors remain equal.

In the case of MS level analysis however, eight states are generally selected, two from each geographical aggregation. This shares the same logic as above, where each pair of cases are selected from each of the geographical aggregations, to ensure that when they are compared they have a similar socio-political setting, thus making sure the ESF can be isolated as the variable. Again however, the MS are selected initially on the basis of their divergence on the axes in the graph.

In parallel to this two-dimensional mapping, the consortium also takes into consideration the main findings of the literature reviews while selecting the cases for the analysis. Particularly, the main insights from the literature review will be considered where there may be several equally ‘interesting candidates’ to choose from even after the above shortlisting process. The literature reviews will reveal further reasons for selecting certain cases, for example, by indicating regions or MS with strong traditions of implementing certain policies in a particular way, those with persistently interesting trends, etc. This literature review thus adds a third dimension to enrich the above framework for case selection.

⁵ This will also be true for the identification of single projects financed by the same measure within a regional OP that we identified with this method in order to continue to maximize diversity.

The consortium then verifies that all the cases selected are together balanced between geographical aggregation, objectives, and MS. The diversity of the selected cases ensures the needed balance of contexts and experiences among the evaluation cases and will provide adequate insights for properly testing our hypotheses.

The case selectors methods and level chosen for analysis in each EQ are summarised below:

Summary of Case Selectors			
	Performance	ESF Expenditure	Mapping Level
I.a	N/A	N/A	N/A
I.b	Approach on local and regional initiatives	ESF expenditure per initiative	NUTS II
II.a	Gross job creation per capita	ESF expenditure per capita	Member states
II.b	Lifelong learning participation rates	ESF expenditure per capita	Member states
II.c.a	Gross job creation per capita	ESF expenditure per capita	Member states
II.c.b	Employment rate	ESF expenditure per unemployed person	NUTS II
II.d	E-readiness ranking	ESF expenditure per capita	Member States
III.a	Employment growth	% of ESF expenditure on PES	Member states
III.b	Improvements per year in the CER Policy Reforms Ranking or Lisbon Council Jobs & Growth Monitor	ESF expenditure on national & social expenditure	Member states
III.c	N/A	N/A	N/A
IV.a	Long-term unemployment as % of all unemployment	ESF expenditure per capita	NUTS II
IV.b	Weighted variable on employment related social cohesion	ESF expenditure per capita	NUTS II
V.a	N/A	N/A	N/A
V.b	N/A	N/A	N/A

While it will be explained in greater detail in the relevant section on Gender Equality, a summary of the case selection criteria for the thematic assessment involving questions V.a and V.b is provided in the table below.

Gender Case Selection dimensions/criteria	
Selection dimensions/criteria	Mapping level
Political Institutional Regime	Member State
Welfare Policy Regime	Member State
Economic Base	Regional (NUTS II)
Geographical-infrastructure endowment	Regional (NUTS II and III)
Socio-cultural traditions	Regional (NUTS II)

As can be seen from the table above, the consortium has decided not to use absorption capacity as a sampling criterion in theme V. The idea is that, in order to establish reliable causal links between ESF expenditure and policy impacts on gender equality, member states and regions must be selected on the basis of pre-existing contextual factors. The logic behind sampling based on contextual analysis is discussed later in section 3.7.

Once the cases have been selected, the groundwork for the analysis is then performed on the selected cases. The consortium proceeds to highlights measures whose implementation can undergo detailed analysis. The tools for gathering the required information and data for the indicators selected in each EQs are then identified and developed in detail.

The details of the fieldwork tools are then developed, such as formulating the questions for interviews and procedures for focus groups. The targets for fieldwork are identified for contacting in order to perform the research of selected cases. In the workplan’s ‘phase B’, the targets are contacted to set up meetings (including information on final recipients where needed) whilst in the ensuing ‘phase C’ the team engages in the fieldwork and gathers both the primary and secondary information.

This section has explained the overall framework for selecting the cases – in essence, the scope of the study. For two of the Evaluation themes however, an elaboration on the above process is necessary. For *Lifelong Learning, Adaptability and Information Society* a further quantitative analysis has been employed, mostly due to the scarcity of data available for the EQs in this theme.

Theme V, on *Gender*, also goes beyond the above ‘case selector’ framework, because there is much less secondary data available for the gender questions than for any of the other questions. This means that more primary data needs to be created if V.a and V.b are to be answered in the most persuasive manner possible. Therefore the consortium has adopted a more elaborated methodological approach field work on this issue than is the case for the other EQs. This includes the task of answering the ‘potential impact on gender equality’ of ‘ESF supported activities’. This results necessarily in describing the method in a different format in this report to the other EQs:

- An extra heading of “Sampling and method” is added to the descriptions of the EQ operationalisation.
- The “case analysis (E) and “source and tools” (F) headings are merged under “Analysis and Indicators”.

- An initial background for both questions is developed and then both EQs are addressed separately.

3.6. Accessing Information

The Euréval/Rambøll study has exposed a lack of information available for most evaluation questions. However, we understand that this study relied pre-dominantly on desktop work and therefore we propose to undertake field-work only where necessary in order to generate primary data. Because of its approach, the Euréval/Rambøll study had to focus primarily on the extraction and evaluation of qualitative statements and could not benefit from comparing and contrasting quantitative and qualitative data or specific and contextual information (such as publicly available statistics). The evaluation team is therefore considering a series of tools (and associated types of sources) to be used in this evaluation.

Applying some of these tools would require serious preparatory work and the availability of appropriate data is a pre-condition. As part of the work up to the First Interim Report, the evaluation team will therefore reflect further on the proposed tools and examine their applicability in relation to the proposed evaluation questions and data available. In the following section, the tools are separated into two groups: desktop and field work. No field work is to be carried out up to the First Interim Report, although the feasibility of such field work will be ascertained.

As part of the data gathering, the core team intend to elaborate an interview grid for some initial interviews with relevant European Commission officials, which will allow to better focus the scope of the next evaluation phases.

Desktop research and coordination with other thematic evaluations (throughout the evaluation process)

Desktop research will be carried out throughout the evaluation in order to provide more detailed qualitative and quantitative information to contextualise the analysis of overall themes, to ascertain how certain measures or OPs were implemented, and how they were done so in relevant regions or member states, what the outputs were and overall outcomes. Such research will also help to substantiate the consortium's case analyses. Documents on budgetary allocation and expenditure will be reviewed to substantiate our analyses. When reviewing these available evaluations and reports, the consortium will contrast the design and focus of ESF-activities and sub-activities with their budgetary allocation and followed over time. The consortium will look to review how financial performance can be measured in terms of absorption rate or, where participant numbers are available, in terms of efficiency.

In particular however the results from already available evaluations⁶, notably particularly those from mid-term and update mid-term evaluations, will be reviewed and their information taken into account. Should these reports not contain the necessary information to answer the evaluation questions, the Consortium will engage evaluation methods to fill in the gaps, as are set out in particularly in section 3.7. As mentioned above, much information has been provided by the European Commission or has been collected by Euréval/ Rambøll. However it is worth highlighting how the Consortium will utilise these other completed or parallel evaluation reports.

There are three thematic evaluations being undertaken in parallel to the work of the Consortium:

⁶ Examples of reports available (on the evaluation of innovative measures) include 'Adaptation to the new economy in the framework of social dialogue' (Rambøll management, 2004), "Local employment strategies and innovation" (ISOB, 2006) and "Innovative approaches to the management of change", which is underway. The final report will be available during the course of this evaluation and its findings taken into account.

- “Ex post Evaluation of the 2000-2006 ESF Support to the Open Method of Coordination in Social Protection and Social Inclusion”
- “Ex post evaluation of the European Social Fund (2000-2006): Impact on the functioning of the labour market and on the investment in human capital infrastructure through support to systems and structures.”
- “Ex post evaluation of the EQUAL Community Initiative (2000-2006)”, when it starts.

By the courtesy of DG Employment, our Consortium has had the possibility of studying the working documents of the two first projects which are already running. Although the documents do not contain information concerning the possible cooperation between the three thematic evaluations, the consortium proposes the following measures:

- In terms of content, all the Consortia should avoid duplications in the research to be carried out. In this respect our Consortium has not identified serious problems of overlap. The topical demarcation of the evaluations seems to be clear-cut.
 - As far as the Contract on ESF support to the Open Method of Coordination in Social Protection and Social Inclusion is concerned, both Consortia work with the policy field of social inclusion. The differences in the two approaches however might ensure that there will not be a duplication of research efforts. Our Consortium will analyse the impact of ESF-funded projects on social inclusion whereas the other team is focusing on the impact of ESF support on the Open Method of Coordination (i.e. patterns of national/regional level interaction in policy-making and implementation).
 - In relation to the Contract on ESF impact on the functioning of the labour market and on the investment in human capital infrastructure through support to systems and structures, the draft Inception Report clearly orients the scope of the report on the contribution of the ESF to a change in labour market systems and structures, whereas our focus is the impact on the final beneficiaries (or final recipients?) of the policy.
 - Finally, the ex post evaluation of the EQUAL Community Initiative aims to assess the effectiveness of EQUAL in terms of producing and mainstreaming innovation that is relevant for combating discrimination and promoting equal opportunities in relation to the labour market. As this Community Initiative has been developed through project not programmes, coordination will be based in case analysis/best practices.
- In the area of methodology, it is important that national, regional and local authorities should receive a coordinated request for information. Parallel requests (using different concepts in the gathering of information) might be counterproductive. The real possibilities of coordinating the requests for information will only be possible once the three Inception Reports are approved by the Commission. However degrees of coordination will depend on the timing of the approval and if one team starts contacting national authorities before our IR is approved for example.

All these reports will be analysed and their findings and research that have relevance for the themes in this study will be synthesized in the synthesis report. The synthesis report could be structured in the same five thematic questions as this study, and will thus highlight how the other reports and evaluations add information and dimensions of analysis to the questions in this ex post evaluation.

- As far as communication is concerned, our Consortium proposes the following adjustments:
 - (1) With the help of the Commission we would like to receive the Interim Reports of the other Consortia. We are also ready to share our report with the others.

- (2) Our Core Team (responsible for the quality of the evaluation) will systematically follow and analyse the outputs of the other thematic evaluations.
- (3) Our Consortium has received the preliminary schedule of meetings proposed by the other two Consortia. A representative of our Consortium will participate in those meetings and the minutes will be circulated among the members of the Core Team and the project managers.

Field work (subsequent to the First Interim Report)

Interviews with managing authorities. Interviews with managing authorities will form part of all, or nearly all Evaluation Questions. This is especially the case where the level of analysis is regions, systems and structures, and for interpretative validation of data obtained both from the review of documents and interviews with final beneficiaries such as project or service providers. Although these interviews are clearly not desktop work, their number is by definition small and will be used even in cases where otherwise only desktop work is envisaged. We would expect mostly qualitative findings.

Further Interviews. Semi-structured interviews with intermediate bodies, final beneficiaries and independent experts will be the preferred route to qualitative data and are applicable for all levels of analysis. For any given sample of cases, these experts should be available for a qualitative assessment of the success of an activity. We would expect mostly qualitative findings.

Monitoring Data. Regular monitoring reports by beneficiaries (to the managing authority or the intermediate bodies) may contain a variety of relevant information for the analysis of beneficiaries and recipients. While it requires a similar approach as the review of documents above, monitoring data may not be readily available without field work. In addition, the structure and quality of monitoring data will vary widely across OPs. We would expect both qualitative and quantitative findings.

Database analysis. Information on final recipients (e.g. educational status, industry identity etc) may be available where member states either maintain ESF-specific databases or have linked ESF participant data to existing databases. Where the information has been collected in a systematic fashion or is linked to an existing database (national or regional welfare/employment/pensions database), queries on these databases can be used to learn about characteristics of the ESF participants population and contrast them with similar populations of non-ESF participants. We would expect mostly quantitative findings.

Focus group. Information on final recipients can also be collected through focus group sessions. This tool will enable the consortium to ascertain causality chains, establish a before & after analysis with respect to most recipient indicators (employment status, income, mobility etc) and in addition provide rich contextual information. We would expect qualitative and quantitative findings. The focus groups will include experts as well as final recipients.

Case studies. A *case study* is an intense study of a single group or community in its real life context to draw conclusions and generalisations. As a research strategy it combines concrete data taking techniques and methodological paradigms. In this evaluation the consortium considers the case study a suitable tool for presenting an in-depth analysis of the data collected on specific cases, in order to draw lessons. With this purpose, several inquiry methods can be used to gather all the information available for each case.

In this evaluation, once the desk-top research is complete, which includes reviews of OPs, evaluation reports and financial analyses, the consortium will conduct fieldwork such as interviews and focus groups on their selected evaluation cases. Then in some EQs (see below table), the results of the fieldwork and desk-top research of secondary data and documents will be summarised by making *case studies*, which will serve to test/prove hypotheses and draw conclusions. In other EQs, results will be summarised by applying the social value chain in order to present results structured according to its different stages.

In order to have the picture of the whole selection of sources and tools proposed for each evaluation question, the evaluation team has elaborated the following table. This table will be useful for concentrating evaluation team efforts and for obtaining better results of the fieldwork process. Hence, it will help to give coherence to the whole process of collecting information.

Sources of data (primary/secondary)	I.a	I.b	II.a	II.b	II.c.a	II.c.b	II.d	III.a	III.b	III.c	IV.a	IV.b	V.a	V.b
Review of documents / budget		√	√	√	√	√	√	√	√	√	√	√	√	√
Interviews with authorities		√	√	√	√	√	√	√	√	√	√	√	√	√
Interviews with experts			√	√	√		√	√	√		√	√	√	√
Monitoring data		√	√	√	√	√	√	√		√	√	√	√	√
Analysis of database	√		√	√	√	√	√	√	√	√	√	√	√	
Focus group				√	√		√	√	√	√	√	√	√	√
Case Studies		√	√	√	√	√	√	√					√	√

3.7. Specific approach for each evaluation question

This section sets out how the Consortium will approach each EQ – the concepts, hypotheses and indicators used, and the methods for case selection (as set out in section 3.5) and tools for analysis. This section therefore elaborates on how the overall approach outlined above will be operationalised in each theme and EQ.

3.7.1. Utilisation of Resources and Level of Intervention

Clustered within this theme are research questions I.a and I.b:

- I.a: To what extent has actual ESF expenditure been targeted at achieving the main objectives set in the European Employment Strategy?
- I.b: In which instance has the level of intervention (national, regional, local) made a difference in achieving the intended impacts (level of intervention)?

Evaluation Question I.a

I.a. To what extent has actual ESF expenditure been targeted at achieving the main objectives set in the European Employment Strategy?

A. SUMMARY AND JUSTIFICATION

The proposed approach will provide an overview, for each EU member state, of the key areas for financial investment, as well as the main strengths and weaknesses in the way such resources have been allocated.

By starting where the Euréval/Rambøll study ends, the adopted methodology will deepen the understanding of the impact of the ESF on the EES objectives. In fact, while the Euréval/Rambøll study analyses a relevant subset of the overall OPs (p. 20/21), the present evaluation will cover all the OPs by associating each measure to one or more clearly related EES objective(s)⁷. The methodology will then maintain the terminology and the concepts adopted by the Euréval/Rambøll study (p. 20-31).

The analysis will then attempt to break down ESF expenditure for each EES Objective and thus each measure of each programme will be associated to one or more EES Objective according to its intended impact. Furthermore, to the extent the data will allow it, this question's analysis will seek to correlate groups by: country, instrument, targeted system/structure and final recipient. Specifically, the expenditure on recipients (referred in the ToR as 'targeted publics', p.12) will focus on: individuals (grouped by sex, age, education) and organizations (public/private/others, small/medium/big).

The review of the data will allow identifying – if data are available - main increase/decrease in resource allocation compared to previous ESF, major differences between initial programmes allocations and mid term reprogramming, main financial performances in terms of commitments versus allocations, and payments versus commitments, by country, region, policy field, recipients.

The analysis will finally allocate – whenever possible - to each category of funds and amount of money a number of recipients being reached and number of outputs (physical indicators) being produced. This will allow estimation of coverage ratios (by dividing within each segment final recipients by the number of potential final recipients) and to have a first estimation of efficiencies for different OPs, regions and countries. These evidences will not be the primary focus of the analysis but they will be useful to focus and provide an input to all other EQs as clear from the descriptions that follow.

B. OPERATIONALIZATION OF CONCEPTS USED

Mostly as introduced by Euréval/Rambøll, the main concepts adopted in the proposed methodology are as follows:

- **Instruments:** Training, Counselling, Placement, Mobility, Information, Engineering
- **Targeted system/structures:** National/Sub-national Government, Local Agencies/Organizations, Interest group.
- **Beneficiaries:** Primarily Individuals and Private/Public Organizations, but possibly other beneficiaries (i.e. Academic and other No-Profit Institutions) when secondary data are available.
- **Final recipients:** the economic, social or institutional actors that will be, ultimately, supported by ESF interventions and whose condition (employment status, institutional capabilities, ..) and behaviours (decisions to invest into education, ..) are expected to change thanks to the intervention.

⁷ EES Objectives are listed in the overall glossary (Section 7).

C. HYPOTHESIS

We assume that Member States allocate ESF resources coherently with the need for improvements in each of the EES Objectives. We therefore expect that, depending on the fulfilment of each EES objectives for each Member State, ESF resources are either spread evenly through all the objectives or focused on few priorities. Centralization or autonomies in the making of the programmes might be another explanatory variable in defining different levels of allocation as well as different objectives for the ESF expenditure.

D. KEY INDICATORS

Amount of the overall financial expenditure for each EES Objective, as well as each type of: Instrument, System/Structure and Beneficiary (Coherence).

Available financial data for all measures will be clustered for each of the EES Objectives, as well as typologies as mentioned. The final amount will be a measure of the extent to which OPs have been targeted to the EES Objectives, as well as an indication of the main typologies adopted.

Correlation between the level of distribution of ESF expenditure among all EES Objectives and the socio-economic and institutional typologies adopted for the sampling.

Alternatively to the previous indicator (in case no specific data is available for each EES Objective in each Member State), the hypothesis is tested through the correlation between ESF expenditure (spread or focused on EES key Objectives) and the four geographical aggregations elaborated in section in 3.5.

E. CASE ANALYSIS

1. Correlated groupings

As explained in 3.5, this EQ will not apply the case selector to identify correlated groupings. The proposed analysis will apply to all the OPs for all the EU member states.

The approach will be to associate each measure in the OPs to one or more EES Objective(s). Then, the overall expenditure for the OPs measures will be grouped by each EES Objective and, within that, clustered by country, instrument, targeted system/structure and final recipient.

2. Identification of key member states/regions

Not applicable for this EQ.

3. Criteria for the analysis

To answer this question, as already mentioned, the expenditure on recipients (referred in the ToR as “targeted publics”, p.12) will focus on: individuals (grouped by sex, age, education) and organizations (public/private/others, small/medium-big).

The following questions will be answered through the proposed analysis:

- How evenly have funds been allocated across EES Objectives? What is the number of projects/beneficiaries?
- How have the existing resources been allocated among the different types of activities, instruments, targeted systems/structures, targeted publics and intended impacts?
- Average number of project/beneficiaries per MS/OP/Measure
- Are there main differences between the different typologies of Member States?

- Which are the factors explaining these differences?

F. SOURCES AND TOOLS:

The main sources and tools required for the analysis are as follows:

- Secondary Sources
 - Existing analysis at the national/regional levels
 - Existing financial data on ESF allocations and real expenditure
- Primary Sources
 - Semi-structured interviews with managing authorities and experts.

G. ADDITIONAL QUESTIONS CORRESPONDENCE

In addition, the methodology proposed will be able to give answers to three additional questions of evaluation for the case of this concrete evaluation question. In the next table it is indicated which additional questions are going to be answered and from which analysis criteria and scope they are approached.

ADDITIONAL QUESTIONS	KEY CONCEPTS	JUDGEMENT CRITERIA AND APPROACH TO THE QUESTION	CAUSE-AND-EFFECT ASSUMPTION
4. Has the ESF support attracted additional resources towards the objectives of the EES?	<p>The Objectives of the European Employment Strategy (EES)</p> <p>The objectives of the EES are considered as presented in the Employment Guidelines - COUNCIL DECISION 7 July 2008</p>	In the analysis of ESF financial allocation, the overall amount of private additional resources allocated to measures targeting the EES objectives will be evaluated.	Not relevant in this question.
8 Which ESF measures and instruments have been more effective in reaching the objectives set and why?	Assessment of the reasons and factors explaining the effectiveness of the measures and instruments is to be conducted.	Whilst studying this EQ an analysis of each measure of each programme will be associated to one or more EES Objective according to its intended impact. In this way the consortium can understand which measures or instruments are more effective.	Not relevant in this question.

Evaluation Question I.b

I.b. In which instances has the level of intervention (national, regional, local) made a difference in achieving the intended impacts?

A. SUMMARY AND JUSTIFICATION

The "Study on the relevance and reliability of available information for the ex post evaluation of the European Social Fund (2000-2006)" considers that, based on the existing information, the answerability of this question is low. Therefore, the proposed methodology aims to generate primary data sufficient to answer the question. In order to optimize the process, the evaluation team has opted to use a methodology focused on cases that are most relevant to the assessment.

Taking into account the information needs expressed by the EC, the analysis will focus on local employment initiatives raised in Article 2.2 of Regulation (EC) N° 1784/1999. In this sense, the proposed methodology also allows special treatment for them.

B. OPERATIONALIZATION OF CONCEPTS USED

The main concepts adopted in the proposed methodology are as follows:

- **Initiatives to support local employment (ILE):** actions at the local levels aimed at generating new jobs (useful, viable and durable) in small businesses created for this purpose. This could be innovative business projects which facilitate the creation of jobs and which are promoted and supported by the regional government or local administrations of a territorial nature in this autonomous community.
- **Territorial Pact for Employment:** This is an agreement between the local partners published as a strategic document and accompanied by operational or financial commitments made by each of the stakeholders that are part of the Pact. A Territorial Pact for Employment may be at regional or local level in cities, rural employment or whose socioeconomic characteristics are similar. The objective must be an area where the unemployment problem is important and that can be addressed, therefore, through the structural policies of the European Commission. These Pacts involve, therefore, the association of multiple parties concerned, such as: national, regional and local authorities and communities, private sector, partnerships for development or redevelopment of territory; social partners, professional organizations, etc.

C. HYPOTHESIS

Based on the literature on local initiatives the evaluation team considers the following hypothesis:

The activities within the framework of local initiatives:

- Promote a better cooperation between local labour markets stakeholders.
- They are the best way to match the needs of the local labour market and take advantage of local synergies.
- Reach and serve better the needs of local targeted groups.
- Consequently, better results are achieved for local target groups.

D. KEY INDICATORS

In order to evaluate the given question the most useful indicators are:

- a) Differences between the results achieved by measures/programmes that include local initiatives and by measures/programmes that do not include local initiatives (Effectiveness).

- b) Differences in the level of coverage and participation of target groups in the activities (Effectiveness).

E. CASE ANALYSIS

The process for selecting case studies is explained as a sequence of phases. In this case the universe of measures to be evaluated is restricted to those related to local or regional pacts. Then the normal process of sampling applies. This is a bottom-top logic, identifying the measures that are relevant and then selecting the OPs of a group of countries.

1. Correlated groupings

Firstly, among all OPs, the evaluation team will identify the measures that include local initiatives aimed at supporting employment; that is, initiatives to support local employment (ILEs) and Territorial Employment Pacts.

This identification will allow us to:

- Understand how local initiatives are distributed among Member States and Regional areas.
- Find the relevant measures for analysis and reduce the number for the selection of case studies that will be done in the next step.

2. Identification of key member states/regions

Afterwards, **eight local initiatives** will be selected for case studies taking into account the following criteria:

- Selecting the same number of initiatives to support local employment as Territorial Pacts for Employment (4 for both).
- Selecting two study case by regional area (Southern European, Central European, Northern European, New Member States).
- There will be one ILE and one territorial pact of employment in each regional area.
- When possible, the selection will seek to select two regions from the same Member State.

3. Criteria for the analysis

Finally, the case studies will be distributed as shown in the table below:

	Initiatives to support local employment	Territorial Pact for Employment
Central European	1	1
Southern European	1	1
Northern European	1	1
New member states	1	1
Total	4	4

Analysis

After the preliminary selection process, two lines of analysis will be followed:

- Investigating the cooperation between stakeholders and possible synergies and the extent to which local initiatives have reached target groups and addressed more effectively their real needs.
- Analysing the added value of these interventions in relation with their local and territorial approach.

- Identifying results of local initiatives and exploring the possible differential with the other measures that aimed at job creation and social inclusion. In order to analyze differences in the results, the consortium will use the information collected for other evaluation questions regarding these topics: e.g. evaluation question II.c); III.c); IV.a) and IV.b).

An analysis of the information obtained will permit us to answer the following questions:

- To what extent local initiatives obtain better results in the development of measures aimed at job creation and social inclusion?
- To what extent have local initiatives contributed to socio-economic development and improved employment in areas that have worked?
- What are the factors involved in performance of local initiatives? What factors explain their success or failure?
- What is the extent to which all ESF activities target systems and structures and individual beneficiaries?

F. SOURCES AND TOOLS

Documentary revision (SFC database, OP related documents, etc.).

Each case analysis will consist of:

- Interviews with stakeholders: programme managers, responsible of intermediate bodies, stakeholders that participate in the Territorial Employment Pact, responsible at a implementation level and final beneficiaries.
- Documentary revision of OP and/or measures/instruments selected.

G. ADDITIONAL QUESTIONS CORRESPONDENCE

In addition, methodology proposed will be able to give answers to two additional questions of evaluation for the case of this concrete evaluation question. The below table indicates which additional questions are going to be answered and from which analysis criteria and scope they are approached.

