

**COMMUNITY ACTION PROGRAMME TO COMBAT SOCIAL EXCLUSION**

**CALL FOR TENDERS**

**«Evaluation of the Programme of Community Action to Encourage cooperation  
between Member States to Combat Social Exclusion»**

Number VT/2002/64

**Period of Performance: 1.12.2002 – 01.10.2006**

**Budget Line B3-4105**

**TERMS OF REFERENCE**

**TENDER SPECIFICATIONS**  
**EVALUATION OF THE PROGRAMME OF COMMUNITY ACTION TO ENCOURAGE**  
**COOPERATION BETWEEN MEMBER STATES**  
**TO COMBAT SOCIAL EXCLUSION (2002-2006)**

**1. INTRODUCTION – BACKGROUND TO THE CONTRACT**

This contract is for the evaluation of the programme of Community action to encourage cooperation between Member States to combat social exclusion (2002-2006). The evaluation forms part of a series of evaluations of Community action programmes<sup>1</sup> to be conducted according to the same objectives and timetable.

- (1) The programmes fall within the Social Policy Agenda (2001-2005) which is due to be reviewed in 2003. The evaluation of the programmes will form part of the evaluation of “the quality of social policy”.
- (2) Evaluation of the programmes must form part of the strategies which the programmes seek to reinforce.
- (3) The objectives of the programmes form the core of the evaluation: the relevance of the objectives, their added value and the extent to which they are complementary are key aspects which must be examined in order to develop analysis elements with regard to the future of the programmes and, in the shorter term, to the uptake of subsidies by new participants in the programme.
- (4) The action financed within the strands and fields of the programme must be evaluated in order to make the most of the results obtained and help improve the effectiveness of Community action.
- (5) The evaluation must also cover the 2000 and 2001 preparatory actions, which were intended to improve the formulation and launch of the programme.

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– <sup>1</sup> Gender Equality Programme (2001-2005)  
– Community action programme to combat discrimination 2001-2006  
– Programme to encourage cooperation between the Member States to combat social exclusion (2002-2006)  
– Community incentive measures in the field of employment (2002-2005). Adoption of these measures is under way.

## **1.1. The Community strategy**

Following the inclusion by the Treaty of Amsterdam of the fight against social exclusion in the provisions concerning the Union's social policy (Articles 136 and 137 EC), the Lisbon European Council of March 2000 underlined that the extent of poverty and social exclusion was unacceptable. Building an inclusive Europe was recognised as an essential element in the Union's strategic goal for the next decade, to be achieved through sustainable economic growth, more and better jobs and greater social cohesion.

The Lisbon Council decided to adopt an Open Method of Coordination in combating poverty and social exclusion in order to make a decisive impact on eliminating both by 2010. The principle elements of this open coordination method are:

- the commonly agreed objectives of combating poverty and social exclusion adopted at the Nice European Summit in December 2000;
- the national action plans for combating poverty and social exclusion: these were adopted by the Member States in June 2001 for a period of two years;
- the joint Commission/Council report on social inclusion (Dec. 2001), together with regular monitoring, joint evaluation and peer review;
- commonly agreed indicators for measuring progress and comparing best practice: an initial report identifying 18 common indicators was adopted by the Council in December 2001;
- the programme of Community action to encourage cooperation between Member States to combat social exclusion (OJ 12.01.2002 / 75 M€ / 5 years).

The open method of coordination is a key element of the Social Policy Agenda (SPA), under which promoting social inclusion is one of the principle objectives of European social policy. The adoption and subsequent implementation of the Community action programme is one of the measures envisaged in this area under the SPA.

## **1.2. The programme of Community action to encourage cooperation between Member States to combat social exclusion**

### *1.2.1. Objectives*

In the framework of the open method of coordination, the aim of the programme is to support cooperation between Member States in order to increase the effectiveness and efficiency of policy against social exclusion by:

- a) promoting a better understanding of social exclusion and poverty on the basis, in particular, of commonly agreed indicators;
- b) organising policy cooperation and mutual learning in the context of the national action plans;
- c) developing the capacity of the relevant actors to address social exclusion and poverty effectively and promoting innovative approaches, in particular through networking at European level and through promoting dialogue with all parties concerned at European, national and regional levels.

The programme covers the 15 Member States. The three EFTA countries will join in all the programme's activities from mid-2002. Provided the corresponding agreements are signed, 11 applicant countries will participate progressively in certain of the programme's activities from mid-2002.

