



Mid-term evaluation of the EU programme for employment and social innovation - EaSI

Framework Service Contract VC/2013/0083

Annex



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Mid-term evaluation of the EU programme for employment and social innovation - EaSI

Framework Service Contract VC/2013/0083

Annex

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Annex 1 Intervention Logic per Axis

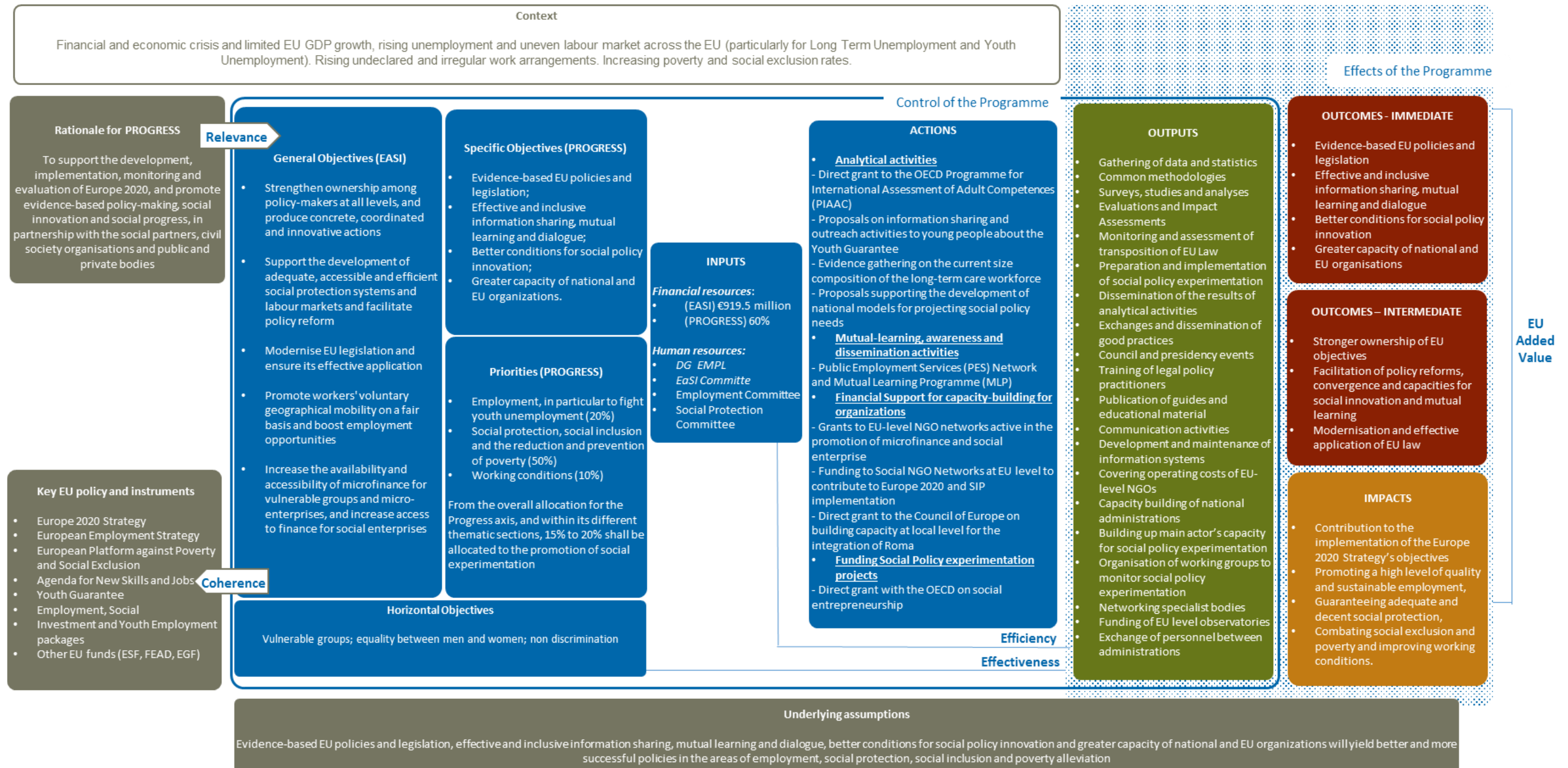
Annex 1.1. PROGRESS

The IL below (see Figure 1) shows no change to the IL presented in the inception report (section 4.1.2), no amendments have been made based on the preliminary findings presented in the next sections. The evidence presented in the Performance Monitoring report 2015-2016 shows that the delivery has followed the list of outputs as planned. No discrepancies have been identified and the other elements remain unchanged.

Figure 1. PROGRESS intervention logic

European Union Programme for Employment and Social Innovation ("EaSI") PROGRESS 2014/2020 – Intervention Logic

The Progress axis, which shall support the development, implementation, monitoring and evaluation of the Union instruments and policies referred to in Art 1 and relevant Union law, and which shall promote evidence-based policy-making, social innovation and social progress, in partnership with the social partners, civil society organisations and public and private bodies;



Source: ICF

Annex 1.2. EURES

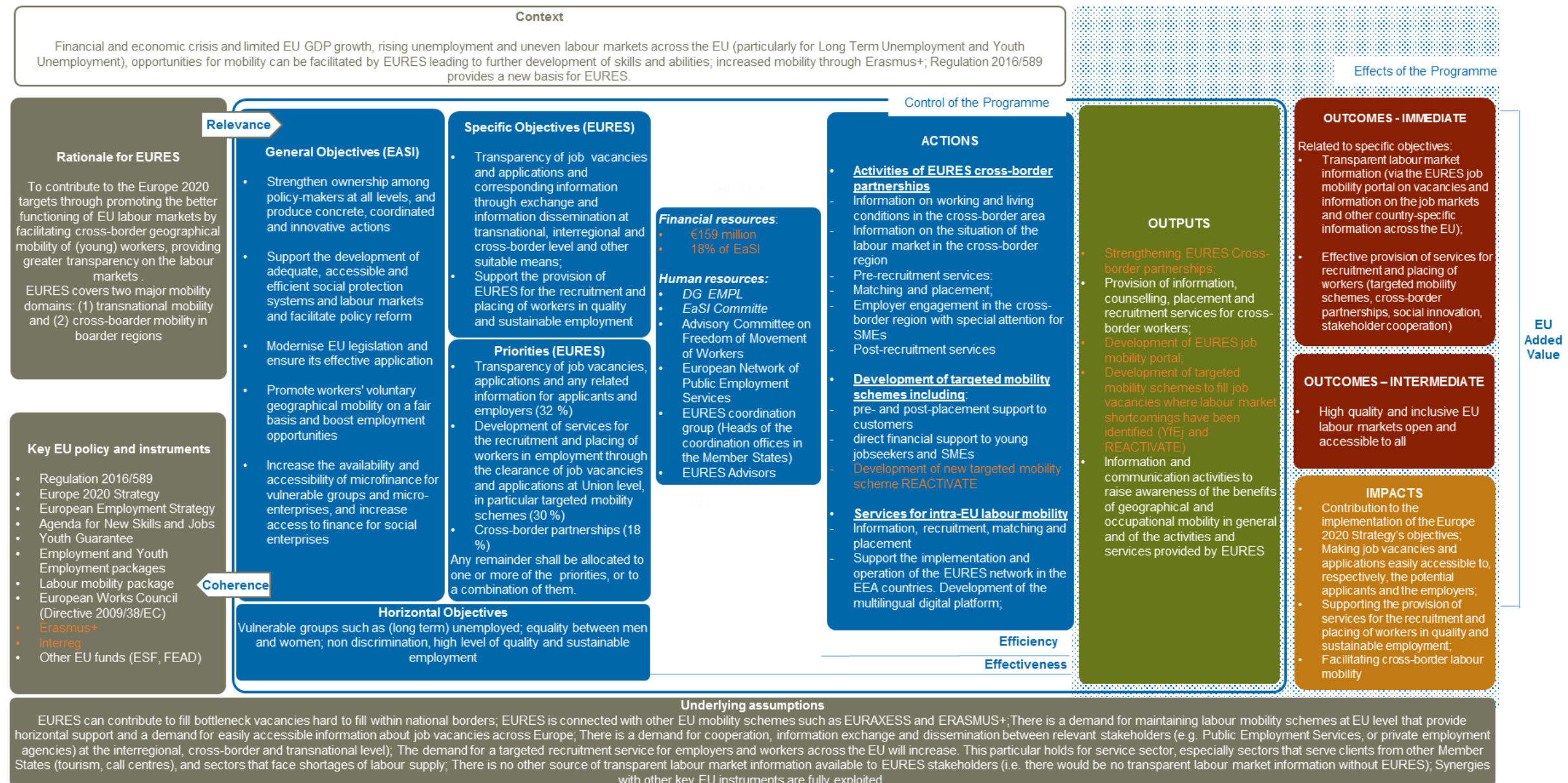
The reconstructed IL below (see Figure 2) is similar to the IL presented in the inception report (section 4.1.3), few amendments have been made based on the preliminary findings presented in the next sections (and highlighted in the figure below).

The actions and outputs have been refined and detailed further based on the effectiveness section (including further information on the strengthening of the cross border partnerships and information about the new targeted mobility scheme Reactivate). The list of other key EU instruments has been completed based on instruments identified in the coherence section, including additionally Erasmus+ and Interreg as relevant EU instruments. No discrepancies have been identified and the other elements remain unchanged.

Figure 2. EURES Intervention Logic

European Union Programme for Employment and Social Innovation ("EaSI") EURES 2014/2020 – Intervention Logic

The EURES axis shall support activities carried out by EURES, namely, the specialist services designated by the EEA states and the Swiss Confederation, together with social partners, other employment service providers and other interested parties, to develop information exchanges and dissemination and other forms of cooperation, such as cross-border partnerships, to promote voluntary geographical mobility for workers on a fair basis and to contribute to a high level of quality and sustainable employment



Source: ICF

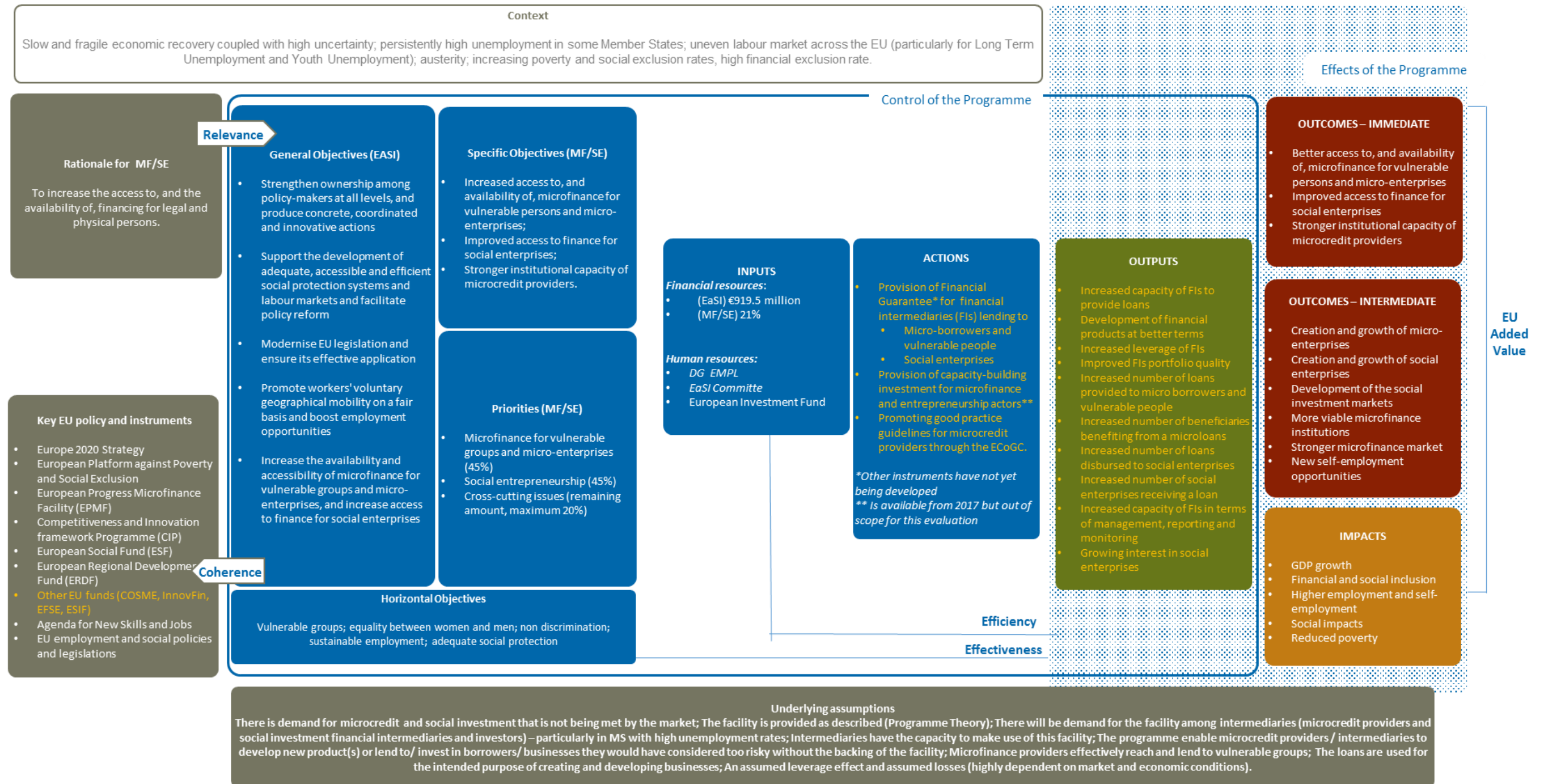
Annex 1.3. Microfinance and Social Entrepreneurship

Figure 3 overleaf provides a reconstructed Intervention Logic (IL) on the basis of the evidence collected so far. The reconstructed IL is similar to the IL presented in the inception report (section 4.1.4), few amendments have been made based on the preliminary findings presented in the next sections (and highlighted in the figure below). The actions and outputs have been refined and detailed further based on the effectiveness section. The list of other key EU instruments has been completed based on instruments identified in the coherence section. No discrepancies have been identified and the other elements remain unchanged. It is to keep in mind that the implementation of the MF/SE axis is still at an early stage and data is therefore scarce. However, early evidence provides some indication for the remaining of the period that may suggest that the outcomes and impacts, as described in the IL, are likely to happen. The MF/SE facility is therefore on the right track to achieve its intended objectives.

Figure 3. Microfinance and Social Entrepreneurship Intervention Logic, Source: ICF

European Union Programme for Employment and Social Innovation ("EaSI"), Microfinance and Social Entrepreneurship 2014/2020 – Intervention Logic

The Microfinance and Social Entrepreneurship axis shall facilitate access to microfinance for individuals and microenterprises, while adding capacity-building for micro-credit providers and support for social entrepreneurship.



Annex 2 Evaluation Framework EaSI (including all axes)

Annex 2.1. EaSI

Table 1. Approach to addressing the evaluation questions and sub-questions related to EaSI programme

| Topic | Evaluation questions | Related sub-questions | Judgement criteria |
|---|---|---|--|
| Topic 1. Continuing relevance of General Objectives | 1. To what extent do the general objectives identified in Article 4 of the EaSI Regulation continue to be relevant? | <ul style="list-style-type: none"> • 1. Is there still a need to promote produce concrete, coordinated and innovative actions at both Union and Member State level in the fields of employment, social protection, social exclusion and poverty and working conditions (general objective a)? • 2. Is there still a need to support the development of adequate, accessible and efficient social protection systems and labour markets and to facilitate policy reform (general objective b)? • 3. Is there still a need to ensure that Union law on matters of employment, social protection, social exclusion and poverty and working conditions is effectively applied (general objective c)? • 4. Is there still a need to promote workers' voluntary geographical mobility and to develop high-quality and inclusive Union labour markets (general objective d)? • 5. Is there still a need to increase the availability and accessibility of microfinance for vulnerable people who wish to start up a micro-enterprise as well as for existing micro-enterprises, and to increase access to finance for social enterprises (general objective e)? | <ul style="list-style-type: none"> • Assumption: Needs and demands have evolved since 2014 • EaSI programme has kept abreast of these changes • Whether a majority of respondents consider that there is still a need; • Whether such a need is felt more strongly by some stakeholder groups or in some countries; • Proportion of stakeholders considering this need "very strong" or "quite strong"; • Evidence and justification provided by stakeholders. |

| Topic | Evaluation questions | Related sub-questions | Judgement criteria |
|---|---|---|---|
| | 2. What existing/emerging trends should be taken into account in the second half of the programme (2007-2020)? | <ul style="list-style-type: none"> 1. Is there evidence of new/emerging social issues that should be taken into account in the second half of the programme? 2. Is there evidence of new/emerging policy instruments that should be taken into account in the second half of the programme? | <ul style="list-style-type: none"> Assumption: Operating context has evolved since 2014 |
| Topic 3 Continuing relevance of resource allocation between the three axes of EaSI | 4. With regard to the specific objectives of each axis, and considering the socio-economic and policy development, to what extent is the split between the three axes and the split between thematic sections still relevant? | <ul style="list-style-type: none"> 1. Is it still relevant to allocate 61% of the EaSI budget to PROGRESS? 2. Is it still relevant to allocate 18% of the EaSI budget to EURES? 3. Is it still relevant to allocate 21% of the EaSI budget to MF/SE? 4. Has there been any tangible and material change to the social, economic and political context in which EaSI operates, that would justify a different resource allocation between the three axes? 5. Does the performance of the individual axes merit a redistribution of resources? | <ul style="list-style-type: none"> Evidence on how needs and demands have evolved since 2014 Views of stakeholders on needs Actual resource allocation to date; Evidence and justification provided by stakeholders on resource allocation. |
| Topic 4 Effectiveness in generating outcomes and achieving objectives | 1. To what extent has the programme as a whole and each of its axes delivered the expected outcomes in terms of quantity and | <ul style="list-style-type: none"> 1. To what extent has EaSI delivered the expected outcomes (specific objective a: develop and disseminate high-quality comparative analytical knowledge)? 2. To what extent has EaSI delivered the expected outcomes (specific objective b: effective and inclusive information-sharing, mutual learning and dialogue)? | <ul style="list-style-type: none"> Evidence on the strength of relationship between inputs, outputs and outcomes. Comparison with expectation in ex ante evaluation for general objectives. Comparison with expectations for horizontal objectives. |

| Topic | Evaluation questions | Related sub-questions | Judgement criteria |
|-------|--|--|---|
| | <p>quality in order to achieve the general objectives and its horizontal provisions?</p> | <ul style="list-style-type: none"> • 3. To what extent has EaSI delivered the expected outcomes (specific objective c: financial support to test social and labour market policy innovations)? • 4. To what extent has EaSI delivered the expected outcomes (specific objective d: financial support to increase /improve capacity)? • 5. To what extent, have horizontal issues (vulnerable groups, equality, non-discrimination, high level of quality and sustainable employment) been integrated across all axes? | |
| | <p>2. To what extent have the available financial means enabled the programme as a whole to fulfil its objectives entirely and in a timely manner?</p> | | <ul style="list-style-type: none"> • Evidence of overall progress; • Views of stakeholders; • Rates of absorption and demand for EaSI resources |
| | <p>3. To what extent does the current programme allow for effective upscaling of interventions and for follow-up conditions and mechanisms?</p> | | <ul style="list-style-type: none"> • Evidence of upscaling and 'multiplier effects'; • Views of stakeholders. • Identification of 'innovations' and social experimentation results that have the potential to act as 'multipliers' |

| Topic | Evaluation questions | Related sub-questions | Judgement criteria |
|---|--|---|--|
| | 4. What have been the good practices in scaling up interventions? | | <ul style="list-style-type: none"> Evidence of 'scaling up' Circumstances enabling 'scaling up' Evidence of 'good practice' |
| Topic 5 Effectiveness in bringing about change | 1. What have been - at this stage of the implementation - the qualitative and quantitative changes/effects of the interventions? | <ul style="list-style-type: none"> 1. What have been the qualitative and quantitative changes/effects of the interventions for: <ul style="list-style-type: none"> analytical activities mutual-learning, awareness and dissemination activities financial support and capacity building | <ul style="list-style-type: none"> Identification of qualitative and quantitative changes/effects of different types of criteria since the beginning of EaSI Extent of the work programme's implementation. |
| | 2. To what extent can these changes/effects be credited to the interventions? | <ul style="list-style-type: none"> 1. Is there evidence suggesting that specific outcome 1 should be attributed to EaSI activities? 2. Is there evidence suggesting that specific outcome 2 should be attributed to EaSI activities? 3. Is there evidence suggesting that specific outcomes 3 and 4 should be attributed to EaSI activities? | <ul style="list-style-type: none"> Evidence suggesting that specific outcome 1 can be attributed to analytical activities Evidence suggesting that specific outcome 2 can be attributed to mutual learning activities Evidence suggesting that specific outcomes 3 and 4 can be attributed to EaSI financial support Assessments of the theory of change at case study level based on evidence of the strength of links between inputs and outcomes... |
| | 3. To what extent did other different | | <ul style="list-style-type: none"> Identified external factors and risks influencing the achievement of |