ADDITIONAL QUESTIONS	KEY CONCEPTS	JUDGEMENT CRITERIA AND APPROACH TO THE QUESTION	CAUSE-AND-EFFECT ASSUMPTION
2. Have there been unintended impacts and these been offset by the benefits of the activities?	<p><u>Unintended effects</u></p> <p>In terms of level of intervention, unintended effects of ESF actions refer mainly to possible overlaps among measures (and expenditure) focused to the same objectives and activities.</p> <p>Euréval/Rambøll study refers to 4 types of negative (unintended) effects:</p> <ul style="list-style-type: none"> ▪ Lock-in effects of specific target groups; ▪ Distortion among providers of services to target groups; ▪ Distortion of labour market, due to 	<p>Focusing on a more limited territorial scope for ESF-supported activities there is the risk that these activities that are implemented generate overlaps with other activities of the ESF. In this sense, the ex post evaluation pretends to gather this data through the interviews with stakeholders with different roles and perspective.</p>	<p>Not relevant in this question.</p>

ADDITIONAL QUESTIONS	KEY CONCEPTS	JUDGEMENT CRITERIA AND APPROACH TO THE QUESTION	CAUSE-AND-EFFECT ASSUMPTION
	<p>subsidised employment;</p> <ul style="list-style-type: none"> ▪ Distortion of competition among employers due to subsidised competence on activities. 		
<p>3. Has the ESF support induced a real change in the behaviour of the beneficiaries, or have they just done what they would have done in the absence of the support?</p>	<p>Real change of behavior of beneficiaries will be understood here as changes in the performances of the stakeholders. These changes could be the creation of links between stakeholders, promotion of coordination among labour stakeholders...</p>	<p>Producing real change in beneficiaries within the territorial limits are generating links among the stakeholders.</p> <p>This EQ will consider aspects such as if there were previous structures of relation or coordination activities among stakeholders. This question will be treated in a qualitative fashion during interviews with stakeholders (mainly final recipients).</p>	<p>Not relevant in this question.</p>
<p>6. Which are the typical success and failure stories of implementation arrangements and what are the main factors explaining them?</p>	<p><u>Success and failure stories</u></p> <p>The question addresses the need to identify success/failure cases in terms of achievement of intended impact and/or results.</p> <p><u>Explanatory factors</u></p> <p>In addition, the assessment of the reasons and factors explaining the effectiveness of the activity is to be conducted</p>	<p>This question will be treated through the analysis of the programmed objectives and the real results/impacts of the initiative.</p> <p>To be treated in a qualitative fashion during interviews with stakeholders.</p>	<p>Not relevant in this question.</p>
<p>7. Which are the main factors affecting the sustainability of the benefits in the case of the identified success stories? Do the changes persist today?</p>	<p><u>Sustainability</u></p> <p>Sustainability assessments refer to the evaluation of the lasting presence of the benefits achieved by the action under study.</p>	<p>Sustainability of the cases analyzed will be answered through the assessment of the synergies of the different participants of the Pacts.</p> <p>It will be also a relevant aspect when identifying best practices in the implementation of the</p>	<p>Not relevant in this question.</p>

ADDITIONAL QUESTIONS	KEY CONCEPTS	JUDGEMENT CRITERIA AND APPROACH TO THE QUESTION	CAUSE-AND-EFFECT ASSUMPTION
<p>9. To what extent are ESF and ERDF actions complementary?</p>	<p><u>Complementarity</u></p> <p>Complementary actions reinforce each other and achieve synergies which increase the benefits and strengthen the basis of their sustainability.</p>	<p>Pacts and in the Local Initiatives.</p> <p>To be treated in a qualitative fashion during interviews.</p> <p>During the analysis of the Territorial Employment Pact and the Local Initiatives for Employment case studies, the evaluation team includes questions on the coherence between investment made through ESF or ERDF.</p> <p>This will be analyzed since generally these initiatives focus on providing a complementary approach for the local development (specifically for employment growth in the territory) through ESF and ERDF financial support.</p>	<p>Not relevant in this question.</p>

3.7.2. Life-long learning, work force adaptability and information society

Clustered within this theme are research questions II.a, II.b, II.c and II.d:

- II.a To what extent and how have the ESF-supported activities contributed to improving the adaptability of work organization in enterprises? (adaptable work organization)
- II.b Have ESF-supported activities paid sufficient attention to the issue of lifelong learning, and has this successfully contributed towards the objectives/targets of the EES and the EU benchmarks in education and training?
- II.c
 - II.c.a: To what extent and how have the ESF-supported activities contributed to improving adaptability of active (employed) people?
 - II.c.b: To what extent and how have the ESF-supported activities contributed to improving adaptability of active people? (unemployed and self-employed)
- II.d Have ESF-supported activities paid sufficient attention to the social and labour market dimensions of the information society, and has this successfully contributed towards the objectives of the EES? (information society)

Evaluation Question II.a

II.a. To what extent and how have the ESF-supported activities contributed to improving the adaptability of work organization in enterprises? (adaptable work organization)

A. SUMMARY AND JUSTIFICATION

On the basis of available information, according to the Euréval/Rambøll study, the answerability of this question is considered low: “The messages relating to adaptable work organisation tend to be diverse in terms of actual scope of the activities, i.e. in some instances insertion of disadvantaged and in others competitiveness/productivity. But few of these apply to the impact on work organisation per se, especially as regards the real difference, for employers and organisations. Only one study provides some insight into causal linkages.”

It will therefore be necessary to go directly to the firms that benefited from ESF-activities, either directly or through the participation of their employees and ask about the effect of these activities. To the extent possible, qualitative, interview-based information will be supplemented with economic performance data at the firm level (changes in value added, employment, gross job creation) relative to the industry concerned.

B. OPERATIONALIZATION OF CONCEPTS USED

Apart from the ones commonly used in this document, the main concepts adopted in the proposed methodology are as follows:

- **Gross Job Creation:** Gross job creation is the sum of all jobs created either through the creation of new firms or at existing firms and reflects the dynamism of a labour market. The level of employment changes with the net result of job creation and job destruction.
- **Adaptability of workers, enterprises and entrepreneurs:** “...increasing adaptability of workers, enterprises and entrepreneurs with a view to improving the anticipation and positive management of economic change, in particular by promoting:

(i) lifelong learning and increased investment in human resources by enterprises (especially SMEs) and workers, through the development and implementation of systems and strategies (including apprenticeships) which ensure improved access to training by low-skilled and older workers, the development of qualifications and competences, the dissemination of information and communication technologies, elearning, eco-friendly technologies and management skills, and the promotion of entrepreneurship and innovation and business start-ups.

(ii) the design and dissemination of innovative and more productive forms of work organisation, including better health and safety at work, the identification of future occupational and skills requirements, and the development of specific employment, training and support services, including outplacement, for workers in the context of company and sector restructuring” (e.g. REGULATION (EC) No 1081/2006 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 5 July 2006 on the European Social Fund and repealing Regulation (EC) No 1784/1999)

The general definition of the concept has been provided above. Nonetheless, for the scope of this question, adaptability is defined in relation with its final purpose: the capacity of enterprises to become a flexible and innovative work organization and improve economic performance. Adaptability is therefore intended here as the adaptability of enterprises to introduce new systems and structures as well as an active education environment for its workers.

C. HYPOTHESIS

Changes in work organization is a complex process influenced by a wide range of internal and external factors. We assume that there will be a recognisable change in work organization according to participant's observation as a direct outcome of the ESF activities. This could be the result of employees of the work organisation participating in ESF-sponsored activities, whether organised by the work organisation itself or a third party, or that ESF-activities were set up to influence systems and structure at the work organisation directly. However, we expect that ESF activities are only one aspect among others needed to change an enterprises economic performance.

D. KEY INDICATORS

Declared Adaptability (Effectiveness)

Participants' declarations that there were changes in work organisation which are in line with the definition of adaptable work organisation and that they were due to the ESF support.

Measured Adaptability (Effectiveness)

Changes in value-added, changes in employment, gross job creation etc in firms benefiting from ESF-support (either directly or through their employees) relative to their respective sector or industry.

E. CASE ANALYSIS

1. Correlated groupings

Initial guidance on sampling and scope will be derived from mapping member states or regions on a two-dimensional matrix of:

- Gross job creation over the programming period as an indication of the "dynamism" of a given labour market where the effects of increased adaptability should be more easily apparent.
- ESF-expenditure per capita.

2. Identification of key member states/regions

This identification will allow us in particular to identify member states/regions where the ESF-expenditure is high and gross job creation is very low or very high. In addition, by selecting two representative countries for each geographical aggregation (Northern, Southern, Central, New Members) representation across Europe's different systems and structures will be achieved. In order to increase comparability the same 'couples' of countries are to be selected for all EQs investigated in this Theme II: UK – Germany; Slovenia – Slovakia; Spain – Portugal; and The Netherlands – Denmark.

3. Criteria for the analysis

Two groups of activities will be interesting: those directed at work organizations and those directed at employed individuals where the work organization can be identified.

According to the Euréval/Rambøll study, 160 activities were targeted at enterprises. Of these, not all ESF-activities will be relevant. They would have to have focussed on organisational issues such as supporting firms to invest or create structures for investment in the human capital of its employees.

Through looking at the resulting measures where they overlap with the chosen country the consortium will identify the most important ones and achieve a degree of representation for the whole.

Participants' declarations that there were changes in work organisation that are in line with the definition of adaptable work organisation and that they were due to the support of ESF will have to be

(telephone) interviews of the relevant personnel at the firms concerned (HR directors, Chief Operating Officers (COOs) or similar).

Interviews will be guided by the following questions:

- Which of the aspects of adaptability were actually targeted by the ESF-activity?
- What was the motivation of the firm for its participation in these activities?
- Which aspects of adaptability were enhanced at the firm concerned, to what extent and over what duration?
- What were the direct and/or indirect causal linkages between ESF support and such changes?
- What was the actual job creation achieved through projects where ESF funding was predominant with a list of concrete examples and outcomes.
- Has the ESF support contributed to changes in work organization for better jobs?
- Did ESF-supported activities have an impact on competencies and employment status?
- What did final recipients (firms) state about changes in adaptability and employability due to ESF activities?
- What kind of changes in work organisation and in the practices of education, training and employment services have been observed?
- What has been the extent of ESF contribution to employment recommendations?

This analysis will be supplemented with a more quantitative analysis on the economic performance of the firms concerned as measured by value-added, changes in employment, gross job creation etc. Where information is not available publicly, it will have to be obtained from the firms directly. The firms' performance can then be compared to their sector's performance on the same indicator, possibly making adjustments for size of the firm.

F. SOURCES AND TOOLS

Primary data collection will focus on semi-structured interviews and panels. Both internal experts (managing authorities) and external experts (independent and not funded directly by the ESF) will be interviewed in the countries mentioned above. In every country two experts of the managing authorities and another two external experts will be interviewed. Therefore, a total of 32 interviews will be conducted. In addition, 5-10 panels will be organized in a variety of countries that have a high level of thematic overlap with the lifelong learning theme and have performed well along financial criteria (actual expenditure vs. allocated expenditure). For each panel five project managers will be invited to discuss relevant issues.

A limited number (3-5) of projects/activities that have been identified as particularly successful will be analysed further in the form of case studies.

The main sources and tools required for the analysis are as follows:

- Secondary sources
 - Documents / budget
 - Existing local datasets
- Primary Sources
 - Semi-structured interviews with managing authority and experts.
 - Panels
 - Case studies.

G. ADDITIONAL QUESTIONS CORRESPONDENCE

The following table shows how the additional question are going to be answered and with what analysis criteria and scope.

ADDITIONAL QUESTIONS	KEY CONCEPTS	JUDGEMENT CRITERIA AND APPROACH TO THE QUESTION	CAUSE-AND-EFFECT ASSUMPTION
2. Have there been unintended impacts and these been offset by the benefits of the activities?	<p>Unintended effects of ESF actions refer to possible market unbalances indirectly generated in the specific context.</p> <p>Euréval/Ramboll study refers to 4 types of negative (unintended) effects:</p> <ul style="list-style-type: none"> ▪ Lock-in effects of specific target groups, such as vulnerable people, women, long-term unemployed; ▪ Distortion among providers of services to target groups; ▪ Distortion of labour market, due to subsidised employment; ▪ Distortion of competition among employers due to subsidised competence on activities. 	<p>Of the four possible unintended effects, only the fourth applies in this instance: to possibility of some work organisation benefiting (or suffering?) from participation in ESF-activities themselves or by their employees in relation to their competition. Indeed this would be the intended outcome for private work organisations.</p> <p>It would be unintended only where activities were available to only certain regions or certain types of companies. The consortium will include the question of impact on competition in its expert interviews with company managers.</p>	ESF activities lead to higher productivity, which would allow greater price flexibility and greater competitive power.
3. Has the ESF support induced a real change in the behaviour of the beneficiaries, or have they just done what they would have done in the absence of the support?	<p>Beneficiaries are the administrators of ESF programmes and are typically public sector institutions with much wider remits than ESF. ESF support will be only a small part of their entire programming budget.</p>	To be treated in interviews with managing authorities, final beneficiaries and project managers.	Not relevant in this question
6. Which are the typical success and failure stories of implementation arrangements and what are the main factors explaining them?	<p><u>Success and failure stories</u></p> <p>The question addresses the need to identify success/failure cases in terms of achievement of intended impact and/or results.</p> <p><u>Explanatory factors</u></p> <p>In addition, the assessment of the reasons and factors explaining the effectiveness of the</p>	<p>Indicating the success and failure stories is part of the main analytical set-up (see above).</p> <p>We take a twofold analytical approach: First, we develop a possible list of indicators of successful projects and cross check it with experts during interviews.</p> <p>After having developed a solid and comparable framework, we will then investigate this question in a qualitative fashion through the investigation of case studies.</p>	Success / failure depends on several aspects such as – institutional set-up, participation of stakeholder groups, selection of participants etc.

	activity is to be conducted		
7. Which are the main factors affecting the sustainability of the benefits in the case of the identified success stories?	<p><u>Sustainability</u></p> <p>Sustainability assessments refer to the evaluation of the lasting presence of the benefits achieved by the action under study.</p> <p>The Euréval/Ramboll study associates it with the 'contribution towards reforming national and regional policies in line with the EES' (Euréval/Ramboll 2008:64).</p>	<p>The sustainability of ESF's impact can not be ascertained empirically as there is no long-term observation of final participants. However, to the extent that the institutional factors underlying the success stories can be identified, they will be categorised according to their likely sustainability. For example, the competence of individual project leaders would have low sustainability, whereas codified systems and process would suggest high sustainability.</p>	<p>Success factors that are by their nature long-term are assumed to be repetitively successful.</p>

Evaluation Question II.b

II.b. Have ESF-supported activities paid sufficient attention to the issue of lifelong learning, and has this successfully contributed towards the objectives/targets of the EES and the EU benchmarks in education and training?

A. SUMMARY AND JUSTIFICATION

According to the Euréval/Rambøll study, “the available material is definitely insufficient for answering the question, or even contributing to answering it. Not only is information lacking, the meaning of the basic concepts is unstable. [...] The term is sometimes applied to the setting up of collaboration structures between educational institutions and employers, and sometimes to vocational training of the unemployed. Few evaluations take a true holistic approach to the subject, encompassing cultural and behavioural change towards a more proactive and flexible working life.” The approach the consortium will take seeks therefore to identify and apply indicators and approaches that will address this gap in order to answer the question.

To some extent this conceptual uncertainty is reflected even in the EU benchmarks in education and training, which set the aim for a 12.5% participation rate in lifelong learning. However, such rates can only approximate lifelong learning, the substance of which is conveyed not only through participation in formal or informal learning activities. The majority of lifelong learning occurs on the job even when formal learning institutions such as schools and university are included.

Analytically, lifelong learning is best captured through a conceptual framework using human capital measurements – coming closest to capturing the holistic definition on lifelong learning used by the European Commission. This allows for two possible approaches, one analysing indicators that indirectly suggest the suitability of an ESF-activity for the promotion of lifelong learning, the other assessing the correlation of ESF-activities with occupational categories and industries that we know from meso/macro studies to provide work with high learning intensity and therefore produces high levels of human capital.

B. OPERATIONALIZATION OF CONCEPTS USED

The main concepts adopted in the proposed methodology are as follows:

- **Lifelong Learning (LLL):** “Lifelong Learning is all learning activity undertaken throughout life, with the aim of improving knowledge, skills and competences within a personal, civic, social and/or employment-related perspective.” [e.g. European Commission COM(2001) 678]
- **Relevant EU benchmarks in education and training:** “By 2010, the European Union average level of participation in Lifelong Learning should be at least 12.5% of the adult working age population (25-64 age group)” [e.g. European Commission SEC(2004) 73]

C. HYPOTHESIS

Lifelong learning is a central aspect of the EES and the EU benchmarks and crucial in developing Europe as “the most competitive and dynamic knowledge-based economy in the world capable of sustainable economic growth with more and better jobs and greater social cohesion” (Lisbon Agenda). More learning leads to greater productivity or additional employment options, greater adaptability to new technologies and practices which improves both employment success and income (potential).

We assume that the attention to life-long learning is sufficient if human capital at all age groups and occupational categories - such as basic skilled ones (machine, support and service), specialists (technicians, vocational, commercial) and experts (professionals, management and entrepreneurs) – is improved. This will raise employment and income without forcing the economy to adapt to a different age/skill mix.

D. KEY INDICATORS

Indirect Lifelong Learning Focus (Effectiveness)

Lifelong Learning is the ability to learn skills and competences, formally and informally, especially in later years as indicated through the prevalence of target groups and methods that are relevant to life-long learning: age differentiation, certification of training, tertiary degrees, adult learning pedagogies, compatibility with concurrent job etc. The more these institutional factors are present the more effective a particular lifelong learning activity is likely to be.

Balance (Impact)

Balance of ESF-activities across different levels of human capital as estimated by income, industry, ISCO classification (or similar), ISCED classification (or similar) and age or any subset of these characteristics of final recipients.

Income/Employment Security (Impact)

For individual participants, increases in income or job security (for the employed) or entry into the labour market (for the unemployed) is an indication of ESF-activities paying sufficient attention to lifelong learning, all other factors assumed to be equal.

E. CASE ANALYSIS

1. Correlated groupings

Initial guidance on sampling and scope will be derived from mapping member states or regions on a two-dimensional matrix of:

- Lifelong learning participation rates over the programming period
- ESF-expenditure per capita.

2. Identification of key member states/regions

Of particular interest will be member states/regions where the number of recipients is high and the lifelong learning participation rate is very low or very high. In addition, by selecting two representative countries for each geographical aggregation (Northern, Southern, Central, New Members) representation across Europe's different systems and structures will be achieved. In order to increase comparability, the same 'couples' of countries are to be selected for all EQs investigated in this section II: the same twins UK – Germany; Slovenia – Slovakia; Spain – Portugal; and The Netherlands – Denmark..

3. Criteria for the analysis

The consortium will focus especially on relevant ESF-activities (such as FOI category 23). According to the Euréval/Rambøll study, 61 activities were focused on lifelong learning. In the first step, those ESF-activities that feature relevant lifelong learning elements – such as age differentiation, certification of training, tertiary degrees, adult learning pedagogies, compatibility with concurrent job etc – will be selected through a desktop analysis of the programme documents. Through looking at the resulting measures where they overlap with the chosen country the consortium will identify the most important ones and achieve a degree of representation for the whole.

Given that the Euréval/Rambøll study concludes that in the application of the ESF, “the meaning of the basic concepts is unstable,” in the first step, the coverage of ESF-activities of those elements that are most important in a successful approach to lifelong learning will be measured through a desktop analysis of the programme documents. Once the effectiveness of ESF-activities in supporting lifelong learning has been established in this way, the relative contribution of ESF may be supplemented with interviews with project managers.

An analysis of the information obtained will permit us to answer the following questions:

- What portion of relevant ESF-activities is focused on target groups and methods that are known to be relevant to life-long learning?
- What is the awareness of such targeting and methods among ESF-administrators and project managers?
- What is the contribution that ESF-activities are likely to have made, absolutely or through example?
- What are the direct and/or indirect causal linkages between ESF support and changes in lifelong learning participation levels and/or skill/qualification levels?
- Relative to other factors, what has been the extent of ESF contribution to stakeholders' initiatives, commitments and knowledge transfers?

In a second step, the distribution of final recipients across the spectrum of occupational categories and industries that provide work with high learning intensity is to be analysed and reasons for imbalances are to be explained. This will be primarily a quantitative exercise on the basis of database information.

F. SOURCES AND TOOLS

Primary data collection will focus on semi-structured interviews and panels. Both internal experts (managing authorities) and external experts (independent and not funded directly by the ESF) will be interviewed in the countries mentioned above. In every country two experts of the managing authorities and another two external experts will be interviewed. Therefore, a total of 32 interviews will be conducted. In addition, 5-10 panels will be organized in a variety of countries that have a high level of thematic overlap with the lifelong learning theme and have performed well along financial criteria (actual expenditure vs. allocated expenditure). For each panel five project managers will be invited to discuss relevant issues.

A limited number (3-5) of projects/activities that have been identified as particularly successful will be analysed further in the form of case studies.

The main sources and tools required for the analysis are as follows:

- Secondary sources
 - Documents / budget
 - Existing local datasets
- Primary Sources
 - Semi-structured interviews with managing authority and experts
 - Panel with project managers
 - Case Studies

G. ADDITIONAL QUESTIONS CORRESPONDENCE

The following table shows how the additional question are going to be answered and with what analysis criteria and scope.

ADDITIONAL QUESTIONS	KEY CONCEPTS	JUDGEMENT CRITERIA AND APPROACH TO THE QUESTION	CAUSE-AND-EFFECT ASSUMPTION
4. Has the ESF support attracted additional resources towards the objective of the EES?	Resources could be financial or personnel. As it will be difficult to account for personnel resources, this question will focus on those areas where non-ESF financial resources were harnessed in support of EES goals.	In order to find out if ESF attracted additional support, we will do a reviewing of budgeting, combined with an allocation of the history of ESF.	Where ESF-supported activities attracted more external funding than other activities it will be assumed to have been caused by the presence of ESF-funding.
5. How cost-effective were the main implementation arrangements with regard to the specific intended impacts of the ESF-supported activities?	Cost effectiveness would be in evidence where the same intended impacts can be achieved with different methods/circumstances at differing costs or where the same costs have resulted in systemically different impacts.	Lifelong learning activities are by nature varied and their impact is difficult to measure. To the extent that comparable lifelong learning activities and impacts can be identified in sufficiently large number, the cost effectiveness in expenditure per “successful” participant can be measured.	Not relevant in this question
6. Which are the typical success and failure stories of implementation arrangements and what are the main factors explaining them?	<u>Success and failure stories</u> The question addresses the need to identify success/failure cases in terms of achievement of intended impact and/or results. <u>Explanatory factors</u> In addition, the assessment of the reasons and factors explaining the effectiveness of the activity is to be conducted	Indicating the success and failure stories is part of the main analytical set-up (see above). We take a twofold analytical approach: First, we develop a possible list of indicators of successful projects and cross check it with experts during interviews. After having developed a solid and comparable framework, we will then investigate this question in a qualitative fashion through the investigation of case studies.	Success / failure depends on several aspects such as – institutional set-up, participation of stakeholder groups, selection of participants etc.
7. Which are the main factors affecting the sustainability of the benefits in the case of the identified success stories?	<u>Sustainability</u> Sustainability assessments refer to the evaluation of the lasting presence of the benefits achieved by the action under study. The Euréval/Ramboll study associates it with the ‘contribution towards reforming national and regional policies in line with the EES’ (Euréval/Ramboll 2008:64).	The sustainability of ESF’s impact can not be ascertained empirically as there is no long-term observation of final participants. However, to the extent that the institutional factors underlying the success stories can be identified, they will be categorised according to their likely sustainability. For example, the competence of individual project leaders would have low sustainability, whereas codified systems and process would suggest high sustainability.	Success factors that are by their nature long-term are assumed to be repetitively successful.

Evaluation Question II.c

In order to properly analyze this question, two complementary analyses are proposed:

- II.c.a: Effects on employed people
- II.c.b: Effects on the unemployed and self-employed.

For each one of the above, the evaluation team has defined a specific methodology as proposed in the following sections. It is obvious that both approaches have some similarities and suggests some similar indicators. Hence, deskwork and fieldwork will be done referring to the specific methodological approach, but mindful of the expected coherent results emerging from both the approaches.

Evaluation Question II.c.a (employed)

II.c.a To what extent and how have the ESF-supported activities contributed to improving adaptability of active (employed) people?

A. SUMMARY AND JUSTIFICATION

The Euréval/Rambøll study has shown that some data on self-assessment of improved adaptability is already available: “A substantial number of messages (132) were extracted from the reviewed material in relation to this question. Out of these, 96 are reliable or very reliable, but only 30 are of high or medium interest for answering the question. The most common criteria applied are: enterprise creation, self-confidence, and retaining jobs. Most indicators relate to the individuals' perceptions. Data are collected through surveys.” The study identified six third-party studies that it considers robust and interesting. However, it continues, “the identified studies are weak in terms of explanatory content, and will therefore be insufficient to deeply test the logical assumptions and to carry out a sound contribution analysis.”

By undertaking interviews and focus groups it may be possible to better understand the contribution made by the ESF-support. By simultaneously observing other participant characteristics (age, sex, education, job level), a statistical comparison with non-ESF participants can give additional clues about the impact of ESF-support.

The different dimensions of individual adaptability can also be usefully proxied by changes in income. At this stage it remains unclear whether representative data on income changes is available. Even if it were, the difficulty of a contribution analysis would remain.

B. OPERATIONALIZATION OF CONCEPTS USED

The main concepts adopted in the proposed methodology are as follows:

- **Gross Job Creation:** Gross job creation is the sum of all job created either through the creation of new firms or at existing firms and reflects the dynamism of a labour market. Employment changes with the net result of job creation and job destruction.
- **Adaptability of workers, enterprises and entrepreneurs:** “...increasing adaptability of workers, enterprises and entrepreneurs with a view to improving the anticipation and positive management of economic change, in particular by promoting:

(i) lifelong learning and increased investment in human resources by enterprises, especially SMEs, and workers, through the development and implementation of systems and strategies, including apprenticeships, which ensure improved access to training by, in particular, low-skilled and older workers, the development of qualifications and competences, the dissemination of information and communication technologies, elearning, eco-friendly technologies and management skills, and the promotion of entrepreneurship and innovation and business start-ups;

(ii) the design and dissemination of innovative and more productive forms of work organisation, including better health and safety at work, the identification of future occupational and skills requirements, and the development of specific employment, training and support services, including outplacement, for workers in the context of company and sector restructuring” (e.g. REGULATION (EC) No 1081/2006 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 5 July 2006 on the European Social Fund and repealing Regulation (EC) No 1784/1999)

The general definition of the concept has been provided above. Nonetheless, for the scope of this question adaptability is defined in relation with its final purpose: the capacity of employed individuals and their competitiveness in their job environment. Adaptability is therefore intended here as the ability of employed to improve their income or their job security or for the unemployed to gain access to the labour market.

C. HYPOTHESIS

ESF-supported activities have shown a measurable contribution to improving the adaptability of active (employed) people. Participation in ESF-activities has improved skills (both technical and communication), work place relations, confidence, better information about the labour market etc. These have led to greater productivity or additional employment options, greater adaptability to new technologies and practices which improves both employment success and income (potential). We expect output differences according to instruments on adaptability.

D. KEY INDICATORS

Declared Adaptability (Effectiveness/Sustainability)

Self-reported levels of skills (both technical and communication), work place relations, confidence, better information about the labour market etc have improved sustainably.

Income/Employment Security (Impact)

For individual participants, increases in income or job security (for the employed) or entry into the labour market (for the unemployed) is an indication of ESF-activities increasing individual workers adaptability (for example through sufficient attention to lifelong learning), all other factors assumed to be equal.

E. CASE ANALYSIS

1. Correlated groupings

Initial guidance on sampling and scope will be derived from mapping member states or regions on a two-dimensional matrix of:

- Gross job creation over the programming period, as an indication of the “dynamism” of a given labour market where the effects of increased adaptability should be more easily apparent.
- ESF-expenditure per capita.

2. Identification of key member states/regions

Of particular interest will be member states/regions where the number of recipients is high but macro performance is very low or very high. In addition, by selecting two representative countries for each geographical aggregation (Northern, Southern, Central, New Members) representation across Europe’s different systems and structures will be achieved. In order to increase comparability the same ‘couples’ of countries are to be selected for all EQs investigated in this Theme II: UK – Germany; Slovenia – Slovakia; Spain – Portugal; and The Netherlands – Denmark.

3. Criteria for the analysis

ESF-supported activities will be screened to the extent that they addressed factors including changes in job quality, job security and income, past and present changes in skills, qualification, mobility and entrepreneurship, the perception of improvement in different fields: skills, qualification. Controlling as much as possible for individual characteristics such as sex, age, education, employment industry, and the results can be compared to the larger population in the member state/region. Through looking at

the resulting measures where they overlap with the chosen country the consortium will identify the most important ones and achieve a degree of representation for the whole.

Specific questions to be answered by this analysis are:

- How did adaptability and employability (declarations), or competencies and employment status (factual) change?
 - What were the direct and/or indirect causal linkages between ESF support and such changes?
 - What was the contribution of ESF support to improvements in adaptability?
 - Has ESF-support led to better jobs?

F. SOURCES AND TOOLS

Primary data collection will focus on semi-structured interviews and panels. Both internal experts (managing authorities) and external experts (independent and not funded directly by the ESF) will be interviewed in the countries mentioned above. In every country two experts of the managing authorities and another two external experts will be interviewed. Therefore, a total of 32 interviews will be conducted. In addition, 5-10 panels will be organized in a variety of countries that have a high level of thematic overlap with the lifelong learning theme and have performed well along financial criteria (actual expenditure vs. allocated expenditure). For each panel five project managers will be invited to discuss relevant issues.

A limited number (3-5) of projects/activities that have been identified as particularly successful will be analysed further in the form of case studies.

The main sources and tools required for the analysis are as follows:

- Secondary sources
 - Documents / budget
 - Existing local datasets
- Primary Sources
 - Semi-structured interviews with managing authority and experts
 - Panel with project managers
 - Case Studies

G. ADDITIONAL QUESTIONS CORRESPONDENCE

The following table shows how the additional question are going to be answered and with what analysis criteria and scope.