### *1.2.2. The strands and fields of activity*

In pursuit of these objectives, the programme's activities have been divided into three **strands** as summarised below<sup>2</sup>:

#### *Strand 1 Analysis* of the characteristics, causes of and trends in social exclusion

<b>Field/Action</b>	<b>Activities/Timetable</b>	<b>Cost (estimated)</b>
<b><i>1.1 Development of common methodologies for indicators</i></b>		
Support the development of common methodologies for indicators in the priority areas agreed by the "Indicators" subgroup within the SPC	2 to 3 thematic studies per year Work to commence in March 2002 - continuation throughout the programme	€150 000 per year
<b><i>1.2 Comparability of statistics</i></b>		
Support the development and implementation of <i>Statistics on Income and Living Conditions (SILC)</i> in collaboration with Eurostat	Back-up work for Eurostat Data collection in spring 2003, with subsequent continuation	Between €1.5m and €2 m per year
<b><i>1.3 Thematic studies</i></b>		
Thematic studies on the aspects of the national action plans seen as essential and/or insufficiently analysed (e.g. access to culture; child poverty; poverty traps, etc.)	2 to 3 studies per year Initial call for tenders to be launched in spring 2002. Work to commence November 2002	Between €250 000 and €350 000 per year

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<sup>2</sup> NB: so far only the work programme for 2002 is known. Where certain activities are launched in 2002, this means that they will be implemented in 2003, or later. Apart from these activities, all those planned beyond 2002 are hypothetical and subject to the approval of the programme committee.

*Strand 2* Policy coordination and **exchange** of information and best practice

<b>Field/Action</b>	<b>Activities/Timetable</b>	<b>Cost (estimated)</b>
<b>2.1 Transnational exchanges</b>		
<ul style="list-style-type: none"> <li>• Support for exchange projects in connection with the priorities identified in the national plans and in the Joint Report on Social Inclusion</li> <li>• Peer review programme: preparation of a programme of peer reviews on a number of good practices in the field of social inclusion policies emerging from the NAPs/incl process and the Joint Report.</li> <li>• Dissemination and evaluation of the results of the preparatory actions (projects run in 2000 and 2001)</li> </ul>	<p>60 6–9 month projects in 2002, 2004, 2006; 30 18–24 month projects in 2003 and 2005</p> <p>Programme to be launched in 2002. Series of 8 to 12 peer reviews each year from 2003</p> <p>Publication of the main results of the projects in 2003. Monitoring and dissemination of the results of the ongoing projects. Ex-post evaluation of the 2000 projects</p>	<p>€ 4 m per year for even numbered years and € 7 m per year for odd numbered years</p> <p>€ 900 000 per year</p> <p>€ 100 000 per year</p>
<b>2.2 Technical studies</b>		
Evaluation	<p>2002: launching of the call for proposals</p> <p>2003: start of evaluations in preparation for mid-term and final evaluation</p>	
<b>2.3 Report on social exclusion</b>		
Monitoring of developments in respect of poverty and social exclusion: creation of a network of national experts to assist the Commission and the Member States in monitoring the development of the situation as regards poverty and social exclusion.	This network will be operational at the end of 2002. The work will provide material for the two-yearly joint report (in 2003-2005)	€ 500 000 per year

*Strand 3* **Participation** of the various actors and support for **networking** at European level

<b>Field/Action</b>	<b>Activities/Timetable</b>	<b>Costs</b>
<b>3.1 Funding for the key European networks active in combating poverty and exclusion</b>		
Core funding: support for the European networks dealing essentially with combating social exclusion – supervision of the activities of the three networks currently financed under the preparatory actions	April 2002 – call for proposals to be launched. From November 2002 – launching of the action (grant renewable each year)	Between € 2.5 m and € 3 m per year
<b>3.2 Annual EU round table conference on social exclusion</b>		

Conference: preparation of a round table conference in 2002, with consultation of the actors concerned and participation of the applicant countries.	First conference planned for October 2002 under the Danish Presidency	Between € 250 000 and € 400 000 per year
<b>3.2 Support for Presidency events</b>		
Support for events organised by the acting Presidency of the Union. The programme will cover the elements presenting the European dimension of the fight against social exclusion.	At the request of the Presidency (several months in advance).	Between € 200 000 and € 400 000 per year

*1.2.3. Provisional timetable and quantitative and financial aspects*

See above. The documents available<sup>3</sup> on the webpage mentioned below give the timetable for the planned activities for 2002 and the budget distribution per year and per strand.

**Table 1: Estimated distribution of funds per year – commitment appropriations in million euros**

TOTAL	2002	2003	2004	2005	2006	Total
Commission proposal (January 2002)	11	16	16	16	16	75

**Table 2: Breakdown of funds for 2002 – commitment appropriations in million euros**

Breakdown	2002
Strand 1: Analysis and gathering of statistics	2.25
Strand 2: Policy cooperation and exchange of information and best practice	5.5
Strand 3: Participation of the various actors and support for networking at European level	3.25
Total	11

*1.2.4. Description of the monitoring system for the programme*

The programme is managed directly by the Commission's operational unit, assisted by a Programme Committee composed of Member State representatives who meet three to four times per year. All information concerning activities run directly by the Commission, subcontracted (service contracts put out to tender) or supported financially

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<sup>3</sup> See annual work programme for 2002 and annual budget broken down according to the strands of the programme as adopted by the Programme Committee on 25/1/02.