| Topic | Evaluation questions | Related sub-questions | Judgement criteria |
|--|---|-----------------------|--|
| | factors influence the achievement observed? | | outcomes were considered during programme design stage <ul style="list-style-type: none"> Evidence suggesting that specific EaSI outcomes can be attributed to non-EaSI activities |
| | 4. What have been the unintended effect of the programme? | | <ul style="list-style-type: none"> Identified unintended effects; External factors and risks influencing the achievement of outcomes considered during programme design stage Evidence from stakeholders. |
| Topic 6 Effectiveness in involving stakeholders | 1. Which targeted groups of the programme have been involved in the programming and implementation of the EaSI programme? | | <ul style="list-style-type: none"> Evidence of programme procedures and involvement of target groups including those concerned with transversal issues. Views of stakeholders. |
| | 2. Has there been sufficient involvement of stakeholders in the programming and implementation of the EaSI programme? | | <ul style="list-style-type: none"> Evidence of the level and effects of stakeholders' involvement Judgement of sufficiency based on views expressed by different groups and benchmarks from comparable EU programmes |

| Topic | Evaluation questions | Related sub-questions | Judgement criteria |
|---|---|--|--|
| | 3. What were the most effective methods of involvement of the targeted groups and stakeholders? | | <ul style="list-style-type: none"> • Identification of methods that are available at each implementation stage (programming, calls, projects, analytical activities, mutual learning activities). • Comparisons and benchmarks between axes and comparisons with other EU programmes. |
| Topic 7. Efficiency of resource allocation and financing procedures | 1. To what extent is the budget allocation and spending as a whole, and by axis and thematic sections proportionate and efficient for achieving the programme's objectives? | <ul style="list-style-type: none"> • 1. To what extent is the overall budget allocation proportionate and efficient? • 2. How do the 'cross border' aspects of the needs problems being addressed compare with EU resources allocated? | <ul style="list-style-type: none"> • Whether the budget allocation is in line with the EaSI Regulation • Whether the costs are reasonable in relation to the outcomes achieved/ expected to be achieved • Views on the hypothetical consequences of increasing the budget • Views on the hypothetical consequences of reducing the budget. |
| | 2. To what extent have the available financial means enabled the programme as a whole and each of its axes to fulfil | <ul style="list-style-type: none"> • 1. To what extent have the available financial means enabled EaSI to fulfil its objectives efficiently? • 2. Have the procedures been overly complex for the resources involved? | <ul style="list-style-type: none"> • Evidence of levels of inefficiency and efficiency in comparison with analogous programmes. • The costs are reasonable in relation to the outcomes achieved/ expected to be achieved |

| Topic | Evaluation questions | Related sub-questions | Judgement criteria |
|---|--|---|--|
| | their objectives efficiently? | | <ul style="list-style-type: none"> The administrative and governance structure operates efficiently |
| Topic 9. Coherence accruing from the merging of the three previous programmes | 1. To what extent did the merging of the three previous programmes PROGRESS, EURES and PROGRESS micro-finance improve EaSI internal/external consistency, complementarity and flexibility? | <ul style="list-style-type: none"> 1. To what extent did the merging of the previous programmes improve internal consistency, complementarity and flexibility? 2. To what extent did the merging of the previous programmes improve external consistency, complementarity and flexibility? 3. Is there evidence that merging PROGRESS, EURES and PROGRESS micro-finance improved the flexibility of these programmes? | <ul style="list-style-type: none"> Evidence and views on the internal coherence at EU and national levels Evidence and views on the coherence of the programme from the perspective of external stakeholders and programme participants. Evidence with respect to the ease of moving resources between axes as required. Existence or not of overlaps between PROGRESS and EURES, in particular with its activities relating to the Public Employment Services and labour market statistics. |
| | 2. What kind of synergies has the Programme developed or improved between the axes? | <ul style="list-style-type: none"> 1. What kind of synergies has the Programme developed or improved between PROGRESS and EURES? 2. What kind of synergies has the Programme developed or improved between PROGRESS and MF/SE? 3. What kind of synergies has the Programme developed or improved between EURES and MF/SE? 4. What kind of synergies has the Programme developed or improved between the three axes? | <ul style="list-style-type: none"> Evidence of synergies between axes due to merging Evidence of potential synergies not being realised Evidence of problems due to the combination of axes. |

| Topic | Evaluation questions | Related sub-questions | Judgement criteria |
|---|---|---|--|
| | <p>3. What level of flexibility - both between axes and between actions – would be required in order to get better outcomes?</p> | | <ul style="list-style-type: none"> • Identification of negative consequences due to lack of flexibility • Estimates of the consequences of revisions to programme procedures |
| <p>Topic 10. Coherence with other EU intervention</p> | <p>1. To what extent is this programme coherent and complementary (Article 7.1. of the EaSI Regulation) with other funding instruments such as the European Structural and Investment Funds (ESIF), in particular the European Social Fund (ESF)?</p> | <ul style="list-style-type: none"> • 1. To what extent is EaSI coherent and complementary the European Structural and Investment Funds (ESIF), in particular the European Social Fund (ESF)? • 2. Is EaSI coherent and complementary with other EU programmes? Which ones? • 3. Is EaSI incoherent or misaligned with other EU programmes? Which ones? | <ul style="list-style-type: none"> • Consideration of coherence and complementarity with other EU funding at programme preparation stage. • Current level of coherence and complementarity • Existence of overlaps with other instruments • Evidence of stakeholder confusion as regards the different programmes. |
| | <p>2. What kind of synergies or joint actions (Articles 6 and 7.2. of the EaSI Regulation) has the programme developed with</p> | | <ul style="list-style-type: none"> • Existence of synergies and joint actions between programmes • Evidence of the consequences of synergies and joint actions. |

| Topic | Evaluation questions | Related sub-questions | Judgement criteria |
|---|---|--|---|
| | these funding instruments? | | |
| Topic 11. Coherence of involvement at EU, Member State regional and local levels | 1. To what extent is national, regional and local authorities' involvement demonstrating consistency and complementarity? | | <ul style="list-style-type: none"> Evidence of national, regional and local authorities' involvement has demonstrating consistency and complementarity? Views of stakeholders |
| | 2. What would best be done at EU level to ensure that the programme's objectives are achieved? | | <ul style="list-style-type: none"> Consideration of consequences of changes to governance and administrative arrangements at EU level. Views of |
| | 3. What would best be done at Member State level? | | <ul style="list-style-type: none"> Consideration of the competences and capacities for Member States to undertake 'cross border and multinational aspects of the Programme without EU programme and support. |
| Topic 12. Current and prospective level of EU added value | 1. What has been the EU added value of the EaSI programme's activities? | <ul style="list-style-type: none"> 1. What has been the EU added value of the EaSI activities? 2. Is there evidence suggesting that the specific outcomes of EaSI could not have been achieved to the same degree without EU intervention? | <ul style="list-style-type: none"> Evidence of different types of EU added value in EaSI Views of stakeholders. |

| Topic | Evaluation questions | Related sub-questions | Judgement criteria |
|-------|--|-----------------------|--|
| | <p>2. To what extent did the programme's activities bring European added value and transnational dimension which could not have been achieved (or not as effectively and/or efficiently) if they had been designed and implemented only at Member State level?</p> | | <ul style="list-style-type: none"> • Evidence suggesting that EaSI activities could not have been delivered (or not as effectively and/or efficiently) if they had been designed and implemented only at Member State level. • EU activities fill a well-defined gap or complement national interventions. |
| | <p>3. To what extent do the issues addressed by the EaSI programme continue to require action at EU level?</p> | | <ul style="list-style-type: none"> • Assumption: The same results cannot be achieved (or not as effectively and/or efficiently) if they are designed and implemented only at Member State level • EU activities fill a well-defined gap or complement national interventions |
| | <p>4. What would be the most likely consequences of stopping the existing EaSI</p> | | <ul style="list-style-type: none"> • Consideration of alternative scenarios for the termination of different EU level activities within EaSI and redistribution of resources. |

| Topic | Evaluation questions | Related sub-questions | Judgement criteria |
|---|---|-----------------------|---|
| | programme's activities? | | |
| Topic 13. Communication of the EU added value | <p>1. To what extent are the results and the EU added value of the programme's activities communicated and disseminated to relevant stakeholders and to the public?</p> | | <ul style="list-style-type: none"> • Evidence on the nature and scale of EU added value (economies of scale, cross border learning and transfer of experience, reductions in 'friction' of internal borders, positive effects on national policies) • Evidence on the extent to which EU added value has been communicated to stakeholders • Evidence on the extent to which EU added value has been communicated to the public. |
| | 2. What have been the good practices in producing EU added value? | | <ul style="list-style-type: none"> • Evidence that good practices have produced EU added value • Views of stakeholders on what is 'good practice' |
| | 3. What were the most effective ways of communication and dissemination of the EaSI's results to the relevant stakeholders and the broader public? | | <ul style="list-style-type: none"> • Comparisons between different communication means applied (web sites, conferences, etc.) • Views of stakeholders and target groups |

Annex 2.2. PROGRESS

Table 2. Approach to addressing the evaluation questions and sub-questions related to PROGRESS axis

| Relevance | Evaluation questions | Related sub-questions | Judgement criteria | Indicators and descriptors |
|--|---|--|--|--|
| Topic 1 Continuing relevance of General Objectives | 1. To what extent do the general objectives identified in Article 4 of the EaSI Regulation continue to be relevant? | <p>1. Is there still a need to promote a common ownership of PROGRESS' among stakeholders? Is there still a need for close collaboration with social partners, civil society organisations and public and private bodies (general objective a)?</p> <p>2. Is there still a need to support the development of adequate, accessible and efficient social protection systems and labour markets? Is there still a need to facilitate policy reform (general objective b)?</p> <p>3. Is there still a need to ensure that Union law is effectively applied, and, where necessary, modernised (general objective c)?</p> | <p>Needs and demands have evolved since 2014</p> <p>Some stakeholders might consider the continuing relevance more strongly than others.</p> <p>The topics of decent work and working conditions, a prevention culture for health and safety at work, a healthier balance between professional and private life and good governance for social objectives have been prominent;</p> <p>Smart regulation principles have been taken into consideration</p> | <p>Number of Projects under PROGRESS</p> <p>Types of Projects under PROGRESS</p> <p>Change over time on the number and type of PROGRESS projects under each action line (employment, working conditions, SPSI, cross-cutting issues)</p> <p>Activities (outputs) planned and executed in each of the thematic sections;</p> <p>KPI 31 Stakeholder awareness of the major issues and objectives</p> <p>KPI 32. Extent to which EaSI outputs take into account horizontal issues</p> <p>KPI 33. Integration of horizontal issues in the overall policy debate</p> <p>KPI 34. Extent to which horizontal issues were taken into account in EaSI-funded events</p> |

| | | | | |
|--|---|--|--|--|
| | | | | <p>KPI 35. Declared use of social and labour market policy innovation in the implementation of social CSRs and the results of social policy experimentation for policy-making</p> <p>KPI 37. Programme's contribution to improvement of the EU legislative acquis</p> |
| | <p>2. What existing/emerging trends should be taken into account in the second half of the programme (2017-2020)?</p> | <p>1. Is there evidence of new/emerging social issues that should be taken into account in the second half of the programme?</p> <p>2. Is there evidence of new/emerging policy instruments that should be taken into account in the second half of the programme?</p> | <p>Operating context has evolved since 2014</p> <p>Emerging social issues might be relevant for the fields referred to in Article 1</p> <p>New EU policy instruments might be relevant for fields referred to in Article 1</p> | <p>Change over time on the number and type of PROGRESS projects under each action line (employment, working conditions, SPSP, cross-cutting issues)</p> <p>List of new/emerging policy instruments;</p> <p>List of new/emerging social trends;</p> <p>Frequency of mention in interviews, surveys, documents</p> |
| <p>Topic 2 Continuing relevance of the specific objectives of the three axes</p> | <p>3. With regard to the programme's general objectives and considering the socio-economic situation and the policy development, to what extent do the specific objectives as well the actions/projects financed each year of the three</p> | <p>1. Is there still a need to develop and disseminate high-quality comparative analytical knowledge (specific objective a)?</p> <p>2. Is there still a need for "Effective and inclusive information sharing, mutual</p> | <p>Needs and demands have evolved since 2014</p> <p>Some stakeholders might consider the continuing relevance more strongly than others</p> | <p>Number of Projects under PROGRESS</p> <p>Types of Projects under PROGRESS</p> <p>Share of analytical activities (outputs) planned and executed in each of the thematic sections;</p> |

| | | | | |
|---|---|--|--|---|
| | axes continue to be relevant? | <p>learning and dialogue" (specific objective b)?</p> <p>3. Is there still a need to provide financial support to test social and labour market policy innovations (specific objective c)?</p> <p>4. Is there still a need to provide financial support to EU and national organisations to increase their capacity to develop EU policies (specific objective d)?</p> <p>5. Are analytical activities still relevant (action 1)?</p> <p>6. Are mutual learning activities still relevant (action 2)?</p> <p>7. Is general support for operating costs, capacity building, networking (action 3) still relevant?</p> | Some actions/projects might have been more relevant than others | Types of analytical activities that were the most common in each of the thematic sections |
| Topic 3 Continuing relevance of resource allocation between the three axes of EaSI | 4. With regard to the specific objectives of each axis, and considering the socio-economic and policy development, to what extent is the split between the three axes and the split between thematic sections still relevant? | <p>1. Is it still relevant to allocate 61% of the EASI budget to PROGRESS?</p> <p>2. Is it still relevant to allocate 20% of PROGRESS to fight youth unemployment; 50% of PROGRESS to social protection, social inclusion and the reduction and prevention of poverty; 10% to working conditions; and</p> | <p>Needs and demands have evolved since 2014</p> <p>List of tangible and material changes;</p> <p>Frequency of mention in interviews, surveys, documents;</p> <p>Proposed resource allocation;</p> | <p>Number of Projects under PROGRESS</p> <p>Number of Projects under each thematic section</p> <p>Types of Projects under PROGRESS</p> <p>Types of Projects under each thematic section</p> <p>Types of activities that were the most common in each of the thematic sections</p> |

| | | <p>the remainder to one or more of the thematic sections referred to above or a combination of them?</p> <p>3. Is it still relevant to allocate 15% to 20% of the overall allocation for the Progress axis to social experimentation?</p> <p>4. Has there been any change?</p> | <p>Evidence and justification provided by stakeholders.</p> | <p>Share of funding committed per year per immediate outcome under Progress axis</p> <p>Amount (in EUR) and share (%) of operational expenditure allocated (planned) and actually committed by:</p> <p>Axes;</p> <p>Thematic sections under the axes;</p> <p>Specific objectives/immediate outcomes.</p> <p>Coverage of the thematic sections by EASI (PROGRESS) funded analytical activities (KPI1)</p> |
|--|---|---|---|--|
| Effectiveness | Evaluation questions | Related sub-questions | Judgement criteria | Indicators and descriptors |
| <p>Topic 4 Effectiveness in generating outcomes and achieving objectives</p> | <p>1. To what extent has the programme as a whole and each of its axes delivered the expected outcomes in terms of quantity and quality in order to achieve the general objectives and its horizontal provisions?</p> | <p>1. To what extent has PROGRESS delivered the expected outcomes (specific objective a: develop and disseminate high-quality comparative analytical knowledge)?</p> <p>2. To what extent has PROGRESS delivered the expected outcomes (specific objective b: effective and inclusive information-sharing, mutual learning and dialogue)?</p> | <p>The relation of inputs to outputs / outcomes has been effective</p> <p>PROGRESS actions and projects contribute to set targets</p> <p>Previous recommendations on this topic have been addressed (Recommendation 8 and Recommendation 2)</p> | <p>Number of analytical activities – and respective budget</p> <p>Number of mutual learning activities – and respective budget</p> <p>Number of activities for policy innovation – and respective budget</p> <p>Number of activities for capacity building – and respective budget</p> <p>KPI 2. Policy initiatives being informed by the programme-</p> |

3. To what extent has PROGRESS delivered the expected outcomes (specific objective c: financial support to test social and labour market policy innovations)?

4. To what extent has PROGRESS delivered the expected outcomes (specific objective d: financial support to increase their capacity)?

5. To what extent, in your opinion, have horizontal issues (vulnerable groups, equality, non-discrimination, high level of quality and sustainable employment) been integrated into the policy area of PROGRESS?

6. Have the previous evaluation's recommendations on this regard been taken into consideration?

supported analytical outputs:
Share of stakeholders acknowledging that EU employment and social policy and legislation is based on evidence

KPI 6: Use of acquired knowledge: Share of stakeholders who declare that they have used (or intend to use) the information acquired

KPI 9. Awareness of social policy innovation: Share of key EU and national stakeholders who are aware of programme-supported social policy innovations in the active labour market and social protection policies and their implementation

KPI 10. Capacity of the key EU-level NGO networks to further develop, promote and support the implementation of EU employment and social policy and legislation: Share of stakeholders

acknowledging that key EU-level NGO networks supported via operating grants are a useful source of information on EU employment and social policy

KPI 11. Declared effectiveness of capacity

building: Share of participants from the national administrations involved in the EaSI-supported capacity strengthening activities who declare the change in capacity of supported organisations to further develop, promote and support the implementation of EU employment and social policy and legislation as a result of EaSI-funded activities

KPI 32-34. Extent to which EaSI outputs take into account horizontal issues: The extent to which horizontal issues, such as gender equality, non-discrimination, inclusion of vulnerable groups and others, are regularly taken into account in the Progress supported activities

Share of stakeholders stating that the EU contribution to the integration of the horizontal issues into their respective policy area is moderate or high.