ADDITIONAL QUESTIONS	KEY CONCEPTS	JUDGEMENT CRITERIA AND APPROACH TO THE QUESTION	CAUSE-AND-EFFECT ASSUMPTION
3. Has the ESF support induced a real change in the behaviour of the beneficiaries, or have they just done what they would have done in the absence of the support?	Beneficiaries are the administrators of ESF programmes and are typically public sector institutions with much wider remits than ESF. ESF support will be only a small part of their entire programming budget.	To be treated in interviews with managing authorities, final beneficiaries and project managers.	Not relevant in this question

<p>6. Which are the typical success and failure stories of implementation arrangements and what are the main factors explaining them?</p>	<p><u>Success and failure stories</u></p> <p>The question addresses the need to identify success/failure cases in terms of achievement of intended impact and/or results.</p> <p><u>Explanatory factors</u></p> <p>In addition, the assessment of the reasons and factors explaining the effectiveness of the activity is to be conducted</p>	<p>Indicating the success and failure stories is part of the main analytical set-up (see above).</p> <p>We take a twofold analytical approach: First, we develop a possible list of indicators of successful projects and cross check it with experts during interviews.</p> <p>After having developed a solid and comparable framework, we will then investigate this question in a qualitative fashion through the investigation of case studies.</p>	<p>Success / failure depends on several aspects such as – institutional set-up, participation of stakeholder groups, selection of participants etc.</p>
<p>7. Which are the main factors affecting the sustainability of the benefits in the case of the identified success stories?</p>	<p><u>Sustainability</u></p> <p>Sustainability assessments refer to the evaluation of the lasting presence of the benefits achieved by the action under study.</p> <p>The Euréval/Ramboll study associates it with the ‘contribution towards reforming national and regional policies in line with the EES’ (Euréval/Ramboll 2008:64).</p>	<p>The sustainability of ESF’s impact can not be ascertained empirically as there is no long-term observation of final participants. However, to the extent that the institutional factors underlying the success stories can be identified, they will be categorised according to their likely sustainability. For example, the competence of individual project leaders would have low sustainability, whereas codified systems and process would suggest high sustainability.</p>	<p>Success factors that are by their nature long-term are assumed to be repetitively successful.</p>

Evaluation Question II.c.b (unemployed and self-employed)

II.c.b. To what extent and how have the ESF-supported activities contributed to improving adaptability of active people? (unemployed and self-employed)

A. SUMMARY AND JUSTIFICATION

The methodology proposed plans to focus our approach on the analysis of adaptability on the unemployed. In this sense, this methodology is complementary to the one proposed for studying adaptability in people employed (see methodology for II.c.a) although it has a different approach. Unlike the treatment of the concept of adaptability for the evaluation question on employed people, in this case it has been considered that adaptability for unemployed is better measured in relation with its final purpose: obtaining a job or being self-employed. In this sense, methodology is based on an assumption by that workers with high levels of adaptability (skills, qualifications, mobility, etc.) have higher possibilities of being hired or self-employed.

Studying the ESF contribution towards improving adaptability of the unemployed presents various difficulties in relation with the type of context in which we are working. Although the Euréval/Rambøll study stated that there is “Moderate” data available, it is indicated that information is more relevant for enterprise creation, self-confidence and retaining jobs. Therefore, not all of this information can be used for this part of the evaluation question.

Furthermore, there are limitations on the use of some primary sources. For example, it does not seem feasible to launch a representative EU-wide survey. In this case there could be several barriers (normative, time, etc.) to asking to final recipients of ESF-supported activities.

Considering all these circumstances together, it seems adequate to propose a combination of secondary and primary sources based on case studies. Case studies are very useful to obtain qualitative data of each case and helps investigating on success and failure factors of those measures or instruments selected aimed towards incrementing adaptability between unemployed.

B. OPERATIONALIZATION OF CONCEPTS USED

The main concepts adopted in the proposed methodology are as follows:

- **Adaptability:** The general definition of the concept has been provided for the question B5a. Nonetheless, for the scope of this question adaptability is defined in relation with its final purpose: the capacity of unemployed individuals of being hired or become self-employed. Adaptability is therefore intended here as the ability of unemployed to change their employment status.
- **Potential final recipient:** the number of people unemployed in the State or Region focused by each specific OP. It will be use as an estimation of the people that could be final recipients of the measures of the OP that are linked to the objective of promoting adaptability among unemployed.
- **Employment rate**⁸: is understood as the portion of the working age population (ages 16 to 64 in most countries) that are currently employed.

C. HYPOTHESIS

The social labour market dimensions contain complex matters which cannot be addressed in one ESF-activity altogether. Keeping in mind the fast development of the information society, adaptable actions need to be up to date in order to remain competitive. Changes in the labour market are often faster than a project like ESF can implement its support. Thus, ESF can seemingly target more effectiveness by focusing on people who are not working in the ICT field and are tentatively of the lower strata of ICT than highly skilled people (from ICT fields).

⁸ Eurostat (1998): “The European Union Labour Force Survey”, in *Methods and Definitions*, p.13.

D. INDICATORS

Current status in terms of employment in relation with adaptability (Effectiveness)

Share of final recipients that have changed their official employment status from unemployed to employed/self-employed.

Perception that changes on employment status are due to improvements in adaptability -skills, qualification, mobility and entrepreneurship capacity (Effectiveness).

It is relevant to know if changes in the employment status are perceived as been related to these several elements of adaptability. The perception is measured through the available data for the evaluations of the selected OPs and measures.

E. CASE ANALYSIS

In order to know changes in employment status of unemployed and self-employed between final recipients of ESF-supported activities aimed towards adaptability, case studies are proposed as tools. The selection of the evaluation cases from which individual case studies will be developed is planned to assure the selection of those that could be as useful and as insightful as possible.

1. Correlated groupings

After a preliminary selection of those measures that are aimed towards improving the level of adaptability of unemployed (mainly among FOI categories 23 and 24), all OPs containing such measures will be grouped by:

- Investment per final potential recipient (unemployed). This is measured through the allocated/actual expenditure of OPs: this information will be gathered from the financial data provided by the EC to the evaluation team⁹ in relation with the sum of the investment of the measures linked to the objective of adaptability per OP.
- Employment rate (measured as the average employment rate for the targeted State and Region).

2. Identification of key member states/regions

The next step will be to select those cases where there has been a lower employment rate than EU average and where two options are found: those which have opted for a lower investment per potential final recipients and those with a higher one. In this sense, the evaluation team assures a great diversity of performance within the cases selected.

Between those cases with greater variation, both positive and negative, a selection of 8 cases will be made. The number of cases is considered sufficient for developing an in-depth analysis of each one.

Furthermore, it will be also taken into account the difference with EU's average variation. Using EU average information (employment rate and its variation) should require taking into account the possible statistical distortions that are produce by the inclusion of the EU-10 member states.

2 cases from each geographical aggregation will be selected in order to have a major diversity cases represented (Southern European, Northern European, Central European, New Member States).

For the case of the New Members States, the 2 cases will be selected from 2 different countries, as generally there are fewer OPs and with a national approach. In order to have a better diversity of situation, the cases selected will represent OP from Objectives 1, 2 and 3.

⁹ The financial data available is dated in February of 2009. For further analysis more updated information will be used.

3. Criteria for the analysis

The criteria for the analysis will be established on the basis of the review of secondary sources in relation with the evaluation question.

Once the 8 cases are selected the evaluation team expects to gather qualitative on them regarding factors that influence the performance of ESF-supported activities aimed to adaptability and its relation with the change of employment status. In this sense, the evaluation team would be able to identify differences in adaptability of final recipients depending on the diverse type of ESF-supported activities used.

Results from analysis will be synthesised into case studies as a tool to obtain information on changes of actual status of final recipient in terms of employment and self-employment. From a quantitative way, this will be measured mainly through insertion rates. In addition, having selected cases with different levels of investment per potential final recipients and diverse performances in relation with net employment rate will facilitate identifying more and less successful stories.

An analysis of the information obtained will permit us to answer the following questions:

- Do unemployed people whose employment status has changed perceive differences in its adaptability?
- In opinion of the final beneficiaries, which are the key factors of adaptability in relation with changes in the employment status?
- Which are the effects on employment status of each type of ESF-supported activities that are aimed towards adaptability?
- To what extent has ESF support contributed to stakeholders' initiatives, commitments and knowledge transfers?
- How has ESF support and changes, directly or indirectly, in lifelong learning participation levels and/or skill/qualification levels?
- To what extent has ESF support contributed to adaptability and employability declarations, or in competencies and employment status?
- To what extent has ESF support contributed to improvements in adaptability?

F. SOURCES AND TOOLS

The main sources and tools required for the analysis are documentary revision and case studies: documentary revision (SFC database, statistics, etc.).

Each case analysis will consist of:

- Secondary sources
 - SFC database (financial information).
 - OPs-related documents.
- Primary Sources
 - Semi-structured interviews with stakeholders: programme managers, responsible of the measure/ programme, responsible of programme implementation and final beneficiaries.

G. ADDITIONAL QUESTIONS CORRESPONDENCE

In addition, methodology proposed will be able to give answers to five additional questions of evaluation for the case of this concrete evaluation question. In the next table it is indicated which

additional questions are going to be answered and from which analysis criteria and scope they are approached.

ADDITIONAL QUESTIONS	KEY CONCEPTS	JUDGEMENT CRITERIA AND APPROACH TO THE QUESTION	CAUSE-AND-EFFECT ASSUMPTION
<p>3. Has the ESF support induced a real change in the behavior of the beneficiaries, or if they have just done what they would have done in the absence of the support?</p>	<p>For this additional question we have considered that the focus should be made towards analyzing changes on final recipients.</p> <p>Therefore, real change will be considered as changing employment status of final recipients (unemployed) of measures focused on adaptability.</p>	<p>This question will be approached through the analysis of the employment promotion through the improvement of adaptability of unemployed.</p> <p>From declarations of stakeholders interviewed and the findings of mid-term and final OP evaluations.</p> <p>If possible, from other secondary sources: monitoring system programme and previous evaluations.</p>	<p>Improving the adaptability of unemployed has as direct effect that final recipients are unemployed or self-employed.</p>
<p>6. Which are the typical success and failure stories of implementation arrangements and what are the main factors explaining them?</p>	<p><u>Success and failure stories</u></p> <p>The question addresses the need to identify success/failure cases in terms of achievement of intended impact and/or results.</p> <p><u>Explanatory factors</u></p> <p>In addition, the assessment of the reasons and factors explaining the effectiveness of the activity is to be conducted.</p>	<p>This question will be answered through the analysis of the programmed objectives and the real results/impacts of the initiative. The analysis will seek to find the impact of adaptability in obtaining a job or creating self-employment.</p> <p>Documentary review, interviews with the stakeholders, etc.</p>	<p>Not relevant in this question.</p>
<p>7. Which are the main factors affecting the sustainability of the benefits in the case of the identified success stories?</p>	<p><u>Sustainability</u></p> <p>Sustainability assessments refer to the evaluation of the lasting presence of the benefits achieved by the action under study</p>	<p>The evaluation of sustainability of the benefits achieved by the activities of adaptability of unemployed will be considered in relation with the maintenance of the efforts in</p>	<p>Not relevant in this question.</p>

		<p>adaptability.</p> <p>Documentary review, interviews with the stakeholders, etc.</p>	
<p>8. Which ESF measures and instruments have been more effective to reach the objectives set and why?</p>	<p>Effective measures will be understood in relation with employment change of status for unemployed.</p> <p><u>Explanatory factors</u></p> <p>In addition, the assessment of the reasons and factors explaining the effectiveness of the measures and instruments is to be conducted.</p>	<p>Answering this additional question will be done from overall results from II.c.a and from the other evaluation questions of the theme on labour market (II.a, II.b and II.d).</p>	<p>Not relevant in this question.</p>
<p>9. To what extent ESF and ERDF actions are complementary?</p>	<p><u>Complementarity</u></p> <p>Complementary actions reinforce each other and achieve synergies which increase the benefits and strengthen the basis of their sustainability.</p>	<p>Answering this additional question will be done from overall results from II.c.a and from the other evaluation questions of the theme on labour market (II.a, II.b and II.d).</p>	<p>Not relevant in this question.</p>

Evaluation Question II.d

II.d. Have ESF-supported activities paid sufficient attention to the social and labour market dimensions of the information society, and has this successfully contributed towards the objectives of the EES? (information society)

A. SUMMARY AND JUSTIFICATION

Although according to the Euréval/Rambøll study, 65 activities were focused on the knowledge economy the study concludes flatly that “the question on Information Society cannot be evaluated on the basis of available information, due to the very limited scope and coverage of extracted messages and stories,” and mentions only one project “achieving good results related to ICT skills development.... This study does not however contain full explanatory information on causal reasoning.” So field work will be required.

Ability to participate in the information society today is a basic form of literacy. While some marginal members of society and of the labour market may be excluded from this form of communication for lack of access or skills, the relevance of the information society to the labour market and society as a whole go much beyond the issue of inclusion. Participation in the information society at all levels of competence is not a binary issue but one where growth (in income, welfare, participation etc) is intricately linked with increasing competences in the use of information technology (ICT).

It is likely, for example, that the EES will also be advanced by the greater ICT penetration of industries that are already ICT-intensive and where most employees already have above average ICT skills.

In this light, there are two possible perspectives through which this question can be addressed: (i) to what extent do participants in ESF-activities feel that their ICT capabilities and competences were enabled and (ii) are ESF-activities balanced across industries of different ICT intensity.

B. OPERATIONALIZATION OF CONCEPTS USED

The main concepts adopted in the proposed methodology are as follows:

- **Information Society:** “The information society is revolutionising many areas of everyday life, particularly access to training and knowledge (distance learning, e-learning related services), work organisation and mobilisation of skills (teleworking, virtual companies), practical life (e-health services) and leisure. In the light of these potential benefits and threats, the European Union has placed the information society at the heart of its strategy for the 21st century.” [e.g. EU Europe Glossary http://europa.eu/scadplus/glossary/information_society_en.htm]
- **E-Readiness Ranking:** E-readiness is a measure of the quality of a country’s information and communications technology (ICT) infrastructure and the ability of its consumers, businesses and governments to use ICT to their benefit. In this ranking by the Economist Intelligence Unit, 100 separate criteria, both qualitative and quantitative, are evaluated for each country. [Economist Intelligence Unit: E-readiness ranking 2008]

C. HYPOTHESIS

We assume that the attention to social and labour market dimensions of the information society is sufficient if ICT skills across a broad spectrum –age groups, occupational categories and especially industries– are improved. This will raise productivity and income. However, keeping in mind the fast development of the information society, labour market participants need to be up to date in order to remain competitive. Changes in technology are often faster than a project like ESF can implement its support. Thus, ESF-supported activities will continuously be drawn to focusing on people who are working in areas with low ICT intensity.

Furthermore, considering the broad need of ICT in all sectors and its fast moving nature, we assume that ESF-supported activities can only provide selected points of support rather than ensuring change on a structural level.

D. KEY INDICATORS

Participant Perception (Effectiveness)

Participants' perception of the attention paid to ICT during ESF-activities and the usefulness that this has afforded them.

Balance (Impact)

Balance of ESF-activities across industries with different levels of ICT-intensity. This indicator can be observed at the level of the industry (to which firms or individuals recipient of ESF-funding belong).

E. CASE ANALYSIS

1. Correlated groupings

Initial guidance on sampling and scope will be derived from mapping member states or regions on a two-dimensional matrix of:

- E-Readiness Ranking
- ESF-expenditure per capita.

2. Identification of key member states/regions

Of particular interest will be member states/regions where the number of recipients is high and the E-Readiness Ranking is high. In addition, by selecting two representative countries for each geographical aggregation (Northern, Southern, Central, New Members) representation across Europe's different systems and structures will be achieved. In order to increase comparability the same 'couples' of countries are to be selected for all EQs investigated in this theme II: UK – Germany; Slovenia – Slovakia; Spain – Portugal; and The Netherlands – Denmark.

3. Criteria for the analysis

For the resulting member states the team will scan all ESF-activities for those where raising ICT competences have played a primary or at least a secondary role. Such a "secondary" focus will be most likely in cases in a member state with a relatively high e-readiness and in industries with high ICT intensity. If the attention on ICT was low in member states with high E-readiness ranking and in industries with a high ICT intensity, it is unlikely to have been greater in situations with less need for ICT competences. Through looking at the resulting measures where they overlap with the chosen country the consortium will identify the most important ones and achieve a degree of representation for the whole.

ESF-activities could of course have paid attention to the information society by addressing those individuals and systems and structures with a high need for adaptation due to ICT use, but not necessarily the need for greater competences themselves.

An analysis of the information obtained will permit us to answer the following questions:

- Were the jobs of recipients affected by the need for adaptation due to greater ICT use in their firm/sector?
- Did ESF help in addressing this need for change?
- Are ESF-activities balanced across industries with different levels of ICT-intensity?

- What have been the direct and/or indirect causal linkages between ESF support, each level of implementation, and the achieved changes and ICT development?

F. SOURCES AND TOOLS:

Primary data collection will focus on semi-structured interviews and panels. Both internal experts (managing authorities) and external experts (independent and not funded directly by the ESF) will be interviewed in the countries mentioned above. In every country two experts of the managing authorities and another two external experts will be interviewed. Therefore, a total of 32 interviews will be conducted. In addition, 5-10 panels will be organized in a variety of countries that have a high level of thematic overlap with the lifelong learning theme and have performed well along financial criteria (actual expenditure vs. allocated expenditure). For each panel five project managers will be invited to discuss relevant issues.

A limited number (3-5) of projects/activities that have been identified as particularly successful will be analysed further in the form of case studies.

The main sources and tools required for the analysis are as follows:

- Secondary sources
 - Documents / budget
 - Existing local datasets
- Primary Sources
 - Semi-structured interviews with managing authorities an experts,
 - Panels
 - Case Studies.

G. ADDITIONAL QUESTIONS CORRESPONDENCE:

The following table shows how the additional question are going to be answered and with what analysis criteria and scope.

ADDITIONAL QUESTIONS	KEY CONCEPTS	JUDGEMENT CRITERIA AND APPROACH TO THE QUESTION	CAUSE-AND-EFFECT ASSUMPTION
4. Has the ESF support attracted additional resources towards the objective of the EES?	Resources could be financial or personnel. As it will be difficult to account for personnel resources, this question will focus on those areas where non-ESF financial resources were harnessed in support of EES goals.	In order to find out if ESF attracted additional support, we will do a reviewing of budgeting, combined with an allocation of the history of ESF.	Where ESF-supported activities attracted more external funding than other activities it will be assumed to have been caused by the presence of ESF-funding.

<p>6. Which are the typical success and failure stories of implementation arrangements and what are the main factors explaining them?</p>	<p><u>Success and failure stories</u></p> <p>The question addresses the need to identify success/failure cases in terms of achievement of intended impact and/or results.</p> <p><u>Explanatory factors</u></p> <p>In addition, the assessment of the reasons and factors explaining the effectiveness of the activity is to be conducted</p>	<p>Indicating the success and failure stories is part of the main analytical set-up (see above).</p> <p>We take a twofold analytical approach: First, we develop a possible list of indicators of successful projects and cross check it with experts during interviews.</p> <p>After having developed a solid and comparable framework, we will then investigate this question in a qualitative fashion through the investigation of case studies.</p>	<p>Success / failure depends on several aspects such as – institutional set-up, participation of stakeholder groups, selection of participants etc.</p>
<p>7. Which are the main factors affecting the sustainability of the benefits in the case of the identified success stories?</p>	<p><u>Sustainability</u></p> <p>assessments refer to the evaluation of the lasting presence of the benefits achieved by the action under study.</p> <p>The Euréval/Ramboll study associates it with the 'contribution towards reforming national and regional policies in line with the EES' (Euréval/Ramboll 2008:64).</p>	<p>The sustainability of ESF's impact can not be ascertained empirically as there is no long-term observation of final participants. However, to the extent that the institutional factors underlying the success stories can be identified, they will be categorised according to their likely sustainability. For example, the competence of individual project leaders would have low sustainability, whereas codified systems and process would suggest high sustainability.</p>	<p>Success factors that are by their nature long-term are assumed to be repetitively successful.</p>
<p>8. Which ESF measures and instruments have been more effective in reaching the objectives set and why?</p>	<p>The Euréval/Ramboll study identifies the following instruments used by ESF programmes:</p> <ul style="list-style-type: none"> - Training - Counselling - Placement - Mobility - Information - Engineering 	<p>It is unclear whether all instruments were in use in the ESF-activities in this measure. The consortium will allocate the identified success and failure stories to the given instruments and determine the effectiveness of each.</p>	<p>Not relevant in this question</p>

3.7.3. Labour Market Policy

Clustered within this theme are research questions III.a, III.b and III.c:

- III.a: To what extent and how have the ESF-supported activities contributed to accelerating the matching of demand and supply in the labour market? (Labour market management)
- III.b: To what extent have the ESF-supported activities contributed to reshaping policies at national and regional level in line with the EES and Lisbon Objectives?
- III.c: To what extent have the ESF-supported activities contributed towards raising the level of employment? (Impact on employment)

Evaluation Question III.a

III.a. To what extent and how have the ESF-supported activities contributed to accelerating the matching of demand and supply in the labour market? (labour market management)

A. SUMMARY AND JUSTIFICATION

The analysis on this question will reveal how effective the ESF have been in enabling the management of labour market in responding to local realities. As the question has been recognised in the Euréval/Rambøll study as “impossible to answer” with the current available information, the proposed methodology will use some case-analysis and will also rely on coordination with the parallel study on the ESF impact on the functioning of the labour market.

In order to achieve an in-depth understanding of the “how” part of the question, it is planned that eight cases will be selected, two (more/less successful) for each of the typologies among those identified for this ex post evaluation, for an in-depth analysis. This option has been proposed to allow a clear understanding for the Commission of the real dynamics at the very local level that can favour or hinder any effective policy reform process. The possibility is to have two differently performing PES supported by the same Operational Program (therefore the same region) and two regions within two different typologies of countries among those identified for this ex post evaluation.

The methodology will demonstrate to what degree the ESF, as EU level funding, has added value to what national funds already do and, therefore, if they are really “additional” to national expenditure not only in financial but in “institutional capabilities” terms. We will, therefore, attempt to verify whether the institutions that we are considering (public employment services) are learning more than they would have done if the money would have not been under the framework of the European Social Fund.

B. OPERATIONALIZATION OF CONCEPTS USED

The main concepts adopted in the proposed methodology are as follows:

- **Employment rate:** Absolute/incremental value of unemployed in EU member states.
- **PES:** Public employment service which is the entity that matches (and in this analysis ‘represents’) supply and demand of labour.
- **Differentiation:** PES will be able to differentiate services and PES workers according to the characteristics of: i) individuals supplying jobs; these can be further differentiated amongst categories of individuals according to gender, age, education, disabilities; and ii) organizations that are on the demand side, whereas they can be differentiated according to size, industry sector.

C. HYPOTHESIS

We assume that ESF-supported measures have made a greater contribution where Public Employment Services (PES) are more able to differentiate their approach, by recognizing and reacting to the specific needs of different types of clients. We therefore expect that ESF-supported measures have been successful where they have: a) triggered change in PES towards a more differentiated and client-oriented approach; b) measured the outcomes of such changes; c) promoted exchanges of lessons learned (successes/failures) among EU Regions and Member States.

D. KEY INDICATORS

Unit cost (of individuals and firms assisted) of ESF supported PES on the average value for the other regional/national PES (Efficiency)

PES performances may in fact vary in terms of efficiency: the average cost of services being provided for any single user. This indicator will enable to evaluate how efficient the service is for ESF-supported PES in relation to the average unit-cost of other similar PES in the same Region and/or Member State (depending on available statistical data)

Employment rate of ESF supported PES on the average value for other regional/national PES (Effectiveness)

PES performance may also vary in terms of effectiveness: the capability to successfully match employees and employers. This indicator will enable to evaluate how effective is the service for ESF-supported PES in relation to the average employment rate of other similar PES in the same Region and/or Member State (depending on available statistical data).

E. CASE ANALYSIS

1. Correlated groupings

The proposed analysis will apply to a sample of EU member states. The sample will be selected after ranking each Region by ESF spending and policy performance, where the values are defined as follows:

- Employment growth (weight on the average value of long-term unemployment).
- ESF financial support for PES (the OPs specifically targeted to PES and/or matching of labour supply/demand).

2. Identification of key member states/regions

The analysis will first of all be conducted by comparing 2 PES in the same region, for each typology of countries among those identified for this ex post evaluation. The pairs will be chosen by selecting two cases in the same region that seem to diverge in terms of apparent performance – that is, 2 cases with clearly different positions yielded on the graph of the above two indicators (as set out in section 3.5). This selection of pairs is repeated for a MS of each geographical aggregation. The two cases in one MS will respond to effective analysis or through reputation to the criteria we report in the case selector.

This method will allow to minimize the impact of national policies (whose relationship with ESF we assume to be low) and concentrate on organizational choices that are made at local (most of the times sub regional) level.

3. Criteria for the analysis

For each of the selected region/provinces, the following key aspect will be analysed: labour market policy type of each country where the regions are located (flexicurity, flexibility, security), degree of centralisation or decentralisation of the member state in question, predominant client types of each PES (company/organisation or individual job seeker), main funding sources of PES (user fee, national, EU ESF funding and in which proportions), types of business models (wholesale public services that distribute funds to local 'retail' PES, or outsourced centres for specific tasks).

An analysis of the information obtained will permit us to answer the following questions:

- Which have been the main changes in the practices of employment services? Has there been any direct and/or indirect causal linkage between ESF support and such changes? What are the key elements of success/failure that can be isolated?
- What has been the contribution of ESF support to the reshaping of policies, system and structures of employment services at national and regional level? Particularly, what has been the ESF support to public employment services?

- Has ESF financial support been used to add strategic value to the labour-market reform? Has it provided any contribution to employment recommendations?
- Has ESF contributed in sharing good-practices among EU regions/countries? What are the main processes of knowledge sharing that have been activated through the ESF?

F. SOURCES AND TOOLS:

The main sources and tools required for the analysis are as follows:

- Secondary sources
 - Independent evaluations
 - PES info systems
 - Coordination with the study on systems and structures
- Primary Sources (where data do not exist)
 - Semi-structured interviews with managing authorities and experts.

G. ADDITIONAL QUESTIONS CORRESPONDENCE:

In addition, methodology proposed will be able to give answers to six additional questions of evaluation for the case of this concrete evaluation question. In the next table it is indicated which additional question are going to be answered and from which analysis criteria and scope are approached.