(grants awarded via calls for proposals) is kept within the operational unit and may be obtained directly on request. The programme's activities will also be widely publicised via the following Internet page:

[http://europa.eu.int/comm/employment\\_social/soc-prot/soc-incl/index\\_en.htm](http://europa.eu.int/comm/employment_social/soc-prot/soc-incl/index_en.htm)

There is a monitoring system for the actions supported under the programme, and the projects draw up their own activity reports.

This information system is supplemented by self-assessment reports drawn up by the funded projects.

The Commission will provide the evaluators with the following information:

<b>information available</b>	<b>Source</b>	<b>Coverage</b>	<b>Type/Quality</b>	<b>Frequency</b>	<b>Available from:</b>
All documents submitted to the Programme Committee, including the minutes of meetings	Commission	Various decisions relating to the implementation of the programme	Good	3 or 4 meetings per year	Website: link to social exclusion Publications
SAGA subsidies database	Commission	All subsidies (calls for proposals)	Technical content (description of projects, beneficiary organisations, results of selection/evaluation; budget data	Regular update	Operational unit
Interim and final project and/or network activity reports (most include a section on self-assessment of results)	Project promoters, Commission conferences	Projects; conferences	Variable	Halfway through the project, at the end of the project	
Biennial report on social inclusion	Commission	Information on implementation of the framework strategy	Policy-related content	Every two years	
Annual work programme of the framework strategy	Commission	Information on implementation of the framework strategy by the Commission	Policy-related and technical content	Annual	
Report on implementation and annual work programme	Commission	Information on implementation of the programme and on the future work programme	Variable content, mainly technical	Annual	
Work of the groups of experts/studies	Groups of experts/Commission	Various reports			
Evaluations of the preparatory measures	External evaluation	87 projects for 1999	Good		On request to the

(1998-1999)	teams				Commission
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### 1.3. The preparatory measures 1998-2001

The programme was preceded by four series of preparatory measures in the form of exchange projects including a minimum of three partners representing three Member States (similar activity to that envisaged under field 2.1). Some 250 projects were financed in this way between 1998 and 2001 to the tune of € 33.5 m. The average duration of the 1998 and 1999 projects was 12 months. This was extended to 18 months in 2000 and 2001.

#### Number of projects supported per year and per budget heading

	1998	1999	2000	2001	Total
<b>Civil dialogue</b>	40	23	29	-	92
<b>Social exclusion</b>	-	64	47	46	157
<b>Total</b>	40	87	76	46	<b>249</b>

#### Expenditure per year and per budget heading (M€)

	1998	1999	2000	2001	Total
<b>Civil dialogue</b>	5.6	2.3	4.2	-	12.1
<b>Social exclusion</b>	-	7.3	7.5	7.6	224
<b>Total</b>	5.6	9.6	11.7	7.6	<b>33.5</b>

Projects were selected and the ex-ante evaluation carried out with the assistance of external evaluators, who submitted evaluation reports on the projects and the selection process. In addition, external evaluation teams undertook two ex-post evaluations on the 87 projects of 1999 (completed in 2001). The 2000 projects will be completed in the course of 2002 and the 2001 projects in mid-2003.



## **2. SUBJECT OF THE CONTRACT**

The contract comprises external evaluation at the interim and final stages of the programme of Community action to encourage cooperation between Member States to combat social exclusion (2002-2006)<sup>4</sup>. It relates to the entire programme and measures financed under it. The evaluation will also cover the 2000 and 2001 preparatory measures.

## **3. DESCRIPTION OF THE CONTEXT AND FRAMEWORK OF THE EVALUATION**

The evaluation must be in keeping with the European Commission's policy on evaluation<sup>5</sup>.

- It should, in particular, make it possible to take stock of the activities financed through the Community budget and capitalise on the results obtained.
- The evaluation should comply with the quality criteria<sup>6</sup> and with the state of the art in the field, and assessments should be well argued on the basis of rigorous quantitative and qualitative analyses.
- The evaluation should be conducted in a way which enables the results to be used to improve policy decision-making and thus to improve action taken in the future.

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<sup>4</sup> Article 12:

1. The Commission shall regularly monitor this programme in cooperation with the Member States in accordance with the procedure referred to in Article 8 (2)
2. The Commission shall report on the overall consistency of policies with social cohesion, including progress achieved under this programme, in its annual summary report to the Spring European Council, on which the European Parliament shall express its views in due course.
3. The programme shall be evaluated by the Commission by the end of the third year and at the end of the programme with the assistance of independent experts. This evaluation will assess the relevance, effectiveness and cost-effectiveness of activities implemented with regard to the objectives referred to in Article 3. It will also examine the impact of the programme as a whole. The evaluation will also examine the complementarity between action under the programme and that pursued under relevant Community policies, instruments and actions.
4. The Commission shall submit to the European Parliament, the Council, the Economic and Social Committee and the Committee of the Regions a final report on the implementation of the programme by 31 December 2006.