Share of stakeholders stating that the event, which they participated in, took into account the horizontal issues

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| | 2. To what extent have the available financial means enabled the programme as a whole and each of its axes to fulfil their objectives entirely and in a timely manner? | 1. To what extent have the available financial means enabled PROGRESS to fulfil their objectives entirely and in a timely manner? | Available financial means have been conducive to achieve objectives entirely and in a timely manner. | <p>Number of analytical activities – and respective budget</p> <p>Number of mutual learning activities – and respective budget</p> <p>Number of activities for policy innovation – and respective budget</p> <p>Number of activities for capacity building – and respective budget</p> <p>Difference between planned and executed finance for the projects?</p> |
| | 3. To what extent does the current programme allow for effective upscaling of interventions and for follow-up conditions and mechanisms? | 1. To what extent does PROGRESS allow for effective upscaling of interventions and for follow-up conditions and mechanisms? | | |
| | 4. What have been the good practices in scaling up interventions? | 1. For PROGRESS, what have been the good practices in scaling up interventions? | Interventions have been scaled-up There have been identifiable good practices in scaling-up interventions | Types of projects under PROGRESS KPI 36. Scale-up, transferability and/or dissemination of policy innovations (actual and expected) |
| Topic 5 Effectiveness in | 1. What have been - at this stage of the implementation - the | 1. What have been - at this stage of PROGRESS implementation - the | There have been qualitative and quantitative changes | KPI 2. Policy initiatives being informed by the PROGRAMME - Share of stakeholders |

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| bringing about change | qualitative and quantitative changes/effects of the interventions? | <p>qualitative and quantitative changes/effects of the interventions in terms of analytical activities</p> <p>mutual-learning, awareness and dissemination activities</p> <p>financial support and capacity building</p> <p>2. Has the knowledge management of the results of the programme been improved (Recommendation 1 from the previous PROGRESS evaluation)?</p> | <p>on fields referred to in Article 1 since the beginning of PROGRESS</p> <p>These changes and effects are attributable to PROGRESS</p> | <p>acknowledging that EU employment and social policy and legislation is based on evidence</p> <p>KPI 6. Use of acquired knowledge - Share of stakeholders who declare that they have used (or intend to use) the information acquired during the events for policy-making or advocacy;</p> <p>KPI 9. Awareness of social policy innovation - Share of key EU and national stakeholders who are aware of programme-supported social policy innovations in the active labour market and social protection policies and their implementation</p> <p>KPI 11: Declared effectiveness of capacity building: Share of participants from the national administrations involved in the EaSI-supported capacity strengthening activities who declare the change in capacity of supported organisations to further develop, promote and support the implementation of EU employment and social policy and legislation as a</p> |
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| | <p>2. To what extent can these changes/effects be credited to the interventions?</p> <p>1. Is there evidence suggesting that immediate outcome 1 can be attributed to PROGRESS activities?</p> <p>2. Is there evidence suggesting that immediate outcome 2 can be attributed to PROGRESS activities?</p> <p>3. Is there evidence suggesting that immediate outcome 3 can be attributed to PROGRESS activities?</p> <p>3. Is there evidence suggesting that immediate outcome 4 can be attributed to PROGRESS activities?</p> | <p>There have been qualitative and quantitative changes on fields referred to in Article 1 since the beginning of PROGRESS</p> <p>These changes and effects are attributable to PROGRESS</p> | <p>result of EaSI-funded activities</p> <p>KPI 3. Stakeholders' satisfaction with and declared relevance of knowledge generated by the Programme (share of stakeholders (national, regional and local policymakers) who declare that they have used (or intend to use) the outputs produced by EaSI-funded analytical activities for policymaking or advocacy);</p> <p>KPI 4. Declared gain of better understanding of EU policies and legislation (Share of participants in the events declaring that they have gained a better understanding of EU policies and objectives as a result of an EaSI-funded activity);</p> <p>KPI 9. Awareness of social policy innovation - Share of key EU and national stakeholders who are aware of programme-supported social policy innovations in the active labour market and social protection policies and their implementation</p> <p>KPI 11: Declared effectiveness of capacity</p> |
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| | | | building: Share of participants from the national administrations involved in the EaSI-supported capacity strengthening activities who declare the change in capacity of supported organisations to further develop, promote and support the implementation of EU employment and social policy and legislation as a result of EaSI-funded activities |
| 3. To what extent did other different factors influence the achievement observed? | 1. Is there evidence suggesting that specific outcomes are also due to non-PROGRESS activities? | There have been qualitative and quantitative changes on fields referred to in Article 1 since the beginning of PROGRESS Some of these might have affected the changes on the fields referred to in Article 1 (see relevance and EU added value sections) Some of this factors were considered in program design | Stakeholder's opinion on other factors that might have influenced the results observed |
| 4. What have been the unintended effect of the programme? | 1. What have been the unintended effects of PROGRESS activities? | There have been qualitative and quantitative changes on fields referred to in | Mention of unintended effects identified by stakeholders; and number of times each effect has been mentioned by stakeholders. |

| Efficiency | Evaluation Questions | Related sub-questions | Judgement criteria | Indicators and descriptors |
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| | | | Article 1 since the beginning of PROGRESS Some of these were unintended | |
| Topic 6 Effectiveness in involving stakeholders | 1. Which targeted groups of the programme have been involved in the programming and implementation of the EaSI programme? | 1. Have the targeted groups of the programme been effectively involved in the programming and implementation of PROGRESS? | Target groups have been effectively involved in programming Target groups have been effectively involved in implementation | KPI 5. Inclusive policymaking (Profile of targeted audiences and actual participants in information sharing and learning activities and their participation trends). |
| | 2. Has there been sufficient involvement of stakeholders in the programming and implementation of the EaSI programme? | 1. Is there evidence that stakeholder groups, (including decision-makers, stakeholders representing civil society, social partners and other stakeholders) have been sufficiently involved in the programming and implementation of EaSI? | Stakeholders have been effectively involved in programming Stakeholders have been effectively involved in implementation | Share of participants in events acknowledging that relevant EU and national policy and decision-makers were involved Share of participants in events acknowledging that relevant stakeholders (social partners, networks, NGOs, independent experts, etc.) were involved |
| | 3. What were the most effective methods of involvement of the targeted groups and stakeholders? | 1. What were the most effective methods of involvement of the targeted groups and stakeholders? | Some methods were more effective than others These might be different for target groups and stakeholders | Stakeholder's view on the effectiveness of involvement methods |

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| Topic 7 Efficiency of resource allocation and financing procedures | 1. To what extent is the budget allocation and spending as a whole, and by axis and thematic sections proportionate and efficient for achieving the programme's objectives? | 1. To what extent is the budget allocation and spending as a whole in PROGRESS proportionate for achieving the axes' objectives? | The PROGRESS budget is reasonable in relation to the axe's objective There might be changes on the plan and committed funds These changes are supported | Cost of PROGRESS implementation Overview of outcomes achieved/ expected to be achieved Factors constraining efficiency Administrative and management costs as a % of total programme budget |
| | 2. To what extent have the available financial means enabled the programme as a whole and each of its axes to fulfil their objectives efficiently? | 1. To what extent have the available financial means enabled PROGRESS to fulfil its objectives efficiently? | The PROGRESS budget is reasonable in relation to the axe's objectives The administrative structure is efficient There might be changes on the plan and committed funds These changes are supported | Cost of PROGRESS implementation Overview of outcomes achieved/ expected to be achieved Factors constraining efficiency Administrative and management costs as a % of total programme budget Stakeholder opinion |
| Topic 8 Benefits accruing (relative to inputs) | 1. Which are the most significant advantages and benefits resulting from these activities for the EU policy makers, practitioners and the programme's final beneficiaries (e.g. social enterprises employees, vulnerable people)? | 1. What are the benefits resulting from PROGRESS activities for EU policy makers, practitioners and the programme's final beneficiaries (e.g. social enterprises employees, vulnerable people)? | The allocation of resources has been efficient | KPI2 Policy initiatives being informed by the programme KPI 3. Stakeholders' satisfaction with and declared relevance of knowledge generated by the Programme KPI 4 (Participants) declared gain of better understanding of EU policies and legislation KPI 5. Inclusive policymaking |

| Coherence | Evaluation Questions | Related sub-questions | Judgement Criteria | Indicators and descriptors |
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| <p>Topic 9 Coherence accruing from the merging of the three previous programmes</p> | <p>1. To what extent did the merging of the three previous programmes PROGRESS, EURES and PROGRESS micro-finance improve EaSI internal/external consistency, complementarity and flexibility?</p> | <p>1. For PROGRESS, to what extent did the merging of the three previous programmes improve internal/external consistency, complementarity and flexibility?</p> | <p>The merge of the three programs has improved coherence The merge of the three programs has improved consistency The merge of the three programs has improved complementarity</p> | <p>KPI 6 Use of acquired knowledge KPI 8 Presence of adequate conditions for social; policy innovations and social policy experimentation KPI 9. Awareness of social policy innovation KPI 10 capacity of the key EU-level NGO networks to further develop promote and support the implementation of EU employment and social policy and legislation KPI 11 Declared effectiveness of capacity building KPI 12. Active collaboration and partnership between government institutions of the EU and Member States</p> <p>Stakeholder level of agreement on the merge improvements on consistency Stakeholder level of agreement on the merge improvements on complementarity Stakeholder level of agreement on the merge improvements on flexibility</p> |

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| | | | <p>The merge of the three programs has improved flexibility</p> <p>There are not overlaps between the axes (, (in particular PROGRESS and EURES with its activities relating to the Public Employment Services and labour market statistics) and these improve consistency, complementarity and flexibility.</p> | <p>Assessment of overlap between the axes</p> <p>Differences between the types of overlapping projects under each axis</p> |
| | <p>2. What kind of synergies has the Programme developed or improved between the axes?</p> | <p>1. From PROGRESS perspective, what kind of synergies has EaSI developed with EURES and MF?</p> | <p>The merging of the programs has resulted in synergies between axes due to merging</p> | <p>Overlap between the axes</p> <p>Types of Projects under PROGRESS</p> <p>Types of Projects under EURES and MF</p> <p>Assessment of synergies between the types of projects under each axis</p> |
| | <p>3. What level of flexibility - both between axes and between actions – would be required in order to get better outcomes?</p> | <p>1. From EURES perspective, what level of flexibility between actions would be required to get better outcomes?</p> | <p>Increased flexibility might lead to better outcomes from the actions</p> | <p>Stakeholder opinion on the required flexibility that would result in better outcomes</p> |
| <p>Topic 10 Coherence with other EU intervention</p> | <p>1. To what extent is this programme coherent and complementary (Article 7.1. of the EaSI Regulation) with other</p> | <p>1. To what extent is PROGRESS coherent and complementary with other funding instruments such as:</p> | <p>Coherence and complementarity to other EU funding instruments has been considered</p> | <p>Mapping of other funding instruments (budget, target groups, type of support, geographic coverage, restrictions etc.)</p> |

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| <p>funding instruments such as the European Structural and Investment Funds (ESIF), in particular the European Social Fund (ESF)?</p> | <p>The European Structural and Investment Funds (ESIF), in particular the European Social Fund (ESF)</p> <p>Other employment schemes at national level?</p> <p>Other SPSI schemes at national level?</p> <p>Other working conditions schemes at national level?</p> <p>2. Is there evidence suggesting that PROGRESS is coherent and complementary with other EU programmes?</p> <p>3. Is there evidence suggesting that PROGRESS is incoherent or misaligned with other EU programmes? Which ones?</p> | <p>Coherence has been considered specifically with EISF and in particular the ESF</p> | <p>Mapping of other employment schemes at MS level</p> <p>Mapping of other SPSI schemes at MS level</p> <p>Mapping of other working conditions schemes at MS level</p> <p>Analysis of complementarities</p> <p>Stakeholder opinion on coherence (on misalignment) with EU and MS interventions</p> |
| <p>2. What kind of synergies or joint actions (Articles 6 and 7.2. of the EaSI Regulation) has the programme developed with these funding instruments?</p> | <p>1. What kind of synergies or joint actions has PROGRESS developed with these funding instruments?</p> | <p>Synergies and joint actions between programmes have been considered</p> <p>Synergies have been particularly considered with EISF and in particular the ESF</p> | <p>Mapping of other funding instruments (budget, target groups, type of support, geographic coverage, restrictions etc.)</p> <p>Mapping of other employment schemes at MS level</p> <p>Mapping of other SPSI schemes at MS level</p> <p>Mapping of other working conditions schemes at MS level</p> <p>List of joint actions</p> |

| | | | | Stakeholders' judgement regarding the outcome of these joint actions |
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| Topic 11 Coherence of involvement at EU, Member State regional and local levels | 1. To what extent is national, regional and local authorities' involvement demonstrating consistency and complementarity? | 1. Is there evidence suggesting that national, regional and local authorities' involvement has demonstrated consistency and complementarity? | National, regional and local authorities have been involved | <p>Analysis of the involvement of national, regional and local authorities</p> <p>KPI 12. Active collaboration and partnership between government institutions of the EU and Member States – indicator from AMP</p> <p>Share of officials working in national, regional and local government institutions indicating that they collaborate actively with government institutions of the EU</p> <p>Share of stakeholders stating that the EU/Commission is a source of useful and reliable information/knowledge in the fields of employment, social protection and social inclusion and working conditions.</p> <p>Share of stakeholders who declare that they have used (or intend to use) the information acquired during the events for policy-making or advocacy;</p> |
| | | 2. Is there evidence suggesting that national, regional and local authorities' involvement has NOT demonstrated consistency and complementarity? | National, regional and local authorities have been consistently involved | |
| | 2. What would best be done at EU level to ensure | 1. What would best be done at EU level to ensure that the | EU level involvement coherent with MS, | Analysis of the involvement of national, regional and local authorities Stakeholder |

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| | that the programme's objectives are achieved? | programme's objectives are achieved? | regional and local level actions Some actions are better suited at EU level (EU added value section) | opinion on the benefits of EU level intervention |
| | 3. What would best be done at Member State level? | 1. What would best be done at Member State level? | EU level involvement coherent with MS, regional and local level actions Some actions might be better suited at a MS level | Analysis of the involvement of national, regional and local authorities Stakeholder opinion on the benefits of MS action |
| EU added value | Evaluation Questions | Related sub-questions | Judgement criteria | Indicators and descriptors |
| Topic 12 Current and prospective level of EU added value | 1. What has been the EU added value of the EaSI programme's activities? | 1. What has been the EU added value of the PROGRESS activities? | There is EU added value in PROGRESS' activities | Description of relevant MS actions/projects in the areas of Article 1 (high level of quality and sustainable employment, guaranteeing adequate and decent social protection, combating social exclusion and poverty and improving working conditions) Analysis of gaps and/or overlaps between PROGRESS actions/projects and national activities Stakeholder opinion on the benefits of EU level intervention KPI 36. Scale-up, transferability and/or |

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| <p>2. To what extent did the programme's activities bring European added value and transnational dimension which could not have been achieved (or not as effectively and/or efficiently) if they had been designed and implemented only at Member State level?</p> | <p>1. To what extent did PROGRESS activities bring European added value and transnational dimension which could not have been achieved (or not as effectively and/or efficiently) if they had been designed and implemented only at Member State level?</p> | <p>The same results cannot be achieved (or not as effectively and/or efficiently) if they are designed and implemented at Member State level PROGRESS activities fill a well-defined gap and complement national interventions</p> | <p>dissemination of policy innovations (actual and expected)</p> <p>Stakeholder opinion on the results/scenario in the absence of PROGRESS/actions at the MS level</p> |
| <p>3. To what extent do the issues addressed by the EaSI programme continue to require action at EU level?</p> | <p>1. Is there evidence suggesting that the issues addressed by PROGRESS programme continue to require action at EU level?</p> | <p>The same results cannot be achieved (or not as effectively and/or efficiently) if they are designed and implemented only at Member State level PROGRESS activities fill a well-defined gap and complement national interventions</p> | <p>Description of relevant MS activities in the areas of article 1 (high level of quality and sustainable employment, guaranteeing adequate and decent social protection, combating social exclusion and poverty and improving working conditions)</p> <p>Analysis of gaps and/or overlaps between PROGRESS actions/projects and national activities</p> <p>Stakeholder opinion on the need for EU level intervention</p> |

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| <p>Topic 13 Communication of the EU added value</p> | <p>1. To what extent are the results and the EU added value of the programme's activities communicated and disseminated to relevant stakeholders and to the public?</p> | <p>1. To what extent are the results and the EU added value of the PROGRESS's activities disseminated to relevant stakeholders? 2. To what extent are the results and the EU added value of the PROGRESS's activities disseminated to the general public?</p> | <p>EU added value has been communicated to relevant stakeholders EU added value has been communicated to the public Recommendations on this field by the previous evaluations have been taken into account (Recommendation 1) Recommendations on this field by the previous evaluations have been taken into account (Recommendation 7)</p> | <p>Number of actions/projects that included communication and dissemination activities (and whether these were targeted to stakeholders or the general public). KPI 7 (Accessibility of EaSI-funded knowledge and information): Extent to which the website contributes to the dissemination of EaSI-funded outputs. Monitoring the use of EaSI-related pages on the Europa.eu website (including information on downloads of EaSI-funded material provided on the website) Share of stakeholders claiming that in order to learn about the information and knowledge produced by EaSI they have mostly relied on: ° European Commission website; ° European Commission newsletter; ° referrals from colleagues, partners, etc.; ° conferences, seminars and other events related to the topic; ° performance monitoring reports; ° other sources.</p> |
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| | | | <p>Number of activities aimed at disseminating the results of exchanges of good practice;</p> <p>Number of reports produced as an output of these activities</p> <p>Share of participants in events acknowledging that the results of the event were adequately disseminated</p> <p>General public opinion on communications</p> |
| 2. What have been the good practices in producing EU added value? | 1. What have been PROGRESS's good practices in producing EU added value? | There have been good practices in generating EU added value | Stakeholder opinion on good practices on EU added value |
| 3. What were the most effective ways of communication and dissemination of the programme's results to the relevant stakeholders and the broader public? | <p>1. What were the most effective ways of communication and dissemination of PROGRESS results to the relevant stakeholders?</p> <p>2. What were the most effective ways of communication and dissemination of PROGRESS results to the broader public?</p> | <p>EU added value has been communicated to stakeholders and the general public</p> <p>Some communication ways might have been more effective than others</p> <p>These might be different for stakeholders than the general public</p> <p>Recommendations on this field by the previous evaluations</p> | <p>Website monitoring data on the downloads of EaSI-funded material provided on the website</p> <p>Share of stakeholders claiming that in order to learn about the information and knowledge produced by EaSI they have mostly relied on:</p> <p>European Commission website;</p> <p>European Commission newsletter;</p> |

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| | have been taken into account (Recommendation 1) Recommendations on this field by the previous evaluations have been taken into account (Recommendation 7) | referrals from colleagues, partners, etc.; conferences, seminars and other events related to the topic; performance monitoring reports; other sources. KPI 7. Accessibility of EaSI-funded knowledge and information |
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Annex 2.3. EURES

Table 3. Approach to addressing the evaluation questions and sub-questions related to EURES axis

| Relevance | Evaluation questions | Related sub-questions | Judgement criteria | Indicators and descriptors ¹ |
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| Topic 1 Continuing relevance of General Objectives | 1. To what extent do the general objectives identified in Article 4 of the EaSI Regulation continue to be relevant? | 1. Is there a valid rationale for EU intervention in the form of the EURES axis? | Evidence that needs and demands regarding workers' voluntary geographical mobility have evolved since 2013 (e.g. economic and political situation, demographic changes) Evidence that Your first Eures Job (YfEj) preparatory action remains pertinent to EU labour markets because it addresses youth unemployment, removes obstacles to first time labour market entry, | Number and types of projects under EURES KPI 13: Number of visits to the EURES Job Mobility Portal KPI 16: Inflow of vacancies Comparison of EURES services with other services (e.g. private agencies) Barriers to access EURES services |

¹The indicators have been developed based on the existing key performance indicators (KPI 13-20) in the 'Performance Monitoring Report of the European Union Programme for Employment and Social Innovation (EaSI) 2014' and on own considerations.

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| | | | and, removes financial and non-financial obstacles to labour mobility. Evidence that EURES support actions lead to geographical mobility | |
| | 2. What existing/emerging trends should be taken into account in the second half of the programme (2017-2020)? | | Evidence of future needs and demands. Evidence of new/emerging policy instruments and other developments providing EURES information and services The likelihood that for some workers information and advice concerning mobility will become less expensive via social media and ICT and readiness of private sector providers. | Descriptive overview of possible challenges regarding mobility of workers Overview of means of support for the mobility of workers |
| Topic 2 Continuing relevance of the specific objectives of the three axes | 1. With regard to the programme's general objectives and considering the socio-economic situation and the policy development, to what extent do the specific objectives as well the actions/projects financed each year of Eures continue to be relevant? | To what extent are the projects/ actions financed during 2013-2016 relevant and appropriate? | Trends in and levels of use of EURES information and services Evidence on performance of cross border partnerships Evidence on relevance of the job portal | Descriptive overview of the projects/ actions financed An assessment of how these projects are addressing information and mobility needs Views of (different) stakeholders on relevance of specific objectives Job portal: KPI 13. Number of visits to the EURES Job Mobility Portal KPI 16: Inflow of vacancies |

| <p>Topic 3 Continuing relevance of resource allocation between the three axes of EaSI</p> | <p>1. With regard to the specific objectives of each axis, and considering the socio-economic and policy development, to what extent is the split between the three axes and the split between thematic sections still relevant?</p> | <p>1. To what extent is the amount allocated to EURES (18% of EaSI) appropriate to the needs?</p> <p>2. Does the split in EURES remain relevant (32% transparency and information; 30% to development of services, in particular targeted mobility schemes, and 18% to Cross-border partnerships)?</p> | <p>Evidence of actual resource allocation and use;</p> <p>Evidence of actual needs (e.g. increasing financial support to young and reducing costs of services and partnerships)</p> <p>Reasoning for allocations within EURES</p> | <p>Evidence of actual disbursements</p> <p>Planned and actual allocation of budget</p> |
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| <p>Effectiveness</p> | <p>Evaluation questions</p> | <p>Related sub-questions</p> | <p>Judgement criteria</p> | <p>Indicators and descriptors</p> |
| <p>Topic 4 Effectiveness in generating outcomes and achieving objectives</p> | <p>1. To what extent has the programme as a whole and each of its axes delivered the expected outcomes in terms of quantity and quality in order to achieve the general objectives and its</p> | <p>1. To what extent has EURES delivered the expected outcomes (specific objective a: transparency of job vacancies and applications and corresponding information)?</p> | <p>Outputs / outcomes relative to inputs (application and offers).</p> <p>Outputs/outcomes relative to inputs (employment and duration)</p> <p>Evidence of equality and non-discrimination of outputs</p> | <p>Number of jobs listed on the portal compared with data on overall vacancies in the EU</p> <p>Percentage of vacancies filled</p> <p>KPI 14: Profile of jobseekers and employers registered in the EURES Job Mobility Platform</p> <p>KPI 19: Inclusiveness of EURES services (contact with EURES)</p> |

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| <p>horizontal provisions?</p> | <p>2. To what extent has EURES delivered the expected outcomes (specific objective b: recruitment and placing of workers in quality and sustainable employment)?</p> <p>3. To what extent have horizontal issues (vulnerable groups, equality, non-discrimination, high level of quality and sustainable employment) been integrated in EURES?</p> | | <p>advisors for MS and recruitment services in sectors with high vacancy rates)</p> <p>KPI 20: Effectiveness of targeted mobility schemes</p> <p>Reported feedback on whether EURES project could and did contribute to targets</p> |
| <p>2. What have been the good practices in scaling up interventions?</p> | <p>1. What mechanisms exist for identifying good practices?</p> <p>2. Which EURES practices have been 'rolled out'?</p> | <p>Presence of mechanisms for identification and dissemination of good practices</p> <p>Evidence of adoption of improved practices</p> <p>Evidence of 'isolated' good practices.</p> | <p>Types of Projects under EURES</p> <p>KPI 17: Effectiveness of learning</p> <p>Reported success of projects under EURES</p> |