ADDITIONAL QUESTIONS	KEY CONCEPTS	JUDGEMENT CRITERIA AND APPROACH TO THE QUESTION	CAUSE-AND-EFFECT ASSUMPTION
2. Have there been unintended impacts and have these been offset by the benefits of the activities? (Unintended effects)	<p><u>Unintended effects</u></p> <p>Euréal/Ramboll study refers to 4 types of negative (unintended) effects:</p> <ul style="list-style-type: none"> ▪ Lock-in effects of specific target groups, such as vulnerable people, women, long-term unemployed; ▪ Distortion among providers of services to target groups; ▪ Distortion of labour market, due to subsidised employment; ▪ Distortion of competition among employers due to subsidised competence on activities. 	<p>In the pursuit of increasing the capacity of the PES to match labour supply and demand some unintended effects could emerge, such as:</p> <ul style="list-style-type: none"> ▪ Distortions among service providers, due to excess of subsidies to public over private organizations offering employment services. ▪ Lock-in effect for some final recipients workers or enterprises, for several reasons. <p>The unintended effects and benefits of ESF contribution will be addressed by interviewing main beneficiaries and external experts, within the Regions selected for answering this EQ.</p>	<p>By seeking to understand if there have been unintended impacts of the ESF (rather than impacts of externalities) this will provide lessons for future implementation.</p>
3. Has the ESF support induced a real change in the behaviour of the beneficiaries or have they just done what they	<p><u>Real change in the behaviour of the beneficiaries</u></p> <p>The question addresses the need to</p>	<p>To be effective, the ESF supported-measures need to promote effective changes in the recipients' behaviour.</p> <p>The extent of ESF contribution</p>	<p>Not relevant in this question.</p>

ADDITIONAL QUESTIONS	KEY CONCEPTS	JUDGEMENT CRITERIA AND APPROACH TO THE QUESTION	CAUSE-AND-EFFECT ASSUMPTION
would have done in the absence of the support?	<p>evaluate the real value added by the ESF contribution.</p> <p>In other words, whether the ESF contribution was substantial in providing incentives for changes of beneficiaries' skills, organizational processes, services, strategies, policy capacities, etc. (depending on the nature of the beneficiaries), or if instead it was an addition of financial resources to existing initiatives and processes that did not imply any change for the beneficiaries.</p>	to the reshaping the main actors' behaviours, in order to ensure an effective and efficient service in matching labour supply and demand, is the bulk of the analysis needed for answering this EQ. It will be addressed by interviewing the main beneficiaries and external experts, within the selected Regions.	
4. Has the ESF support attracted additional resources towards the objectives of the EES?	<p><u>The Objectives of the European Employment Strategy (EES)</u></p> <p>The objectives of the EES are considered as presented in the Employment Guidelines - COUNCIL DECISION 7 July 2008</p>	<p>Among the strategic contributions of ESF, one is the attraction of additional resources (public or private) for the achievement of the objectives of the supported measures. Improving the capacity of matching supply and demand of labour is surely a key component for achieving the EES objectives.</p> <p>The consortium will try to gather whether the additional resources were due to perceived causality between ESF funding and successful outcome, or if additional resources were given simply because the ESF funding was awarded. The extent of ESF contribution to the attraction of additional resources for the improvement of matching of labour supply/demand will be addressed by interviewing ESF managers within Managing Authorities and external experts, within the Regions selected for this EQ.</p>	ESF funds may lead to a perceived change in service orientation of 'matching' (improved impact) and thus may lead to extra additional funds from the region or state. This would not have occurred without the initial ESF funding. Regions may not have had enough resources to make any difference. ESF funding may have been the necessary additional amount that did not exist before to achieve minimum benefits.
5. How cost-effective were the main implementation arrangements with	<p><u>Cost-effectiveness</u></p> <p>Cost-effectiveness analysis (CEA) is a</p>	The measure for cost-effectiveness adopted in this evaluation, for the ESF	Not relevant in this question.

ADDITIONAL QUESTIONS	KEY CONCEPTS	JUDGEMENT CRITERIA AND APPROACH TO THE QUESTION	CAUSE-AND-EFFECT ASSUMPTION
regard to the specific intended impacts of the ESF-supported activities?	form of economic analysis that compares the relative expenditure (costs) and outcomes (effects) of two or more courses of action. In this case the implementation arrangements (allocation/actions) and the intended impacts (outcomes).	<p>supported-actions aimed at improving matching of supply and demand of labour, is the ratio between:</p> <ul style="list-style-type: none"> ▪ The value of ESF allocation on these specific measures, and ▪ The improvement in PES performances in terms of successful clients (enterprises/workers). <p>The cost-effectiveness analysis will be based on the available data in the PES/Regions selected for this EQ (ESF financial allocations and PES performances).</p>	
<p>6. Which are the typical success and failure stories of implementation arrangements and what are the main factors explaining them? (Success/Failure factors)</p>	<p><u>Success and failure stories</u></p> <p>The question addresses the need to identify success/failure cases in terms of achievement of intended impact and/or results.</p> <p><u>Explanatory factors</u></p> <p>In addition, the assessment of the reasons and factors explaining the effectiveness of the activity is to be conducted.</p>	<p>The reflection on typical success/failure stories of implementation arrangements and the main explanatory factors behind them is the bulk of the analysis needed for answering this EQ. We will be looking to see what are the circumstances or factors that impeded or triggered successful implementation of the funds which leads to better matching service. This will be addressed by interviewing the main beneficiaries and external experts, within the selected Regions. We attempt to gather what the negative and positive externalities may have been and if there are commonalities and thus lessons across the cases to draw from this.</p>	Not relevant in this question.
<p>7. Which are the main factors affecting the sustainability of the benefits in the case of the identified success stories? (Sustainability)</p>	<p><u>Sustainability</u></p> <p>Sustainability assessments refer to the evaluation of the lasting presence of the benefits achieved by the action under study.</p> <p>The Euréval/Ramboll study associates it with the 'contribution towards reforming national and regional policies in line with the EES' (Euréval/Ramboll 2008:64).</p>	<p>The evaluation of the sustainability of benefits achieved by the labour market, through the ESF funded activities aimed at improving the matching of demand and supply, and the factors affecting will be considered in the analysis of the selected cases.</p> <p>To assess the basis of such sustainability, we address the capacity of the PES to which the ESF support was targeted, to sustain their performances and capacity beyond the</p>	Not relevant in this question.

ADDITIONAL QUESTIONS	KEY CONCEPTS	JUDGEMENT CRITERIA AND APPROACH TO THE QUESTION	CAUSE-AND-EFFECT ASSUMPTION
		<p>support of the ESF intervention.</p> <p>The sustainability of ESF contribution to the supported policy reforms will be addressed by interviewing ESF managers within beneficiaries and external experts within the Region selected for this EQ.</p>	
<p>9. To what extent are ESF and ERDF actions complementary?</p>	<p>Complementarity</p> <p>Complementary actions reinforce each other and achieve synergies which increase the benefits and strengthen the basis of their sustainability.</p>	<p>The criteria to be used in the approach to this question will be based on the analysis of potential synergies between selected case studies and other ERDF funded actions present in the same area where the selected case is being implemented.</p> <p>The extent of the complementarity will be assessed qualitatively in terms of increasing benefits for main stakeholders and sustainability of the achieved results.</p>	<p>If there have been ERDF actions similarly targeted at the cases selected where ESF funds have led to greater service orientation, and thus more effective matching, then it can be assumed that ERDF is complementary</p>

Evaluation Question III.b

III.b. To what extent has the ESF supported activities contributed to reshaping policies at national and regional level in line with EES and Lisbon Strategies?

A. SUMMARY AND JUSTIFICATION

The proposed approach will provide a clear overview, for a selected number of EU member states, of the role of the ESF in promoting the EES/Lisbon Strategies.

Through direct interviews and analysis of existing evaluation reports at the member states level and the regional level, the methodology will highlight whether the ESF has been: a) strategic in moving towards the EES/Lisbon Strategies, by adding value to both the policy and organizational/institutional capacity; or alternatively if, b) has just replaced national resources without adding any relevant policy-value.

This question will not only directly assess the overall impact of the ESF on reshaping national policies, but will also rely on the results of other questions to estimate the impact on specific policy areas such as: labour market (question III.a), life-long learning (II.b), social inclusion (question IV.a, IV.b) and gender (V.a).

B. OPERATIONALIZATION OF CONCEPTS USED

The main concepts adopted in the proposed methodology are as follows:

- **Policy Reforms:** Improvements in member states' Policy Quality, as measured by the Policy Reform Ranking by the Centre of European Research (CER).
- **Promoting EES/Lisbon Strategies:** Regional improvements as described by the European Spatial Planning Observation Network (ESPON).
- **Labour Market, Life-Long Learning, Social Inclusion and Gender:** As defined in other relevant questions (III.a, II.b, IV.a, IV.b, V.a).

C. HYPOTHESIS

We assume that the performances towards the EES and the Lisbon Strategy Objectives may vary due to differences in the national policymaking for each Member State (the different "policy regimes" proposed in this evaluation), and different pre-existing economic performances at regional level. We therefore expect that ESF-supported measures have been successful where they have: a) triggered specific and focused pilot policy initiatives, with a strong endorsement from national policy-makers; b) promoted the exchange of experience and capacity among similar regions and Member States throughout the implementation phase of such pilot initiatives.

D. KEY INDICATORS

Improvement in policy reform ranking

The extent of the contribution to reshaping the policies will be measured through international policy analysis with further primary data achieved during the interviews held with independent experts for the selected evaluation cases.

Improvement in Lisbon/EES objectives

Official statistics on Lisbon/EES improvements and the national and regional levels will be used to verify whether policy reforms triggered by the ESF have been successful in improving national/regional performances towards the Lisbon/EES Objectives. A composite index is proposed to measure MS performances on EES and Lisbon Objectives.

E. CASE ANALYSIS

1. Correlated groupings

The proposed analysis will apply to a sample of EU member states. The sample will be selected after ranking each Member state by ESF spending and national policy performance, where the values are defined as follows:

- Effort in improving National Policy Reforms (measured through their improvements through the year in the CER Policy Reforms Ranking)
- ESF financial support (the OPs funding weighted on the amount of the overall national social expenditure).

2. Identification of key member state/regions

The selected countries will ensure a variety in terms of strong/poor policy improvements and performance in moving towards the Lisbon Strategy. The sample will represent different typologies of countries, for the different geographical aggregations, due to different performance towards the Lisbon/EES Objectives. In this EQ, 8 MS will be selected, 2 from each of the geographical aggregations.

3. Criteria for the analysis

Once the key national cases are selected, a qualitative analysis of existing evaluations/datasets and ad-hoc interviews with key authorities will be held. The analysis will be focused on the impact of ESF on national and regional improvements in: a) the quality of policy reforms and b) the consequent achievement of EES/Lisbon Objectives.

As a second and final step, the results of other key questions will be used as secondary data to refine the question and provide details on the contribution of the ESF in reshaping specific policy areas (labour market, life-long learning, social inclusion and gender).

An analysis of the information obtained will permit us to answer the following questions:

- Is any particular trend emerging? Is there any “good practice” in the adopted policies to highlight? Or any common thread in the lagging regions/states? Is any key policy advice/recommendation emerging from such threads?
- What have been the main direct/indirect causal relations between ESF support and effective change in performances?

F. SOURCES AND TOOLS:

The main sources identified for the methodology are as follows:

- Secondary Sources
 - Existing impact analysis at the national/regional levels
 - Existing financial data on ESF allocations

- Primary Sources
 - Semi-structured interviews with national/regional authorities and experts.

G. ADDITIONAL QUESTIONS CORRESPONDENCE:

In addition, methodology proposed will be able to give answers to three additional questions of evaluation for the case of this concrete evaluation question. In the next table it is indicated which additional question are going to be answered and from which analysis criteria and scope are approached.

ADDITIONAL QUESTIONS	KEY CONCEPTS	JUDGEMENT CRITERIA AND APPROACH TO THE QUESTION	CAUSE-AND-EFFECT ASSUMPTION
<p>1. To what extent have the ESF-supported activities added a specifically Community 'value' to the progress towards social cohesion?</p>	<p><u>Community added 'value'</u></p> <p>The Euréval/Ramboll study (pg.51) defined it as the contribution towards social cohesion via the tackling of challenges (addressed by ESF interventions) which are common to all Member States.</p> <p><u>Social cohesion</u></p> <p>Conceptually, social cohesion alludes to disparities in terms of access to the labour market (unemployment), education (qualified workforce) and the risk of poverty.</p>	<p>Promoting regional and national policy reforms towards the achievement of the main EES and Lisbon Objectives is surely a key factor behind the improvement of social cohesion, both within and among EU Member States.</p> <p>Full employment in European States and Regions is definitely one of the key drivers to reduce social disparities and divergences within and between European States. But full employment is sustainable only if is achieved through economic growth, environmental sustainability and innovation: the key pillars of the Lisbon Strategy.</p> <p>The extent of ESF contribution (Community added value) to the improvement of social cohesion in Member States (through the promotion of policy reforms towards the EES/Lisbon objectives), will be addressed by interviewing ESF managers within Managing Authorities and external experts, within the Member States selected for this EQ.</p>	<p>Not relevant in this question.</p>
<p>2. Have there been unintended impacts and have these been offset by the benefits of the activities?</p>	<p><u>Unintended effects</u></p> <p>Euréval/Ramboll study refers to 4 types of negative (unintended) effects:</p> <ul style="list-style-type: none"> ▪ Lock-in effects of specific target groups, such as vulnerable people, women, long-term unemployed; ▪ Distortion among providers of services to target groups; ▪ Distortion of labour market, due to subsidised 	<p>In the pursuit of reshaping national and regional policies towards the EES/Lisbon objectives, unintended impacts are most likely to emerge. For example the reform of the job market can most likely create negative impacts in the short term among extremely secure workers, but in the mid-term, if the policy is well designed, the benefits from a flexible and efficient job market can offset such initial externalities.</p> <p>ESF supported-measures should therefore be well designed to ensure that mid/long-term benefits could offset such impacts.</p> <p>The unintended effects and benefits of ESF contribution, will be addressed</p>	<p>Not relevant in this question.</p>

ADDITIONAL QUESTIONS	KEY CONCEPTS	JUDGEMENT CRITERIA AND APPROACH TO THE QUESTION	CAUSE-AND-EFFECT ASSUMPTION
	<p>employment;</p> <ul style="list-style-type: none"> ▪ Distortion of competition among employers due to subsidised competence on activities. 	<p>by interviewing main beneficiaries and external experts, within the Member States selected for answering this EQ</p>	
<p>3. Has the ESF support induced a real change in the behaviour of the beneficiaries of have they just done what they would have done in the absence of the support?</p>	<p><u>Real change in the behaviour of the beneficiaries</u></p> <p>The question addresses the need to evaluate the real value added by the ESF contribution.</p> <p>In other words, whether the ESF contribution was substantial in providing incentives for changes of beneficiaries' skills, organizational processes, services, strategies, policy capacities, etc. (depending on the nature of the beneficiaries), or if instead it was an addition of financial resources to existing initiatives and processes that did not imply any change for the beneficiaries.</p>	<p>Promoting regional and national policy reforms towards the achievement of the main EES and Lisbon Objectives is a major achievement for the ESF. Nonetheless, policies can be introduced mechanically, without clear understanding of their key features, or just "on paper", therefore may not be properly implemented and add little value in terms of changes in the behaviour of national/regional Authorities and other main players.</p> <p>Interviews will seek to understand if successful pilot policy initiatives on the regional level that were triggered by ESF support were then applied, possibly in the form of best practice recommendations, to other regions or even nationally. The extent of ESF contribution to the reshaping of the main actors' behaviours, in order to ensure an effective and efficient policy reform, will be addressed by interviewing ESF managers within Managing Authorities and external experts, within the Member States selected for this EQ.</p>	<p>It can be assumed that if ESF-funded success cases are replicated by policy makers in other regions, that without ESF funding's 'exemplary' impacts, general policy behaviour would not have occurred..</p>
<p>4. Has the ESF support attracted additional resources towards the objectives of the EES?</p>	<p><u>The Objectives of the European Employment Strategy (EES)</u></p> <p>The objectives of the EES are considered as presented in the Employment Guidelines - COUNCIL DECISION 7 July 2008</p>	<p>Among the strategic contributions of ESF, one is the attraction of additional resources (public or private) for the achievement of the objectives of the supported measures.</p> <p>The extent of ESF contribution to the attraction of additional resources for the reshaping of national and regional policies towards the EES objectives, will be addressed by interviewing ESF managers within Managing Authorities and external experts, within the Regions selected for this EQ.</p>	<p>Where ESF-supported activities attracted more regional or national funding on these objectives than other activities, it will be assumed to have been caused by the presence of ESF-funding.</p>
<p>6. Which are the typical success and failure stories of implementation arrangements</p>	<p><u>Success and failure stories</u></p> <p>The question addresses the need to identify success/failure cases in terms of</p>	<p>The reflection on typical success and failure stories of implementation arrangements and the main explanatory factors behind them is the bulk of the analysis needed for answering this EQ. It will be</p>	<p>Not relevant in this question.</p>

ADDITIONAL QUESTIONS	KEY CONCEPTS	JUDGEMENT CRITERIA AND APPROACH TO THE QUESTION	CAUSE-AND-EFFECT ASSUMPTION
and what are the main factors explaining them?	<p>achievement of intended impact and/or results.</p> <p><u>Explanatory factors</u></p> <p>In addition, the assessment of the reasons and factors explaining the effectiveness of the activity is to be conducted.</p>	addressed by interviewing the main beneficiaries and external experts, within the selected Member States.	
7. Which are the main factors affecting the sustainability of the benefits in the case of the identified success stories?	<p><u>Sustainability</u></p> <p>Sustainability assessments refer to the evaluation of the lasting presence of the benefits achieved by the action under study.</p> <p>The Euréval/Ramboll study associates it with the 'contribution towards reforming national and regional policies in line with the EES' (Euréval/Ramboll 2008:64).</p>	<p>The evaluation of the sustainability of the policy reforms triggered through the ESF funded activities, and the factors affecting it, will be considered in the analysis of the selected cases.</p> <p>To assess the basis of such sustainability, in the analysis of the selected cases for this EQ particular attention will be given to the synergies between national/regional policy reforms towards EES/Lisbon Objectives.</p> <p>The sustainability of ESF contribution to the supported policy reforms, will be addressed by interviewing ESF managers within beneficiaries and external experts, within the Member States selected for this EQ.</p>	Not relevant in this question.
8. Which ESF measures and instruments have been more effective in reaching the objectives set and why?	<p><u>Effectiveness</u></p> <p>ESF measures and instruments have been effective if they have actually achieved the results identified, in terms of outcomes and impacts (in terms of promotion of policy reform towards the EES/Lisbon objectives).</p>	<p>The evaluation of the effectiveness of measures and instruments aimed at improving the matching of supply and demand of labour is judged here on the basis of the perception of key stakeholders.</p> <p>The effectiveness of measures and instruments will therefore be addressed by interviewing beneficiaries and external experts, within the Member States selected for this EQ.</p>	Not relevant in this question.

Evaluation Question III.c

III.c. To what extent have the ESF-supported activities contributed towards raising the level of employment? (Impact on employment)

A. SUMMARY AND JUSTIFICATION

Methodology proposed has been planned in order to be able to focus our approach towards a macro perspective as the evaluation question required. As the Euréval/Rambøll study states, there has not been found a great deal of secondary information that analyzes macro level impact on employment.

However, it also indicates that there have been identified many quantitative studies that report on insertion rates. In that sense, methodology's scope has been limited to an estimation of global impact through insertion rates by OP. These rates have been calculated in different ways, so a process for homogenization will be applied as it is explained in the methodology.

Sources planned to be used will be both official statistics and documents related to each OP: mainly mid-term and updated evaluations or annual implementation reports. Information recollected will facilitate the identification of the different success levels in the raise of the level of employment and how is attributed to ESF supported activities.

B. OPERATIONALIZATION OF CONCEPTS USED

The main concepts adopted in the proposed methodology are as follows:

- **Unemployed:** One of the targeted public of the measures and instruments that will be analyzed is people that have been recipients of any ESF initiative targeted to unemployed people during 2000-2006. Hence, they could have been employed during the period.
- **Self-employed:** The other targeted public considered in B6's methodology is unemployed who have been final recipients of those measures and instruments that were focused on promoting self-employment.
- **Insertion rate:** Share of final recipients of ESF-supported activities that: a) found a job after their participation (in an activity directed to the promotion of employment); create new enterprise projects through ESF initiatives.
- **Net employment growth:** Relation between the amount of people employed at a given initial moment (t_0) and those employed at a given moment in the future (t_1).

C. HYPOTHESIS

We expect that the differences in the ESF contribution to level of employment are the results of different factors:

- Regional status (objective 1, 2 or 3).
- ESF investment concentration per final recipient.
- Number and scope of the measures within one OP that it is focused towards the objective. E.g. One OP could have one unique general measure while another OP could contain several more specific measures that are linked towards employment creation.

D. KEY INDICATORS

Share of net employment growth that is attributable to ESF (Effectiveness).

This contribution will be expressed as the percentage of the net employment growth (mainly by country and total EU25) that can be attributable to ESF activities.

E. CASE ANALYSIS

1. Correlated groupings

For the case of this evaluation question no sample of cases will be selected as all the countries' OPs with measures regarding employment growth will be analyzed. Therefore, no correlated grouping will be designed nor any identification of key member state or regions will be made.

2. Identification of key member states/regions

Not applicable for this EQ.

3. Criteria for the analysis

In order to know the share of employment increase attributable to ESF-supported activities, an estimation method will be used. Estimation will be done by taking into account those measures and instruments that are aimed towards employment growth and, consequently, that are targeted towards unemployed in order to promote their employment or self-employment. In this sense, no sample is taken in order to make a more accurate approximation.

With the purpose of explaining the selection process of measures and instruments from which the estimation will be done, a sequence of phases is presented below:

- Selection of those measures that are linked to the objective of raising employment level and identification of all OPs containing those measures selected. These measures have been categorized in relation with their objectives: activation of job seekers, promotion of self-employed, youth employment and vocational education. Based on the work already advanced, the evaluation team estimates that around 70-80% of the OPs contain at least one measure towards creation of employment and self-employment.
- Organization of the measures selected into groups by type of employment promoted: converting unemployed into employees; promoting self-employment between people unemployed; and aimed towards both types.
- Classification of measures by instrument in order to enable integration of data by instruments for later analysis.

After the preliminary selection process, measures will be analysed for unemployed, unemployed into self-employed and both. Particularly the analysis will:

a) Highlight the number of final recipients by each relevant measure (where there is risk of double counting this will be solved by the application of a coefficient of correction, to be estimated on base of a sample of measures and generalized for the complete selection);

b) Group insertion rates by instrument used (after collecting them for each of the measures selected and homogenize the available information so these rates can be integrated and compared¹⁰);

c) Calculate the total number of final recipients that found a job (or that have been self-employed) through multiplying total number of people that has been recipients of each instrument by each insertion rate.

Information obtained will allow achieving at least the number of people that found a job by instrument, targeted public, measures and region/country. This information will be contrasted with context data for each region/country and for the whole EU (25 country-members). It will be necessary to obtain the net

¹⁰ Information sources are heterogeneous so they present some problems: a) Calculation of insertion rates can be different depending on each source (i.e. different ways could be found of measuring the influence of having participated in ESF activity and been hired or self-employed; or the period of time in which final recipients are asked if they have found a job can vary from each source); b) Insertion rates are based in different number of final recipients. Hence, in order to reach average rates it will be necessary to weight each data.

employment rate by country and integrated at EU level and subtract those final recipients of ESF instruments that found a job or that are self-employed. This calculation¹¹ will give us the estimated percentage of employment growth by instrument and by region/country or EU that is attributable to ESF.

An analysis of the information obtained will permit us to answer the following questions:

- Has there been relevant correlation between the insertion rates achieved and the type of instruments adopted?
- Has there been relevant correlation between the insertion rates achieved and the type of targeted publics?
- Has there been relevant relation between the insertion rates achieved and the different Objective areas?
- Has there been a relevant relation between the insertion rates achieved and the various Regions or Countries?
- To what extent has the ESF support contributed to the reshaping of policies, systems and structures of education, training and employment at national and regional level?
- How has ESF support contributed to employment recommendations?
- How has ESF support contributed to changes in adaptability and employability (declarations), or in competencies and employment status (factual)?

F. SOURCES AND TOOLS

The main sources identified for the methodology are as follows:

- Secondary Sources
 - SFC database (financial information).
 - Evaluation question I.a results (physical outputs).
 - Eurostat: employment data at EU level.
 - Programme documents: Programme Complements and OPs.
 - Annual Implementation Reports.
 - Mid-term and update evaluations of OP.
 - 'Study on data availability' fiches of OP.
- Primary Sources (no primary sources needed for this question).

G. ADDITIONAL QUESTIONS CORRESPONDENCE

In addition, methodology proposed will be able to give answers to three additional questions of evaluation for the case of this concrete evaluation question. In the next table it is indicated which additional questions are going to be answered and from which analysis criteria and scope are approached.

¹¹ For the analysis of these differences the following variables will be used: number of final recipients, expenditure, net employment rate and insertion rates. Although the estimation method proposed can contribute to answer the evaluation question proposed in a proper way, there are some limitations to take into account: a) as the Euréval/Rambøll study stated, there are some difficulties in order to find reliable findings in secondary sources; b) although the process of homogenization is a useful method to facilitate integration of insertion rates, it is based in estimation so prudence in the strength of the result is required.

ADDITIONAL QUESTIONS	KEY CONCEPTS	JUDGEMENT CRITERIA AND APPROACH TO THE QUESTION	CAUSE-AND-EFFECT ASSUMPTION
<p>1. To what extent have the ESF-supported activities added a specifically Community 'value' to the progress towards social cohesion?</p>	<p><u>Community added 'value'</u></p> <p>The Euréval/Rambøll study (pg.51) defined it as the contribution towards social cohesion via the tackling of challenges (addressed by ESF interventions) which are common to all Member States.</p>	<p>Our approach proposed the analysis of the impacts of measures that directly focused on employment creation.</p> <p>Community Added value for this evaluation question will be approached through the estimation of the share of employment creation that can be attributable to the ESF-supported activities.</p> <p>This estimation will be made through the comparison with the national level of employment rate evolution during the period of the ESF.</p>	<p>It is expected to find that the differences in the ESF contribution to level of employment are the results of different factors:</p> <ul style="list-style-type: none"> - Regional status (objective 1, 2 or 3). - ESF investment concentration per final recipient. - Number and scope of the measures within one OP that it is focused towards the objective.
<p>5. How cost-effective were the main implementation arrangements as regards the intended impacts of ESF-supported activities?</p>	<p>Relation between the intended impacts and the cost of the ESF-supported activities.</p>	<p>An analysis relating insertion rates and actual financial expenditure will show the efficiency by measure selected taking into account the unitary cost by final recipient unemployed.</p>	<p>More level of concentration per final recipient supposes greater contribution of the ESF-supported activities on employment.</p>
<p>8. Which ESF measures and instruments have been more effective to reach the objectives set and why?</p>	<p>'More effective' will be understood as creating employment and self-employment.</p>	<p>Answering this additional question will be done from overall results from III.c and from other evaluation questions.</p>	<p>Not relevant in this question.</p>

3.7.4. Social Inclusion

Clustered within this theme are research questions IV.a and IV.b:

- IV.a: To what extent and how have the ESF-supported activities contributed to promoting equal opportunities for disadvantaged groups to access the labour market?
- IV.b: To what extent have the ESF-supported activities contributed to achieving social cohesion? (Impact on social cohesion)

Evaluation Question IV.a

IV.a. To what extent and how have the ESF-supported activities contributed to promoting equal opportunities for disadvantaged groups to access the labour-market?

A. SUMMARY AND JUSTIFICATION

According to the Study on the relevance and reliability of available information for the ex post evaluation of the European Social Fund (2000-2006), the evaluation questions concerning the integration of the disadvantaged groups examine at the micro-level impact of ESF-supported activities from the point of view of effectiveness.

As a consequence, our methodology provides micro level answers for the evaluation question. The level of available secondary information is “moderate” according to the Study. The definition of disadvantaged groups shows a great variety in the member states. Furthermore, current literature sees no direct linkage between the instruments of active labour-market policies and actual employment. In order to achieve long-term employment for disadvantaged groups, the revitalization and enrichment of personal social networks are needed. In order to evaluate the actual value added in personal social networks, we will pursue focus group research among final beneficiaries and project managers.

Available secondary sources planned to be used are OPs, mid-term and final evaluations and monitoring reports.

B. OPERATIONALIZATION OF CONCEPTS USED:

Social Inclusion: A purposeful and targeted social action promoted in order to enfranchise excluded groups or individuals by revitalizing and developing their social networks and by deepening the level of their social integration. Employment, income gains and education are considered as important by-products of the renewed social networks. As a consequence, the evaluation of inclusive policies and measures should be focused to the revitalization of the social networks of the targeted individuals/groups.

Disadvantaged people: Each member state defines their target groups in their National Action Plan on Social Inclusion. Usually it covers subjects of social exclusion like women, young people, old people, unskilled people, disabled, migrants, refugees, the Roma and former prisoners.

Long-term unemployment: Defined as a permanent condition of unemployment involving people out of work and looking for work for 12 months or more. (ILO/OECD Glossary of Statistical terms). This is one of the best statistical proxies to measure the employment situation of disadvantaged groups.

ESF-expenditure per NUTS II Region: All contracted ESF-expenditure of the concerned region in the 2000-2006 budgetary period. In the case of the new member states (joined in 2004) expenditures will be calculated separately. Regional ESF-expenditure per inhabitant is a good variable to measure the “ESF-intensity” of the regions.