<sup>5</sup> COMMUNICATION TO THE COMMISSION from Mrs Schreyer in agreement with Mr Kinnock and the President SEC (2000)1051 - 26/07/2000 "Focus on results: strengthening evaluation of Commission activities"

<sup>6</sup> In this respect, the Commission's standards on evaluation include criteria for assessing the quality of evaluation. These will be used to assess the quality of the evaluator's work and will be annexed to the contract.

#### **4. SCOPE OF THE EVALUATION**

The evaluation should take account of all the fields of action and levels:

- the Community strategy of an Open Method of Coordination in respect of combating social exclusion, in particular the five constituent elements of the social inclusion process;
- the objectives of the programme – the evaluation should cover all the activities financed by the programme;
- the methods of implementing the programme as a factor in explaining the impact of the action undertaken;
- the preparatory actions for the programme for the years 2000 and 2001.

#### **5. OBJECTIVES AND LEVELS OF THE EVALUATION**

The evaluation should cover the Community added value, the capacity for transfer and mainstreaming created by the programme and the capacity for disseminating the projects financed by the programme. There are four levels to consider in the evaluation: the contribution of the programme to the European strategy to combat social exclusion, evaluation of the programme itself, evaluation of the activities implemented under the programme, and the evaluation of the 2000 and 2001 preparatory measures.

##### **5.1. Evaluation of the programme's contribution to the European strategy**

The evaluation of the programme's contribution to the strategy to combat social exclusion and poverty will take the form of an overall assessment of its contribution to the objectives set by the Lisbon European Council in March 2000, which made combating social exclusion one of the central elements of modernising the European social model. The evaluation will principally entail evaluating the programme's objectives, its coherence and Community added value vis-à-vis the strategy overall and the efficiency of the methods employed to achieve those objectives.

- Relevance of the contribution to the strategy seeking to make a decisive impact on the eradication of poverty and exclusion by 2010, taking a multidimensional approach to social exclusion;
- Analysis of the programme's role in strengthening the Open Method of Coordination, which combines the national action plans and the support programme with a view to increasing understanding of exclusion phenomena, promoting exchange of good practice and aligning the indicators for greater consistency;
- Analysis of the programme's role in supporting the strategy to ensure greater consistency between Community policies and an integrated approach to applying methods and instruments at Community level;

- Evaluation of the programme's effectiveness in strengthening the various instruments used (legislative, financial, coordination method, dialogue, etc.), comparison of the results achieved by the different methods in relation to the objectives pursued;
- Influence of national experience on activities carried out under the programme at Community level;
- Influence of the programme's activities on national policies and other European policies;
- Evaluation of the contribution of the preparatory actions to implementing the programme and determining the Community strategy.

Evaluation of the programme's contribution to the European strategy will be based on the evaluation of the programme itself and that of the individual actions. Its purpose is provide guidance for revising the programme's contribution to the strategy after 2006 and its application following enlargement.

## **5.2. Evaluation at programme level**

The evaluation of the action programme to combat social exclusion (2002-2006) must allow the added value of Community level action to be determined in both financial and policy terms. Assessment of the added value will be based on the results of the following analyses:

- Evaluation of the *subsidiarity principle*: objectives established according to the responsibilities of the Community and the Member States, methods of achieving them, comparison of Community and national objectives.
- Analysis of the *relevance*, definition and achievement of the objectives, quantitative analysis using indicators, qualitative analysis, in particular of the implementation of activities, obstacles identified in the process of implementation.
- Evaluation of the *consistency* and *effectiveness* of the programme as an instrument of the Community strategy. Analysis of the choice of action programme as a means of reinforcing the strategy by comparing the results already available and those which have been achieved, analysis of what alternative methods could have been used.
- Evaluation of *complementarity* with other Community instruments and actions, European Employment Strategy, social policy (anti-discrimination and gender equality programmes), ESF and other Structural Funds, EQUAL initiative, research fields, economic, industrial and enterprise policy, immigration and social protection policy, education, training and youth policy, health, etc.
- Evaluation of the *fields of action*, of the relevance of the way in which the areas have been defined in relation to the strategy and to the focus on priority areas, of the extent of improvement and enhancement of

knowledge of particular areas, and of the dissemination and use of this knowledge at European level.