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| | 3. Which good practices have not (yet) been scaled up, and why? | | |
| Topic 5 Effectiveness in bringing about change | 1. What have been - at this stage of the implementation - the qualitative and quantitative changes/effects of Eures? | <p>Evidence of qualitative and quantitative changes/effects since 2013</p> <p>Effect of the EURES Job Mobility Portal in facilitating job matching and intra-EU job mobility</p> <p>Evidence of direction of mobility flows: are net labour mobility flows between countries related to differences in unemployment rates between these countries (i.e. flows from countries with high unemployment to low unemployment).</p> | <p>Number of actual placements achieved through EURES</p> <p>KPI 17: Effectiveness of learning</p> <p>KPI 20: Effectiveness of targeted mobility schemes</p> <p>Labour mobility flows between the various EU member states /EEA countries</p> |
| | 2. To what extent can these changes/effects be credited to the Eures? | Evidence of changes/effects since the beginning of EURES interventions | Stakeholders' perceptions and beneficiary feedback re the specific role of EURES in delivering effects |
| | 3. To what extent did other (different) factors influence the achievement observed? | 1. To what extent did external factors influence the achievement observed through the EURES axis? | <p>External factors and risks influencing the achievement of outcomes were duly considered during programme design stage</p> <p>Evidence of previous experience and skills mobile workers (under the</p> |

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| | | | assumption that some workers are better prepared for mobility) | |
| | 1. Which target groups of the EURES have been involved in the programming and implementation of the EaSI programme? | 1. Have the targeted groups of the programme been effectively involved in the programming and implementation of EURES? | Evidence that target groups have been effectively involved | Descriptive overview of how targeted groups were involved in programming and implementation KPI 19: Inclusiveness of EURES services (contact with EURES advisors for MS and recruitment services in sectors with high vacancy rates) |
| Topic 6 Effectiveness in involving stakeholders | 2. Has there been sufficient involvement of stakeholders in the programming and implementation of EURES? | | Evidence of stakeholder involvement and satisfaction of involvement | Descriptive overview of how stakeholders were involved in programming and implementation Stakeholders' views on their involvement in programming and implementation. |
| | 3. What were the most effective methods of involvement of the targeted groups and stakeholders? | | Comparison of methods that have been applied in different contexts. | Factors encouraging involvement KPI 19: Inclusiveness of EURES services (contact with EURES advisors for MS and recruitment services in sectors with high vacancy rates) |
| Efficiency | Evaluation questions | Related sub-questions | Judgement criteria | Indicators and descriptors |
| Topic 7 Efficiency of resource | 2. To what extent have the available financial means | | The costs are reasonable in relation to the outcomes achieved/ expected to be achieved | Costs of EURES implementation |

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| allocation and financing procedures | enabled EURES to fulfil its objectives efficiently? | | The costs and funding mechanisms have enabled investments The administrative structure is efficient | Overview of outcomes achieved/expected to be achieved Factors constraining efficiency Leverage effect Administrative and management costs as a % of total programme budget Expected losses (financial instruments) |
| Topic 8 Benefits accruing | 1. Which are the most significant advantages and benefits resulting from these activities for the EU policy makers, practitioners and the programme's final beneficiaries (e.g. employees, vulnerable people)? | | Evidence of advantages for stakeholders | KPI 15: Customer satisfaction with EURES Job Mobility Platform Stakeholder views on advantages and benefits. Beneficiary views Practitioners views |
| Coherence | Relevance | Evaluation questions | Related sub-questions | Judgement criteria |
| Topic 9 Coherence accruing from the merging of the three previous | 1. To what extent did the merging of the three previous programmes PROGRESS, EURES and PROGRESS and PROGRESS micro-finance | To what extent is the EURES axis complementary to the two other axes (PROGRESS and MF/SE)? | The actions supported under the three axes are mutually reinforcing by design | Hypotheses on how the various axes complement each other/potential synergies. Verification of hypotheses |

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| programme s | improve internal/external consistency, complementarity and flexibility? | | Synergies are actively sought in implementation through coordination of effort Overlaps between EURES and the PROGRESS programme, in particular with its activities relating to the Public Employment Services and labour market statistics. | |
| | 2. What kind of synergies has the Programme developed or improved between EURES and the other axes? | | Synergies between axes due to merging | Overlap between the axes Differences between the types of projects under each axis |
| | 3. What level of flexibility - both between axes and between actions - would be required in order to get better outcomes? | | Evidence of inflexibility | Responses of stakeholders |
| Topic 10 Coherence with other EU intervention s | 1. To what extent is this programme coherent and complementary (Article 7.1. of the EaSI Regulation) with other funding instruments such as the European | 1. To what extent is EURES coherent and complementary with other funding instruments such as: The European Structural and Investment Funds | Coherence and complementarity to other EU funding instruments has been considered There is no stakeholder confusion as regards the different programmes | Mapping of other funding instruments (budget, target groups, type of support, geographic coverage, restrictions) |

| | | | | |
|--|---|---|--|--|
| | Structural and Investment Funds (ESIF), in particular the European Social Fund (ESF)? | (ESIF), in particular the European Social Fund (ESF) Euraxess SOLVIT Erasmus+ Other mobility schemes at national level? | | |
| Topic 11 Coherence of involvement at EU, Member State regional and local levels | 1. To what extent is national, regional and local authorities' involvement demonstrating consistency and complementarity? | | Extent of involvement of national regional and local authorities. Variations between countries related to distribution of competences between levels Consistency in the involvement of different levels Evidence of lack of complementarity | Analysis of the involvement of national, regional and local authorities |
| | 2. What would best be done at EU level to ensure that the objectives are achieved? | | Evidence of strong leverage of EURES in mobilising national resources for support on intra EU mobility | Views of stakeholders |
| | 3. What would best be done at Member State level? | | Evidence of changes in national policies Level of involvement at regional and local levels | Analysis of the involvement of national, regional and local authorities (e.g. in providing advice on local conditions) |

| EU added value | Evaluation questions | Related sub-questions | Judgement criteria | Indicators and descriptors |
|---|---|--|--|---|
| | | | | <p>KPI 18: Number of individual personal contacts of EURES advisors with jobseekers, job changers and employers</p> <p>KPI 19: Inclusiveness of EURES services (contact with EURES advisors for MS and recruitment services in sectors with high vacancy rates)</p> |
| <p>Topic 12 Current and prospective level of EU added value</p> | <p>1. What has been the EU added value of the EaSI programme's activities?</p> | <p>What is the EU added value of EURES activities?</p> | <p>The same results cannot be achieved (or not as effectively and/or efficiently) if they are designed and implemented only at Member State level</p> <p>EU activities fill a well-defined gap or complement national interventions</p> <p>Reduction in 'costs' of EU internal borders.</p> <p>Cross national transfer of good practices</p> <p>Free movement of EU citizens and TCN within the EU for employment.</p> | <p>Description of relevant MS activities in the areas of cross border labour mobility</p> <p>Analysis of gaps and/or over laps between EURES and national activities</p> <p>Benefits of EU level intervention</p> |
| <p>Topic 13 Communication of the</p> | <p>1. To what extent are the results and the EU added value of EURES communicated and</p> | | <p>Activities resources used for dissemination</p> | <p>Communication and dissemination activities</p> |

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| EU added value | disseminated to relevant stakeholders and to the public? | Feedback from stakeholders on the EU added value that has been communicated |
|----------------|--|---|

Annex 2.4. Microfinance and Social Entrepreneurship

Table 4. Approach to addressing the evaluation questions and sub-questions related to MF and SE axis

| Relevance | Evaluation questions | Related sub-questions | Judgement criteria | Indicators and descriptors |
|--|---|--|---|---|
| Topic 1 Continuing relevance of General Objectives | <p>1. To what extent do the general objectives identified in Article 4 of the EaSI Regulation continue to be relevant?</p> <p>The most relevant general objective is:</p> <p>'To promote employment and social inclusion by increasing the availability and accessibility of microfinance for vulnerable people who wish to start up a micro-enterprise as well as for existing micro-enterprises, and by increasing access to finance for social enterprises'.</p> | Is there a valid rationale for EU intervention in the form of MF/SE axis? | <p>There is evidence to demonstrate that there are market failures in the availability of finance for micro borrowers and social enterprises (i.e. supply is constrained as the market is unable to accurately assess or price risk and/or estimate the value of social impacts)</p> <p>Microcredit and social investment markets remain under-developed as reflected in some EU countries being 'more advanced' than others.</p> | <p>Level and performance of microcredit and social investment</p> <p>Gap between demand and supply of microcredit</p> <p>Gap between demand and supply of social investment</p> <p>Current state of microcredit and social investment market e.g. number of players, types of products available, terms of financing</p> <p>Barriers to development of micro credit and social investment markets</p> |
| Topic 2 Continuing relevance of the specific objectives of the three axes | 1. With regard to the programme's general objectives and considering the socio-economic situation and the policy development, to what extent do the specific objectives as well the actions/projects financed each | To what extent are the projects/ actions financed during 2013-2016 relevant and appropriate? | <p>The projects/ actions financed during the first three years are underpinned by a clear rationale for intervention</p> <p>The projects/ actions are relevant to the programme objectives and</p> | <p>Descriptive overview of the projects/ actions financed</p> <p>An assessment of how these projects are addressing market failures and weaknesses</p> |

| | year of the three axes continue to be relevant? | | EaSI financial instruments are not having a crowding-out effect (i.e. not squeezing out commercial lenders/ investors) or damaging competition | Crowding-in/ crowding-out effect of EaSI MF/SE financial instruments |
|---|---|--|---|---|
| Topic 3 Continuing relevance of resource allocation between the three axes of EaSI | 1. With regard to the specific objectives of each axis, and considering the socio-economic and policy development, to what extent is the split between the three axes and the split between thematic sections still relevant? | To what extent is the amount allocated to MF/SE activities (21% of EaSI) appropriate to the needs? | The budget fits the needs in the sector with an emphasis on the possibility to attract additional resources, either at the level of co-funding for a revolving fund or the level of co-financing individual deals. | Scale of needs Proportion of needs being met through EaSI |
| | | Is the split between MF (45%) and SE (45%) appropriate? | There is evidence to demonstrate that the budget allocation is based on an assessment of needs. | Scale of needs Proportion of needs being met through EaSI |
| Effectiveness | Evaluation questions | Related sub-questions | Judgement criteria | Indicators and descriptors |
| Topic 4. Effectiveness in generating outcomes and achieving objectives | 1. To what extent has the programme as a whole and each of its axes delivered the expected outcomes in terms of quantity and quality in order to achieve the general objectives and its horizontal provisions? | To what extent has MF/SE increased access to, and availability of, microfinance for vulnerable persons (young) and micro-enterprises? To what extent has MF/SE improved | There is hard evidence of increased supply of microcredit at better terms % change in lending volumes attributable to EaSI MF There is evidence to demonstrate that institutional capacity building activities have generated tangible benefits e.g. better customer service, improved debt | Number of microcredit providers supported (country, area of expertise, size etc.) Leverage effect of EU guarantees and counter-guarantees Leverage effect of EU equity instruments Additional lending resulting from EU guarantees and |

| | | | |
|--|---|---|--|
| | <p>access to finance for social enterprises?</p> <p>To what extent has MF/SE axis strengthened the institutional capacity of microcredit providers?</p> | <p>recovery, reduced staff turnover</p> | <p>counter-guarantees by country (number of credits, volume of credits)</p> <p>Additional lending resulting from EU equity instruments (number of credits, volume of credits)</p> <p>Terms of lending backed by EU guarantees and counter-guarantees versus commercial terms</p> <p>Types of instruments developed</p> <p>Number of social enterprises supported (country, size, etc.)</p> <p>Number of financial intermediaries receiving guarantees/ counter-guarantees</p> <p>Number of intermediaries receiving funding instrument (loans, grants)</p> <p>Volume of investment in social intermediaries by type of investment</p> <p>Funding investment by assisted intermediaries in social enterprises</p> |
|--|---|---|--|

| | | | | |
|---|--|--|--|--|
| | | | | <p>Additional lending to social enterprises resulting from EU guarantees and counter-guarantees by country (number of credits, volume of credits)</p> <p>Additional lending to social enterprises resulting from EU funded instrument by country (number of credits, volume of credits)</p> <p>Number and volume of capacity building investment</p> <p>Number of microcredit providers supported</p> <p>Reported benefits of capacity building activities</p> |
| Topic 5. Effectiveness in bringing about change | 1. What have been - at this stage of the implementation - the qualitative and quantitative changes/effects of the interventions? | What have been the other qualitative and quantitative changes and effects of the MF/SE axis? | Not applicable | Other qualitative and quantitative effects reported by beneficiaries and stakeholders e.g. impact on policy making, % microcredit providers adopting code of good practice, development of markets etc. |
| | 2. To what extent can these changes/effects be credited to the interventions? | To what extent can these changes/effect | There is evidence to demonstrate that these effects would not have materialised or materialised at a slower pace | Stakeholders' perceptions and beneficiary feedback re the specific role of EaSI MF/ |

| | | | | |
|---|---|---|--|---|
| | | be attributed to the MF/SE axis? | in the absence of EaSI MF/SE axis | SE in delivering the above effects |
| | 3. To what extent did other different factors influence the achievement observed? | To what extent did external factors influence the achievement observed through the MF/SE axis? | External factors and risks influencing the achievement of outcomes were duly considered during programme design stage | Intervention logic analysis setting out hypotheses Testing and verification of hypotheses |
| Topic 6. Effectiveness in involving stakeholders | 1. Which targeted groups of the programme have been involved in the programming and implementation of the EaSI programme? | Have targeted vulnerable groups been involved in the programming and implementation of the MF/SE axis? | Not applicable | Descriptive overview of how targeted vulnerable groups (micro borrowers) were involved in programming and implementation |
| | 2. Has there been sufficient involvement of stakeholders in the programming and implementation of the EaSI programme? | Has there been sufficient involvement of stakeholders in the programming and implementation of the MF/SE axis? | All relevant stakeholders were involved in programming and implementation Stakeholders are satisfied with their involvement | Descriptive overview of how various stakeholders were involved in programming and implementation Stakeholder perceptions and feedback on whether they were sufficiently involved |
| | 3. What were the most effective methods of involvement of the targeted groups and stakeholders? | What were the factors that encourage or constrain targeted groups/ stakeholder involvement in the MF/SE activities? | Not applicable | Time, budget and other considerations constraining stakeholder involvement Factors encouraging involvement |

| Efficiency | Evaluation questions | Related sub-questions | Judgement criteria | Indicators and descriptors |
|---|--|--|--|--|
| Topic 7 Efficiency of resource allocation and financing procedures | 1. To what extent have the available financial means enabled the programme as a whole and each of its axes to fulfil their objectives efficiently? | How cost-effective is the EaSI MF/SE axis? | The costs are reasonable in relation to the outcomes achieved/ expected to be achieved | Costs of programme implementation Overview of outcomes achieved/ expected to be achieved Factors constraining efficiency Leverage effect Administrative and management costs as a % of total programme budget Expected losses (financial instruments) |
| Coherence | Evaluation questions | Related sub-questions | Judgement criteria | Indicators and descriptors |
| Topic 9 Coherence accruing from the merging of the three previous programmes | 1. To what extent did the merging of the three previous programmes PROGRESS, EURES and PROGRESS micro-finance improve EaSI internal/external consistency, complementarity and flexibility? | To what extent is the MF/SE axis complementary to the two other axes (PROGRESS and EURES)? | The actions supported under the three axes are mutually reinforcing by design Synergies are actively sought in implementation through coordination of effort EaSI TA (Progress axis) and financial instruments under MF/SE axis are complementary and there are no overlaps. | Hypotheses on how the various axes complement each other/ potential synergies. Verification of hypotheses |

| Topic 10 Coherence with other EU interventions | 1. To what extent is this programme coherent and complementary (Article 7.1. of the EaSI Regulation) with other funding instruments such as the European Structural and Investment Funds (ESIF), in particular the European Social Fund (ESF)? | To what extent is the MF/SE axis coherent and complementary with other MF instruments (ESIF, ESF, EIF/EIB activities and national initiatives)? | There are no overlaps between the programmes. There is complementarity between the programmes. There is no stakeholder confusion as regards the different programmes. | Mapping of other MF instruments (budget, target groups, type of support, geographic coverage, restrictions). Analysis of complementarities and restrictions. |
|---|--|---|---|---|
| EU Added value | Evaluation questions | Related sub-questions | Judgement criteria | Indicators and descriptors |
| Topic 12 Current and prospective level of EU added value | 1. What has been the EU added value of the EaSI programme's activities? | What is the EU added value of the MF/SE activities? | The same results cannot be achieved (or not as effectively and/or efficiently) if they are designed and implemented only at Member State level EU activities fill a well-defined gap or complement national interventions EU activities will increase cross border learning | Description of relevant MS activities in the areas of microfinance and social enterprise Analysis of gaps and/or overlaps between EaSI and national activities Benefits of EU level intervention e.g. economies of scale, bigger deal flow, cross border learning |

Annex 3 Methodology

Annex 3.1. Desk Research

The table below presents a mapping of relevant publications for our assignment. This table provides a mapping of existing documents relevant to the EaSI programme. They are split down into four categories namely the three axes of EaSI (PROGRESS, EURES and Microfinance and Social Entrepreneurship) and a general category on the overall EaSI programme. The EaSI category gathers the documents that are common to several axes and concern the overall functioning

Table 5. Mapping of existing documents in relation to three EaSI axes

| No | Type of document | Author(s) | Year | Title | Source | Brief description |
|------|------------------|---------------------|------|--|--|--|
| EaSI | | | | | | |
| 1. | Regulation | European Commission | 2013 | Regulation (EU) no 1296/2013 of the European parliament and of the Council of 11 December 2013 on a European Union Programme for Employment and Social Innovation ("EaSI") and amending Decision No 283/2010/EU establishing a European Progress Microfinance Facility for employment and social inclusion (Text with EEA relevance) | Official Journal of the European Union | Establishes the EaSI programme, its structure, general objectives, budget, monitoring and evaluation principles as well as provisions specific to programme axes |
| 2. | Communication | European Commission | 2010 | Communication from the Commission EUROPE 2020 A strategy for smart, sustainable and inclusive growth | Official Journal of the European Union | A strategy to address the challenges resulting from the financial crisis with the following EU headline targets: 75 % of the population aged 20-64 should be employed. 3% of the EU's GDP should be invested in R&D. |

| No. | Type of document | Author(s) | Year | Title | Source | Brief description |
|-----|---------------------|---------------------|------|--|---|---|
| | | | | | | <p>The "20/20/20" climate/energy targets should be met (including an increase to 30% of Emissions reduction if the conditions are right).</p> <p>The share of early school leavers should be under 10% and at least 40% of the younger Generation should have a tertiary degree. 20 million less people should be at risk of poverty.</p> |
| 3. | Commission Decision | European Commission | 2016 | Annual work programme for grants and procurement for the European Union Programme for Employment and Social Innovation ("EaSI") for 2016 | European Commission Website | The work programme determines the details of the actions based on the 2016 budget, and its purpose is to allow the selection procedures to be launched so that individual decisions on the award of grants and contracts could be taken from the beginning of 2016. |
| 4. | Commission Decision | European Commission | 2015 | Annual work programme for grants and procurement for the European Union Programme for Employment and Social Innovation ("EaSI") for 2015 | European Commission Website | The work programme determines the details of the actions based on the 2015 budget, and its purpose is to allow the selection procedures to be launched so that individual decisions on the award of grants and contracts could be taken from the beginning of 2015. |
| 5. | Commission Decision | European Commission | 2014 | Annual work programme for grants and procurement for the European Union Programme for Employment | European Commission Website | The work programme determines the details of the actions based on the 2014 budget, and its purpose is to allow the selection procedures to be launched so that individual decisions on the award of |

| No. | Type of document | Author(s) | Year | Title | Source | Brief description |
|-----|-----------------------------|---------------------|------------------|---|---|--|
| | | | | and Social Innovation ("EaSI") for 2014 | | grants and contracts could be taken from the beginning of 2014. |
| 6. | Annex to the Work Programme | European Commission | 2014, 2015, 2016 | Annex 1 to the Work Programmes: Description of the calls for proposals | European Commission website | Lists the calls for proposals to be launched under a given year. |
| 7. | Annex to the Work Programme | European Commission | 2014, 2015, 2016 | Annex 2 to the Work Programmes: List of activities | European Commission website | Lists the activities to be launched under a given year. |
| 8. | Report | European Commission | 2014 | DG EMPL Annual Activity Report | European Commission website | Provides information on achievements funded by EaSI and on the management of financial resources by DG EMPL |
| 9. | Report | European Commission | 2016 | DG EMPL Management Plan 2016 | European Commission website | Provides information on specific objectives of DG EMPL funded by EaSI |
| 10. | Report | European Commission | 2015 | Performance Monitoring Report of the European Union Programme for Employment and Social Innovation 2014 | European Commission Website | Conducts a first evaluation on the programmes including launch and 2014 work programme. It provides details in the financial implementation as well as a list of outputs, immediate and intermediate outcomes, and key performance indicators (KPIs) |
| 11. | Report | European Commission | 2011 | Ex-ante Evaluation Accompanying the document Proposal for a Regulation of the European Parliament and of the Council establishing a European Union Programme for Social Change and Innovation | European Commission website | Provides a problem and needs assessment and different scenarios for EaSI |