Equal opportunities to access labour market: Disadvantaged people covered by ESF have improved their capacity to re/enter the labour-market. Capacities are to be studied in relation with its (a) preparatory and its (b) final purpose: (a) getting personal social networks revitalized and (b) being hired or self-employed in the labour-market.

C. HYPOTHESIS

We assume that there is a strong correlation between the National Action Plans and the Operational programmes. Consequently, we assume that the priorities of the OPs are closely reflected by the ESF supported activities on the regional level. On the regional level we expect that ESF has largely and positively contributed to the outreach and mobilization of disadvantaged groups. Since economically

viable and sustainable employment of disadvantaged people is a micro-level issue, we expect that inclusive, decentralized and localized project produced better impact. We assume that there is a measurable gain in the revitalization of individual social networks among those who participated in ESF-supported projects.

D. KEY INDICATORS

Correlation of target groups in National Action Plans and in OPs (Effectiveness)

This indicator will be expressed as a percentage of correlation between the compared lists of target groups.

Perception among selected final recipients that changes on employment status are due to improvements in social networks (Effectiveness)

This indicator will be expressed as a percentage of opinion describing “strong improvements”, “moderate improvements” and “no improvements”.

E. CASE ANALYSIS

1. Correlated groupings

In order to identify how the inclusion needs of each member state were identified and how the main target groups were identified, we compare the targeted groups of the National Action Plans on Social Inclusion to the target groups of the OPs. We therefore create a comparative view on the prioritized targets groups of social inclusion in the EU.

To create a manageable sample, we then select our case studies by comparing:

- Long-term unemployment share per member states 2000-2007
- ESF expenditure per inhabitant per member state 200-2007 (EUR)

2. Identification of key member state/regions

In order to provide the adequate amount and quality of evaluation cases with greater variation, both positive and negative, a selection of 10 cases will be made. The number of cases is considered sufficient for developing an in-depth analysis of each one. Furthermore, the difference with EU's average variation will be also taken into account. Divergent cases from each geographical aggregation will be selected in order to have a major diversity cases represented, with four from the Southern European aggregation, 2 from the Central European, 2 from the Northern European, and 2 from the New Member States aggregation.

3. Criteria for the analysis

From the case studies, the consortium expects to gather qualitative information on factors that influence the performance of ESF-supported activities aimed at accessing labour-market and its relation with the change of employment status. In this sense, the evaluation team would be able to identify differences in the preparation level of final recipients depending on the diverse type of ESF-supported activities used. Preparation level covers: a) the revitalization and development of the personal social network of the final recipient; b) the change in self-confidence of the person; c) the actual improvement of employment related skills of the final recipient.

An analysis of the information obtained will permit us to answer the following questions:

- Is there a measurable improvement in the thickness of social networks of the final recipients covered by ESF-supported activities?
- Where can we identify the most measurable ESF-generated improvements in the career-cycle of the final recipients?
- Do ESF-generated improvements have a preparatory character (motivation, rehabilitation, self-confidence, attitudes) or do they directly help to get a job?

- What has been the magnitude of micro impacts that increased workers' competencies or mobility, number of new enterprises, number of people re-entering the labour market?
- To what extent have the ESF-supported activities added a specifically Community 'value' to the progress towards social cohesion?

F. SOURCES AND TOOLS:

- Secondary sources:
 - National Action Plans on Social Inclusion
 - Evaluation question I.a results (physical outputs).
 - Eurostat: 2006 Labour Force Survey (LFS)
 - EQUAL data base
 - Programme documents: Programme Complements and OPs.
 - Annual Implementation Reports.
- Primary Sources
 - Semi-structured interviews with regional programme managers (Managing Authority and intermediary bodies?),
 - Focus group discussions with programme implementors and final beneficiaries.

G. ADDITIONAL QUESTIONS CORRESPONDENCE:

This table seems to have been copied from theme V without being completely adapted to this theme; please revise.

In addition, the methodology proposed will be able to give answers to five additional questions of evaluation for the case of this concrete evaluation question. The following table indicates which additional questions are going to be answered and from which analysis criteria and scope they are approached.

ADDITIONAL QUESTIONS	KEY CONCEPTS	JUDGEMENT CRITERIA AND APPROACH TO THE QUESTION	CAUSE-AND-EFFECT ASSUMPTION
1. To what extent have the ESF-supported activities added a specifically Community added value (CAV) to the progress towards social cohesion?	<p>Community added value (CAV) The Euréval/Ramboll study defined it as the contribution towards social inclusion via the tackling of challenges (addressed by ESF interventions) which are common to all Member States.</p> <p>Equal opportunities. A purposeful and targeted social action promoted in order to (a) enfranchise excluded groups or individuals by revitalizing and developing their social networks and by deepening the level of their social integration, and (b) make employers and social services more flexible and inclusive. Employment, income gains and education are considered as important by-products of the renewed</p>	<p>Community added value (CAV) towards the promotion of equal opportunities for disadvantaged groups will be assessed through the identification and analysis of micro-level change. Several changes (CAV effects) can be identified as</p> <ul style="list-style-type: none"> - People's improved social networks, - more personalized and supportive service delivery processes (national employment services, job offices and NGOs), - more personalized and supportive internal organizational processes (employers and companies), <p>The effects of changes will be identified according to their (a) volume, (b) scope, (c) role and</p>	<p>Since the planning of ESF-measures was co-ordinated by common strategic (EES) and technical guidelines we assume that ESF-supported activities have produced some CAV effects common to all Member States.</p>

	<p>social networks.</p> <p>Disadvantaged groups. Each member state defines their target groups in their National Action Plan on Social Inclusion. Usually it covers subjects of social exclusion like women, young people, old people, unskilled people, disabled, migrants, refugees, the Roma and former prisoners.</p>	(d) process (see the Methodological Note on CAV).	
2. Have there been unintended impacts and have these been offset by the benefits of the activities?	<p>In terms of social inclusion, negative unintended effects of ESF-supported activities refer to possible labour-market imbalances indirectly generated in the specific context.</p> <p>The Euréval/Ramboll study refers to 4 types of unintended effects:</p> <ul style="list-style-type: none"> ▪ Lock-in effects of specific target groups, such as vulnerable people, women, long-term unemployed; ▪ Distortion among providers of services to target groups; ▪ Distortion of labour market, due to subsidised employment; ▪ Distortion of competition among employers due to subsidised competence on activities. <p>Where the financial weight of ESF-allocations large compared to the national/regional/company budgets (new Member States):</p> <ul style="list-style-type: none"> ▪ Substitution of public/private spending with ESF-allocation. 	<p>The study of changes will provide an opportunity for the identification of unintended impacts in the following areas:</p> <ul style="list-style-type: none"> - behaviour and attitudes of final recipients, - service delivery processes of national and local employment services, - Internal organizational processes of employers and companies. 	<p>There is a linear connection between the size of ESF-allocation and the risk level of unintended benefits. Larger ESF-allocation stimulates rent-seeking actors.</p>
3. Has the ESF support induced a real change in the behaviour of the beneficiaries, or have they just done what they would have done in the absence of the support?	<p>In terms of equal opportunities to access labour market, change of behaviour of the beneficiaries can be defined as (a) increased motivation to provide a job for previously excluded persons and (b) the know-how to handle them in a flexible, open and inclusive way.</p> <p>Success and failure stories</p>	<p>We assume that in the absence of ESF, disadvantaged people can approach the national employment services. Comparing the success rate of the selected ESF-measure with a control case (data given by the national employment service).</p>	<p>ESF measures can provide (a) innovation and (b) core services depending on the development level (capacity to provide flexible, personalized</p>

	provide both description of typical situations and the explanatory factors explaining the change generating capacity of ESF.		services and to network effectively with employers) of the national employment services.
4. Has the ESF support attracted additional resources towards the objectives of the EES?	<p>Additional resources are non-ESF resources targeting the same target groups with the same purpose. Human resources, financial resources and information/culture are all considered additional resources.</p> <p>Objectives of the European Employment Strategy (EES). The objectives of the EES are considered as presented in the Employment Guidelines - Council Decision 7 July 2008</p>	<p>Additional resources can be identified as:</p> <ul style="list-style-type: none"> - matching funds, - additional investment, - hiring more and better professionals, - flow of information. <p>Comparing the additional resource generating capacity of the selected ESF-measures. Identifying stories of success and failure.</p>	Because of project regulation and motivation, final beneficiaries mobilized and allocated their own resources.
7. Which are the main factors affecting the sustainability of the benefits in the case of the identified success stories?	<p>Sustainability means the long-term presence of positive effects (change) generated by the selected ESF-measure. Sustainability can be ensured by legal and policy changes and by the wider dissemination of good practices.</p> <p>Success and failure stories provide both description of typical situations and the explanatory factors explaining the long-term presence of positive effects.</p>	<p>In the frame of equal opportunities, sustainability can be studied in the micro-level:</p> <ul style="list-style-type: none"> - stable employment of final recipients, - reformed service delivery processes of local employment services, <p>Information will be provided by final beneficiaries and recipients in the frame of focus group discussions.</p>	Not relevant in this question.
8. Which ESF measures and instruments have been more effective in reaching the objectives set and why?	<p>ESF measures are described in the PC of Operational Programmes. In the frame of equal opportunities,</p> <p>ESF instruments are:</p> <ul style="list-style-type: none"> - Training - Counselling - Placement - Employment Aid - Information <p>Objectives were set and described in the selected ESF-measures. Objectives are translated to indicators.</p>	<p>In order to make measures comparable from the point of view of effectiveness, twin-measures were selected in the phase of sampling. The twin-measures had similar target groups and cultural context.</p> <p>The selected ESF-measures used a limited set of instruments. Comparing the indicators related to certain instruments and the monitoring/evaluation reports can provide information about the effectiveness of the ESF instruments.</p>	Not relevant in this question.

Evaluation Question IV.b

IV.b. To what extent has the ESF-supported activities contributed to achieving social cohesion (impact on social cohesion)?

A. SUMMARY AND JUSTIFICATION

According to the Euréval/Rambøll study, the evaluation questions concerning social cohesion examine the macro-level impact of ESF-supported activities from the point of view of effectiveness. However the Study concludes that macro-level analysis is not possible and the available information allows for micro-level analysis only.

The definition of social inclusion is a negative one: social inclusion is stronger when the level of exclusion of marginalised groups from the labour market decreases. For the actual operationalization of the concept of social inclusion on the regional level, we have selected a weighted variable (combining GDP with regional employment data) closely related to employment.

In order to understand the dynamics of regional social cohesion (NUTS II level) between 2000-2006 related to ESF-supported activities, we carry out a two step research: a) Create a sample where we correlate regional ESF-expenditure and long-term unemployment in 2006; b) Analyse the correlation between the cohesion dynamics and the ESF-expenditure of the selected regions between 2000-2006.

B. OPERATIONALIZATION OF CONCEPTS USED

Social Inclusion: A purposeful and targeted social action promoted in order to enfranchise excluded groups or individuals by revitalizing and developing their social networks and by deepening the level of their social integration. Employment, income gains and education are considered as important by-products of the renewed social networks. As a consequence, the evaluation of inclusive policies and measures should be focused to the revitalization of the social networks of the targeted individuals/groups.

Disadvantaged people: Each member state defines their target groups in their National Action Plan on Special Inclusion. Usually it covers subjects of social exclusion like women, young people, old people, unskilled people, disabled, migrants, refugees, the Roma and former prisoners.

Long-term unemployment: Defined as a permanent condition of unemployment involving people out of work and looking for work for 12 months or more. (ILO/OECD Glossary of Statistical terms). This is one of the best statistical proxies to measure the employment situation of disadvantaged groups.

ESF-expenditure per NUTS II Region: All contracted ESF-expenditure of the concerned region in the 2000-2006 budgetary period. In the case of the new member states (joined in 2004) expenditures will be calculated separately. Regional ESF-expenditure per inhabitant is a good variable to measure the "ESF-intensity" of the regions.

Equal opportunities to access labour market: Disadvantaged people covered by ESF have improved their capacity to re/enter the labour-market. Capacities are to be studied in relation with its (a) preparatory and its (b) final purpose: (a) getting personal social networks revitalized and (b) being hired or self-employed in the labour-market.

Social Cohesion: In order to measure social inclusion we followed the weighted variable developed by Cuadrado-Roura et alia (2004). The selection of the variables used is not a random choice but responds to an exercise that indicates which variables best explain the regional differences observed together with the GDP. Others linked to employment and unemployment have been selected. Employment is the focus of ESF-funded activities, thus the employment-oriented clustering of regional variables seems to be relevant.

Name of the variable	Proposed weighting
GDP per capita (in PPS)	0,4
Rate of male activity in labour market	0,1
Rate of female activity in labour market	0,1
Rate of male unemployment	0,1
Rate of female unemployment	0,1
Rate of juvenile unemployment	0,1
Percentage of long-term unemployment	0,1

C. HYPOTHESIS

There is a measurable impact of ESF-supported activities on the social cohesion of the selected regions. We assume that ESF-supported activities have made a measurable impact in the cohesion dynamics of selected European regions.

D. KEY INDICATORS

Regional ESF expenditure per inhabitant between 2000 and 2006 (Effectiveness)

All contracted ESF-expenditure of the concerned region in the 2000-2006 programming period. In the case of the new member states (joined in 2004) expenditures will be calculated separately. Regional ESF-expenditure per inhabitant is a good variable to measure the “ESF-intensity” of the regions.

Cohesion dynamics of selected European regions between 2000 and 2006 (Effectiveness)

This indicator is based on the regional change of a weighted variable (in the period of 2000-2004). Since this variable has no European average, improvements will be measured by comparing the data of year 2000 to year 2006 of the selected regions

E. CASE ANALYSIS

1. Correlated groupings

In order to create a manageable sample, we construct our case selector by comparing:

- Weighted indicator of employment related social cohesion per member states 2000-2007
- ESF expenditure per inhabitant per member state 2000-2007 (EUR)

2. Identification of key member state/regions

In order to provide the adequate amount and quality of evaluation cases with greater variation, both positive and negative, a selection of 10 cases will be made. The number of cases is considered sufficient for developing an in-depth analysis of each one. Furthermore, the difference with EU’s average variation will be also taken into account. Divergent cases from each geographical aggregation will be selected in order to have a major diversity cases represented, with four from the Southern European aggregation, 2 from the Central European, 2 from the Northern European, and 2 from the New Member States aggregation.

3. Criteria for the analysis

In order to answer the question, statistical analysis is proposed (although supplementary analysis of secondary sources might be necessary). Primary sources are required to find the underlying reasons of positive and negative correlations between ESF-support and social cohesion.

To answer this question we will select a sample of three regions with low unemployment and high ESF spending per regional inhabitant, and three regions with low unemployment and low ESF spending per regional inhabitant

The consortium then applies the weighted variable of social inclusion on NUTS II regional level to measure the dynamics of social cohesion related to the ESF-expenditure in the selected regions between 2000 and 2006. After having analysed the cohesion dynamics of the selected regions, we separate the group of regions (a) with a strong and positive correlation between ESF-support and change of social cohesion and (b) regions with a strong and negative correlation between ESF-support and change of social cohesion.

An analysis of the information obtained will permit us to answer the following questions:

- Is there a correlation between the level of regional ESF-expenditures and the dynamics of regional social cohesion?
- What are the underlying reasons of strong and positive correlation (success) and what are the factors of strong and negative correlation (failure)?
- How has ESF support contributed, directly or indirectly to sustainable changes in employability and actual employment status?
- How has ESF support contributed to improvements in employability /employment?

F. SOURCES AND TOOLS:

- Secondary Sources
 - Evaluation question I.a results (physical outputs).
 - Eurostat: Labour Force Survey (LFS)
 - Programme documents: Programme Complements and OP.
 - Mid-term and final evaluations of OPs.
 - Monitoring reports.
- Primary Sources
 - Semi-structured interviews with regional program managers (Managing Authority and intermediary organizations),

G. ADDITIONAL QUESTIONS CORRESPONDENCE

In addition, the methodology proposed will be able to give answers to five additional questions of evaluation for the case of this concrete evaluation question. The following table indicates which additional questions are going to be answered and from which analysis criteria and scope they are approached.

ADDITIONAL QUESTIONS	KEY CONCEPTS	JUDGEMENT CRITERIA AND APPROACH TO THE QUESTION	CAUSE-AND-EFFECT ASSUMPTIONS
1. To what extent have the ESF-supported activities added a specifically Community added value (CAV) to the progress towards social cohesion?	<p><u>Community added 'value'</u></p> <p>The Euréval/Ramboll study (pg.51) defined it as the contribution towards social cohesion via the tackling of challenges (addressed by ESF interventions) which are common to all</p>	<p>Community added value (CAV) towards the promotion of social cohesion will be assessed through the identification and analysis of change. In the analysis we will focus on the employment-related macro-level dimension of social cohesion. Changes (CAV effects) will be identified as:</p>	<p>Since the planning of ESF-measures was co-ordinated by common strategic (EES) and technical guidelines we assume that ESF-supported activities have produced some CAV effects common to all Member States.</p>

ADDITIONAL QUESTIONS	KEY CONCEPTS	JUDGEMENT CRITERIA AND APPROACH TO THE QUESTION	CAUSE-AND-EFFECT ASSUMPTIONS
	<p>Member States.</p> <p>Social cohesion is often described along five dimensions:</p> <ul style="list-style-type: none"> • level of basic material conditions (like employment). • type of social order (safety and freedom), • thickness and complexity of social relationships (networks), • extent of social inclusion, • equality and equity. 	<ul style="list-style-type: none"> - new opportunities for social networking, - more personalized and supportive service delivery processes (national employment services, job offices and NGOs), - more personalized and supportive internal organizational processes (employers and companies), - mobilisation of various territorial units in the provision of social cohesion. <p>The effects of changes will be identified according to their (a) volume, (b) scope, (c) role and (d) process (see the Methodological Note on CAV).</p>	
4. Has the ESF-support attracted additional resources towards the objectives of the EES?	<p>Additional resources are non-ESF resources targeting the same target groups with the same purpose. Human resources, financial resources and information/culture are all considered additional resources.</p> <p>Objectives of the European Employment Strategy (EES)</p> <p>The objectives of the EES are considered as presented in the Employment Guidelines - Council Decision 7 July 2008</p>	<p>Additional resources can be identified as:</p> <ul style="list-style-type: none"> - matching funds, - additional investment, - hiring more and better professionals, - increased and more transparent flow of information. <p>Comparing the financial position of EES-related activities (national, regional and local level) before and after the implementation of the selected ESF-measure.</p>	<p>ESF intervention leads to better project regulation which in turn generates better motivation and improved results. The final beneficiary perceives these fruits of successful intervention from the ESF, and thus they raise and allocate additional resources to contribute to improved results. Additional resources of the final beneficiary may be used also because of the high regulation and high expectation of ESF.</p>
6. Which are the typical success and failure stories of	<p>Success and failure stories provide both description of typical situations and the</p>	<p>We will analyse the planning and implementation of the selected ESF-measures</p>	<p>Not relevant in this question.</p>

ADDITIONAL QUESTIONS	KEY CONCEPTS	JUDGEMENT CRITERIA AND APPROACH TO THE QUESTION	CAUSE-AND-EFFECT ASSUMPTIONS
implementation arrangements and what are the main factors explaining them?	explanatory factors explaining the long-term presence of positive effects.	with the help of the Social Value Chain. Semi-structured interviews with representatives of MAs and final beneficiaries will be complemented with document analysis. A special attention will be paid on the indicators of the selected measures.	
7. Which are the main factors affecting the sustainability of the benefits in the case of the identified success stories?	<p><u>Sustainability</u> means the long-term presence of positive effects (change) generated by the selected ESF-measure. Sustainability can be ensured by legal and policy changes and by the wider dissemination of good practices.</p> <p><u>Success and failure stories</u> provide both description of typical situations and the explanatory factors explaining the long-term presence of positive effects.</p>	<p>Sustainability can be studied in the following areas:</p> <ul style="list-style-type: none"> - reformed service delivery processes of national and local employment services, - dissemination of inclusive internal organizational processes of employers and companies, - legal and policy changes in the Member State level. <p>We will focus on legal and policy changes because of the macro-level relevance of social cohesion. Information will be provided by interviews with independent local experts.</p>	Not relevant in this question.

3.7.5. Gender Equality

Gender Equality

Clustered within this theme are research questions V.a and V.b.

- V.a: To what extent and how have ESF-supported activities contributed to equal opportunities for women and men in accessing the labour market, and in the workplace?
- V.b: Apart from gender-specific activities, to what extent has the rest of ESF-support been managed in order to maximise its potential impact on gender equality?

A. SUMMARY AND JUSTIFICATION

Further to the summary of the Gender issue in the literature review in section 2, the essence of the debate, in terms of the development challenge, was informed by the following three key themes:

- **Overall national measures.** Human resources development, and therefore women and work, is a national issue. Taking stock of the incidence of women in the workforce at the level of the state is the starting point for comparative, assessment and estimation purposes. The literature on the EU case of women and work underlines that part of the challenge is to improve upon the collection of data, to make it systematic in mode and more comprehensive in content, and ultimately increase the data availability to the public. This aspect of the debate aims to measure and track with greater accuracy the overall presence of women in the workforce and also assess positive or negative longitudinal trends.
- **Territorial differentiation measures.** Women and work involves a territorially specific set of issues. Thus, an important aspect of the debate is about taking stock of the significant differences across areas/regions in terms of: sector specific access points, job stability, pay and benefit equivalence, career paths, and skill improvement opportunities.
- **Facilitating or constraining factors.** Women and work is also a context specific set of issues. Multiple factors contribute to facilitate or constrain the presence and advancement of women in the workforce. The policy role that institutions in different territories are able to play matters, whether pro-active and innovation prone or not; so do prevailing social mores and values in different societies, as well as inherited and transformative structural conditions of the economy of different places.

B. OPERATIONALIZATION OF CONCEPTS USED

Based on the guidance lent by the relevant literature, the consortium has adopted the methodology of conducting a careful contextual analysis of places, in the specific of the 25 member states and of their NUTS II (and for one analytical dimension NUTS III) regions. This allows us to acquire the basis (the knowledge of the 'universe' of territorial cases) for sampling the states and their regions, and, as a consequence, the OPs. As mentioned in 3.5, Theme V goes beyond the selection methodology used in other EQs, and the approach is twofold: both the contextual analysis and the sampling of territorial cases where OPs have been implemented.

Contextual analysis unfolds over five comparative dimensions/criteria which are particularly relevant to the issue of women and work: political-institutional regime, welfare policy regime, economic base, socio-cultural traditions, and geographical-infrastructure endowment.

Political-institutional regime (state level): The member states are analyzed in terms of the four prevailing 'political-institutional models' offered in the literature, which speak to different institutional capacity and interaction with civil society regimes and more: the 'corporatist', the 'liberal', the 'statist', and the 'fragmented' (Social Capital Research Network, 2007).

Welfare policy regime (state level): A refinement of the analysis above focuses on the different models of welfare state identified by the literature (the liberal, the social-democratic, the continental and the southern) and their impact on female employment. What matters here are the keen differentials in family support provisions, educational policy and more (Esping-Andersen 1999; Estevez-Abe 2006; Lewis 1992; O'Connor 1993; Orloff 1993).

Economic base (regional level): The transformations which the ongoing phenomenon of globalization may have brought about to different regions are very important. In this regard, a key differentiating element in relation to women in the workforce - and the options that women may have - is 'old economy' versus 'new economy'; which also correlates with higher or lower levels of wealth and growth trends (Lechner and Boli, 2004; Carnoy, 1993; Mollenkopf and Castells, 1992; Sassen, 1991)

Geographical-infrastructure endowment (regional level): On this dimension the focus is on the differences in the levels of urbanization - particularly significant for the Gender theme is the 'rural' condition of certain regions - as well as on the availability or not of good public transport infrastructure to insure mobility (Bigio and Dahiya, 2004; Gertler, 2004; Clark, 2002; Calthorpe, 2001)

Socio-cultural traditions (regional level): On this dimension of analysis, the attention is drawn to the differences across regions in family structure and changing patterns, family relations, and role expectations among others (Hantrais 2004). Therefore, while in the literature, the different approaches to family policy in the European Union are well documented (Hantrais, 2004) our analysis is also focused on the broader socio-cultural traditions of each country and region. For example, we take into account the interesting comparison of free market Britain, Catholic Italy and secular Sweden (Morgan 2006), where the argument is how culture affects lifestyles and shapes reality.

C. KEY INDICATORS

Given the dimensions/criteria outlined above, Table 1 lists the indicators we deem most useful for our analysis. As regards the macroeconomic developments affecting female employment, regions are classified on the basis of their GDP per capita and GDP growth rate until 2006. The female employment and unemployment rates and female employment in the high-tech sector provide basic information on regions' labour market conditions. The geographic dimension and regional infrastructural endowment are measured on the basis of a typology of NUTS III regions developed by the European Spatial Planning Observation Network (ESPON) Project, (Bengs and Schimdt – Thomé, 2006; Antikainen, 2005; BBR 2005; BBR 2006; Rodríguez-Pose, Crescenzi, 2008; Crescenzi, 2005). The degree of urban influence is defined according to population density and status of the leading urban centre of each NUTS III area, thus differentiating between more versus less urbanized areas. The degree of human intervention reflects on the structural relations of humans with their surroundings; that is, how land is worked and used (artificial, agricultural, residual - ie. actual land uses) is shown in the man-made or built environment producing more versus less infrastructure endowment. Finally, the number of marriages and divorces per thousand inhabitants and the percentage of civil marriages offer useful hints as to the changes in family structures and more modern versus more traditional expectations placed upon women.

Table 1. Regional Dimensions/Criteria and Indicators

DIMENSIONS/CRITERIA	INDICATORS
Economic Bases	GDP per capita GDP Annual Growth variation (%) Female Employment Rate Female Unemployment Rate Female Employment Rate in High Tech (x 1000 pop)
Geography-Infrastructural Endowment	Degree of Urban Influence Degree of Human Intervention

Socio-cultural Traditions	Number of Marriages (x 1000 pop) % of Civil Marriages Number of Divorces (x 1000 pop)
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D. SAMPLING LOGIC AND METHOD

The consortium's methodological approach subsumes the selection of the sample of OP case studies as a derivative of the sample of territorial cases. Specifically, we do not sample OPs: our OP cases are a representative sample of the total number of OPs, implemented at the state and regional levels in the 'constructed' and 'representative' sample of territorial cases. The representative sample of OPs will then be focused upon for in depth-examination, some of which will be 'good practices' and within which we aim to identify 'best practices', while others will turn out to be failures or no attempts, and others yet show in-between performance in terms of the challenge of improving the employment condition of women. To further clarify our methodology in the use of terms, we define 'good practice' as cases of ESF formulation (OPs) which are particularly attentive to and ambitious about the issues of gender and work; we define 'best practice' as cases of ESF implementation (measures/specific actions) which are particularly innovative in the solutions they offer to women's employment status so that they should be considered as models.

Two-step sampling

1. A sample of the 'universe' of 25 member states is selected first;
2. then, a sample of regions (NUTS II) in the sample of states is selected.

Sampling of states:

The 'political-institutional regime' and the 'welfare policy regime' models, as indicated above, are the two analytical dimensions/criteria informing the choice of states. The models translate into the four geographical aggregations as used in all EQs.

The sampling of states has been completed in line with the two analytical dimensions/criteria, making the set the most representative in relation to them. But the evaluation team also took into consideration another criterion, to make the sample even more representative of the diversity of member states, population size, thus differentiating among small, medium-size, and large states, because demography is very important for gender and work.

The consortium thus will choose the following: two Southern European, **Italy** and **Spain** (one is large, one mid-sized); two central European member states (**United Kingdom** and **Belgium**: one is large, one is small; one is more centralized the other almost 'federal', and so forth); one northern European state (**Sweden**: it has the most established welfare state system, a more complex state); and three new member states (**Hungary**, **Poland**, **Estonia**: one is mid-sized, whereas the other two are considerably smaller; they have varying degrees of regionalisation).