- Evaluation of the *links and complementarity* between the strands of the programme and mutual reinforcement of the various strands.
- *Cost – benefit* analysis of the choice of Community methods of action, relationship between the objectives achieved and the resources used (financial and human), possible alternative methods (policy-related, legislative, etc) for achieving the same objectives.
- Evaluation of the relationship between the resources used and the objectives targeted in order to determine the *proportionality* of the action taken;
- Evaluation of *access to the programme*, the relevance of the targets and procedures (cofinancing of projects, selection process, information for everyone involved, etc.), concentration on the priorities of the action programme, evaluation of the appropriateness of the structures selected to run the actions in the light of the programme's objectives, and their suitability for meeting the needs of the actors concerned;
- Evaluation of the *part played by the different bodies* (types of player, high-level groups and committees) in defining and achieving the objectives; in particular, the role of the social and civil dialogue, lobby groups and, more specifically, European networks; evaluation of the way in which these bodies have been selected and targeted for participating in the programme; the way in which partnership and dialogue between all the participants has promoted an *integrated* and coordinated *approach*.
- Evaluation of the role of the Programme Committee and of the Commission in *coordinating* the programme, *management* and *monitoring* process, methods of *cooperation*, links with other committees.
- Evaluation of the *visibility* of the action taken in order to publicise the results.
- Evaluation of the same principles with a view to *enlargement* to new Member States and participation by the applicant countries.
- For the preparatory actions, evaluation of the same principles, looking at the scale of financing and the nature of the objectives.

The analyses will act as a guide to reviewing the approach half way through the programme, assessing the relative effectiveness of the methods used and gauging the relevance of the approach in an enlarged Europe.

### **5.3. Evaluation of the individual actions**

For each of the three strands: evaluation of the objectives, the results obtained and their relevance, evaluation of the effectiveness and efficiency of the

methods used, evaluation of aspects associated with transnationality and added value.

- Strand 1 Analysis of the characteristics, processes, causes of and trends in social exclusion:

Evaluation of the effects of capitalising on and using the indicators, statistics and thematic studies with a view to operating some leverage on attitudes or policy change at national and European level, evaluation of added value reflected in better understanding of the nature of problem situations and the results obtained in the different Member States.

- Strand 2 Policy cooperation and exchange of information and best practice:

Evaluation of the extent to which transnational activities and peer reviews have contributed to influencing attitudes/policy change at national and European level. Capacity of the transnational partnerships to create or disseminate best practice through exchange projects aimed at transferring information and experience. Comparison of the effectiveness of the various processes used.

Evaluation of the role and relevance of the report on social exclusion.

- Strand 3 Participation of the various actors and support for networking at European level

Evaluation of the extent to which the European networks have contributed to influencing attitudes and policy change at national or European level, with regard in particular to their capacity for influencing such change. Role of the European Round Table Conference on Social Exclusion.

Based on the analysis of the conclusions and results from which the typologies of interventions have been derived:

- Evaluation of *effectiveness*: comparison of objectives planned with those achieved, nature of the difficulties encountered, evaluation of the *results obtained* and multiplier effects in terms of impact, evaluation of the *sustainability* of actions without European financing, factors in success and failure.
- Evaluation of *efficiency*: analysis of the costs of interventions in the different strands and fields to establish the structure of average costs.
- Evaluation of *transnationality*: nature of transnational partnerships, type of cooperation (concerning new fields, new methods or new applications).
- Evaluation of types, modes and capacities for *transferring* the results of funded actions.

- Evaluation of the *European added value* in terms of the consistency of the results with the European objectives.
- Evaluation of the extent to which the strands and fields of intervention can be *capitalised* on, are linked, complement each other and are mutually productive.
- Evaluation of the leverage created by the action, real and potential impact on target groups, systems and policies.

Combined, these evaluation elements should provide a basis for assessing the *impact* of the activities on systems and policies and of their dissemination with a view to *mainstreaming*.

#### **5.4. The preparatory measures**

Evaluation of the preparatory measures in 2000 and 2001 is needed in order to determine how they have contributed to preparing and implementing the programme, thereby contributing to the evaluations referred to in 5.2 and 5.1. This means that the analyses should be of the same nature as those described in point 5.3, focusing on the identification of best practices among projects supported in 2000 and 2001.

#### **5.5. Conclusions**

The conclusions will be organised by analysis level, essentially as follows:

- 1/ Identification of *best practice* in terms of *dissemination* of the results of measures in order to obtain transferable analysis criteria which will provide a basis for directing future action.
- 2/ Where applicable, review of methods and fields of intervention at the end of the third year of the programme.
- 3/ Justification for other action concerning the future of social policy after 2006, choice of instruments, setting of objectives.
- 4/ Appropriateness of the approach in the context of an enlarged Union.

Presentation of the conclusions should be with an eye to their use at several levels (project promoters, Commission departments, the Programme Committee, the European Parliament, the Council, etc.).