| No. | Type of document | Author(s) | Year | Title | Source | Brief description |
|-----|----------------------|-------------------------------------|-----------|--|--------------------------|---|
| | | | | {COM(2011) 609 final} | | |
| 12. | Dataset | European Commission | n/a | EaSI financial data (programming tables) | PPMI | Indicates planned and actual commitments. |
| 13. | Dataset | European Commission | n/a | DEFIS Database | PPMI | Provides qualitative and quantitative data on all funded projects. |
| 14. | Dataset | European Commission | n/a | Final technical reports from EaSI contractors | European Commission | Provides information on the results and impact achieved by the project. |
| 15. | Dataset | European Commission | n/a | COLI Database | PPMI | Gathers information about all DG EMPL direct procurement procedures (not only EaSI) |
| 16. | Dataset | Eurostat | 2016 | Unemployment Statistics | Eurostat | Dataset on unemployment statistics in Europe |
| 17. | Survey Report | European Commission | 2014-2015 | Survey of participants in EaSI-supported events | European Commission | Stakeholder view on EaSI supported events |
| 18. | Survey Report | European Commission | 2014 | Stakeholder Survey | European Commission | Stakeholder views in the three axes |
| 19. | List of participants | European Commission | n/a | Lists of participants for EaSI-supported events | European Commission | Provides information and contact details of participants to EaSI-supported events |
| 20. | Inception Report | PPMI (Public Policy and Management) | 2016 | Inception Report on the specific contract No. VC/2016/0034 "Support to the monitoring of the | PPMI | The report contains information on the EURES axis as well as on available datasets |

| No. | Type of document | Author(s) | Year | Title | Source | Brief description |
|-----|------------------------------|---------------------|------|--|---|--|
| | | nt Institute) | | performance of the EU Programme for Employment and Social Innovation ("EaSI"), implementing the framework contract No. VC/2013/0082 | | |
| 21. | Brochure | European Commission | 2013 | EaSI New EU umbrella programme for employment and social policy | EaSI webpage on the European Commission website | Covers the establishment of the programme in a non-legal language, and highlights some of the ways in which EaSI and its broad stakeholder base can guide policy and action in contribution to the Europe 2020 targets |
| 22. | Guidelines and Communication | European Commission | 2015 | Better regulation for better results - An EU agenda | European Commission website² | Details guidelines to be followed for conducting transparent, evidence based, quality evaluations |
| 23. | Communication | European Commission | 2008 | Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions of 2 July 2008 - Renewed social agenda: Opportunities, access and solidarity in 21st century Europe COM(2008) 412 final | Official Journal of the European Union | The renewed social agenda completed the Lisbon Strategy for the period 2008-2010. It proposes an integrated approach with a view to responding to transformations in the employment market and European society. |

² Additional link

| No. | Type of document | Author(s) | Year | Title | Source | Brief description |
|----------|------------------|---------------------|------------------------|--|---|--|
| 24. | Tender | European Commission | 2016 | Request for services in the context of the framework contract for the provision of services related to evaluation, evaluative studies, analysis and research work, including support for impact assessment activities: Lot n1 Identification n37 Mid-term evaluation of the EU Programme for employment and social innovation EaSI | European Commission website | Details the request for services and the scope of the mid-term evaluation |
| PROGRESS | | | | | | |
| 25. | Report | ICF International | 2014 | Ex-post evaluation of the Programme for employment and social solidarity – PROGRESS 2007-2013 and recommendations for the successor programmes to PROGRESS 2014-2020 | European Commission website | This evaluation analysed the results of PROGRESS funded actions, its delivery processes and governance mechanisms. It covers outcomes of PROGRESS funded actions, as well as its results. Last, it also provides recommendations |
| 26. | Report | PPMI | June and November 2015 | Monitoring good practices in the areas of Employment, Social affairs and Inclusion - Examples of projects funded by DG EMPL in 2011-2012 | European Commission website | This report reviews good practice examples of projects supported by (...)Progress in the years 2011 – 2012 to facilitate the dissemination of results |

| No | Type of document | Author(s) | Year | Title | Source | Brief description |
|-------|------------------|---------------------|------|---|--|--|
| EURES | | | | | | |
| 27. | Website | European Commission | n/a | EURES Job Mobility Platform | European Commission website | Gathers all the relevant information about EURES such as information about jobseekers/employers, EURES internal meetings, legislative documents, results of customer satisfaction surveys. |
| 28. | Dataset | Eurostat | 2016 | Unemployment Statistics | Eurostat | Dataset on unemployment statistics in Europe |
| 29. | Dataset | European Commission | 2015 | EaSI Stakeholder Survey 2014: EURES axis | European Commission | Survey including opinions of stakeholders involved in the programme design and implementation |
| 30. | Report | European Commission | n/a | Reports on EURES training events | European Commission | Provides information on the types of training delivered, number of participants etc.... |
| 31. | Report | Ecorys | 2014 | Evaluation of the Your first EURES job preparatory action | European Commission website | Presents the results of the evaluation of 'Your first EURES job' (YfEj), a preparatory action that aims to promote the mobility of young workers aged 18-30 in the EU |
| 32. | Report | GHK/EPEC | 2010 | Ex-post evaluation of the EURES programme covering the period 2006-2008 | European Commission website | Provides an assessment of the EURES operations in the period 2006-2008 |
| 33. | Regulation | European Commission | 2013 | Regulation (EU) No 1288/2013 of the European Parliament and of the Council of 11 December 2013 establishing 'Erasmus+': the Union programme for | Official Journal of the European Union | The regulation establishes Erasmus+, including education and training at all levels, in a lifelong learning perspective, |

| No . | Type of document | Author(s) | Year | Title | Source | Brief description |
|------|------------------|---------------------|------|--|--|--|
| | | | | education, training, youth and sport and repealing Decisions No 1719/2006/EC, No 1720/2006/EC and No 1298/2008/EC | | youth (Youth in Action), particularly in the context of non-formal and informal learning; sport, in particular grassroots sport. |
| 34. | Communication | European Commission | 2008 | Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee and the Committee of the Regions - New Skills for New Jobs - Anticipating and matching labour market and skills needs | Official Journal of the European Union | The communication aims to enhance human capital and employability by upgrading skills and ensuring a better match between the supply of skills and labour market demand |
| 35. | Communication | European Commission | 2007 | Communication from the Commission to the Council, the European Parliament, the European Economic and Social Committee and the Committee of the Regions of 6 December 2007 - Mobility, an instrument for more and better jobs: The European Job Mobility Action Plan (2007-2010) [COM(2007) 773 final | European Commission | To address challenges with mobility the Commission proposed the Job Mobility action plan with four strands: Improving existing legislation and administrative practices Ensuring that the national, regional and local authorities promote mobility extend the scope and quality of the services provided by EURES 4. increase citizens' awareness on mobility |
| 36. | Communication | European Commission | 2002 | Communication of 13 February 2002 from the Commission to the Council, the European Parliament, the | European Commission | The communication aimed to address the need to increase the occupational mobility (i.e. changing jobs) of workers from the |

| No | Type of document | Author(s) | Year | Title | Source | Brief description |
|--|--------------------|---------------------------|------|---|--|---|
| | | | | Economic and Social Committee and the Committee of the Regions - Commission's Action Plan for skills and mobility [COM(2002) 72 final | | poorer regions to those of the wealthier regions of the European Union. |
| MICROFINANCE AND SOCIAL ENTREPRENEURSHIP | | | | | | |
| 37. | Interim evaluation | European Commission | 2015 | Interim Evaluation of the European Progress Microfinance Facility | European Court of Auditors Website | <p>Progress Microfinance is effective in increasing access to finance for micro-enterprises</p> <p>It has a positive influence on intermediaries lending activities</p> <p>The programme is likely to be sustainable but it is too early to assess</p> <p>There is potential for further synergies with other EU and national programmes</p> <p>Lower levels of utilisation of the funded instruments than had been projected</p> |
| 38. | Evaluation | European Court of Auditor | 2015 | Is EU financial support adequately addressing the needs of micro-entrepreneurs? | European Court of Auditors Website | <p>The Court concludes that for ESF financial support to micro-entrepreneurs there are weaknesses in the programming and the design of the support and a lack of sufficient and reliable monitoring information on performance</p> <p>The Court considers that these issues may have a negative impact on the effectiveness of EU financial support addressing the needs of micro-entrepreneurs</p> |

| No | Type of document | Author(s) | Year | Title | Source | Brief description |
|-----|------------------|--------------------------|------|--|--|---|
| 39. | Website | CGAP | 2016 | What is Microfinance | CGAP Website | Definition of microfinance |
| 40. | Website | European Commission | 2016 | Micro-, small- and medium-sized enterprises: definition and scope. | Official Journal of the European Union | Definition and scope of SMEs |
| 41. | Report | European Investment Fund | 2009 | Microfinance in Europe. A market overview | European Investment Fund Website | <p>The support of the European finance sector is important in developing the market</p> <p>Financial exclusion in Western Europe is concentrated among people suffering from social marginalization and poverty</p> <p>There is clear evidence that microfinance is effective for job creation and social inclusion</p> <p>There is a significant un-served market demand in Europe</p> <p>SMEs constitute the majority of all companies across Europe</p> <p>There is no common microfinance business model in Europe</p> <p>Public finance is critical to provide the initial funding for start-up</p> <p>Non-financial support measure are crucial</p> |
| 42. | Report | European Investment Fund | 2012 | Progress for Microfinance in Europe | European Investment Fund Website | <p>Review of Progress Microfinance</p> <p>There are wide spectra of final beneficiaries and intermediaries and there</p> |

| No . | Type of document | Author(s) | Year | Title | Source | Brief description |
|------|------------------|----------------|------|----------------------------------|---|--|
| | | | | | | <p>is no common microfinance business model in Europe</p> <p>The microfinance market is immature and fragmented</p> <p>Microfinance has the potential to counter poverty and unemployment while fostering financial and social inclusion</p> <p>Standardised, regularly available indicators to explain market developments for microfinance in Europe do not yet exist (only for Eastern Europe)</p> <p>The European microfinance market presents a dichotomy between Western Europe and Central/Eastern Europe in terms of intermediary profile, target beneficiaries, loan size, etc.</p> <p>Market failure due to insufficient supply of capital (debt or equity) and inadequacies on the demand side. This market failure is mainly based on asymmetric information</p> <p>Information available on: Final beneficiary profile, EU initiatives, intermediaries business models and products</p> |
| 43. | Website | Cabinet Office | 2013 | Social enterprise: market trends | UK Government Webportal | <p>There is no universal definition of a 'social enterprise'</p> <p>Social enterprise are significantly more likely to have difficulties accessing finance than other SME and are less likely to eventually obtain it</p> |

| No. | Type of document | Author(s) | Year | Title | Source | Brief description |
|-----|------------------|---|------|---|------------------------------------|---|
| | | | | | | The UK is considered to have the most developed social investment market in the world |
| 44. | Report | European Commission | 2014 | Study on imperfections in the area of microfinance and options how to address them through an EU financial instrument | Online EU Bookshop | <p>The ongoing crisis in several EU MS with high levels of youth unemployment calls for ongoing support of inclusive entrepreneurship and an option to (re-) enter the labour market</p> <p>There is a significant market gap in the provision of microloans in most EU countries, the gap amounts to 2,7 bn EUR in the EU-28</p> <p>Microfinance providers need additional external funding to be able to close the gap</p> <p>The main funding needs exist at the level of debt and equity to strengthen and develop the capacity of their model</p> <p>There is a rationale for a centrally managed facility for EU backed investments into microfinance portfolios and organisations.</p> |
| 45. | Report | Dr. Wolfgang Spiess-Knafl and Prof. Dr. Stephan A. Jansen | 2013 | Imperfections in the social investment market and options on how to address them | Online EU Bookshop | <p>Most of the analysis of social enterprises and their financing structures is based on a single-country-perspective or the comparison of a number of selected countries</p> <p>The United Kingdom has the most advanced social investment market in the European Union</p> |

| No . | Type of document | Author(s) | Year | Title | Source | Brief description |
|------|------------------|--------------------------|------|-----------------------|---------------------|--|
| | | | | | | <p>Impact assessment still remains vague: although a number of methods have been developed, reporting standards introduced and industry standards defined, there has been no acceptable method developed so far</p> <p>There is no integrated approach for assessing the social impact</p> <p>There are two levels of measurement: i) at the level of the intermediary, the additional capital brought in the market and the number of social enterprises financed; ii) at the social enterprise level: theory of change and qualitative description and quantitative information such as sales and nb of employees</p> <p>Description of financing instruments, revenue streams, actors in the market, delivery options and products</p> <p>Description of market imperfections: missing link between return and risk, missing pecking order, missing secondary market for equity investment, mismatch between sustainable and needed investment sizes, mismatch of supply and demand</p> |
| 46. | Indicators | European Investment Fund | n.d. | Operational Reporting | European Commission | List of performance indicators |

| No . | Type of document | Author(s) | Year | Title | Source | Brief description |
|------|------------------|-------------------------------------|-----------|---|---|---|
| 47. | List | European Investment Fund | 2016 | EaSI – Guarantee Financial Instrument | European Commission | List of signatures as of 30/06/16 for guarantees for both, microfinance and social enterprises intermediaries Information on country, financial intermediary, type of support and budgetary allocation |
| 48. | Guidance | E. Varga, M. Hayday for Rand Europe | 2015 | A recipe book for social finance | European Commission Website | Guide addressed to social finance actors on how to implement their business model The guide has 7 steps explaining how to create, assess and build a social initiative. |
| 49. | Report | ICF | 2014/2015 | Mapping of social enterprises in Europe | European Commission Website | Growing interest in social enterprise across Europe, driven by a growing recognition of the role social enterprise can play in tackling societal and environmental challenges and fostering inclusive growth Little is known about the scale and characteristics of the emerging social enterprise 'sector' Operational definition of social enterprises developed Social enterprises adopt a variety of legal forms and statuses 22 out of 29 European countries studied do not have a specific policy framework for supporting the development of social enterprise |

| No . | Type of document | Author(s) | Year | Title | Source | Brief description |
|------|------------------|-------------------------------|------|---|--|--|
| | | | | | | <p>Reported levels of social enterprise activity adopt a variety of definitions and research methods but do suggest recent growth in numbers - although absolute numbers of social enterprise are very small relative to mainstream enterprises</p> <p>Social enterprises exploit a range of sources and in most countries, but the majority of their revenue comes from the public sector</p> <p>Systematic evidence on the type and prevalence of modes of creation of European social enterprise is lacking</p> <p>The barriers to the development of the sector include: poor understanding of the concept, lack of specialist business development services, lack of legislative framework, access to markets and finance, absence of common measurement mechanisms</p> |
| 50. | Report | European Microfinance Network | 2014 | Overview of the Microfinance Sector in Europe | Website of the European Microfinance Network | <p>Results of the bi-annual survey on microfinance in Europe</p> <p>Sector information: provision scale, growth, actors engaged</p> <p>Social performance: target groups, social mission and inclusion</p> <p>Institutional and geographical diversity: range, diversity, location</p> <p>Products and services: professional loans, consumer and personal loans, BDS, etc.</p> |

| No . | Type of document | Author(s) | Year | Title | Source | Brief description |
|------|------------------|---|-----------------------|--|--|--|
| | | | | | | Financial performance: data, indicators Policy development: regulation, code of good conduct, networking Outlook of the sector's development: crisis' impact, trends, funding Precedent reports also available |
| 51. | Report | GECEs (expert group advising the Commission on social enterprise support) | October/November 2016 | Report and recommendations | Not available | Social enterprise finance |
| 52. | Guidance | European Venture Philanthropy Association | 2016 | A practical guide to venture philanthropy and social impact investment | Website of the European Venture Philanthropy Association | Practical guide is to assist start-up or early-stage VPOs in Europe by providing an insight into 'what works' in a European context, keeping in mind the diversity existing at individual country level The guide includes information on funding models, management, fundraising and investment strategy and process |
| 53. | Report | European Venture Philanthropy Association | 2016 | Impact measurement in practice | European Venture Philanthropy Association | Five-step model to measure impact: setting objectives, analyzing stakeholders, measuring results, verifying and valuing impact, monitoring and reporting Many VPOs still consider it difficult to implement impact measurement in their daily practice |

| No | Type of document | Author(s) | Year | Title | Source | Brief description |
|-----|---------------------|---|------|--|--|--|
| | | | | | | The report provides 2 case studies going through the 5 steps |
| 54. | Report | European Venture Philanthropy Association | 2014 | European Venture Philanthropy and Social Investment 2013/2014 | Website of the European Venture Philanthropy Association | Fourth annual survey of European Venture Philanthropy and Social Investment Provides independent industry on European Venture Philanthropy and Social Investment |
| 55. | Studies | European Venture Philanthropy Association | | Publications | Website of the European Venture Philanthropy Association | Various publications on Venture Philanthropy Organisations |
| 56. | Indicators/ website | European Commission / Salford University | | Supporting entrepreneurs and the self-employed - Microfinance | European Commission Website | Information on the European Code of Good Conduct for Microcredit Provision that is obligatory for getting funding / a guarantee under EaSI The code was created to promote best practices in the field of microcredit The code includes information on customer and investors relations, governance, risk management, reporting standards and management information systems |
| 57. | Website | European Commission | 2016 | Supporting entrepreneurs and the self-employed - Social entrepreneurship | European Commission Website | DG EMPL website on social enterprise support |

| No . | Type of document | Author(s) | Year | Title | Source | Brief description |
|------|------------------|--|------|---|---------------------|---|
| | | | | | | Complementarity between different initiatives |
| 58. | Report | European Investment Fund and European Commission | n/a | Monitoring of credit portfolios: semi-annual reports on progress in credit portfolios | European Commission | |
| 59. | Report | European Investment Fund and European Commission | n/a | Annual social performance reports | European Commission | |
| 60. | Report | European Investment Fund and European Commission | n/a | Annual reports on Progress Microfinance | European Commission | |

Annex 3.2. Focus Group

The EaSI Committee Focus Group for the Mid-term evaluation of the EU programme for employment and social innovation - EaSI (VT/2015/055) was held on Tuesday 15 November 2016 at the Centre Albert Borschette, rue Froissart, 36 – 1040 Brussels – Room 1C. ICF conducted this focus group to identify the opinions of EaSI Committee members on several issues (see the agenda below).

Agenda

| | |
|---------------|---|
| 14:30 – 15:00 | Short presentation by the study team / then split in 2 groups |
| 15:00 – 16:00 | Discussion of evaluation questions |
| 16:00 – 16:15 | Break |
| 16:15 – 17:15 | Discussion and written views on evaluation questions |
| 17:15 – 17:30 | Conclusions and identification of main messages in plenary |

Background information on the project

ICF is carrying out the mid-term evaluation of the EaSI programme. The purpose of the mid-term evaluation is two-fold: backward looking and forward looking.

Looking back, the evaluation aims to 'measure, on a qualitative and quantitative basis, progress made in meeting the Programme's objectives, to address the social environment within the Union and any major changes introduced by Union legislation, to determine whether the resources of the Programme have been used efficiently and to assess its Union added value.'

Looking forward, the mid-term evaluation will aim to recommend adjustments to the way the programme currently runs, to improve its performance in the second part of its implementation.

The scope of the evaluation covers the following:

Thematic scope: activities undertaken under the three axes of EaSI (PROGRESS, EURES, Microfinance and Social Entrepreneurship) and its transversal issues – placing a special focus on vulnerable groups.

The evaluation is covering activities undertaken by relevant stakeholders: the EaSI Committee; relevant policy committees; social partners; national authorities and bodies; and, key EU civil society organisations.

Temporal scope: activity period running from January 2014 until December 2016.

Geographical scope: all Member States and other participating countries

Objectives of the focus group

As part of the research, ICF is conducting this focus group to identify the opinions of EaSI Committee members on several issues. We mainly want to gather opinions about four topics:

- the governance structure
- the governance process
- the coherence of EaSI with other interventions at EU / national level as well as internal and external coherence
- the efficiency of EaSI

Method

The focus group will consist of 28 EaSI Committee members. ICF will moderate the discussion. During the focus group we aim to have an open discussion to elicit the EaSI Committee members' views on the evaluation questions.

ICF will lead the discussion on the evaluation questions one by one.