Sampling of regions

18 regions will be selected:

- Spain: **3 regions.** The mapping of indicators highlights distinctive differences across the Spanish regions.
- Italy: **4 regions.** In the Italian case, special attention is paid to the longstanding status of objective 1 versus non-objective 1 regions.
- UK: **4 regions.** In the British case, special attention is paid to the peripheral status of some areas, as well as to processes of de-industrialization.
- Belgium: **2 regions.** In the case of Belgium, In the case of Belgium, we consider the divide between the capital city and peripheral, ailing industrial areas

- Sweden: **2 regions.** In the Swedish case, among others the peripheral condition of some regions will be focused upon.
- Hungary: **1 region by default.** The formulation of the ESF in Hungary was at the state level; for sampling purposes, this means that Hungary is one region and one OP will be part of the sample. However, we will pay close attention to the complex nature of such an OP, breaking it down to the regional scale as much as possible in our detailed analysis.
- Poland: **1 region by default.** As above.
- Estonia: **1 region by default.** As above.

A final note: while most of our indicators are NUTS II level, for the purposes of our analysis' and sampling we have mapped at least one indicator at the NUTS III level, as the Interim Report will show.

Evaluation Question V.a

V.a. To what extent and how have ESF-supported activities contributed to promoting equal opportunities for women and men in accessing the labor market, and in the work place? (gender and the labor market)

A. HYPOTHESIS

ESF activities effectively contributed to the improvement of women's employment status, employability, work place status and job retention.

B. EVALUATION CRITERIA

Previous evaluations and reports (see Eureval/Ramboll, 2008) have highlighted the diverse levels of analysis used for the purpose, while others have focused on the assessment of the effects, opportunities and barriers to women's access to the labour market, career paths, and job retention. In particular, our ex post evaluation of women and the labour market takes off from and builds upon the findings of the mid-term evaluation reports because of their significance. It is the mid-term evaluation which began to identify the relevance versus the relative unimportance of the women and labour market issues in the formulation of OPs across different states, together with the progress versus the bottlenecks in their implementation also across different states. It is, therefore, quite efficient to make the best use of such available findings which we deem can provide important clues for our work of discovery and analysis of 'good practices' and 'best practices', in order to draw the most compelling lessons for the calibration of the ESF in the future.

While there are likely to be considerable differences in approach among member states, our comparative evaluation is structured around three evaluation criteria across the member states:

Effectiveness assesses the extent to which ESF supported activities have provided opportunities for women to find employment in lines of work which are less traditional, are economically rewarding, and provide a career path;

Impact assesses the extent to which ESF supported activities have contributed to increase the presence of women in the workforce;

Sustainability assesses the extent to which ESF supported activities have promoted conditions of job retention for women and therefore, insured greater job sustainability and economic stability for them.

The implementation of the concept of equal opportunities for men and women in accessing the labour market and in experiencing the workplace refers to a broad range of conditions to be promoted and/or enhanced, which ESF programmes may/should have incorporated into their measures and projects. Examples include provisions for: reconciliation of work and family exigencies, expansion of lines of employment, specific support lent to female entrepreneurship, equal access to education and training opportunities, and overcoming age discrimination.

C. ANALYSIS AND INDICATORS

A total of three analyses supported by six indicators address this evaluation question (table 2).

Table 2. Analysis Dimensions/Indicators

DIMENSIONS	INDICATORS
1. Gender specific changes in employability and actual employment status	Indicator V.a.1: "Access" to the Labour Market as a result of ESF Gender Oriented Actions Indicator V.a.2: Access to the Labour Market as a Result of "Non-Gender Oriented" Measures/Actions

	Indicator V.a.3: Promotion of “Equal Opportunities” in the Workplace as a Result of Gender-Oriented Actions
2. Direct and/or indirect causal linkages between ESF support and gender-specific changes	Indicator V.a.4: Replicability. Spatial impact of identified good practices in gender oriented actions Indicator V.a.5: Sustainability. Indicator of causal connections in the long term in gender oriented actions
3. Contribution of ESF support to gender specific improvements in employability/employment. Estimate of the magnitude of gender-specific impacts.	Indicator V.a.6: Self-assessed magnitude of ESF impact by final recipients

1. Gender specific changes in employability and actual employment status

A first approach to this analysis will focus on measuring the effectiveness of gender-oriented measures and instruments in the sampled states/regions. Therefore, here we will be paying particular attention to lines of employment. This analysis will make the most use of the existing secondary data provided to us by the management authorities and the measure managers. Such data, allowing for different levels of availability across states/regions, are to inform about different groups within the female population, that is, discriminating by age (16-24, 25-39 and 40-55), family composition (child/no child, in a couple/mono-parental), civil status (single/married), ethnic group, disability or other disadvantages, study level or qualification, class and level of income. Such secondary data also inform on which lines of employment—traditional versus newer—women have been able to access. Key respondent interviews (also known as ‘expert’ interviews) with management and authority will complement the existing secondary data with valuable primary data, as needed.

A second and similar approach will assess gender specific changes achieved by non-gender specific actions. Actions within other measures will be chosen in two steps:

- key respondent interviews with the managing authorities will identify which non-gender oriented actions, in our regions present important gender related results;
- then, scanning of available indicators to monitor the gender related impact of non-gender oriented actions will be done. Such indicators are, for example: the number of women recipients.

2. Direct and/or indirect causal linkages between ESF support and gender-specific changes

Two levels of investigation are pursued for this analysis:

- Identification and analysis of success cases (good and best practices) i.e. most effective, innovative, and comprehensive programmes and actions. The in-depth evaluation of such sample cases will allow us to establish, through qualitative and also quantitative analysis, links of logical causality between ESF-funded intervention and results achieved. This is because the cases will be investigated thoroughly to understand why they succeeded,
- A second cross cutting analysis will focus on assessing the possible indirect causal linkages between ESF support and gender specific changes. These will be understood as changes resulting from spill-over impacts on variables such as - but not restricted to - the following:
 - Women empowerment
 - Increase in women’s political participation
 - Real change of stereotypes
 - Reduction of female poverty

For both levels of investigation we will devise focus group interviews with women who benefited from the actions, within the broader case study approach. We will be making use of interviewing techniques

such as semi-structured questionnaires and pre-coded cards, targeting women who benefited from the actions, together with management respondents. All of these data and results will be entirely new, that is all will be primary data we create and which are not otherwise available.

3. Contribution of ESF support to gender specific improvements in employability/employment. Estimate of the magnitude of gender-specific impacts.

This last analysis will be approached through the assessment of the effectiveness and efficiency of ESF supported instruments. Again, this result will be obtained through the conduct of the select in-depth analyses of 'good/best practice' actions, building on the data provided by the focus groups. Qualitative assessment will involve the analysis of the characteristics of the improvements obtained in terms of job quality, i.e. stability of contracts, working hours, reconciliation of work and family life, and so forth. An additional comparison will be drawn between results from the projects and regional/local rates where available in order to estimate magnitude of the impact.

A number of indicators have been selected, which will be used in carrying out the analyses. While the first three of them address the first analysis, the fourth and fifth address the second analysis and the sixth the last analysis. They are detailed as follows:

Indicators for analysis 1. Gender specific changes

Indicator V.a.1: "Access" to the Labour Market as a result of ESF Gender Oriented Actions

The success threshold for this indicator is on 3 levels reflecting the % of effectiveness of the actions studied:

- Low success (30% or less actions have been highly effective)
- Medium success (31 to 60% of actions have been highly effective)
- High success (61% of actions or above have been highly effective)

Relevant data consist of a selection of measures and actions from the selected member states, with the aim of improving women's access to the labour market. The analysis will be based on the available secondary material (OPs, mid-term and annual evaluations) and on the information available on European, national and regional databases. The pre-study of documents provided by the Commission reports a relatively low level of availability of relevant data (Eureval/Ramboll, 2008). It will be our task to gather from the management authority the most up to date data.

The analysis will seek to establish the effectiveness of selected instruments in achieving gender-specific changes in terms of employment status and employability of final recipients. Such effectiveness will be assessed by comparing forecasted and obtained results. The analysis of the instruments under study will include:

Employment status:

- Analysis of employment and unemployment rates among beneficiaries
- Analysis of instruments addressing female entrepreneurship
- Analysis of employment insertion and reinsertion rates (including older women)

Employability:

- Analysis of education and training for insertion into the labour market
- Analysis of training for skill and competence updating (increasing competitiveness of person)

Indicator V.a.2: Access to the Labour Market as a Result of “Non-Gender Oriented” Measures/Actions

Success on this indicator, as above, is measured on 3 levels:

- Low (30% or less actions within the selected measures have shown positive gender-specific results)
- Medium (31 to 60% of actions within the selected measures have shown positive gender-specific results)
- High (61% of actions within the selected measures or above have shown positive gender-specific results)

The analysis will seek to establish the indirect impact of non-gender oriented ESF actions on female access to the labour market. Through a selection of measures, the analysis seeks to assess alternative ways in which the ESF is contributing to closing the employment gap between men and women. The gender specific changes that will be the focus of the analysis will be employment status and employability. The analysis of the non-gender specific measures/actions would also inform on, for example:

Employment status:

- Analysis of employment and unemployment rates among beneficiaries
- Analysis of instruments addressing female entrepreneurship
- Analysis of employment insertion and reinsertion rates

Employability:

- Analysis of education and training for insertion into the labour market
- Analysis of training for skill and competence updating (increasing competitiveness of person)
- Analysis of measures addressing the reconciliation of work and family (i.e. childcare facilities)

Indicator V.a.3: Promotion of “Equal Opportunities” in the Workplace as a Result of Gender-Oriented Actions

Success on this indicator, as above, is measured on 3 levels:

- Low success (up to 30% of actions were effective);
- Medium success (31 to 60% of actions were effective);
- High success (61% and above of actions were effective).

Actions will be analyzed in regard to topics of pay gap, equal income, working hours (part time or full time commitment) position in the work place, new workplace opportunities (access innovative sectors) and other reconciliation of work and family indicators (eg. childcare for the children of jobseekers).

The main socio-demographic variables to be looked at throughout the analysis are:

- Class of age (16/24- 25/39-40/55)
- Child/no child
- Mono-parental family – household
- Study level or qualification
- Ethnic group
- Disability or other types of disadvantages (ex drug addicts, ex convicts)
- Income gap

The analysis will aim at providing an accurate and insightful description of the similarities and differences in the working conditions of men and women. These conditions are affected by job characteristics, such as the stability of the placement, quality of working conditions and equal

opportunities for career advancement. The analysis will evaluate if these aspects are likely to differ by sex, as well as by working time, and analyse patterns of vertical and horizontal segregation. The analysis to be conducted attempts to address the following issues:

- Pay differences
- Position characteristics
- Patterns of working hours
- Quality of working conditions (job rotation, job complexity, learning and ability to control speed of work)
- Characteristics of contracts (temporary vs. long-term, part time vs. full time, renewable vs. non-renewable, etc.)
- Opening of new workplaces gender-equality 'friendly' (innovative sectors)

Indicators for analysis 2. Direct and/or indirect causal linkages between ESF support and gender-specific changes

Indicator V.a.4: Replicability. Spatial impact of identified good practices in gender oriented actions

The success threshold for the assessment of this indicator is twofold:

- On the one hand, success will have been achieved when evidence of replication of practices is found;
- In addition, success in this indicator will be determined via a qualitative assessment of future replicability and its possible reach beyond the region and/or member state where it was found.

Specifically, through the use of this indicator we aim to assess the validity of identified logical (direct and/or indirect) causal linkages of gender specific results deriving from ESF intervention. Such validity will be tested through a double approach:

- Firstly, via the assessment of the spatial impact of the practices and their outcomes within and across regions in each member state in our sample, and,
- Secondly, via the analysis of the causal logic's potentiality of replicability across member states.

The assessment of this indicator will be performed through the case studies identified in each region and member state within the sample and their interaction with other actions in the same or similar context.

Indicator V.a.5: Sustainability. Indicator of causal connections in the long term in gender oriented actions

Success in this indicator will be determined on the basis of the proportion of case studies within our sample which have factored in the resources—financial and human—to continue beyond the life of ESF intervention. Three levels of success will be applied:

- Low success (up to 30% of case studies had factored-in sustainability-driven devices or mechanisms);
- Medium success (between 31 and 60% of case studies had factored-in sustainability-driven devices or mechanisms);
- High success (61% and above of case studies had factored-in sustainability-driven devices or mechanisms).

As in the indicator above, the evaluation of this indicator will be performed with the case studies of our sample. We will be looking for evidence of sustainability in terms of, for example: public-private partnerships to continue the actions long-term or cooperative arrangements among private entrepreneurs to maintain the actions.

Indicator for analysis 3. Contribution of ESF support. Estimate of magnitude of gender-specific impact

Indicator V.a.6: Self-assessed magnitude of ESF impact by final recipients

To provide the most accurate answer to the third analysis to be conducted within the first Gender Evaluation question, this indicator will aim to assess the extent to which gender-oriented actions have produced improvement in the life of working women in two regards:

- Increase in the quality of the jobs held;
- Increase in the endowment of family support services and accommodations.

Success will be deemed as achieved according to the following levels:

- Low success or modest improvements (up to 30% of respondents in each case study has rated the improvements in both regards under study as modest);
- Medium success or ‘medium’ improvements (between 31 and 60% of respondents in each case study has rated the improvements in both regards under study as ‘medium’);
- High success or substantial improvements (60% and above of respondents in each case study has rated the improvements in both regards under study as substantial).

The self assessment will be performed via focus groups to be conducted in each case study with final recipients. With the use of pre-coded cards for participants, magnitude will be estimated via the construction of an index based on the use of a Likert scale for participants’ consultation.

D. ADDITIONAL QUESTIONS CORRESPONDENCE

The careful and informed discussion of the 9 additional questions by the consortium has resulted in the selection of the following 5, which are germane to issues of women and work. A description of such contribution is outlined in the table below:

ADDITIONAL QUESTIONS	KEY CONCEPTS	JUDGEMENT CRITERIA AND APPROACH TO THE QUESTION	CAUSE-AND-EFFECT ASSUMPTION
1. To what extent have the ESF-supported activities added a specifically Community ‘value’ to the progress towards social cohesion?	<p><u>Community added ‘value’</u></p> <p>The Euréval/Ramboll study (pg.51) defined it as the contribution towards social cohesion via the tackling of challenges (addressed by ESF interventions) which are common to all Member States.</p> <p><u>Social cohesion</u></p> <p>Conceptually, social cohesion alludes to disparities in terms of access to the labour market (unemployment), education (qualified workforce) and the risk of poverty.</p>	<p>Gender equality lies at the heart of social cohesion concerns, due to the fact that women are not only the largest but also among the most vulnerable groups in society, and at most risk of poverty together with young children (largely dependent on the care of mothers), the elderly and the unemployed. Women continue to play the key societal role of care givers in regards to family, thus being further constrained in the job market.</p> <p>Gender equality being a common issue in all Member States, the extent of ESF contribution (Community added value) towards social cohesion in terms of gender equality will be assessed through the identification and analysis of good practices in access to the labour market and the promotion of equal</p>	Not relevant in this question.

ADDITIONAL QUESTIONS	KEY CONCEPTS	JUDGEMENT CRITERIA AND APPROACH TO THE QUESTION	CAUSE-AND-EFFECT ASSUMPTION
		<p>opportunities in the workplace.</p> <p>In addition, the analysis of spill-over impacts of ESF actions on other gender equality variables (see relevant section on analyses to be conducted) will provide a further means to answer the question posed.</p>	
<p>2. Have there been unintended impacts and have these been offset by the benefits of the activities?</p>	<p><u>Unintended effects</u></p> <p>In terms of gender equality, unintended effects of ESF actions refer to possible market unbalances indirectly generated in the specific context.</p> <p>Euréval/Ramboll study refers to 4 types of negative (unintended) effects:</p> <ul style="list-style-type: none"> ▪ Lock-in effects of specific target groups, such as vulnerable people, women, long-term unemployed; ▪ Distortion among providers of services to target groups; ▪ Distortion of labour market, due to subsidised employment; ▪ Distortion of competition among employers due to subsidised competence on activities. 	<p>In the pursuit of increasing female participation in the labour market and achieving flexibility in the workplace in order to promote equal opportunities between the sexes, the risk of setting off involuntary unbalances is high.</p> <p>Judgement criteria for answering this question from the gender equality perspective will focus on three axes contained within the analyses to be conducted for question V.1.:</p> <ul style="list-style-type: none"> ▪ The study of best practices will provide an opportunity for the identification of negative effects such as market distortions and/or dependence behaviour (lock-in effects) of final recipients. In particular, the consortium will look for evidence of women over-representation, as well as proof of positive discrimination in the actions selected for study; ▪ At the same time, the identification of positive spill-over impacts in those cases under study will allow for the assessment of the real impact of the unintended effects (if found) and hence provide an answer to the posed question. 	<p>Not relevant in this question.</p>
<p>6. Which are the typical success and failure stories of implementation arrangements and what are the main factors explaining them?</p>	<p><u>Success and failure stories</u></p> <p>The question addresses the need to identify success/failure cases in terms of achievement of intended impact and/or results.</p> <p><u>Explanatory factors</u></p> <p>In addition, the</p>	<p>From the analyses to be performed within question V.1. (access to the labour market and promotion of EO in the workplace), this question will be approached via a thorough assessment of effectiveness based on comparison between forecasted results of ESF activities and obtained results, followed by a detailed qualitative analysis of variables and factors explaining such</p>	<p>Not relevant in this question.</p>

ADDITIONAL QUESTIONS	KEY CONCEPTS	JUDGEMENT CRITERIA AND APPROACH TO THE QUESTION	CAUSE-AND-EFFECT ASSUMPTION
	assessment of the reasons and factors explaining the effectiveness of the activity is to be conducted.	effectiveness. The selection of best practice cases and the qualitative analysis of their implementation will provide a suitable answer to the overarching question from the gender equality perspective.	
7. Which are the main factors affecting the sustainability of the benefits in the case of the identified success stories?	<p><u>Sustainability</u></p> <p>Sustainability assessments refer to the evaluation of the lasting presence of the benefits achieved by the action under study.</p> <p>The Euréval/Ramboll study associates it with the 'contribution towards reforming national and regional policies in line with the EES' (Euréval/Ramboll 2008:64).</p>	The evaluation of the sustainability of gender equality benefits achieved by ESF funded activities and the factors affecting it will be considered in the analysis of best practices. To assess the basis of such sustainability, the consortium will pay particular attention to the synergies with national/regional policies addressing issues of gender equality in the contexts under study. In addition, the team will identify and analyse potential unintended effects affecting real sustainability of benefits such as created dependencies, etc.	Not relevant in this question.
9. To what extent are ESF and ERDF actions complementary ?	<p><u>Complementarity</u></p> <p>Complementary actions reinforce each other and achieve synergies which increase the benefits and strengthen the basis of their sustainability.</p>	The criteria to be used by the consortium in the approach to this question will be based on the analysis of potential synergies between selected case studies and other gender equality ERDF funded actions present in the same area where the selected case is being implemented. The extent of the complementarity will be assessed qualitatively in terms of increasing benefits and their sustainability characteristics.	Not relevant in this question.

Evaluation Question V.b

V.b. Apart from gender-specific activities, to what extent have the rest of ESF-supported activities been managed in order to maximize its potential impact on gender equality?

A. HYPOTHESIS

The maximization of the gender equality impact of non-gender specific action or activities is driven by the application of the gender mainstreaming perspective in the ESF.

B. EVALUATION CRITERIA

Studies show the gender mainstreaming approach which underlines the ESF is not understood or fully applied across member states and, also that it needs to be better integrated into ESF measures (see Eureval/Ramboll, 2008). Gender mainstreaming is a new and different approach to policy making. It contrasts with the piecemeal incorporation of targeted measures into employment policy and hence, with ESF programs which historically have so characterised gender equality promotion. Gender mainstreaming has been purported to offer tools that offset the inefficiency of the incremental approach to gender equality (Humphries and Rubery 1995) In particular the concept refers to the integration of the gender perspective into every stage of policy processes: design, implementation, monitoring and evaluation. Thus, mainstreaming not only requires a broader and more substantial approach to gender equality promotion but also the assessment of how existing policies impact on the life and position of both women and men and ultimately charges the responsibility to re-address them if necessary. Additionally, it calls for mobilising all general policies and measures with a particular focus on the interconnection across the employment, social and welfare systems (Rees 1998) for the purpose of achieving gender equality. To this end, gender mainstreaming actively aims to orientate the general policies and measures of the ESF so that in their formulation they take into account foreseeable impacts on the social and economic conditions of women. This means to systematically examine ESF policies and measures, and take into account such possible effects when defining and implementing them.

Coherence assesses the extent to which the broad range of ESF's measures and policies converge in their orientation to incorporate a gender perspective;

Effectiveness assesses the extent to which the combined impact of such coherent measures produces gendered important outcomes.

C. ANALYSIS AND INDICATORS

In the evaluation of gender mainstreaming (GM) the overall programming cycle comes into play. Thus, the four phases and related activities of the ESF programming will be assessed:

- Programme formulation (OP)
- Action formulation
- Action implementation
- Measure monitoring

Analysis of causal assumptions about the ESF and gender mainstreaming

This analysis will involve the assessment of compliance of commonly known assumptions of what the gender mainstreaming approach implies in all phases described above. Such assumptions address issues of gender awareness, management briefings, attitudinal changes, design, implementation monitoring and evaluation of measures/actions promoting gender equality. Through documentary analysis and interviews these common assumptions and their relationship with ESF interventions will be determined. Furthermore, our analysis of the application of the gender mainstreaming approach

within the ESF will relate to 3 of the 4 stages, recommended by the European Commission (*European Commission – A manual for gender mainstreaming of employment policies- July 2007*), as follows:

- The analysis will focus on assessing the building of gender awareness within ESF interventions.
- In a second step, the analysis will identify prevailing gender inequality practices with regard to target group participation, allocation of resources, the presence of norms and values reinforcing inequalities (e.g. via gender role influence and gender division of labour) and the direct or indirect defense of gender equality related rights (such as those associated with sex discrimination policies and equal access to justice).
- Finally, the analysis will involve the identification of ways in which the selected 2000-2006 ESF programmes, measures and actions were redesigned following mid-term evaluations to promote gender equality.

Indicator V.b.1: Extent to which non-gender activities have had their design/implementation/evaluation adjusted in order to maximise their potential impact on gender equality (application of gender mainstreaming approach).

Success on the gender mainstreaming indicator will be assessed according to the degree of presence of gender mainstreaming actions in selected measures and actions in our sample of member states and regions. The success will be measured as follows:

- Low success: below 30% (gender mainstreaming actions are present in less than 30% of analysed measures/actions)
- Medium success: 31%-60% (gender mainstreaming actions are present in between 31 and 60% of analysed measures/actions)
- High success: 61%-100% (gender mainstreaming actions are present in between 61 and 100% of analysed measures/actions)

Relevant data here will be drawn from content analysis of national and regional OPs, within our sample states and regions, as well as from actions within selected non-gender oriented measures. Other national and regional thematic evaluation reports on gender mainstreaming will also be revised when available.

The use of qualitative and thematic studies in the analysis will aim at investigating whether the gender mainstreaming approach was applied and how. Best and good practices will also be identified in the approach to this analysis, focusing on the reasons for such success. Particular attention will be paid to indicators such as:

- Quantitative indicators (list not exhaustive):
 - Research expenditure committed for gender mainstreaming purpose under ESF;
 - Resources for equal opportunity contributed by other axes
 - Incentives that have been established for gender mainstreaming purpose;
 - Evolution of the expense allocation in order to accommodate the gender mainstreaming approach.
- Qualitative indicators (list not exhaustive):
 - Insertion of gender indicators; in, for example, monitoring reports
 - Governance of the gender mainstreaming approach: e.g. through a gender impact assessment and/or stakeholder consultation;
 - Verify if programmes /activities/ measures and interventions have been designed/implemented in accordance with gender mainstreaming activities;

- Verify if implementing bodies have actually taken action, e.g. by setting specific bodies/units/committees/expert networks devoted to gender equality, by changing laws/regulations/procedures;
- Verify if assessment/evaluation takes place (with the OPs) regarding whether gender mainstreaming is promoted;
- Publicising of best practices;
- Workshops, round tables and other forms of discussion fora about success factors and failures
- Presence of equal opportunity office under ESF funding.

The pre-study on reliability and relevance of available data concluded it is not possible to answer the question on the use of the gender mainstreaming solely on the basis of documentary evidence (Eureval/Ramboll, 2008). As a consequence, the collection of primary data through interviews with programme managers, people responsible for project implementation, formulation and design and monitoring will be necessary.

D. ADDITIONAL QUESTIONS CORRESPONDENCE

Research to be conducted by the consortium within this question (V.b) will contribute to a total of 3 of the nine overarching questions posed by the Commission in the ToR. A description of such contribution is outlined in the table below:

ADDITIONAL QUESTIONS	KEY CONCEPTS	JUDGEMENT CRITERIA AND APPROACH TO THE QUESTION	CAUSE-AND-EFFECT ASSUMPTIONS
<p>4. Has the ESF support attracted additional resources towards the objectives of the EES?(Leverage)</p>	<p><u>Leverage</u></p> <p>Concept related in this context to the achievement of increased attention and allocation of resources from national, regional and private sources to EES relevant actions/policies.</p> <p><u>ESF and EES Objectives</u></p> <p>The ESF constitutes one of the main instruments for the implementation of the EES. ESF objectives are therefore connected to EES objectives (Euréal/Ramboll, 2008: 4):</p> <ul style="list-style-type: none"> ▪ High level of employment; ▪ Equality between men and women; ▪ Sustainable development; ▪ Economic and social cohesion. 	<p>Gender equality constitutes per se one of the EES and ESF objectives. As such, the evaluation of ESF actions' capacity to attract further resources to this end becomes relevant for the evaluation of the thematic axis.</p> <p>Within the evaluation of gender mainstreaming in ESF actions, the assessment to be carried out by the consortium will consider the extent and characteristics of additional funding found in the selected case studies in the research.</p> <p>An assessment of the role played by additional sources in cases identified as best practices in gender equality measures in member states and regions under study will be performed.</p> <p>Three specific considerations in the analysis:</p> <ol style="list-style-type: none"> 1) Spending allocation features after the mid-term review; 2) Presence and/or increase in national spending on gender equality policies; 	<p>Some cause-and-effect assumptions to be assessed through this analysis are:</p> <ul style="list-style-type: none"> ▪ The implementation of the gender mainstreaming approach in national and regional policies should lead to the allocation of resources for the support of gender equality actions such as those funded through the ESF. ▪ The allocation of additional resources stemming from diverse actors implies the increase of benefits or returns derived from the funded action (financial leverage logic). ▪ Final beneficiaries (intermediate bodies) will addition resources of their own (private source) when

ADDITIONAL QUESTIONS	KEY CONCEPTS	JUDGEMENT CRITERIA AND APPROACH TO THE QUESTION	CAUSE-AND-EFFECT ASSUMPTIONS
		3) Presence and/or increase in private spending on or complementary to ESF funded gender equality actions.	implementing an ESF action.
<p>6. Which are the typical success and failure stories of implementation arrangements and what are the main factors explaining them? (Success/Failure factors)</p>	<p><u>Success and failure stories</u></p> <p>The question addresses the need to identify success/failure cases in terms of achievement of intended impact and/or results.</p> <p><u>Explanatory factors</u></p> <p>In addition, the assessment of the reasons and factors explaining the effectiveness of the activity is to be conducted.</p>	<p>Within the assessment of the implementation of the gender mainstreaming approach (question V.2), typical success/failure stories and the critical factors behind them will be analysed via a qualitative analysis of selected OPs and selected measures. As in the case of question V.1, the identification and analysis of best practices will provide adequate information for answering the overarching question.</p>	<p>Not relevant in this question.</p>
<p>7. Which are the main factors affecting the sustainability of the benefits in the case of the identified success stories? (Sustainability)</p>	<p><u>Sustainability</u></p> <p>Sustainability assessments refer to the evaluation of the lasting presence of the benefits achieved by the action under study.</p> <p>The Euréval/Ramboll study associates it with the 'contribution towards reforming national and regional policies in line with the EES' (Euréval/Ramboll).</p>	<p>In the assessment of the implementation of the gender mainstreaming approach, a qualitative analysis of the different phases of the ESF programming cycle (formulation, design, implementation and monitoring) in selected OPs and measures will crucially include the identification of critical factors for the sustainability of the implementation of the approach.</p> <p>An additional analysis will centre on assessing the difference made by gender mainstreaming in ESF supported activities in shifting the internal processes of national policy toward gender equality.</p>	<p>Not relevant in this question.</p>

4. WORK PLAN

4.1. Description of the Field Work Approach

The hypotheses and questions provided in this IR are part of the first step of the overall ex post evaluation work. Based on the study of Eureval/Ramboll we expect that data availability to answer the evaluation questions will be insufficient. Therefore, the consortium will provide primary data sources to answer the evaluation questions in a qualitative fashion. However, each thematic question is unlikely to be answered in a representative fashion for all member states. Information is just not available for such conclusions. Therefore, in a second step which identifies examples to be investigated, answers will come from those member states and OPs where the data provides the most meaningful response. For the overall evaluation study, the team nevertheless hopes to include findings from a broad range of member states and OPs. The question of resource allocation (EQ I.a) will of course be covered for all 25 member states.