## **6. TASK OF THE EVALUATOR**

### **Task 1. System of information and analysis**

- Devise an information system capable of ensuring quality and reliability when evaluating results and impact, in particular through comprehensive coverage of the activities financed by the programme and the preparatory measures;
- Analyse the quality of the monitoring system established by the programme, propose improvements where necessary;
- Propose guidelines in the form of instructions on the kind of self-assessment to be conducted for the projects. The aim is have a sufficiently coherent framework for these evaluations to be useful when assessing the programme;
- Gather the additional information required for the evaluation (framework documents, statistical indicators, surveys, on-site visits, working meetings, etc);
- Carry out case studies on a sample of projects selected from calls for projects which is sufficiently representative to draw reliable conclusions, for example by using aggregated forms of analysis. The sample for the case studies will be proposed by the evaluator.

### **Task 2. Processing and analysing the information**

- Draw up the framework for the evaluation, with suitable methods for obtaining answers to the analyses required in point 5;
- Process the information using quantitative and qualitative comparison methods, typology analysis and any other analytical method likely to produce reliable results;
- Provide sound arguments for opinions deduced from the analyses carried out;
- Draw conclusions from the analyses;
- Draw up interim and final evaluation reports as well as progress reports and working notes on specific subjects.

### **Task 3. Providing feedback**

- Encourage use of the evaluation results and formulation of recommendations together with the Commission. These recommendations should take account of the different expectations of the players concerned. The evaluator will be able to describe the steps taken in a final activity report.

## **7. ROLE OF THE EVALUATOR**

- The evaluation must be carried out by an independent evaluator (no involvement in the actions financed through the programme and no conflict of interest with the other activities carried out).

- The evaluation should be carried out using reliable analyses based on comparisons, qualitative information and quantitative data and should not be confined to descriptions.
- The evaluator should coordinate its efforts with the other evaluators responsible for evaluating the other programmes mentioned in point 1 of the specifications and adopt the methods established by the steering committee for the evaluation.
- In view of the "educational" aspect of the evaluation and its objective in terms of learning and of providing assistance for decision-makers, discussing the results will help the departments and people concerned to assimilate them.
- The work undertaken is confidential and the results of the evaluation will be made public in accordance with the rules based on the standards adopted by the Commission. These standards can, where necessary, be adapted by the steering committee for the evaluation.

## **8. THE EVALUATION PROCESS**

The Evaluation Steering Group (ESG) is the body which monitors the evaluation and the evaluator is usually present at meetings. The ESG will be composed of representatives from the operational and evaluation units of DG Employment and Social Affairs.

The ESG will have the following responsibilities: monitoring the evaluation work, examining the reports and notes on the evaluation, taking note of the conclusions, redirecting the evaluation where necessary, applying quality criteria for the evaluation, ensuring that the results are confidential, applying the rules for validating and disseminating information and reports –interim and final reports will be submitted to the Programme Committee, for information. The ESG should meet four times a year.

The evaluators will be required to coordinate their efforts with the evaluators of other programmes at joint meetings between the respective ESGs. Joint ESG meetings should be held twice a year.

The Programme Committee will examine the interim and final reports. It will take part in discussing the conclusions of the evaluation and in drawing up recommendations.

## **9. TIMETABLE FOR EVALUATION REPORTS AND WORKING NOTES**

The evaluator's mandate covers the entire duration of the programme from the point when the contract is signed until the results in the final evaluation report of July 2006 are discussed.

### **9.1. Evaluation methods of the action programme**

Three months after the contract has been signed, the evaluator will produce a report on the method covering the following points:

- Analysis of the definition of the objectives for the action programme and the preparatory measures, analysis of the programming of strands and fields and of the coherence of the programme.



- Analysis of information systems: assessment of the scope, relevance and reliability of systems of indicators, availability of quantitative and qualitative information, links with the national systems.
- Scope and feasibility of the evaluations: methods, types of analysis, typologies, methods of gathering information (surveys, interviews, etc).

### **9.2. Evaluation of the implementation and initial activities under the action programme for September 2003**

- Evaluation of the programme's start-up, implementation of objectives, actions financed under the different strands and their coherence.
- Interim report on the 2000 and 2001 preparatory actions.

### **9.3. Evaluation of the 2000 and 2001 preparatory measures (January 2004)**

- Assessment of the 2000 and 2001 preparatory actions: submission of the evaluation report for the preparatory measures including the identification of best practices among the projects supported in 2000 and 2001.

### **9.4. Interim evaluation (June 2004)**

Interim evaluation of the programme: analysis of action taken and of how the different strands of the programme have been carried out based on resource and performance indicators, verification of the achievement of objectives, assessment of the results for 2002-2004 according the evaluation criteria set out in point 5. The conclusions should provide pointers on how the programme can be implemented more effectively half way through its duration.

### **9.5. Evaluation update and specific theme in July 2005**

The June 2004 evaluations will be expanded and a specific theme may be developed at the request of the ESG.

### **9.6. Final evaluation of the Community action programme in June 2006**

- Final evaluation, updating of the interim evaluation and final evaluation of the programme,
- Conclusions on the impact of action in June 2006 in preparation for presentation of the report referred to in Article 12 of the Decision and future action in this field.
- Overview of the results and impact of the programme and of the Community strategy over the whole period.