Following the discussion you are invited to complete the template in order to provide further details of your views and the reasons for them.

At the end of the focus group, we will draw some conclusions and identify the key messages emerging.

Questions to be discussed during the focus group

Governance structure

The questions regarding the governance structure of EaSI focus on the way EaSI is governed, including the composition and existing roles and responsibilities of the EaSI Committee and their further development. The following questions will guide the discussion:

- Should the representation of the EaSI Committee be extended to include specialists:
 - In Microfinance and Social Entrepreneurship?
 - In intra EU mobility?
 - In Working Conditions?
 - In Social Protection.

If so, why and if not why not?

Are responsibilities of the Committee clear and sufficient for effective governance?

How effective are the links (including communication and dissemination) between EaSI and other EU processes, in particular the other relevant Committees and the European Semester?

Are there other observations on the governance structure?

Governance process

The following questions regarding the governance process focus on resource allocation and the information provision on EaSI activities:

Are the procedures for resource allocation between EaSI axes suitable and transparent?

Are there adequate opportunities for the EaSI Committee to reflect on the EaSI priorities?

Is the quality of information on past and future EaSI activities suitable for the needs of the EaSI Committee members?

Coherence and complementarities

The following questions focus on the internal coherence/complementarity of EaSI as an umbrella programme with three axes and the coherence/complementarity of EaSI and other EU and national instruments:

To what extent did the merging of the three previous programmes PROGRESS, EURES and PROGRESS micro-finance improve EaSI internal/external consistency, complementarity and flexibility?

What kind of synergies has EaSI developed or improved between the axes?

To what extent is EaSI coherent and complementary (Article 7.1. of the EaSI Regulation) with other funding instruments such as the European Structural and Investment Funds (ESIF), in particular the European Social Fund (ESF)? Are there synergies between EaSI and these funds?

Efficiency

The following questions regarding efficiency focus on the budget allocation and costs in relation to the outcomes achieved:

To what extent is the overall budget allocation appropriate to deliver the objectives of PROGRESS, EURES and Microfinance and social entrepreneurship?

To what extent have the available financial resources and mechanisms enabled EaSI to fulfil its objectives efficiently?

In what ways could efficiency be improved?

Expected outcomes of the focus group

The input gathered during the focus group will feed into the mid-term evaluation of EaSI. It will specifically inform the evaluation questions concerning the functioning of the EaSI Programme and the scope for adjustments.

The analysis of the focus group is available in Volume IV as a separate document provided to the Draft Final Report. /

Below, the minutes of the focus group are available (please click on the picture to open these).

Minutes of the EaSI Committee Focus Group for the Mid-term evaluation of the EU programme for employment and social innovation - EaSI (VT/2015/055) Under the Framework Service Contract (VC/2013/0083) - Lot 1: evaluation and evaluative studies



Mid-term evaluation of the EU programme for employment and social innovation - EaSI (VT/2015/055)
Minutes of the EaSI Committee Focus Group

1 Introduction

The EaSI Committee Focus Group for the Mid-term evaluation of the EU programme for employment and social innovation - EaSI (VT/2015/055) was held on Tuesday 15 November 2016 at the Centre Albert Borschette, rue Froissart, 36 – 1040 Brussels – Room 1C.

ICF conducted this focus group to identify the opinions of EaSI Committee members on several issues and more specifically about the four following topics:

- **The governance structure:** the questions regarding the governance structure of EaSI focused on the way EaSI is governed, including the composition and existing roles and responsibilities of the EaSI Committee and their further developments.
- **The governance process:** the following questions regarding the governance process focus on resource allocation and the information provision on EaSI activities:
- **The coherence of EaSI with other interventions at EU / national level as well as internal and external coherence:** the questions focused on the internal coherence/complementarity of EaSI as an umbrella programme with three axes and the coherence/complementarity of EaSI and other EU and national instruments
- **The efficiency of EaSI:** questions regarding efficiency focused on the budget allocation and costs in relation to the outcomes achieved.

The agenda was the following:

| | |
|---------------|--|
| 14:30 – 15:00 | Short presentation by the study team |
| 15:00 - 16:00 | Discussion of evaluation questions and written views on evaluation questions |
| 16:00 – 16:15 | Break |
| 16:15 – 17:15 | Discussion and written views on evaluation questions |
| 17:15 – 17:30 | Conclusions and identification of main messages in plenary |

The meeting was attended by 17 EaSI Committee Members and the following representatives from ICF:

| Name | Position | Email |
|---------------|------------------------|--|
| Nick BOZEAT | Project Director | Nick.bozeat@icf.com |
| Simona MILIO | Project Manager | Simona.milio@icf.com |
| Almina BESIC | Deputy Project Manager | Almina.besic@icf.com |
| Ines MAILLART | Core Team Member | Ines.maillart@icf.com |

Annex 3.3. Interviews

The table below presents a list of scoping interviews undertaken.

Table 6. List of scoping interviews

| Organisation | Contact person | Role | Status |
|---|-----------------------|--|-------------------------------------|
| EaSI | | | |
| DG EMPL | Justyna Aris | Policy officer, EaSI | Interview conducted on 14 July 2016 |
| | Evangelia Moraitou | Programme Assistant - EU policies | Interview conducted on 13 July 2016 |
| PROGRESS | | | |
| DG EMPL | Emanuela Tassa | Policy Officer, PROGRESS axis | Interview conducted on 14 July 2016 |
| | Lucile Castex-Chauve | Legal Officer, Labour Law | Interview conducted on |
| | Lydie Ricaud | Assistant, International Issues | Interview conducted on 14 July |
| | Martin Le Vrang | Project Manager ESCO project (European Skills/Competences, qualifications and Occupations) | Interview conducted on 26 July 2026 |
| EURES | | | |
| DG EMPL | Elena Pascual Jiménez | Policy officer – cross border partners | Interview conducted on 26 July 2016 |
| | Alice Santos, | Policy officer – targeted mobility schemes | Interview conducted on 26 July 2016 |
| | Doede Ackers | Deputy Head of unit and team leader for EURES | Interview conducted on 26 July |
| Microfinance and Social Entrepreneurship | | | |
| DG EMPL | Andrea Maier | Team Leader - Entrepreneurship, Microfinance | Interview conducted on 13 July 2016 |
| Data availability | | | |

PPMI

Mantas Pupinis

Senior Researcher

Interview conducted
on 7 July 2016

Interview guide of scoping interviews

The following interview guideline was used for the scoping interviews and adapted to the needs of each axis.

Introduction: Purpose of scoping interviews:

- Refine the evaluation framework in particular the formulation of expected outcomes and impacts;
- Identify important changes in the programme design / delivery over the programming period that are likely to have affected the type of outcomes / impacts realised as well as overall programme performance;
- Get a preliminary idea of what seems to be working well and what not and why – this will be used to refine the data collection tools;

Vision for the three axes

- What were the main reasons for bringing the three axes together under the same umbrella (EaSI)?
- What are the key issues being addressed by the EaSI programme and by its 3 axes?
- What changes does the programme aim to achieve? (EaSI+ the 3 axes)

Comment: *Through this question we want to see how those in charge of the programme design/ implementation formulate the vision for the programme.*

It is in particular interesting to discuss also the change in focus between the two programming periods.

Changes over the programming period

- What were the main changes that occurred or that are planned in the programme design / delivery over the period 2014-2020?
- Changes in priorities
- Changes in delivery mechanisms
- Changes in budgetary allocations (increase/ decrease for certain types of initiatives)

Achievements

- Is EaSI achieving its objectives so far? What makes you think so?

Which are the key factors influencing?

- programme performance, and
- the performance of the 3 individual axes, as well as

- the unintended programme effects?

Which are the main successes and challenges encountered by the programme as a whole and by each specific axis?

- Are there any areas where you think EaSI or any of the 3 axes is performing better / worse than expected?

Think about aspects such as:

- Participation in the programme: was it as expected? Who is participating less/ more (both in term of Member states and organizations)?
- The types of projects funded: are there differences in the type and scale of outcomes according to different types of projects?
- Do those types of projects with highest chances to yield positive outcomes get the funding?
- The quality of projects funded: is/was the quality of applications as expected (better/ worse?) – are there major differences per types of actions? Did it change over time?

Management/ implementation

- Were the management and implementation arrangements fit for purpose?
- What were the main objections at the time?
- **What are main advantages/ disadvantages of the current integrated programming structure vis-à-vis the predecessor programmes?**
- How is programme progress being monitored?
- What indicators are being used?
- What tools and systems are in place?
- Are these adequate?
- Can you provide information on the indicators and perhaps identify which ones are crucial and which ones are not based on the indicators attached?

Expectation from this evaluation

- Are there any gaps in knowledge about the programme which were not filled by earlier evaluations and should be met through this assignment?
- From your point of view, what are the key issues this evaluation should focus on?

Summary of scoping interviews

This section provides a summary of the scoping interviews carried out for each axis of the EaSI Programme. The interviews provided an overview of the main evolutions, the expectation and rationale of the axes, and focused in particular on certain assumptions about what works well and what is lagging behind, as well as possible implications for the evaluation.

Main evolutions, expectation and rationale

Progress

Scoping interviews carried-out with European Commission officials showed that little changes occurred in the design and delivery of Progress over the period 2014-2016. Apart from the inevitable shifts in the Commission's political priorities, the only changes noted related to an increase in the amount of money allocated to the call for social innovation that went from 2 to 10 million.

EURES

Few changes in priorities were reported during the programming period as they are defined by the work programmes, there is little flexibility to deviate from them.

However, important changes are expected in relation to delivery mechanisms and reporting.

EURES beneficiaries of the Your first Eures Job activities fill out a progress monitoring report that is additional to the EaSI monitoring. For other EURES beneficiaries additional questions were introduced as an annex to the EaSI monitoring template to provide more useful information for EURES. A new template for actions under cross-border partnerships is being developed.

A new way of financing will be introduced in 2017 with projects being financed every two years. Although the budget is yearly, calls for proposals will be split between cross border partnerships and targeted mobility schemes. This initiative was launched to remedy to the lack of applicants which recently prevented to spend part of the dedicated budget.

The calls for proposals were reported by applicants as very time consuming and labour intensive, which to some extent explains the low response rate. It is worth noting that only few organisations have the required knowledge to respond to this type of calls. Therefore, when calls of proposals used to be launched at a time where projects from the previous year were still running, this prevented applicants to respond to them because of the administrative burden.

Microfinance and Social Entrepreneurship

As for the two other axes, Microfinance and Social Entrepreneurship undertook little significant changes of priorities during the programming period. As this is a new instrument, the programme is very much about testing several options.

Nonetheless, as for EURES, changes occurred in relation to delivery mechanisms. Under the Juncker Plan, additional budget was given for equity instruments. Initially, everything was supposed to be implemented under EaSI but some projects will be implemented under the EFSI equity platform.

Finally, changes in budgetary allocations also occurred with the combination with the European Fund for Strategic Investment which is part of the Juncker Plan. This provides additional fund that could not have been foreseen in the past. This responds to the needs as the budget was considered not to be enough compared to the high demand. Two-thirds of the total budget for the whole programming period (96 million of Euros) has already been used and solutions are now being developed to find additional funding. An agreement is being negotiated to frontload the 2019-2020 budget but this will not address the issue as they will most likely run out of budget before 2020.

Initial assumption about what works well and what needs to be further improved

Progress

Progress is considered to have funded a large number of innovative and experimental projects which have allowed social policy-makers to 'test and innovate'. Several projects were mentioned as successes by the different European Commission officials:

- The **monitoring of labour law at EU** Level undertaken by Frankfurt University for the past seven years. In this project, national labour law developments, implementation of EU Directives into national law and complaints from citizens. These are very policy relevant and this type of studies are in general very important for the Commission as they are essential to policy-making.
- The **merging of the European Labour Law Network with the EEPO contract** was also a success in terms of efficiency. Finally, Progress and EaSI in general are successful in involving a broad range of stakeholder through stakeholders meetings, expert groups and consultations. However, challenges
- The **EU-US Roundtable** organised on 11 May 2016 on skills, adult learning and apprenticeship. This meeting was found very relevant to US stakeholders and participants agreed to step up cooperation in the future and to undertake common projects.
- Some analytical studies such as the Labour Force Survey (LFS) have had an impact on policy.
- The **European Skills/Competences, qualifications and Occupations (ESCO) project** is a good example of an innovative project. It has been successful so far as it has assisted a large number of stakeholders and supported many decisions. About 1000 stakeholders have contributed so far which enables to say that they managed to get representative views. Finally, the feedback received so far is very positive.

However, it is important to bear in mind when defining 'success' or 'good practice' that some of these projects are long-term ones and their effects might only be felt in a few years' time.

Suggestions for improvements were also mentioned during scoping interviews and include:

- **Existing documents on EaSI** are too many and too long, they would be more efficient if they were synthesised. This would also make EaSI more transparent.
- **Evaluations reports** were judged as being too abstract and too high level which do not push to read them. They do not have practical implications for the daily work of Commission officials. A greater emphasis on case studies and lessons learnt would be very useful.
- The **quality of the projects** are not always up to the expectations. Therefore, there is a need to select the right contractor which can be done in drafting very good and precise **Terms of Reference (ToR)**. The writing of the ToR involves many people from different DGs who do not all have the same understanding of what the project should achieve. This can therefore reflect on the precision of the ToR. This is fundamental as once the contract is signed with the contractor, the Commission does not have much leverage if the project goes wrong.
- The **changes of the European Commission policy priorities** can also hinder the use of the projects. For instance, two good projects could not be used as a shift in the policy occurred and there were not relevant anymore.

- In terms of **management**, the high turnover of the Commission staff is a real challenge as it results in inadequate expertise and experience in some positions. In addition, this poses a real problem in terms of institutional memory and continuity as some people start a new initiative but are appointed in a another unit and cannot follow what they started.
- The **length of the launch of a new project activity** (currently four to six months) was seen as too long.

EURES

The respondents emphasised that EURES aims at financing innovative projects and activities with a 'pilot nature', meaning that the activities are supposed to be of experimental nature with the aim to bring innovation in existing processes and expand these activities across the Union. Thereby, Member States would be able to test practices with the help of EURES funding, and implement them on a long term basis through other funding available (such as national funding or through the ESF). The respondents mentioned several challenges regarding these overarching EURES aims:

- **Innovation** was identified as being a real challenge for EURES. Indeed, after few years, it was found hard to stimulate the respondents to the calls for proposals to innovate and bring something new.
- **Path dependency** on EURES was mentioned. Organisations receiving funding rely on EURES funding for several years (and consequently apply for new calls), which in turn does not boost innovation but creates a dependency on EURES funding.
- Issues arise also partly due to the **administrative burden** (as mentioned above in section 0 for PROGRESS) generated by the current conditions (i.e. many documents are required and these are often sent in paper format). This is one the issue that hinders most the current functioning of EURES despite the encouragements from the Commission in trying to find solutions to the high administrative burden for Member States (e.g. a percentage of funding can be used to hire additional staff for administrative purposes).
- Issues with the lack of **flexibility between the annual work programmes and the calls for proposals** were mentioned. Indeed, the ToR must mirror the work programme and reuse the same words which limits the flexibility of what can be required in the call for proposals. It was suggested that the work programme should provide for the main guidelines for the call, but enable to adapt the call to take into account results achieved by beneficiaries and change according to needs.
- Respondents regarded the **reporting** documentation of EaSI as not relevant for EURES. Therefore separate (but additional) reporting documents were introduced to better mirror the EURES results. The reporting was regarded as an important point of change for the mid-term evaluation (see also similar issues in section 0 on PROGRESS). An alternative approach was proposed: the EaSI template could include several general questions for EaSI, but then leave room for relevant questions under each axis. Also the format was regarded as burdensome, a reporting in a database was mentioned that would enable to tailor the questions for each axis better and to immediately store the data in a way that minimizes the effort to retrieve data afterwards.

Microfinance and Social Entrepreneurship

The data on the on the social entrepreneurs or micro-borrowers themselves is limited so far, due to the time lag in implementation. However, at the intermediary level (implementation through intermediaries) there is a lot of demand, it is much more than foreseen which can lead to think that it is performing well. Nevertheless, the final

objective is to provide access to microfinance for micro-borrowers and social entrepreneurs, so there is still a need to see how it works in practice. However, this will only be possible at a later stage.

Implication for the evaluation

The scoping interviews have shown that EaSI enabled to carry-out many projects which were relevant for the goals of each specific axes. Several good quality projects were delivered in this first half of the programming period and this enlightened policy design.

Issues with the administration, the reporting, funding and the lack of flexibility were mentioned as influencing the functioning of the programme. The EaSI reporting documentation should be reviewed in terms of what information is provided and what information needs to be provided for each axis.

Specific attention needs to be paid to the quality of the final projects which is not always up to expectations. In that regard, better quality mechanisms need to be implemented at different levels. This would include amongst others the drafting of better ToR, better communication with the contractor and the possibility for the Commission to have more say during the project phase, in case the project does not deliver up to expectations.

In terms of issues regarding budgeting, some initial changes are being considered and then next programming period might benefit from these initial changes.

The table below provides an overview of the remaining interviews conducted so far.

Table 7. Further interviews conducted

| Axis | Stakeholder | Note |
|-----------------|---|----------------------------------|
| PROGRESS | | |
| 1 | Executive Director Eurocarers | As part of case study Eurocarers |
| 2 | Eurocarers President and CEO of Family Carers Ireland | |
| 3 | Eurocarers Vice-President | |
| 4 | External evaluator | |
| 5 | Project manager Nowcasting Federal Planning Bureau | As part of case study Nowcasting |
| 6 | Junior Analyst Nowcasting Federal Planning Bureau | |
| 7 | Head of department Federal Planning Bureau | |
| 8 | Assistant professor Faculty of Economics & Business - University of Zagreb | As part of case study SHARE |
| 9 | Head of unit Croatian Ministry of Labour and Pension System | |
| 10 | Representative of the State Reference Center for People with Rare Diseases and their families (CREER) | As part of case study INNOVcare |
| 11 | Representative of | |

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| | | |
|---|--|---|
| | EURORDIS | |
| 12 | Representative of FINOVATIS | |
| 13 | Project Manager of the Posting of workers Project | As part of case study Posting of Workers |
| 14 | Member of the Lithuanian trade union Solidarumas | |
| 15 | Director of PICUM | As part of case study PICUM |
| 16 | Deputy Director of PICUM | |
| 17 | Chair of PICUM | |
| 18 | Representative of the Greek Ministry of Labour, Social Security and Social Solidarity | As part of case study Youth Guarantee |
| 19 | OAED | |
| 20 | Municipality of Egaleo | |
| 21 | Representative of Rome Capitale - Dipartimento Politiche Sociali, Sussidiarietà e Salute | As part of case study INSPIRE (decision was made to drop the case study, due to limited information available) |
| EURES | | |
| 1 | Partnership Coordinator / National Stakeholder, Pole Emploi | As part of case study YfEj |
| 2 | Project manager, Pole Emploi | |
| 3 | Partner in Italy, Uniser | |
| 4 | Partnership coordinator / national stakeholder German Public Employment Service (PES) regional directorate Nordrhein-Westfalia | As part of case study Cross Border Partnerships Euregio |
| 5 | Partner 1, Euregio Maas-Rhein | |
| 6 | Partner 2, Cross Border Info point Aachen Eurode | |
| 7 | Eures Adviser Trieste (Regione Autonoma Friuli Venezia Giulia) | As part of case study Cross Border Partnerships Euradria |
| 8 | Director of Koper Regional Office (Employment Service of Slovenia) | |
| 9 | Project Coordinator | As part of case study EURES in EEA countries |
| 10 | NAV representative /National Stakeholder | |
| Microfinance and Social Entrepreneurship | | |
| 1 | Public Support Programmes Project manager | As part of case study Komerčni Banka |

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| | | |
|----|--|--|
| | Segments & Products Marketing and Communication | |
| 2 | Investment Manager, EIF | |
| 3 | Member of inclusive finance, EIF | |
| 4 | Director of Development (Directeur du Développement), La Nef | As part of case study La Nef |
| 5 | Head of Inclusive Finance, EIF | |
| 6 | Senior Microfinance Investment Manager, EIF | |
| 7 | Financial Manager, Qredits | As part of case study Qredits |
| 8 | Head of Inclusive Finance, EIF | |
| 9 | Senior Microfinance Investment Manager, EIF | |
| 10 | Senior Investment Manager, EIF | |
| 11 | Responsable ALM et refinancement, ADIE | As part of case study ADIE |
| 12 | Senior Investment Manager, EIF | |
| 13 | Head of Inclusive Finance, EIF | |
| 14 | Head of Inclusive Finance, EIF | As a follow – up after submission of the draft interim report (August / September 2017) |
| 15 | Public Support Programmes Project manager and Head Product Manager Business Loans, Komerční Banka | As a follow – up after submission of the draft interim report (August / September 2017) |
| 16 | Responsable ALM et refinancement, ADIE | As a follow – up after submission of the draft interim report (August / September 2017) |
| 17 | Director of Development (Directeur du Développement), La Nef | As a follow – up after submission of the draft interim report (August / September 2017) |
| 18 | Financial Manager, Qredits | As a follow – up after submission of the draft interim report (August / September 2017) |
| 19 | Programme Manager EaSI Financial instruments and EFSI, the European Commission | As a follow – up after submission of the draft interim report (August / September 2017) |
| 20 | Policy Officer, Management Organisation Unit of Development Programmes, the European Commission | As a follow – up after submission of the draft interim report (August / September 2017) |

Annex 3.4. Open Public Consultation

Approach to testing and conducting the OPC

The test³ involved several levels: the evaluation team (five testers from both ICF and DG EMPL F3 EaSI team), EC mid-term evaluation steering group members (one tester), EaSI Committee members (four testers) and EaSI programme beneficiaries (five testers form). The list of stakeholders who were approached for the testing has been discussed with the ISG in the kick-off meeting and ISG has provided 7 contact names who have been approached and provided feedback to the OPC (See Annex 11 in the inception report). Results of the testing phase have been shared with the ISG and a final questionnaire as well as the background documents to accompany the OPC has been submitted and approved by ISG on 31st August 2016 (see Annex 11 in the inception report)

After the testing phase, the following steps were taken:

- Step 1.1 - Announcement and communication
- Step 1.2 - Public consultation open⁴
- Step 1.3 - Continuous monitoring of response rates and targeted promotion
- Step 1.4 - Analysis of all public consultation responses
- Step 1.5 - Public **consultation reports** (**summary** report and **synopsis** report)

The on-line consultation ran between 12 October 2016 and 25 January 2017 in the three European Commission working languages (English, French and German) on 'Your voice in Europe' website.