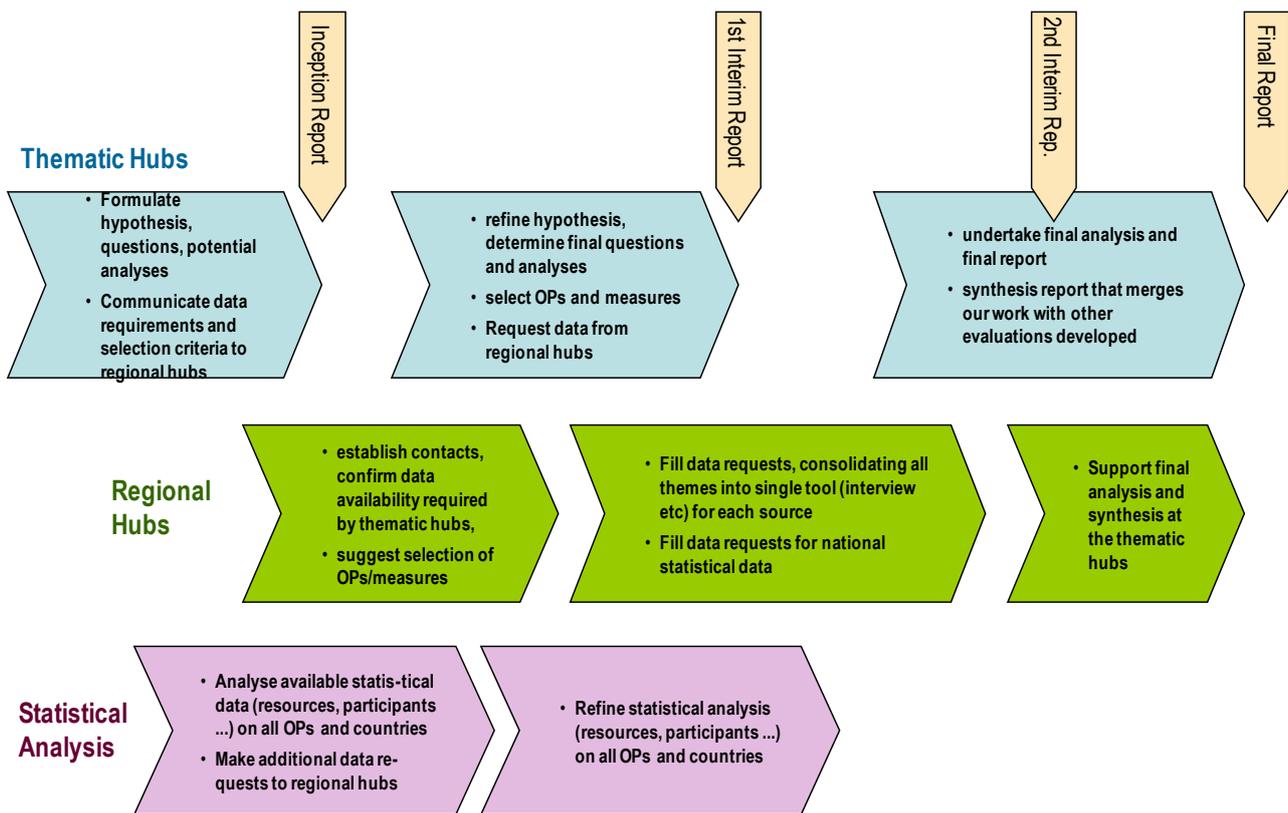
The interaction between the thematic and regional hubs will take five steps:

- After the thematic hubs formulate initial hypotheses, questions and selection criteria, the regional hub will determine the availability of sources and data to these questions and suggest which OPs and measures might satisfy the selection criteria.
- On this basis the thematic hubs will narrow the scope of the work for each question and finalise the hypothesis, questions and intended analysis, including the design of the tools (questionnaires, interviews guidelines) to be used. In a joint effort, the tools created by the thematic hubs will be harmonized to minimise the efforts and time in data collection (“only one questionnaire/ interview per source”).
- The proposed field work will have to be pre-approved by the Commission;
- After approval, in the fourth step the regional hubs will collect the data by conducting interviews with resource persons and through focus groups, collecting statistics etc.
- The final synthesis and analysis is the responsibility of the thematic hubs with support from the regional hubs.

The statistical analysis across all OPs and member states will be treated as a thematic hub, its scope will be partially covered by the answer to the question I.a although its work will run parallel to the two-step approach and be front-loaded in the process as much as possible.

4.2. Work Plan Schematic

Due to the uncertainty of available data, the phase up to the First Interim Report focuses on data availability and question answerability. While this work is mostly desktop, online and by telephone, it will involve one round of interactions between the thematic and the regional hubs. Regional hubs confirm data availability as requested by the thematic hubs. The latter specify their final questions and analyses as well as help to determine OPs and measures. Once samples, scope of analysis, tools and sources have been settled upon in the First Interim Report, the fields work will begin and again involve repeated interactions between thematic and regional hubs. Subsequently, thematic hubs should be able to undertake the final analysis and synthesis of the results.



We will deliver each of the three tasks identified in this section according to the timetable below.

Deliverable	Content of Deliverable	Interim Activity	Month/Date
Inception Report	<ul style="list-style-type: none"> • Draft work programme on detail of methodology, confirmation of deliverables and time scale 		1 Submission 27/3/09
		<ul style="list-style-type: none"> • Kick-Off Meeting • Inception meeting • Analysis of existing available data • Desk-based investigation to understand trends per country • Development and testing of questionnaire and survey methodology • Incorporate Commission feedback and amends 	1-3
First Interim Report	<ul style="list-style-type: none"> • Collection of data to date • Discussion and summary of data • Preliminary conclusions • Executive summary 		4 Submission 3/7/09
		<ul style="list-style-type: none"> • Consortium and Commission Working Meeting • Interviews and field work • Preliminary analysis 	4-7

		<ul style="list-style-type: none"> • Incorporate Commission feedback and amends 	
Second Interim Report	<ul style="list-style-type: none"> • Collection of data to date • Summary of data collected • Preliminary conclusions and recommendations • Executive Summary 		8 Submission 5/11/09
		<ul style="list-style-type: none"> • Consortium and Commission Working Meeting • Detailed analysis • Generate descriptive statistics • Perform regression, cluster and cross-sectional analysis • Incorporate Commission feedback and amends 	8-11
Final Report	<ul style="list-style-type: none"> • Conclusion and recommendations 		11 Submission 22/12/09
		<ul style="list-style-type: none"> • Consortium and Commission Working Meeting • Summary of data collected • Executive Summary • Incorporate Commission feedback and amends 	11-12
Synthesis Report	<ul style="list-style-type: none"> • Conclusion and recommendations 		9 Submission 22/12/09

A more detailed version of the workplan is maintained by the consortium, illustrated below. The work plan is a constantly maintained data base which lists each item of research to be accomplished for each EQ, and details the timetable for each instance of fieldwork that needs to be carried out in each region or member state and thus by which consortium partner. The workplan given below however is a high level summary, which features the contractual deadlines as well as the research timelines of the consortium.

Workplan description.

The workplan of the consortium is conceived in five phases:

- Phase A - Inception
- Phase B - Contacts and interview setting
- Phase C - Fieldwork and data gathering
- Phase D - Analysis and first drafting
- Phase E - Final report

Phase A

The inception phase A designs the operationalisation of the Evaluation Questions, the method for selecting cases to analyse, each driven by a hypothesis also established in this phase. The work carried out under this phase feeds into the Inception report which describes in detail the approach and plan for addressing each EQ. This phase also proposes the tools for data gathering and some of the preliminary contacts for the fieldwork. Under this phase, an initial mapping of all the measures is carried out, to establish which are pertinent for investigating respective EQs. This inception phase thus feeds into the first Draft Interim Report where the more detailed selection of cases draws on the mapping of measures, and where the plans for fieldwork are specified.

Phase B

Initially, Phase B oversees the finalisation of the measures mapping and the completion of case selection by ensuring they are balanced and cover sufficient regions, MS, geographical aggregations and objectives. With the cases selected, (drawing on the measures mapping) the consortium then contacts targets in the MS and regions to be investigated and establishes dates for relevant fieldwork meetings with them (such as interviews and focus groups). This is the principal activity of this phase. Phase B also oversees the finalisation of the tools – such as the particular questions to put to the contacts for interviews. The consortium will try as far as possible to ensure the fieldwork appointments take place before August (when most of the targets are typically on holidays). In some states it is easier to carry our fieldwork in some weeks of August and where this is the case, we have planned for meetings to occur in that month. It is anticipated however that in instances where it is hard to establish contact or where early holidays are taken, some fieldwork may have to take place in the first two weeks of September.

Phase C

The consortium carries out fieldwork and applies the selected tools chosen for different cases selected in each EQ. Alongside this fieldwork, the desk research is carried out to further contextualise and substantiate analyses of each case. The consortium has planned for some contingent fieldwork to take place in the first two weeks of September, in case summer breaks made this impossible earlier.

Phase D and E

These phases are comprised of analysis of the fieldwork (mostly in E) and the reporting of the findings and conclusions that will constitute the final document.

4.3. Arranged Meetings

	Document/Event	Date	Documents delivered by		Meetings
			Consortium	Contracting Authority	
1	Contract signed	22/12/08		Contract	
2	Kick-off meeting	19/01/09			Kick-off
3	Draft Inception report (DIR)	16/02/09	Draft inception report		
4	Inception meeting + Core Team	26/02/09			Inception meeting
5	Commission comments on DIR	4/03/09		Comments on DIR	
	Core Team	11/03/09	Review of comments Review phase 1 analysis		Frankfurt
6	Final Inception report	27/03/09	Final Inception report		
	Core Team	08/05/09	Coordinating DFIR		Budapest
7	Draft First Interim report (DFIR)	22/05/09	Draft First Interim report		
8	First Interim mtg + Core Team	2/06/09			First Interim meeting
9	Commission comments on DFIR	10/06/09		Comments on DFIR	
	Core Team	15-16/06/09	Review of comments Review phase 2 analysis		Madrid
10	Final First Interim report	3/07/09	Final First Interim report		
	Core Team	20/07/09	Review of phase 2 analysis		Rome
	Core Team	31/08/09	Review of phase 2 analysis		Frankfurt
	Core Team	14/09/09	Coordinating DSIR		Madrid
11	Draft Second Interim report (DSIR)	22/09/09	Draft Second Interim report		
12	Preliminary Synthesis report (PSR)	22/09/09	Preliminary Synthesis report		
13	Second Interim mtg + Core Team	5/10/09			Second Interim mtg.
14	Commission comments on DSIR	16/10/09		Comments on DSIR	
15	Commission comments on PSR	19/10/09		Comments on PSR	
	Core Team	26/10/09	Coordinating DFR/DFSR		Budapest
	Core Team	02/11/09	Coordinating DFR/DFSR		London
16	Final Second Interim report	5/11/09	Final Second Interim report		
17	Draft Final report (DFR)	9/11/09	Draft Final report		
18	Draft Final Synthesis report (DFSR)	9/11/09	Draft Final Synthesis report		

19	Final meeting + Core Team	20/11/09			Final meeting
20	Commission comments on DFR	30/11/09		Comments on DFR	
21	Commission comments on DFSR	2/12/09		Comments on DFSR	
	Core Team	04/12/09	Coordinating FR		Brussels
22	Final report	22/12/09	Final report		
23	Final Synthesis report	22/12/09	Final Synthesis report		

4.4. Division of labour Among Team Partners: Country and Thematic Allocation

Division of labour: there are 5 research teams constituting the Consortium and each has a clear work mandate to carry out (see ‘specification’ below), highlighting each partner’s specialized knowledge of subject matter, unique research skills, and focus on a cluster of member states (‘regional hub’ in the language of the project)

Cooperation: the very broad scope of the evaluation work, spanning across 25 member states and including 211 programs, mandates that each research team be able to rely on the others when specific thematic data within its own cluster, although essential to answer the questions, are not available. The ‘Technical Project Manager’ (see section 4.5 for more details on this function) will assist in facilitating and ensuring the optimal possible cooperation between research teams.

Integration: the evaluation outputs contributed by the research teams need to be brought together in a manner that easily identifies the overall and specific ESF implementation impacts, as well as reflects on the policy implications and recommendations derived from the findings which are addressed to the Commission. Overall continuity will be provided by the “Technical Manager” but each core team partner will be responsible for making explicit the policy implications relating to their specific area.

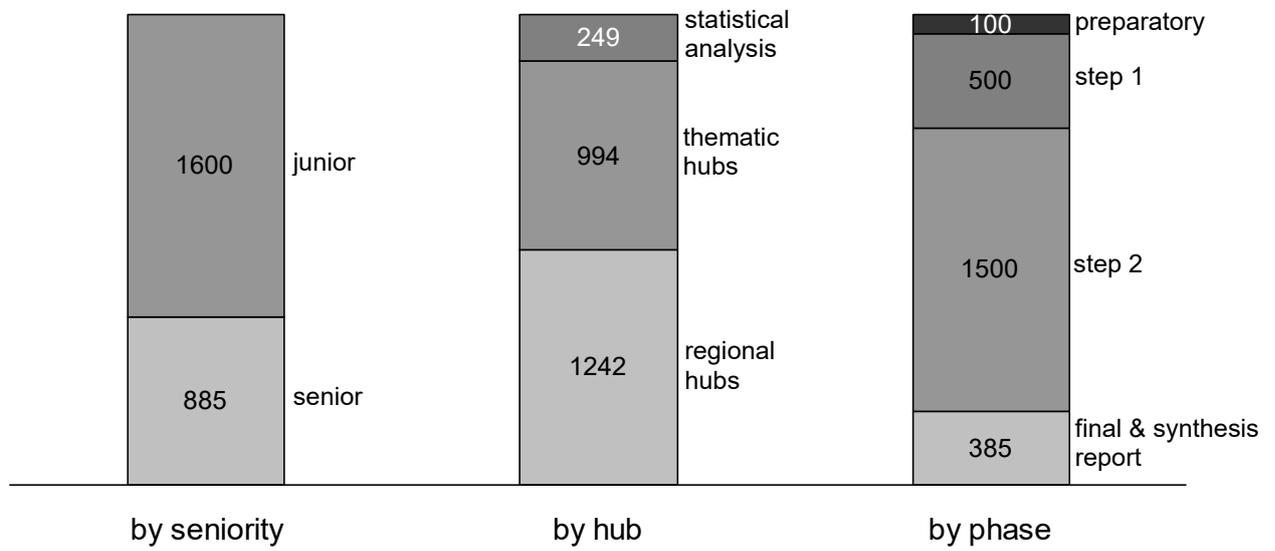
Consensually, the following scheme of division of labour was agreed to:

Consortium Partner	Thematic Responsibilities	Regional Responsibilities
Deutschland Denken!	II.a, II.b, II.c.a, II.d	Germany, Austria and Netherlands
Expanzió	IV.a, IV.b	Latvia, Lithuania, Czech Republic, Slovenia, Estonia, Hungary and Slovakia
LSE-ESOC Lab	V.a, V.b	UK, Ireland, Sweden, Finland and Denmark
Red2Red	Ib, III.c.b, II.c (supporting I.a, III.b)	Spain, Portugal, Poland and Malta
Vision and Value	I.a, III.a, III.b, (supporting I.b, III.c.b)	Italy, France, Greece, Belgium, Cyprus and Luxembourg

Number of Days

The total number of consultant days included in the bid were 2.485, of which 1.600 were junior days and 885 senior days. At this stage, the team envisages that those days will be equally divided between thematic and regional hubs where the statistical analysis counts as a thematic hub. Between the two steps, the second will obviously take the lion share of days, as shown in the following schematic.

Three principles inform the organization of the ex post evaluation work: division of labour, cooperation, and integration. Applied altogether as the Consortium intends to do, the three principles contribute to yield the most efficient and highest quality evaluation output.



4. ORGANISATION AND MANAGEMENT

An organisational chart summarizing the lines of communication and management structure between the five consortium partners and Commission is provided in section 4.4.

4.1 System of Consultation and Cooperation with the Commission

The steering activity is planned to ensure the most effective internal coordination of the project. This activity will start from the beginning and last until the end of the project.

The steering activity will be responsible for:

- a. Steering group meetings with **DG EMPL**;
 - b. Internal meetings to discuss the progress of the project, the reports to be delivered and the intermediate products;
 - c. the link between the European Commission and the steering group.
- *Monthly reporting*; as required, the reports will be a maximum 2 pages long, will allow assessing the progress of the evaluation and highlight any critical situations (e.g. availability of information, relationships with institutions, etc.). The report will be delivered on the 22nd of each month starting from March 2009 (?).
- *Steering Committee (3 meetings)*; the Steering Committee, defined within the EC, will verify the quality of the evaluation and will formulate demands for clarification, detail etc. The meetings will follow the presentation of the evaluation reports to the EC.
- *Coordination meetings (5-6 meetings)*; coordination meetings with the evaluation unit are necessary to ensure fine-tuning between the results of the study and the evaluation questions. These meetings are less formal than those with the Steering Committee and, if useful, will assume the form of workshops aimed at extensively debating methodological issues and evaluation results. We plan to implement 5 or 6 coordination meetings, but, their number may vary according to needs.

4.2 Core Team

A Core Team will operate throughout the whole project duration comprising two nominated individuals from each Consortium Member organisation. This will ensure attendance at Commission and Consortium progress meetings is always possible. The Core Team will have final responsibility for agreeing methodology, monitoring the development of the project and overseeing the contributions of each individual consultant within their organisation on the project tasks.

More specifically, the core team will be in charge of:

- Reporting to DG EMPL Evaluation and Impact Assessment Unit, presenting the inception, interim, final and synthesis reports, and participating in meetings discussing these reports;
- Coordinating and being responsible for all partners' research activities and supervising the analysis processes throughout the project;
- Interacting with coordinators of the other ex post evaluations as required by the tender specifications;
- Monitoring the project development, ensuring the respect of the timetable for the deliverables and the achievement of expected results;
- Ensuring direct involvement in pivotal activities such as report assembling/writing/producing, internal dissemination of on-going results and information;

- Managing communication and dissemination activities, as well as being responsible for the overall quality and timing in the implementation of local initiatives through the coordination of partners' activities.

4.3. Key Contributors and Core Team Members

Peer Ederer – Consortium Member, Deutschland Denken!

Peer Ederer is Director of the *Human Capital Project* of the Brussel-based Lisbon Council, Head of the *Innovation and Growth Project* of *Zeppelin University*, Friedrichshafen and Academic Director of the *European Food and Agribusiness Seminar*. His clients comprise of some of the fastest growing companies in Europe, CEO's who want to accelerate growth through innovation and value-creation oriented strategies and regional governments interested in innovation-led economic growth.

Peer studied Business Administration at Sophia University in Tokyo, Japan and at Harvard Business School in Boston, USA. He completed his PHD at University of Witten Herdecke in Germany, exploring the financial relationship between the state and citizens. In 1995 he co-authored the best-selling book "Das Erbe der Egoisten", a socio-economic comparison of Germany, Japan and USA. In 1999 he co-authored a second best-selling book, "Geschäftsbericht Deutschland AG", an analytical description of the German state as if it was a stock market quoted company. Numerous articles and brochures have followed on this subject, including participation on a variety of expert panels for the German government. In 2008, his newest study "Geschäftsplan Deutschland" was published, analysing the need to increase investment in human capital in the German economy. On human capital, he gave presentations to the plenary of the European Economic Policy Committee, the World Bank Chief Economist Series, and numerous conferences. Peer has advised governments and taught at universities on every continent.

Peer started his business career as a financial trader at Deutsche Bank in Japan, trading interest rate derivatives and money market instruments. He worked for four years in the German office of McKinsey & Co. specializing on issues of technology management and business growth. He subsequently co-founded a Dutch technology company specializing in food supplements. He also co-founded the think tank "Deutschland Denken!", which is creating and publishing innovative public policy choices for the German society.

The underlying theme to Peer's background ranging from financial trader, public policy expert to technology start-up entrepreneur is his long-standing love-affair and fascination with the power of strategy. Strategy is the "poor-man's tool" to be successful against the odds by generating innovation and growth.

Francesco Grillo – MD, Consortium Member, Vision & Value

Francesco Grillo founded and is the Managing Director of Vision & Value Management Consulting. He is an established consultant who worked previously in London as Head of the Italian desk for the Bank of Tokyo and later in Milan as a Consultant with McKinsey.

Within Vision & Value he has advised major multinationals and public organizations (the European Commission and the Italian Ministry of Economic Development among others). He has been the project manager on several evaluations ranging from public policy to e-government implementation. Francesco received his Bachelor's Degree in Economics and Finance from the LUISS University in Rome. He holds an MBA from Boston University where he was a Fulbright grantee and is currently

completing a PhD at The London School of Economics. His research interests revolve around the subjects of cohesion policy, the information society and global governance. He is also President of the think tank Vision and has published three books on the impact of Internet on knowledge based industries like health care, transportation and automotive.

As far as structural funds he has been project manager of a number of assignments including the independent evaluations of the “ESF Operating Programme of Piemonte, Italy, 2000 - 2006” and of “Objective 1 CSF, Italy 2000 – 2006”, for the Italian Ministry of Economy, the study of the “monitoring arrangements supporting the implementation of ESF programmes,” for European Commission, DG Employment, the review of the evaluations of Objective 1 programmes 2000 – 2006 in UK, Ireland and Spain for European Commission, DG Regio.

His thesis at the LSE is on the effectiveness of spending structural funds on R&D as a tool of regional development.

He is the author of three books on information society related issues, several articles and has collaborated with magazines and newspapers like The Economist and Il Sole 24 ore.

Aurelio Jiménez Romero – Consortium Member, Red2Red

Agricultural Engineer, Expert in system dynamics (University of Catalonia) with a Master's degree in Business Administration (MBA) from the IE. He has taught on the Master's degree course on Community Resource Management and International Relations at the Complutense University, Madrid. At present he is Executive Director for Red2Red Consultores. He is a senior consultant with Red2Red, he has a large experience in the field of socio-economic analysis and the evaluation of Programmes and Plans regarding the EU Structural Funds' activities (ERDF, ESF) in Spain, including the assessment of EU Initiatives. Good theoretical and practice approach to strategic development at territorial level, drafting the framework plans for several Autonomous Communities in Spain. Excellent knowledge of the fundamental features on cohesion policy and on regional and local development issues. High expertise in manipulation and analysis of data.

Enrique Martínez Cantero – Consortium Member, Red2Red

Enrique is an Economist and Management Development Program (PDD) from IESE (University of Navarra). He began working as a consultant with the Public Administration in 1997. He has been Director of Studies at Quasar and a lecturer in economic environment analysis at Alcalá de Henares University), He joined Red2Red Consultores in 2004. Currently he is Corporate General Manager of Red2Red Group. He has been the director of a large number of projects in the fields of evaluation and structural funds in Spain: the Final Balance of the ERDF 1994-1999, the Community Support Framework Objective 1 2000-2006, the Objective 1 mid term evaluation, the Objective 3 update mid term evaluation, and the National Strategic Reference Framework 2007-2013.

Professor Robert Leonardi, Consortium Member, LSE – Scientific Advisor

Professor Leonardi is a Jean Monnet Senior Lecturer in European Union Politics. His research area includes the analysis of European Structural Funds; Regional Policy; Socio-economic Cohesion Policy; Europeanization and Multi-level Governance; Institutional capacity; Regional government; Italian politics – in these areas he has published extensively. Since 1990 he has been Director of the European Social Cohesion Laboratory (ESOC-lab) within the European Institute at LSE. Recently he has been appointed as Head of the Brussels and Rome Offices of the Sicilian Regional Government. His educational background consists of a in Political Science/International Relations from the University of California, Berkeley, a M.A in international Relations at the School for Advanced International Studies of the John Hopkins University in Bologna, Italy and Washington D.C. and a Ph.D in Political Science at the University of Illinois, Champaign-Urbana with a thesis on "The Politics of Choice: An Inquiry into the Causes of Factionalism in the Italian Christian Democratic Party".

He has been working as a consultant for several years on numerous evaluation projects at the local, regional, national and European international levels. The most recent of which include: the SOCCOH project (“The Challenge of Socio-Economic Cohesion in the Enlarged European Union”) for the EU Commission DG Research, within the 6th Framework Programme, Priority 7: Citizens and governance in a Knowledge-based society; the “European Observatory on Social Capital (Social cohesion, trust and participation)” for the DG Employment of the European Commission.

Based on his extensive experience, Professor Leonardi is appointed as the Scientific Director of the project. He will be responsible for providing advice to the Core Team on methodological approaches.

Dr Simona Milio, Consortium Member, LSE

Dr. Simona Milio is Associate Director of the Economic Social Cohesion Laboratory, based at the London School of Economics and Political Studies (LSE). She holds a PhD in European Studies from LSE titled: “Explaining differences in regional performance: Administrative capacity and political factors. The case of Structural Funds implementation in Italian Objective 1 regions”.

At LSE, she also teaches a course on European Integration. Her area of research is related to institutional, political and administrative capacity building at both national and regional level; Structural Funds and cohesion policy; Foreign Direct Investment. On these topics she has recently published two articles on the journal of Regional Studies and West European Politics. She is also finalizing a book for IB Tauris Academic Studies, titled: “From Policy to implementation in the European Union: The challenge of multilevel governance system”.

She has played a key role in the competitive application for, and subsequent daily management of numerous government and European Union research grants and projects, related to the evaluation of socio-economic development policy, structural funds and cohesion policy implementation. The most recent of which includes: the “Pro-Change: Innovative Pan-European Structures for Managing Economic Change and Restructuring at the Local Level”, European Commission, DG-Employment; the “Ex post assessment of four research projects within the framework of the Pluri-annual Research Programme on Social Cohesion” for Federal Science Policy Office, Belgium; the “Mid-Term Evaluation of Italian Community Support Framework, Objective 1, 2000/2006” for the Italian Ministry of Treasures.

Professor Raffella Nanetti – Senior Consultant, Consortium Member, LSE

Professor Nanetti has extensive experience on institutional performance and economic development. She has conducted several research projects for, among others, the European Commission and the World Bank, focusing on the theme of effective and targeted development strategies. She holds degrees from the Catholic University of Milan, Johns Hopkins University, University of Illinois at Urbana-Champaign (Masters in City Planning), and University of Michigan (PhD in Urban and Regional Planning). She has published extensively and guest lectured at universities in the USA, Europe, Latin America and the Middle East.

Peter Rado – Consortium Member, Expanzió

Peter Rado is a senior consultant and a partner of Expanzió Consulting since 2007.

Peter Rado’s consulting experience covers projects made for the EU Commission, OECD, World Bank, Council Of Europe, Open Society Institute and for many other international agencies. Geographically speaking His working experience covers Central-Europe, the Balkans (especially Serbia and Bulgaria), Russia, Kazakhstan, and the Ukraine. On the other hand he has a broad experience in

consulting top level planners and decision-makers in Hungarian public administration. From time to time, he joins universities to lecture on the sociology of education and public policy.