The reports will be drawn up in FR or EN and contain summaries in EN and FR.

These documents must be supplied in electronic form and in a suitable format for printed distribution in triplicate.

## 10. DURATION AND FORM OF THE CONTRACT

The evaluator's mandate will cover the entire duration of the programme from signing of the contract until the results of the evaluation report of June 2006 are discussed, i.e. a period of 46 months from December 2002 to September/October 2006.

## 11. PRICE AND PAYMENT ARRANGEMENTS

Payments will be made at intervals throughout the contract period depending on progress, the reports submitted and the quality of the work undertaken:

- 10 % of part A (fees and direct cost) payable after signature by both parties of the contract and upon written request (invoice) by the contractor.
- 5 % after submission of the first report and approval by the Commission, upon written request (invoice) by the contractor.
- 10 % after submission of the second report and approval by the Commission, upon written request (invoice) by the contractor.
- 10 % after submission of the third report and approval by the Commission, upon written request (invoice) by the contractor.
- 20 % after submission of the fourth report (interim evaluation) and approval by the Commission, upon written request (invoice) by the contractor.
- 20 % after submission of the fifth report and approval by the Commission, upon written request (invoice) by the contractor.
- 25 % after submission of the sixth report (final evaluation) and approval by the Commission, including task 3 of the terms of reference, upon written request (invoice) by the contractor.

The bid is to be presented in euros, exclusive of VAT<sup>7</sup> (using the conversion rates published in the C series of the Official Journal of the European Communities on the date of publication of the invitation to tender). In view of the duration of the contract, the price may be revised according to the provisions of the attached draft contract.

It should be broken down following the format given in Annex III to the attached draft contract to include:

- Part A: Fees and direct costs
- Fees, expressed in number of person/days and unit price per working day for each expert proposed. The unit price(s) are expected to cover the experts' fees and administrative expenses, but do not include the reimbursable costs defined below.
- Other direct costs (to be specified), if any.

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<sup>7</sup> But including all other taxes and/or duties that the contractor might have to pay according to the fiscal legislation of the relevant country.

- Part B: Reimbursable costs
- Travel expenses<sup>8</sup>.
- Daily subsistence allowances (DSAs). These cover all the subsistence costs of the experts on short-term missions outside their usual place of work<sup>9</sup>.
- Translations costs, if any<sup>10</sup>.
- Other (please specify).
- Contingencies, if any.

Both Fees and direct costs (PART A), and Travel expenses, daily subsistence allowances and translation costs, if any (declared reimbursable in PART B of the final contract) will be taken into account by the Commission when comparing the different tenders.

Table 1 <sup>11</sup>	Unit price (in €)	Maximum number of units	Maximum total amount per heading	Sub-total (in €)
<b>Breakdown</b>				
<b>A Fees and direct costs</b>				
A.1 Experts' fees				
A.2 Other direct costs (please specify)				
<b>B. Reimbursable costs</b>				
B.1 Travel expenses				
Workshops in Brussels				
Other (please specify)				
B.2 Daily subsistence allowances (missions)				
B.3 Other				
B.4 Provisions for contingencies				

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<sup>8</sup> Travel expenses will be reimbursed within the following limits:

- journeys have to be carried out by the most direct and economic route
- train journeys: first class
- air travel: full-fare economy class (air travel allowed only for distances above 400 km; i.e. return flight above 800 km)
- car journeys: equivalent of corresponding first class train ticket.

<sup>9</sup> Unit prices are fixed for each Member State (see 'per diem' table in Annex III of the draft contract).

<sup>10</sup> If the language of the proposed expert(s) is not English/French.

<sup>11</sup> See Annex III to the model contract.

The tender must present the grid (annexed to the blank draft contract) enabling the Commission services to establish the cost and the breakdown by type of cost per year of the different tasks to be carried out.

The total budget must not exceed € 1 000 000.

## **12. PRESENTATION OF TENDERS**

The tenderer must include in his bid the elements necessary for applying the criteria described in points 13 and 14, i.e. the elements enabling tenders to be evaluated on the basis of the award criteria, in particular:

- understanding the aims of the evaluation and the tasks to be carried out;
- a precise description of the methods envisaged for carrying out the tasks described in section 5, including empirical aspects (information and data required, possible surveys, project visits, etc.);
- a work plan clearly describing the different stages necessary for achieving the objectives;
- a forward timetable for carrying out the work plan;
- a financial identification form duly completed and signed;
- the price;
- the detailed curriculum vitae of each proposed expert;
- the name of the contractor's legal representative (i.e. the person duly authorised to act legally on behalf of the contractor in relation to third parties).

Tenders must be submitted in triplicate (one original and two copies).

They must be signed by the tenderer's legal representative.