During this period, related promotion and dissemination activities were carried out through different European Commission and external channels: EUROPA/EMPL/EaSI website, social media (Facebook, Twitter and LinkedIn), meetings and fora (e.g. EaSI committee, SPC, EMCO, DG EMPL operational units), European Social Fund country desks, Social Europe newsletter, target organisations (e.g. direct e-mailing to EaSI beneficiaries) and other key stakeholders able to distribute the consultation within their networks. A total of 81 responses were submitted for the online public consultation. All the contributions to the OPC were collated at the end of the consultation period. The consultation responses were presented in a summary report as well as a synopsis report. As the outcomes fit into the EaSI mid-term evaluation, a methodological choice has been made to present the public consultation results by consultation topics/evaluation criteria, i.e. the programme's relevance, effectiveness, efficiency, coherence and European added value.

OPC questionnaire

The questionnaire is available for download in pdf here (and below):

<https://ec.europa.eu/eusurvey/runner/f915a154-5c42-33ff-1b93-d22ed725936b#>

All further information related to the OPC are available here:

<http://ec.europa.eu/social/main.jsp?langId=en&catId=699&consultId=25&visib=0&furtherConsult=yes>

³ The testing has been done via SurveyGizmo.

⁴ See DG EMPL (2017):

<http://ec.europa.eu/social/main.jsp?langId=en&catId=699&consultId=25&visib=0&furtherConsult=yes>

Annex 3.5. Case study approach

Selection of case studies

The selection of case studies was led by the quality of available evidence and the a priori likelihood that the case studies will provide interesting observations that will become part of the narrative on the evaluation questions relating to relevance, coherence, effectiveness and sustainability.

The selection of case studies does not allow for 'representation' of all facets of EaSI, however, the selection reflects the diversity and range of EaSI activities and contexts.

Prior to the selection of case studies the following checks were applied on each:

- Are there undue restrictions on the quality of evidence that can be anticipated?
- What 3-4 interesting observations regarding the logic and performance of EaSI (and particular evaluation questions) is it likely that the case study will lead to?
- Is the selection complementary to the other case studies?

Table 8. Criteria for case study selection

| Criteria | Axis | | |
|---|---|---|---|
| | PROGRESS | EURES | Microfinance / Social Entrepreneurship |
| Scope and characteristics of the project | | | |
| Focus of the project | 7 case studies <ul style="list-style-type: none"> • 1 Project based on social experimentation • 2 Analytical projects, studies, evaluations and other projects focusing in data collection • 2 Mutual-learning, awareness and dissemination activities • 2 Projects supporting networks | 4 case studies: <ul style="list-style-type: none"> • 2 Cross-border partnerships • 1 Targeted action (Your first EURES job – YfEj), from 2015 onwards (others are captured in the ex-post evaluation of the Your first EURES Job preparatory action) • 1 project on EURES in EEA regions | <ul style="list-style-type: none"> • 1 cases on SE • 3 cases on MF |
| Duration of the project (start date, whether it is still ongoing, sustainability etc.) | Balanced selection of short, medium and long projects reflecting the range of policy areas and timescales Cases where there is good evidence of effects | | |
| Policy sub-area | Balanced selection of projects that reflect the different policy sub-areas (e.g. child and youth poverty and social exclusion; social investment; housing exclusion and homelessness; active inclusion...) | Employment and mobility across the two areas: Cross-border partnerships Targeted action (Your first EURES job – YfEj) | SE MF |
| Target groups (linked to the previous criterion) | Balanced selection of projects targeting different groups: Different final beneficiaries (children, youth, senior, women, people with disabilities, people at risk of poverty or social exclusion...). | Balanced selection of projects targeting different groups: Targeted action: Young jobseekers / YfEj Cross-border partnerships: Other jobseekers | final beneficiaries served: Diversity of beneficiaries (case studies that are overtly targeted on defined vulnerable groups) |

| | | | |
|--|--|---|---|
| | Projects focusing at organisations or systems or promoting knowledge | | |
| Innovativeness | <p>Selection of projects that promote innovative approaches, which can be scaled up</p> <p>Selection of cases focusing on:</p> <ul style="list-style-type: none"> social policy experimentation labour market policy innovations enhancing actors' capacity to design and implement social policy experimentation promoting relevant knowledge and expertise that can promote innovation | <p>Selection of projects that promote innovative approaches, which can be scaled up or applied more widely throughout the EU</p> | <p>Different business aim (e.g. intended social impact for SE)</p> |
| Level of intervention | <p>Selection of cases among projects with cross-national, national, regional or local level scope.</p> | <p>Balanced distribution between (inter-) national and cross-border cases</p> | <p>Selection of Financial intermediaries operating at national level vs multiple countries</p> |
| Geographical distribution | <p>Selecting cases of Member States with different socio-economic conditions or employment/social challenges</p> | <ul style="list-style-type: none"> Diversity of Member States Diversity of cross-border regions Cases in Member States with large (youth) unemployment Cases in Member States with hard to fill vacancies | <ul style="list-style-type: none"> Diversity of Member States Cases in countries with different level of MF/SE investments/market Cases in countries with different social systems Diversity of financial intermediaries based on <ul style="list-style-type: none"> number of final beneficiaries served portfolio volume average size of loans provision of mentoring/training |
| Organisations implementing the project: Cases with different types of | <ul style="list-style-type: none"> Projects with different type of organisations as 'coordinator' Projects with different number and type of partners (social partners, civil society organisations and public and private bodies) Projects involving public-private collaboration | | |

| | | | |
|--|--|---|---|
| organisations involved | | | |
| Budget | Selecting case studies with different budgets, with emphasis on those that have used relatively high amounts of resources | | |
| Implementation and performance of the project | | | |
| Availability of evidence, and scope for publishing results | Selecting cases with accessible data on implementation and (when possible) on performance | Project tender Project report in DEFIS Project report collected by EURES unit Project summary PPMI | Qualitative: at least proposal and contract available, implementation report and other reports would be a plus Quantitative: data on operations, FIs and final beneficiaries should be available |
| Implementation | Selecting cases among those projects that are in an advanced stage of implementation or that have been finalised Atypical vs typical cases Success will not in itself be used as a selection criterion | | |
| Impacts (or intended impacts) of the projects (contribution, possibility of scale up) | It will not be possible to analyse impacts as projects are very recent. However this criterion could be checked through the intended impact expressed in project tender | | |

* N/A = not applicable

Research approach

In order to assess the cases against these criteria, the information from the analysis of existing data as well as interviews has been utilised.

The desk research included:

- Review of the text of the calls for proposals, the proposals selected, implementation reports and, in case the intervention is completed, assessment of the final activity reports and final outputs;
- Review of key trends, implementation data and findings from previous evaluations.

Interviews were conducted with different types of stakeholders, including the following listed below and in more detail in Annex 3.

- (1) with the DG EMPL staff in charge of following up the implementation of this intervention;
- (1) with the coordinator of the intervention;
- (1) with public authorities relevant to the intervention (e.g. public authority in charge of employment and/or the promotion of entrepreneurship at the level of implementation of the intervention);
- (up to 2) with partners of the coordinator, if any (depending on the type of intervention);
- (up to 3) with stakeholder organisations/organisations representing the final beneficiaries at the right level of implementation.

The projects chosen for the case studies can give us a good insight of how EaSI supported their development or scale up. The case studies can be either i) typical or ii) atypical. The typical case studies could give insight about possible developments across EU Member States, and the atypical would be those that stand out from others, and are e.g. specific for a region. The case studies are summarized in Volume I accompanying this report, and listed in Table 9 below.

Table 9. Selected case studies

| No | Axis | Case study |
|----|----------|--|
| 1 | | VS/2015/0249: INNOV-CARE - Innovative Patient-Centred Approach for Social Care Provision to Complex Conditions |
| 2 | | VS/2015/0179. Nowcasting |
| 3 | | VS/2014/0500. Eurocarers – European Association Working for Carers |
| 4 | PROGRESS | VS/2015/0193. SHARE wave 6 in Croatia |
| 5 | | VS/2015/0055. Posting of workers: enhancing access to info and effective practical collaboration of administrative and social partners among 3 Baltic States |
| 6 | | VS/2014/0505. PICUM. Platform for International Cooperation on Undocumented Migrants |
| 7 | | VS/2016/0105. Youth Guarantee "Three steps to finding a job" (currently being conducted) |
| 1 | EURES | VS/2015/0251 YFEJ by Pôle Emploi |
| 2 | | VS/2015/0084 Eures in Grenzregionen Rhein-Waal (ERW), euregio-rhein-maasnord (ermn), Euregio Maas-Rhein (EMR) 2015 |
| 3 | | VS/2015/0062 Euradria 2015 |

| | | |
|---|-----------------------|--|
| 4 | | VS/2015/0269 Support to cooperation on intra-EU mobility in the EEA countries (Norway) |
| 1 | | Social Entrepreneurship- LA NEF |
| 2 | Microfinance / Social | Microfinance - QREDITS |
| 3 | Entrepreneurship | Microfinance - ADIE |
| 4 | | Microfinance - KOMERCNI BANKA |

Case study questionnaires

The following questionnaires are examples for questionnaires used with project coordinators within the case study research. These questionnaires have been adapted to each case study and the information needed.

Questionnaire PROGRESS

Note: the questions are to be tailored by each type of EaSI-Progress activities:

- Type 1 projects: The development and dissemination of high-quality comparative, and analytical knowledge
- Type 2 projects: The facilitated effective and inclusive information-sharing, mutual learning and dialogue
- Type 3 projects: The testing of social and labour market policy innovations/experimentations
- Type 4 projects: Increased stakeholders' organizational capacity at national and EU level

Overview of the project

The aim of these questions is to fill in gaps about the main projects characteristics. Ideally these will be available from the project documentation.

Missing information should be clarified with the interviewee.

Describe in more detail the background and context of the case and the types of target groups affected/their skills profile/age/gender etc. and particular labour market challenges being faced?

Application procedure

The aim of these questions is to understand the rationale of the beneficiaries to participate in this particular project financed by EaSI. It will inform the evaluation insofar, as it will address the **relevance** of the EaSI axis analysed.

- How did you find out about the call for proposals relevant for your project?
- What was the rationale behind the application for a grant under EaSI-Progress?
- How does the EaSI-Progress requirements fit the nature and aims of your project?
- Were there other programmes different to EaSI-Progress to which you could have applied? If yes, why did you choose to apply for a grant under EaSI-Progress?
- Did you have previous experience in applying for similar grants?
- Were there any relevant challenges to design the proposal?
- Were the instructions in the call for proposal clear? If not, why? What changes would you welcome?
- (in case there are several organisations involved) How was the team/network/consortium/partners decided? What criteria was used to select them?

Tendering process

The questions shall address the tendering process and any challenges the beneficiary encountered during this process. Hereby, also the support given to the beneficiaries will be analysed.

- How did the application process work / which steps were taken?
- What support was given during the tendering process? How was the support perceived? Was it sufficient? If not, why?
- Were there any relevant challenges encountered in the tendering process?
- Was the tendering process a burden for projects that required a fast implementation? (e.g. for Type 3. Social experimentation projects)
- Did you encounter any limitations in the call for grants/proposals to innovation and social experimentation?

Project design and rationale

These questions address project rationale and the changes the project aimed to bring about.

- Why did you choose this project to apply for EaSI-Progress funding?
- In which way your project targets the main objectives of EaSI-Progress axis?
- Were existing mainstream national/regional/local policies/provisions not sufficient to address the needs targeted by your EaSI-Progress project? Why?

Next questions linked to the type of project funded:

Type 1

- How can your project contribute to the objectives of the EaSI-Progress?
- What is the rational sequence explaining that developing the expected activities will generate the adequate knowledge to have the desired impact?

Type 2

- How can your project contribute to the objectives of the EaSI-Progress?
- What is the rational sequence explaining that developing the expected activities will generate the information sharing and mutual learning to have the desired impact?

Type 3

- How can your project contribute to the objectives of the EaSI-Progress?
- What is the rational sequence explaining that developing the expected activities will generate the information sharing and mutual learning to have the desired impact?

Type 4

- How can your project contribute to the objectives of the EaSI-Progress?
- How can the capacity improvement of a network contribute to EaSI-Progress objectives?

Assessment of the project

These questions address the implementation process of the project, including information about the resource allocation, activities implemented and coordination amongst the project partners. This will inform the evaluation insofar, as it will address all evaluation criteria regarding the project.

Relevance

In your view, what is the relevance of the project objectives considering the context in which the project operates, and the stakeholder needs?

- What would have happened in your project if it was not implemented?
- What do the different partners involved in the project contribute to the relevance of the results?

Type 1.

- How do you assess the quality of the products produced (analyses, studies and evaluations)?
- Are the products developed (analyses, studies and evaluations) of high quality?
- How do you ensure the quality of the products?
- How does the project guarantee that the products are going to be useful and linked to the needs to be addressed?

Type 2.

- How were the mutual learning and information sharing activities selected? How were participants selected?
- How were the needs identified in order to work on relevant topics of interest from participants?

Type 3.

- Were the effects expected from the social experimentation or innovation project relevant to other MS/organisations/sectors?
- Are the lessons learnt from this project relevant to others?

Type 4.

- Was the network composed by representative organisations at EU level?
- How much of the annual budget of the network was represented by EaSI-Progress grant?

Effectiveness

- Which activities were implemented?
- Were there any challenges during the implementation of activities? If so, to what did the challenges relate to?
- Were the planned changes achieved? If not, why?
- Describe the coordination process between project partners.
- Describe any difficulties and success factors in the relation between project partners.
- To what extent have horizontal issues (vulnerable groups, equality, non-discrimination, high level of quality and sustainable employment) been integrated in the project? Please provide examples.
- Have the stakeholders of the programme been effectively involved in the design and implementation of the project?
- If yes. How have they been involved?
- If not. Why have they not been involved?

Type 1.

- What products have been perceived by participants as more useful or addressing more accurately their needs?

Type 2.

- Were all participants actively involved in the mutual learning and information sharing activities?

Type 3.

- Were there barriers or issues in the implementation of the experimentation or innovative projects identified?

Type 4.

- Did the members of the network participate in the activities?
- What measures were carried out to increase the capacity of the network? Which ones were more effective?
- Has the EaSI-Progress contributed to increase the coverage of the network (extending the presence around EU Member States and to other countries)?

Efficiency

- Was the resource allocation sufficient for the aim of the project?
- Identify any specific challenges in the use of resources for the project.

Type 1.

- Are there any lessons learnt regarding the most efficient way to develop and disseminate knowledge?
- Are there any specific product or dissemination channel that is considered more efficient?

Type 2.

- Has the project identified those mutual learning activities that can obtain particularly positive results with less resources?

Type 3.

- In which way it was better to implement your project as a test/experiment instead of being implemented as a mainstream project/programme?

Type 4.

- Are there any lessons learnt on how networks can use more efficiently the resources to achieve the expected objectives? Are there any specific activities highlighted for being particularly efficient?
- Are there any decisions that can be made beforehand to prepare the organisation to maximise the benefits?

Coherence

These questions relate to the complementarity and coherence of the project and other policies at the EU, national, regional or local level.

- How are the project goals and actions linked to the policy framework at EU, national, regional or local level?
- Were authorities involved in the project and how?
- What could be done better at the EU level?
- What could be done better at the national / regional level?
- Do you know if other sources of funding exist at national, regional and local levels?
- If yes, which one and why did you apply for EaSI instead?
- How this project is interlinked with similar projects not supported by EaSI?

Type 1.

- How the project ensured that the different products developed are coherent overall?
- How are these products linked to the knowledge created by other organisations such as OECD or ILO / or network experts (such as the European Employment Policy Observatory or the European Social Policy Network)?
- Are the results obtained coherent with the specialised literature on the topic?

Type 2.

- How the mutual learning activities and information sharing projects contribute to the policy priorities at EU level?

Type 3.

- Was the experimentation project linked to the needs of other stakeholders that could be interested in implementing some of the results obtained?
- Was the project expected to produce an impacts linked to the EU policy priorities in the field?

Type 4.

- Are the networks supported representative of overall EU level?
- Are all networks supported contributing to similar objectives?

Results and benefits achieved

These questions address the projects results regarding their **effectiveness**.

- Were the objectives achieved? In which degree?
- Was there any difference in the activities? Were some activities more successful compared to others? If so, please explain why.
- Did the project obtain better results with certain target groups? Why?
- Were there any results and benefits that have occurred, but were not expected? Could you identify specific factors which you think are preventing the project in achieving its objectives?

Type 1.

- In which way the knowledge generated is being disseminated? What communication channels are used?
- Which communication channels are working better? Why?

Type 2.

- What products were created under the project to enhance the mutual learning process?
- How the information/guides or other products are produced disseminated in an accessible way?
- Has the project managed to create policy lessons from one European context to another?

Type 3.

- Are the results of the social experimentation being (or expected to) applied?
- Are the results of the experimentation being disseminated? How?

Type 4.

- Has the project improved the capacity of the network?
- Has the project increase the effectiveness of the network actions? In which way?

(Expected) impacts

These questions relate to the expected impacts resulting from the project (short, medium and long term) and address effectiveness.

- Which are the most significant impacts or benefits resulting from the project for EU policy makers, practitioners and the final beneficiaries?

- What are the most significant impacts on strengthening ownership among policy-makers at all levels, and produce concrete, coordinated and innovative actions?
- What are the most significant impacts on supporting the development of adequate, accessible and efficient social protection systems and labour market and facilitate policy reform?
- What are the most significant impacts regarding the improvement of EU legislation?
- What are the most significant impacts on the general public?

Type 1.

- How has the project contribute to generate knowledge supporting evidence-based EU policies and legislation?

Type 2.

- What are the most remarkable expected impacts of the project?

Type 3.

- What are the most useful results from the experimentation? (both positive and negative results)
- How has the dissemination of the results worked? Could this process be improved in some way?
- Are the results communicated in an accessible way?
- Are the results of the experimentation being communications and transfer to the right audiences?

Type 4.

- How can more a more effective network contribute to achieving the EaSI-Progress objectives?
- In which way the project contributed (or is expected to contribute) to improve EU legislation or policy reform?

EaSI added value

These questions address the added value of EaSI funding, compared to e.g. national funding.

- How satisfied were the stakeholders with the project management process in EaSI?
- Did EaSI cover their needs – in terms of finances and in terms of communication?
- Were they able to make the best use from EaSI? If not, an explanation of what was missing.
- In case of not receiving support from EaSI, would this project have been implemented? In which way?
- Do you know if other sources of funding exist at national, regional and local levels?
- To what extent has it been possible to draw on the experience of previous EaSI projects or other?
- Is the administrative burden of managing EaSI-Progress funding different to national/regional/local funding?
- Is there any mean of dissemination of the project activities and results to the stakeholders and to the public?

Type 1.

- What are the advantages and disadvantages of this project being implemented under the EaSI-Progress framework? (in terms of management, administration, content)
- Does the EaSI-Progress helps to improve the dissemination of the knowledge produced (in comparison with similar national projects)?

Type 2.

- Are there other examples of mutual learning and information-sharing actions in the same field (employment, social inclusion, social protection, and working conditions) apart from the EaSI-Progress initiative?
- What are the advantages and disadvantages of this project being implemented under the EaSI-Progress framework? (in terms of management, administration, content)

Type 3.