Peter graduated (MA History) in the ELTE University (Budapest). His special fields are educational development and the inclusion of disadvantaged groups (Roma). In the 90s he served as a Secretary of State in the Ministry of Education. Later on he has become the vice-director of Open Society Institute responsible for educational and social inclusion projects in the Central and Eastern Europe. In this period he has published several policy manuals and papers widely used by local actors. As a consequence Peter has a strong network of key NGOs in the new member states. Since the turn of the century he has been deeply involved with the planning of Operational Programs covering educational development. Since 2004 Peter was the Managing Director of the Center for Educational Policy Analysis (a policy think tank). Peter Rado is a member of the Hungarian Society of Evaluators (2009).

Victoria Sánchez Esteban – Consortium Member, Red2Red

Organisational Psychology graduate with a Master's degree in public policy and programme evaluation from the Complutense University, Madrid. She spent eight years working for the state-run employment service and has been a consultant since 1993. She was a founding partner of Red2Red Consultores in 2000, and has been its General Manager. Currently she is Vice President of Red2Red Consultores and Director of Responsables Consulting. She has been associate professor at the Department of Political Science and Sociology, Carlos III University, Madrid and is currently a lecturer on the Master's degree course on Evaluation at the Complutense University,

In the last few years, she has been working as quality assurance person in Red2Red Consultores in those projects related to evaluation and public policy definition. She has a long experience background in strategic planning, evaluation, social inclusion, employment, institutional strengthening, international development and cooperation policy, gender mainstreaming, education and training, universal accessibility, corporate responsibility, etc. She has been a member of the Update of the midterm evaluation update objective 3 community support framework of Spain, and she has also been working in several projects linked to ESF co financed operations and labour market insertion for collectives at risk of exclusion.

Flavius Stan – Consortium Member, Vision & Value

Flavius Stan holds a Bachelors degree in Political Science from Columbia University, a Masters degree in European Politics and Policy from New York University, and a Masters in Public Management degree from SDA Bocconi School of Management. He was a Visiting Scholar at the Center for European Studies at New York University pursuing research on social policy, European institutions and enlargement. He worked on international assistance, transitions, development, security and terrorism issues at the International Peace Academy, a leading New York-based international think-tank closely related to the United Nations system. He acted as litigation case manager for a prestigious New York law firm, Cravath, Swaine & Moore LLP, where he supervised projects, research, logistics, IT and data management systems for clients such as IBM, Qualcomm, Bristol-Myers Squibb and Bank of America. His expertise spans public sector management, programme and strategy design and implementation, European affairs, developing and transitional countries, the non-profit sector and international organizations. He advised several think-tanks and NGOs in Romania, Italy and Uganda.

Janos Setenyi – Consortium Member, Expanzió

Janos Setenyi is a founder (1995) and Managing Director of Expanzió Consulting. His consultancy work was done in the frame of Expanzió in the past 15 years.

He has worked for the EU Commission, OECD, World Bank, Council of Europe, Open Society Institute and the Pew Charitable Trusts (US) in several projects since the mid-ninties. His working experience

covers Central-Europe, the Balkans, Russia, Kazakhstan, and the Ukraine. On the other hand he has a broad experience in consulting the national, regional and local level in Hungary.

Janos graduated (MA. History) in the ELTE University (Budapest), and received its PhD. in educational sciences at the Hungarian Academy of Sciences. His special field is educational development, employment and local government policies. On these topics he published several monographies and research papers. In the course of the late 90s he has been involved with the development of European Studies in Hungary. As a consequence, he has become one of the national level experts of Structural Funds, especially ESF. Since the turn of the century, he participated in several projects aiming at preparing local governments and disadvantaged communities for the use of ESF both in Hungary and in Romania. Janos Setenyi is a founding member of the Hungarian Society of Evaluators (2008) and a framework contractor of the National Development Agency (2009).

He is a keen Sinologist, and a motivated activist of Europe-Asia partnership.

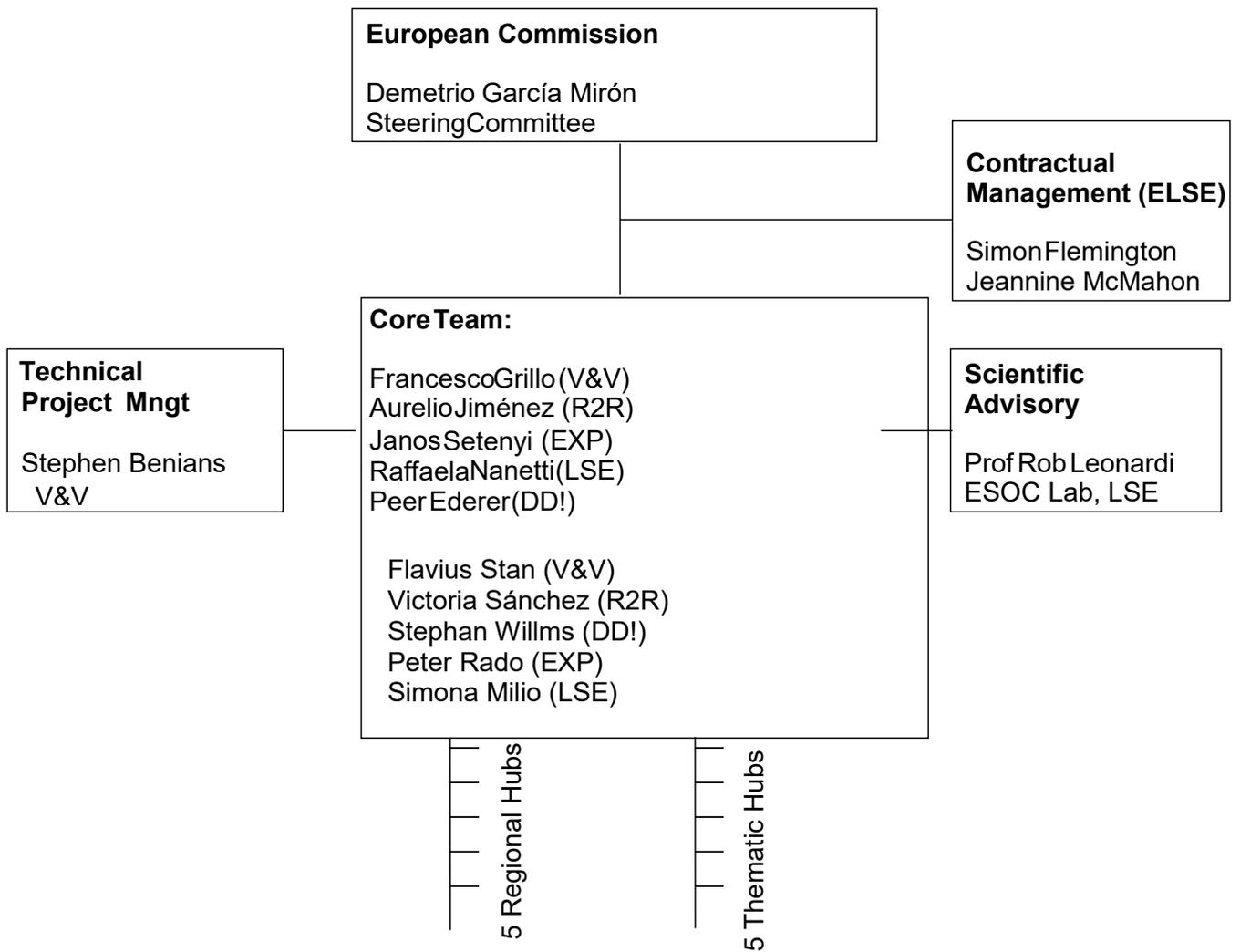
Stephan Willms – Consortium Member, Deutschland Denken!

Stephan Willms has an MA in Business Administration and is the Cofounder and Managing Board Member of Deutschland Denken, where he developed economic and quantitative political analyses. He also manages projects promoting international business growth. Senior consultant in politics, strategy, entrepreneurship, health management. Publications on education and health strategy, business methodology and human capital investments.

Stephen Benians – Consortium Member and Technical Project Manager (TPM), Vision & Value

Stephen Benians has a Master degree in EU politics and economics, and a Master in Innovation Management. He has wide experience in project management in international environments, notably of EU funded projects and Commission tenders. Stephen has also been coordinator of projects within the UN and the British Council. He has wide experience of evaluation of research projects.

4.4. Organisational Chart



4.5. Communications

The Core Team collectively will be responsible for working on the project to approve all strategic content and methodological aspect of the reports prior to their submission to the Commission. It will delegate to the technical manager all the communication with the EC regarding contents and technical issues. The technical manager will also be responsible for the main communications with the teams working on parallel ex post evaluations.

However, Expanzio will have the main role of organizing the collaboration with the group working on the ex post Evaluation of the 2000-2006 ESF Support to the Open Method of Coordination in Social Protection and Social Inclusion; and DD will organize the interaction with the team developing the ex post evaluation of the European Social Fund (2000-2006): Impact on the functioning of the labour market and on the investment in human capital infrastructure through support to systems and structures.

Technical Project Manager:

Vision and Value will provide the technical manager function. On behalf of Vision and Value, Stephen Benians is the TPM for the contract. The TPM will be the point of contact for all partners in the consortium for all technical and content matters relating to the contract's implementation and outputs. He will ensure the consortium's work and deliverables are achieved on time and that they are aligned with the terms of reference for the contract. The TPM will be the principal interface with the EC for technical and content matters and for Consortium-Commission communications.

Contract Manager:

The contract manager, instead, will be in charge of communications to the Commission on administrative contract management issues. Hence Enterprise LSE will act as the principle point of contact for all financial contractual issues relating to the project. Enterprise LSE will liaise regularly with the Technical Manager to monitor project progress in relation to the deadlines set for all deliverables according to the contract. Enterprise LSE will liaise with all Consortium Partners to ensure administrative and financial matters are kept fully up to date.

The Core Team will liaise and meet regularly to review, monitor and steer progress across the whole project in relation to all matters including content development and delivery against deadline. Regular meetings will also take place between the Consortium Partners to plan each phase of the analysis in detail, and to track progress of each task and of the project overall.

4.6. Partner Contact Details

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Contract Manager LSE Enterprise	Jeannine McMahon	II	Contract and financial manager	j.mcmahon@lse.ac.uk	+44 (0)20 7 955 7128	Tower One, 8 th Floor Houghton Street London WC2A 2AE
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4.7 Organisational profiles

Listed in Alphabetical Order

Deutschland Denken!

This is a politically and ideologically independent think-tank in Germany that develops new ideas and methodologies for the political arena using methods from the area of strategic controlling and business. The think-tank focuses on human capital and economic growth. Its main assumption is that the goal of all economic activity is to raise standards of living for everybody and that a state can only guarantee political and economic freedom, security and equality if he manages his finances sustainably. Deutschland Denken! e. V. works as a controlling unit of a state would work if it existed.

The think-tank was founded in 2000 as one of the first private think-tanks in Germany. It has presented at the Ecofin and the Worldbank and works closely together with the OECD. In the past years Deutschland Denken did not only consult several German Ministries but also the governments of Canada, the USA, France and South Africa on their strategies for human capital accumulation and usage. Together with the Lisbon Council in Brussels the founders of Deutschland Denken initiated the very successful yearly publication "European Human Capital Index" which the Economist applauded with: "no one has worked out the impact of knowledge like this before". Dr. Peer Ederer will head the scientific analysis together with Stephan Willms who will be responsible for the overall success of the project.

Expanzió

One of the leading consulting firms advising Central and Eastern European decision-makers and institutions on Structural Funds related issues and, more specifically, European Social Fund. Expanzió Consulting was founded in 1995 by three Hungarian academic researchers. Expanzió has worked for the EU Commission, OECD, World Bank, Council of Europe, Open Society Institute and the Pew Charitable Trusts (US) in several projects since the mid-nineties. Its international working experience covers Central-Europe, the Balkans, Russia, Kazakhstan, and the Ukraine. On the other hand he has a broad experience in consulting the national, regional and local level in Hungary. Amongst its main local assignments: the evaluation of regional labour market policies and elaboration of a guide to labour market analysis for several regional authorities in the country. Expanzió is a founding partner of the Hungarian Society of Evaluators (2008) and the framework contractor of the National Development Agency (2009).

Enterprise LSE Ltd

Enterprise LSE was established by the LSE in 1993 to enable and facilitate the commercial application of its expertise and intellectual resources. A wholly-owned subsidiary of the LSE, the company offers a professional interface with the academic community via services such as Executive Education and Consultancy - its two main activities.

Consultancy projects constitute a large proportion of the company's business, with an experienced team of project managers sourcing LSE academics and supporting the academic faculty working on research and advisory projects with our clients. Enterprise LSE specialise in facilitating customisation and flexibility to match precisely the requirements of clients, and employs LSE post - graduates in several key disciplines to ensure the efficient management of its projects.

Enterprise LSE also develops a range of commercial projects based on the fruits of academic research at LSE. It has a proven track record of working with members of the School to deliver successful outcomes to clients, ranging from small-scale individual consultancy assignments to complex major projects involving large interdisciplinary teams. It has considerable experience of providing advice, research and consultancy services to Central Government in the United Kingdom and governments and NGOs overseas. Our client list includes most UK government departments and agencies (for example the Department of Trade and Industry, National Audit Office, Foreign and Commonwealth Office, Corporation of London and London Development Agency), international and trans-national

organisations (including the World Bank, WEF, European Commission, United Nations, Commonwealth Business Council and the World Trade Organisation), as well as major businesses and financial institutions.

The London School of Economics and Political Science

The London School of Economics and Political Science is unique in the United Kingdom in its concentration on research and teaching across the full range of the social, political and economic sciences. In the most recent available UK Government Research Assessment Exercise, the School's research was ranked overall second among more than 200 universities and colleges, surpassing that of Oxford and only second to Cambridge. The LSE is Europe's leading social sciences university and has been home to 13 Nobel Prize winners and 32 past and present heads of state.

The LSE faculty, like its postgraduate and doctoral students, are unusually international in composition, giving the School a unique insight into research and studies in an international and comparative context. More than 700 academic and research staff work in 19 Departments, 27 Research Centres and 5 Interdisciplinary Institutes, making LSE's strength in depth second to none in its respective fields.

Situated in the heart of central London, the School is surrounded by one of the most cosmopolitan cities in the world. Only a short distance from Europe's financial, legal and cultural centres, the LSE stands at the unique crossroads of international debate, fundamental to our identity as an outward looking institution with an active involvement in UK, European and world affairs. The School is proud to have the largest social sciences library in the world.

LSE staff have extensive academic links with premier universities and research institutions around the world. Internationally, LSE staff are involved in research projects on all six continents, addressing real world problems in a context of rapid global change.

LSE - ESOC Lab

The ESOC-Lab is a completely self-financed research unit operating within the European Institute of the London School of Economics. Since its creation in 1992 the ESOC-Lab has brought together expertise from various academic departments in the School and has developed working relationships with other universities in Europe and the U.S.. It has carried out projects funded by the European Commission, various national, regional and local governmental entities and has had an active programme of publications. During the last four years, it has become heavily involved in the evaluation of Structural Funds programmes and in the study of the evolution of regional policy in the European Union.

Research carried out by the Lab has been conducted on an interdisciplinary basis and has contributed to major innovations in five main areas:

1. Social capital, institution building, and socio-economic development.
2. European Spatial Development Perspective (ESDP)
3. Ex-ante evaluation of the socio-economic impact of large investment projects, econometric modelling and data bank construction.
4. Evaluation of EU technical training and labour market policies.
5. Future of regional policy in the European Union and enlargement.

Red2Red Consultores

Founded in 2000, it has performed a large number of independent evaluations on Structural Funds in Spain. Red2Red supports the work of extending, consolidating and improving the modernisation process and helping organisations and administrations responsible for policies and programme definitions and implementation. Among their clients there are national, regional and local Public Administrations and third sector organisations.

Red2Red recently conducted a technical assistance project to carry out several tasks linked to the update of Mid-Term Evaluations of operations co-financed by the ESF in Spain, according to Council regulation (CE) 1260/1999; Update of Mid-Term Evaluation of 2000-2006 integrated operational program of the Region of Murcia; the Spanish evaluation of 2004-2006 EURES-network programme on job mobility.

In this programming period (2007-2013), Red2Red has undertaken the Technical Assistance of 2007-2013 National Strategic Reference Framework of Spain definition for Ministry of the Economy and Finance (Spain); and other Technical Assistances to define the 2007-2013 Regional Strategic Reference Framework of several Spanish regions towards application of Structural Funds such as Castilla-La Mancha, Region de Murcia, Navarra and Principado de Asturias. Red2Red has also evaluated universal accessibility program, their operational aid and the impact over beneficiaries (IMSERSO), as well as other evaluations and researches related to social inclusion. Finally, Red2Red has recently opened a new office settled in Sofia (Bulgaria) in order to make the most of its know-how in a new member state.

Vision and Value

Vision & Value, born out of a spin-off of McKinsey, is a leading strategic consulting firm and among its clients are both multinationals and some of the major European and Italian institutions.

Within the evaluation and policy advice practice, Vision and its consultants have recently conducted the quality assessments of: independent evaluations for Irish, UK and Spanish Objective 1 Regions for the DG Regio of the European Commission, the assessment of the VI framework programme as far as ICT applications on transportation industry; the evaluation of the 2000-2006 *Community Support Framework for Italian Objective 1* Regions for the Ministry of Economy of Italy; the evaluation of the Objective 3 (Piedmont) and Objective 1 (Sicily and Sardinia) structural funds funded programmes; projects on the impact of internet on the business system in large utilities like Telecom, and for automotive and pharmaceutical companies.

V & V is distinctively positioned between the private and public sectors and such a choice reflects an assessment of the opportunities and challenges this position presents, which is key amongst our founding business ideas.

V & V's most important competitive advantage is its consulting team, consisting of young professionals drawn from backgrounds in the largest international consulting firms and top academic research institutions in Europe and North America.

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1. PROPOSED METHODOLOGY
 - 1.1. Fine-tuning of the five thematic groups
 - 1.1.1. Logic underpinning the choice of the methodology
 - 1.1.2. Sampling of states/regions
 - 1.1.3. Sampling of OPs/measures
 - 1.1.4. Analysis of measures
 - 1.2. Utilization of resources and level of intervention
 - 1.2.1. Sampling of states/regions
 - 1.2.2. Sampling of OPs/measures
 - 1.3. Life-long learning, work force adaptability and information society
 - 1.3.1. Sampling of states/regions
 - 1.3.2. Sampling of OPs/measures
 - 1.4. Labour market policy
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 - 1.4.2. Sampling of OPs/measures
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 - 1.5.1. Sampling of states/regions
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 - 1.6. Gender equality: sampling and selection procedures
 - 1.6.1. The logic underpinning the choice of methodology
 - 1.6.2. Sampling of Member States
 - 1.6.3. Sampling of regions and OPs
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2. ASSESSMENT OF DATA AVAILABILITY
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 - 2.2. Report on data availability by member state by research theme
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 - 2.2.2. Data availability
 - 2.2.3. First comments on the work done
 - 2.3. Report on data analysis to be done: Qualitative secondary/primary data
 - 2.3.1. Data sources
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3. DESCRIPTION OF SELECTED INTERVIEW TECHNIQUES
 - 3.1. Semi-structured questionnaires for key respondents
 - 3.2. Interview guidelines for focus groups
 - 3.3. Pre-coded cards for focus group participants
 - 3.4. Guidelines for panel discussions
 - 3.5. Next step in the definition of the primary-data gathering tools
4. WORKPLAN
 - 4.1. Calendar of field-work by thematic group
 - 4.2. Calendar of OPs analysis by thematic group
 - 4.3. Deadlines for group work submission
5. TEAM MANAGEMENT
 - 5.1. Communication
 - 5.2. Key activities of Thematic and Regional Hubs
 - 5.3. Cooperation with Other Consortia
6. DRAFT OF TABLE OF CONTENTS OF SECOND INTERIM REPORT
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6. Glossary

Measure: means the means by which a priority is implemented over several years, which enable operations to be financed. Any aid scheme pursuant to Article 87 of the Treaty or any aid granted by bodies designated by the member states, or any group of aid schemes or aid grants of this type or any combination thereof which have the same purpose and are defined as a measure.

Operational programme: means the document approved by the Commission to implement a Community support framework, composed of a consistent set of priorities which comprise multiannual measures and which may be implemented through recourse to one or more Funds, to one or more of the other existing financial instruments and to the EIB.

Programme complement: means the document implementing the assistance strategy and priorities and containing detailed elements at measure level, drawn up by the member states or managing authority and revised as necessary. It is sent to the Commission for information.

Managing authority: means any public or private authority or body at national, regional or local level designated by the member state, or the member state when it is itself carrying out this function, to manage assistance for the purposes of this Regulation.

Intermediate body: A public or private body designated by member states to carry out some or all of the tasks of the managing or certifying. There may be one or more in each OP.

Final beneficiaries: Bodies and public or private firms responsible for commissioning operations (...) in the case of aid granted by bodies designated by the member states, the final beneficiaries are the bodies which grant the aid [Article 9, I) Council Regulation (EC) No 1260/1999 (21 June 1999)]

Final recipients: the economic, social or institutional actors that will be, ultimately, supported by ESF interventions and whose condition (employment status, institutional capabilities, ..) and behaviours (decisions to invest into education, ..) are expected to change thanks to the intervention.

EES: “Implement employment policies aiming at achieving full employment, improving quality and productivity at work, and strengthening social and territorial cohesion.

- Promote a lifecycle approach to work
- Ensure inclusive labour markets for job-seekers and disadvantaged people
- Improve matching of labour market needs
- Promote flexibility combined with employment security and reduce labour market segmentation
- Ensure employment-friendly wage and other labour cost developments
- Expand and improve investment in human capital.
- Adapt education and training systems in response to new competence requirements”

[European Commission: <http://ec.europa.eu/social/main.jsp?catId=108&langId=en>]

FOI: Field of Intervention. The classification of the fields of intervention of the Structural Funds. It is organized in categories and sub-categories and it is based on the Commission Regulation 438/2001.

ISCO (International Standard Classification of Occupations): classifies jobs, past, present or future.

1. A Job is defined in ISCO-08 as a set of tasks and duties performed, or meant to be performed, by one person, including for an employer or in self employment.
2. An *occupation* is defined as a *set of jobs* whose main tasks and duties are characterised by a high degree of similarity. A person may be associated with an occupation through the main job currently held, a second job or a job previously held.
3. Jobs are classified by occupation with respect to the type of work performed, or to be performed. The basic criteria used to define the system of major, sub-major, minor and unit groups are the “skill level” and “skill specialisation” required to competently perform the tasks and duties of the occupations.

ISCED (International Standard Classification of Education): designed to serve as an instrument suitable for assembling, compiling and presenting comparable indicators and statistics of education both within individual countries and internationally. It presents standard concepts, definitions and classifications. ISCED covers all organized and sustained learning opportunities for children, youth and adults including those with special needs education, irrespective of the institution or entity providing them or the form in which they are delivered.

NACE ("Nomenclature générale des Activités économiques dans les Communautés Européennes" – Statistical classification of economic activities in the European Communities): is the acronym used to designate the various statistical classifications of economic activities developed since 1970 in the European Union. It is the European standard classification of productive economic activities. NACE presents the universe of economic activities partitioned in such a way that a NACE code can be associated with a statistical unit carrying them out. NACE provides the framework for collecting and presenting a large range of statistical data according to economic activity in the fields of economic statistics (e.g. production, employment, national accounts) and in other statistical domains.

Human capital: Human capital is a methodological construct that refers to the capitalized value of the earnings power/potential of individuals. Human capital is subject to depreciation and re-investment. To the extent that earnings are a proxy not just for employment but also for personal, civic and social competences, human capital can be understood as the economic expression of Lifelong Learning. While not doing justice to every aspect of the EES, maximizing human capital may be seen as a proxy for pursuing the EES.

Region: Territorial second level, as expressed in the Nomenclature of Territorial Units for Statistics (NUTS II).

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Generic Reference:

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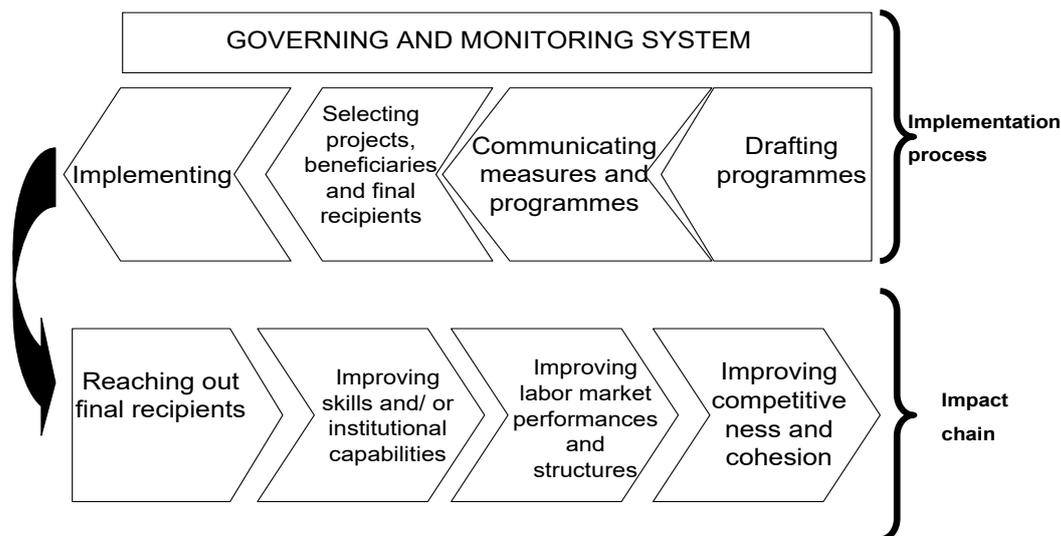
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Annex 1.

The social value chain approach of the ESF ex post evaluation

The “social value chain” framework allows for the evaluation of a series of logical steps that describe the processes by which programmes are conducted and their effects unfold.

Methodological Framework “Social Value Chain” adapted to ESF ex post evaluation



A. Overall description of the main components

The assumption is that the final impact (or more precisely the final capacity of a programme to achieve its own objective) will be a function of the following factors and the consistency among them:

1. The **quality of the programmes**, therefore the capability to identify gaps and priorities of a certain area or within a certain policy which in turn not only reflects analytical capabilities of the programme managers, but also their capability to engage into dialogues with social and economic partners and represent their needs;
2. The **effectiveness of communication**, so that the programme as a whole but also specific actions that the programme envisages is correctly communicated to specific targets (individuals with specific characteristics, firms, structures operating in the labour markets) that the programme may identify as key to its own strategy;
3. The **consistency of project selection** mechanisms against the programme objectives and the programme communication in terms of final recipients to be reached and actions (projects, beneficiaries) to be undertaken;
4. The **efficiency of the implementation** processes and, thus, the capability to realize what projects are supposed to do with the timing and the budget that was envisaged;

Thus, the chain continues by articulating the other four factors that describe the results of the processes implemented as for the above description:

5. The number of **final recipients reached** out to and the consistency of their characteristics (gender, employment status, age, disabilities for individuals; size, sectors for firms; typologies – public employment services, training agencies, other public administrations.. for market labour structures; etc..) with the ones that the programme had chosen as targets;
6. The **effective improvement** of skills (for individuals), of organization (for firms) or institutional capabilities (for institutions and structures) that the programmes were aiming for;

7. The **subsequent effects** in terms of better performances (employment or employability) or better functioning (in the case of actions meant to improve systems and structures) of labour markets;
8. The **wider effect on economic performance** through multiplication (and deadweight) factors that result into a wider improvement of competitiveness and cohesion;

Finally, the success of the programme will depend on:

9. The **quality of the monitoring and governance** mechanism that will make possible to measure results, evaluate and steer the programmes towards better performances.

The added value of such a theoretical framework is that it un-bundles the phases of the implementation processes. This approach is particularly suitable for drawing comparisons and as an effective way for presenting where exactly the strengths and weaknesses of the programme lie.