They must be delivered according to the requirements set out in the letter of invitation to tender, and before the date indicated as the deadline for submission in that letter.

### **Exclusion criteria**

Article 29 taken from "Council Directive 92/50/EEC of 18 June 1992 relating to the coordination of procedures for the award of public service contracts" (*Official Journal L 209 , 24/07/1992 P. 0001 – 0024*) establishes that:

"Any service provider may be excluded from participation in a contract who:

(a) is bankrupt or is being wound up, whose affairs are being administered by the court, who has entered into an arrangement with creditors, who has suspended business activities or who is in any analogous situation arising from a similar procedure under national laws and regulations;

(b) is the subject of proceedings for a declaration of bankruptcy, for an order for

compulsory winding-up or administration by the court or for an arrangement with creditors or of any other similar proceedings under national laws or regulations;

(c) has been convicted of an offence concerning his professional conduct by a judgement which has the force of *res judicata*;

(d) has been guilty of grave professional misconduct proven by any means which the contracting authorities can justify;

(e) has not fulfilled obligations relating to the payment of social security contributions in accordance with the legal provisions of the country in which he is established or with those of the country of the contracting authority;

(f) has not fulfilled obligations relating to the payment of taxes in accordance with the legal provisions of the country of the contracting authority;

(g) is guilty of serious misrepresentation in supplying or failing to supply the information that may be required under this Chapter.'

See the requirements established in this Article 29 to provide proof that none of the cases quoted in (a), (b), (c), (e) or (f) applies to the service provider.

### **13. SELECTION CRITERIA**

*Economic and financial capacity* to carry out the tasks set out in the tender specification must be demonstrated as follows:

- the tenderer (or consortium) must provide proof of turnover in the last financial year at least equivalent to 100% of the proposed price of the contract;
- balance sheets from the last three financial years, where publication of the balance sheets is required under company law in the country in which the service provider is established; in the case of tenders from consortia, this certificate must be provided by each member of the consortium;

- a statement of the undertaking's overall turnover and its turnover in respect of the services to which the contract relates for the previous three financial years; in the case of tenders from consortia, this certificate must be provided by each member of the consortium;
- a bank declaration providing evidence of good financial standing; in the case of tenders from consortia, this declaration must be provided by each member of the consortium.

Applicants must provide evidence of their technical, economic, financial and professional capacity in accordance with the criteria set out below:

*Technical capacity for carrying out the evaluation, to be demonstrated by:*

- a list of the main evaluation work undertaken over the past five years at most. Where the evaluation was undertaken for the European Commission, the applicant must also indicate the Commission reference number of the contract and the department for which the contract was performed;
- a list of the main work, in relation to the subject fields to be evaluated, undertaken over the past five years at most. Where the work was undertaken for the European Commission, the applicant must also indicate the Commission reference number of the contract and the department for which the contract was performed;

*Professional capacity: the skills needed for this contract are as follows:*

- good experience of evaluation methods, including the theoretical and empirical aspects, as attested by the CVs of the experts proposed;
- good experience in analysing programmes and policies related to the field to be evaluated, as attested by the CVs of the experts proposed;
- language skills sufficient to cover the 15 Member States in their respective national languages.
- a list of coordinators and experts to be used for the evaluation, together with their CVs and qualifications (see point K for the requisite skills);
- a declaration by the coordinator certifying the competence of the team to carry out the project evaluation, including linguistic capabilities;
- in the case of tenders from consortia: clear identification of the coordinator of the work who will also be responsible for signing the contract, and written confirmation from each member of the consortium that they would be ready and willing to participate in the evaluation, and briefly describing their role;
- a brief description of the professional activities of the applicant in respect of services similar to those to which the contract relates; in the case of tenders from consortia, this certificate has to be provided by each member of the consortium.
- proof of enrolment in one of the professional trade registers or a declaration or certificate, as prescribed in the legislation of the country in which the tenderer is

located; in the case of tenders from consortia, this proof must be provided by each member of the consortium.

Independence :

- certification that no member of the team or any of the firms involved in the tender has participated in any way or is concerned with the activities developed or carried out under the programme and that there are no conflicts of interest.

**14. AWARD CRITERIA**

*1. Quality of the proposal (30%)*

- Demonstration that the nature of the evaluation, context, results to be achieved have been fully understood;
- Proposed strategy, frame of reference, fields covered.

*3. Technical quality of the proposal: methodological approach proposed (70%)*

- Activities to supplement the sources of information available (sampling, surveys, project visit, interview, etc.);
- Methods for processing information and interpretation of the quantitative and qualitative information;
- Methods for providing feedback in respect of the evaluation results and recommendations;
- Organisation of work, distribution of staff competencies;
- Periods and timetable of the various evaluation levels and tasks, cost distribution according to the tasks to be performed.

The contract will be awarded to the tenderer whose offer represents the best value for money, taking into account the criteria listed.