- Was your project innovative for other contexts?
- In which way (if any), being funded by the EaSI-Progress contributes the innovation side of the project?
- Are the innovative projects easier to transfer to other MS if they are funded by EaSI-Progress? Or the impact would be similar if funded by other European/national/regional/local initiative?

Type 4.

- What was the main value of receiving EaSI-Progress support?
- Would the network exist without EaSI-Progress support?
- In which way the network is improved due to EaSI-Progress support?

Sustainability

These questions address the continuing relevance of the project (and the relevant axis) as well as the innovation aspect of the project:

- How innovative were the implemented project activities?
- Is there a possibility to scale up the activities implemented in this project?
- What emerging trends could a possible follow-up project capture?

Type 1.

- Are the products developed providing information relevant in the long-term?
- Are these products based in sound evidence and seen as a reference by relevant stakeholders?

Type 2.

- How is the knowledge generated by the project stored, managed and made accessible?
- Which type of activities have been developed as a consequence of the planned actions of the project?
- Are these activities expected to continue after the end of the project?

Type 3.

- Are the results of the experimentation projects made available and accessible for the targeted audience?
- Do the results of this project generated/has produced effects in other MS/organisations/projects?

- At the end of the financial support, would the project be able to continue (if it was meant to)? Would it be absorbed by mainstream policies? Would it be closed down?

Type 4.

- Are the supported networks able to obtain financial support from other sources?
 - What would be the future of the network if the EaSI-Progress funding is no longer provided?
 - Is the EaSI-Progress support financing the structure of the network or specific projects within the network?
-

Questionnaire EURES

Overview of the project

The aim of these questions is to fill in gaps about the main projects characteristics. Ideally these will be available from the project documentation. Missing information should be clarified with the interviewee.

Application procedure

The aim of these questions is to understand the rationale of the beneficiaries to participate in this particular project financed by EURES. It will address the **relevance** of EURES.

- How did you find out about the call for proposals relevant for your project?
- What was the rationale behind the application for a grant by EURES?
- Did you have previous experience in applying for similar grants?
- Were there any relevant challenges to design the proposal?
- Were the instructions in the call for proposal clear? If not, why? What changes would you welcome?

Tendering process

The questions shall address the tendering process and any challenges the beneficiary encountered during this process. Also the support given to the beneficiaries is analysed.

- How did the application process work / which steps did you take?
- What support did you receive during the tendering process? How did you perceive the support? Was it sufficient? If not, why?
- Were there any relevant challenges encountered in the tendering process?

Project design and rationale

These questions address project rationale and the changes the project aimed to bring about.

- Why did you choose this project to apply for EURES funding?
- What were the main objectives of the project?
- What activities did you develop?
- What impacts did you expect?
- What were the changes in the field of xx [include here main field of project] that you wanted to achieve?

Assessment of the project

These questions address the implementation process of the project, including information about the resource allocation, activities implemented and coordination amongst the project partners. They address all evaluation criteria.

Relevance

- In your view, what is the relevance of the project objectives considering the context in which the project operates,
- What is the relevance of the project objectives considering the stakeholder needs?

Effectiveness

- Which activities were implemented? [project design and rationale]
- Were there any challenges during the implementation of activities? If so, to what did the challenges relate to?
- Were the planned changes achieved? If not, why? [project design and rationale]?
- To what extent have horizontal issues (vulnerable groups, equality, non-discrimination, high level of quality and sustainable employment) been integrated in the project? Please provide examples.
- Describe the coordination process between project partners.
- Describe any difficulties and success factors in the relation between project partners.
- Have the stakeholders of the programme been effectively involved in the design and implementation of the project?
 - If yes. How have they been involved?
 - If not. Why have they not been involved?
- What external factors have influenced project outputs?

Efficiency

- Was the resource allocation sufficient for the aim of the project?
- Identify any specific challenges in the use of resources for the project.

Coherence

These questions relate to the complementarity and coherence of the project and other policies at the EU, national, regional or local level.

- How are the project goals and actions linked to the policy framework at EU, national, regional or local level? [identify policy framework through desk research]
- Were authorities involved in the project and how?
 - What could be done better at the EU level?
 - What could be done better at the national / regional level?
- Do you know if other sources of funding exist at national, regional and local levels?
 - If yes, which one and why did you apply for EaSI instead?

Results and benefits achieved

- Were the objectives achieved? In which degree?
- What have been qualitative and quantitative changes/effects of the project interventions?
- Was there any difference in the activities? Were some activities more successful compared to others? If so, please explain why.
- Did the project obtain better results with certain target groups? Why?
- Which are the most significant advantages and benefits of your project for: the final beneficiaries of EURES (jobseekers), EU policy makers and practitioners?
- Were there any results and benefits that have occurred, but were not expected?

EaSI added value

These questions address the added value of EaSI, compared to e.g. national funding.

- How satisfied were you with the project management process in EURES?
- Did EURES cover your needs – in terms of finances and in terms of communication?
- Were you able to make the best use from EURES? If not, an explanation of what was missing.
- In case of not receiving support from EURES, would this project have been implemented? In which way?
- Is there any mean of dissemination of the project activities and results to the stakeholders and to the public?

Sustainability

These questions address the continuing relevance of the project (and the relevant axis) as well as the innovation aspect of the project:

- How innovative were the implemented project activities?
 - Is there a possibility to scale up the activities implemented in this project?
 - Have some activities been scaled up?
 - Which have not been yet scaled up and why?
 - What emerging trends could a possible follow-up project capture?
-

Questionnaire Microfinance

I About you

- Please introduce yourself and the organisation.
- In which country/countries have you supported final beneficiaries in the framework of EaSI?

II Application procedure and rationale

The aim of these questions is to understand the rationale of the financial intermediaries to participate in this particular project financed by EaSI – Microfinance/Social Entrepreneurship. It will inform the evaluation insofar, as it will address the relevance of the EaSI - Microfinance/Social Entrepreneurship axis analysed.

- How did you find out about the call for expression of interest relevant for your organisation?
- What was the rationale behind the application for the EaSI Guarantee Instrument? Why did you choose this project to apply?
- Did you take part in EU funded financial instruments schemes prior to EaSI?
- Were there any relevant challenges to design the proposal?
- Were the instructions in the call for proposal clear? If not, why?
- What changes would you welcome?

Tendering process

- The questions shall address the tendering process and any challenges the beneficiary encountered during this process.
- How did the application process work / which steps were taken?
- What support was given during the tendering process? How was the support perceived? Was it sufficient? If not, why?
- Can you describe the challenges encountered in preparing the application?
- What suggestions would you have to facilitate the application process?
- What could be improved in the management of the applications?

EaSI - Microfinance/Social Entrepreneurship added value

- How satisfied were you with the project management process in EaSI - Microfinance/Social Entrepreneurship axis? Were you able to make the best use from the EaSI Guarantee Instrument? If not, please provide an explanation of what was missing.
- Is there any mean of dissemination of the activities and results to the stakeholders and to the public?
- How would you assess the importance of EaSI as an umbrella programme for your specific project?
- Did you experience a difference in management/resource allocation in the EaSI Guarantee Instrument compared to the former Progress Microfinance programme?
- In case of not receiving support from EaSI, would similar support to microenterprises been provided? In which way (e.g. similar sources of funding at national, regional and local levels) How is EaSI being inserted in the other guarantees scheme available in your country? Are there any national or regional similar actions promoting access to finance for Social enterprises/micro-borrowers in the countries where you operate?

III Assessment of the project

These questions address the implementation process of the project, including information about the resource allocation, activities implemented and coordination amongst the project partners. This will inform the evaluation insofar, as it will address all evaluation criteria regarding the project.

Relevance

- In your view, do the Final Beneficiaries (Social enterprises/ micro borrowers) have a sufficient access to debt finance?
- If no, what are the main difficulties they are facing?
- To what extent, do you consider that the EaSI Guarantee Instrument promotes the reduction of these difficulties?
- Compared to your expectations in terms of portfolio volume to be guaranteed, do you think that enough budget has been made available to your institution via the EaSI programme?
- What is the relevance of the EaSI Guarantee Instrument considering the context in which the instrument operates, and the stakeholder needs?

Coherence

- How are the project (i.e. Financial Instrument) goals and actions linked to the policy framework at EU, national, regional or local level?
- Were authorities involved in the project and how?

Effectiveness and efficiency

- Were all planned activities 2015- 2016 implemented? Were there any challenges during the implementation of the planned activities? If so, to what did the challenges relate to?
- Was there any difference in the activities? Were some activities more successful compared to others? If so, please explain why.
- Was the resource allocation sufficient for the aim of the project? Identify any specific challenges in the use of resources for the project.

Results and benefits achieved

- Were the planned changes/results achieved? In which degree? If not, why?
- Did the project obtain better results with certain target groups? Why?
- Were there any results and benefits that have occurred, but were not expected?

- To what extent have horizontal issues (vulnerable groups, equality, non-discrimination, high level of quality and sustainable employment) been integrated in the project? Please provide examples.

(Expected) impacts

Which are the most significant impacts or benefits resulting from the EaSI Guarantee Instrument for EU financial intermediaries, the final beneficiaries and the general public (if any)?

Sustainability

- How innovative were the implemented support activities? Could you provide examples?
- Is there a possibility to scale up the activities implemented in this project?
- What emerging trends could a possible follow-up project capture?
- Is there any mean of dissemination of the project activities and results?

IV Additional information / documentation

- Could you provide us with additional documentation regarding your project, i.e. draft final report, evaluation reports?
- Could you provide us with contact details of key stakeholders of the project?
- Do you have any additional comments?

V Code (only for microfinance providers)

- Have you started the implementation of the Code of Good Conduct? Did you encounter any difficulties in the implementation?
- In your opinion, what are the main benefits of implementing the Code?

Questionnaire Social Entrepreneurship

I About you

- Please introduce yourself and the organisation.
- In which country/countries have you supported final beneficiaries in the framework of EaSI?

II Application procedure and rationale

The aim of these questions is to understand the rationale of the financial intermediaries to participate in this particular project financed by EaSI – Microfinance/Social Entrepreneurship. It will inform the evaluation insofar, as it will address the relevance of the EaSI - Microfinance/Social Entrepreneurship axis analysed.

- How did you find out about the call for expression of interest relevant for your organisation?
- What was the rationale behind the application for the EaSI Guarantee Instrument? Why did you choose this project to apply?
- Did you take part in EU funded financial instruments schemes prior to EaSI?
- Were there any relevant challenges to design the proposal?
- Were the instructions in the call for proposal clear? If not, why?
- What changes would you welcome?

Tendering process

The questions shall address the tendering process and any challenges the beneficiary encountered during this process.

- How did the application process work / which steps were taken?

- What support was given during the tendering process? How was the support perceived? Was it sufficient? If not, why?
- Can you describe the challenges encountered in preparing the application?
- What suggestions would you have to facilitate the application process?
- What could be improved in the management of the applications?

EaSI - Microfinance/Social Entrepreneurship added value

- How satisfied were you with the project management process in EaSI - Microfinance/Social Entrepreneurship axis? Were you able to make the best use from the EaSI Guarantee Instrument? If not, please provide an explanation of what was missing.
- Is there any mean of dissemination of the activities and results to the stakeholders and to the public?
- How would you assess the importance of EaSI as an umbrella programme for your specific project?
- In case of not receiving support from EaSI, would similar support to social enterprises been provided? In which way (e.g. similar sources of funding at national, regional and local levels)? How is EaSI being inserted in the other guarantees scheme available in your country? Are there any national or regional similar actions promoting access to finance for Social enterprises in the countries where you operate?

III Assessment of the project

These questions address the implementation process of the project, including information about the resource allocation, activities implemented and coordination amongst the project partners. This will inform the evaluation insofar, as it will address all evaluation criteria regarding the project.

Relevance

- In your view, do the Final Beneficiaries (Social enterprises) have a sufficient access to debt finance?
- If no, what are the main difficulties they are facing?
- To what extent do you consider that the EaSI Guarantee Instrument promotes the reduction of these difficulties?
- Compared to your expectations in terms of portfolio volume to be guaranteed, do you think that enough budget has been made available to your institution via the EaSI programme?
- What is the relevance of the EaSI Guarantee Instrument considering the context in which the instrument operates, and the stakeholder needs?

Coherence

- How are the project (i.e. Financial Instrument) goals and actions linked to the policy framework at EU, national, regional or local level?
- Were authorities involved in the project and how?

Effectiveness and efficiency

- Were all planned activities 2015- 2016 implemented? Were there any challenges during the implementation of the planned activities? If so, to what did the challenges relate to?
- Was there any difference in the activities? Were some activities more successful compared to others? If so, please explain why.
- Was the resource allocation sufficient for the aim of the project? Identify any specific challenges in the use of resources for the project.

Results and benefits achieved

- Were the planned changes/results achieved? In which degree? If not, why?

- Did the project obtain better results with certain target groups? Why?
- Were there any results and benefits that have occurred, but were not expected?
- To what extent have horizontal issues (vulnerable groups, equality, non-discrimination, high level of quality and sustainable employment) been integrated in the project? Please provide examples.

(Expected) impacts

- Which are the most significant impacts or benefits resulting from the EaSI Guarantee Instrument for EU financial intermediaries, the final beneficiaries and the general public (if any)?

Sustainability

- How innovative were the implemented support activities? Could you provide examples?
- Is there a possibility to scale up the activities implemented in this project?
- What emerging trends could a possible follow-up project capture?
- Is there any mean of dissemination of the project activities and results?

Annex 3.6. Beneficiaries' survey approach

Testing and validation of the survey

With regard to the survey testing we followed the approach outlined in the proposal in section 5.4.2 and test prospective respondents' understanding of questions before fieldwork goes live. We have tested the survey with 21 respondents. The testers included beneficiaries and representatives of governmental agencies and organisations familiar with EaSI and its axes.⁵ As outlined in the proposal, we tested in particular:

- Time taken to complete the questionnaire;
- Comprehension of questions: What does the respondent think the question is asking? What do the terms mean to them? Do they fully understand the questions and interpret them as we expect?
- Retrieval of information: The ease of recall of information; what processes do respondents use to recall information?
- Decision/ judgment process: Is the respondent sufficiently engaged in the survey to make the mental effort to answer accurately?
- Response process: How do respondents map their 'top of mind' answers to questions against the response pre-codes in the questionnaire? Is anything missing from the pre-codes?

We have gathered all comments made by respondents and adapted the survey accordingly. The survey was amended following comments from testers from 21 organisations. These comments are summarised in the table below:

| Question | Comment | Action |
|-----------------|---|--|
| General comment | <p>As General Conclusions: - The prediction of 15 minutes to complete the survey is very optimistic. It has been needed more than that.</p> <p>- There is not an introduction to the survey indicating what is it trying to evaluate or its goal.</p> <p>- The survey in general seems to be aimed at multiple profiles, and in many cases, to be oriented to an evaluator profile with a wide knowledge of the EaSI program as a whole, as well as the policies and funding existing, and not to a partner participating in a project approved. The majority of the questions are not related to the experience as an entity participating in a project. In some cases, the survey goes from questions that requires information from the point of view of an organization participating in a project, but it is not specified properly. There is difficulty on understanding the questions and knowing if it aims to a general opinion from an organization participating in the project or from the point of view of the management of a project. - To test the suitability of the content and the navigability of the application we have been completing some of the questions</p> | <p>ICF team has agreed to give respondents an option whether they want to answer for project / programme. Routing has been added</p> |

⁵ Representatives from the following organisations participated in the testing: Caritas, Eurocities, Picum, Eurodiaconia, Coface, ESN, Solidar, Ergonetwork, Ensie, Easpd, Eapn, EPR, European Microfinance, Microfinance Centre, Eurochild, Eurohealthnet, Feantsa, Evpa, Regional Governments of Spain, Italy and Lithuania.

| | | |
|---|---|---|
| 2) Please select your country of residence: | For EU NGOs you should include EU as a 'country' | ICF team does not think this is needed need, because the NGO is based somewhere in one country in the EU. This question is only about the technical residence. The main questions about type of NGOs is below. There we can make the distinction to EU level and national NGOs (as Simon did already) |
| 3) Please indicate your type of organisation: | I would make a distinction between European level NGOs and national NGOs | Spilt NGOs by into two categories: -European non-governmental organisations -National non-governmental organisations |
| 4) At which level is your organisation active? | - It is possible to select only one answer. - Here I would appreciate to have the chance to better specify the level with some more information. Furthermore there's written to "select all relevant answer" but it is possible to select only one answer. | -Now multiple choice. - The second point I would recommend we not add in a text option as I don't think it will add anything to the analysis. |
| <p>Include a question on whether the respondents want to answer the questions for their project or for the programme:</p> <p>Please indicate whether you want to answer the questions related to the EaSI programme or to the project(s) you developed with EaSI funding:</p> <p>I want to answer the questions related to the EaSI Programme.</p> <p>I want to answer the questions based on the experience I have with project(s) I developed with EaSI funding.</p> <p>Note: this is single choice</p> | | |
| 6) What types of activities were you able to develop in your EaSI-PROGRESS project? | Does this include activities aimed at influencing and informing policy and decision making? | ICF team will add a specific option for activities aimed at influencing and informing policy and decision making |
| 7) Did the activities in your EaSI-PROGRESS project target the following 'intermediate target groups': | - I would add social services providers and social workers - I would add social services providers and social workers as the previous comment | Added. |

| | | |
|---|--|--|
| <p>8) Did the activities in your EaSI-PROGRESS target the following 'final target groups':</p> | <p>I would better specify "young people (< 30)" adding f.i. the school age</p> | <p>Disagree</p> |
| <p>17) In your opinion, what are, in order of importance, the five main challenges you identify at the EU level in the fields of employment, social affairs and inclusion?</p> | <p>- all options should be visible on 1 screen. 1 question = 1 screen - I don't think these are challenges but rather priorities - The previous questions were in reference to the project to which you belong and has been approved, and the following question is in terms of challenges at a European level referring to the axes covered by the EaSI program in general. Seems like a question directed to a profile different than a partner from an approved project. Is it of interest the opinion of any profile? When the question ask for your opinion, is it as a "personal" level? When responding as a company, does it have to be the opinion of the entire company?. In this question it is not clear from what point of view it has to be responded</p> | <p>- I think the first point must be a mobile user. - Disagree with the second point, but have altered a couple to make them sound more like challenges</p> |
| <p>18) Please select three areas the EaSI axes (PROGRESS, EURES, Microfinance/Social Entrepreneurship) should prioritise.</p> | <p>- this seems quite repetitive with the previous questions - This question requires information about the main axes of the program that can be responded as the opinion of the entity, but since the question is made in terms of all the axes of the program, it is necessary to have more and more concrete knowledge of the program in general and other programs that could cover those axes in case that the EaSI program didn't covered them, therefore it is not possible to evaluate it as a partner of a project. Seems like the question is directed to a different evaluator profile.</p> | <p>Disagree. We will keep the question as it is</p> |
| <p>18) a (qual. answer)</p> | <p>"Stands for?"</p> | <p>Fixed.</p> |
| <p>19) Please rate the relevance of the project supported by the EaSI Programme for your organisational activities?</p> | <p>-There is no difference between the first and third sentence. One would be enough, for instance: "Does it have any implication in the work plan of your organization? The answer "no opinion" does not seem very accurate, maybe "Neutral" would be a better option. The following question also appears if at the beginning it was selected the option of "as an individual"; Maybe it should not be applied in that case since it asks about the importance of the program for your organization. There is no option of unchecking a bottom or undo/clear the selection made - i think this can be converted into 1 question - E@SI is essential for our work plan, very important, important, has no implication -I agree with previous comment. One question would be enough.</p> | <p>One question would be enough</p> |

| | | |
|---|--|---|
| <p>20) What is your experience with EaSI application and selection procedures?</p> | <p>There is no space where to specify what is considered under other. For example, application form could be more structured.</p> | <p>There is routed text box, reviewer did not select the option.</p> |
| <p>21) Overall, for achieving the project objectives, do you think the financial support provided is:</p> | <p>- question is unclear if your referring only to the amount or the way the financial support is provided</p> <p>- In question 13, the answers "Requires minor modifications" – "Requires major changes" are not clear enough. Maybe it would be better to eliminate them and leave the other three options.</p> <p>- No clear what "financial support provided" stands for...</p> | <p>ICF to clarify the question by adding "financial support provided by EaSI"</p> |
| <p>Page 12: Evaluation criteria</p> | <p>I think you know, but here there're no questions to answer... maybe it's only my "display" problem</p> | <p>Fixed</p> |
| <p>Q22) Has there been sufficient involvement of stakeholders in the programming and implementation of?</p> | <p>- something missing here 'implementation of'...</p> <p>- it is not clear if is referring to the program in general or to the approved project. If it refers to the program in general, it would be to a profile different than a partner of the approved project who should evaluate the involvement of the main actors. If it refers to the approved project, the question should be clearer.</p> | <p>Amended to: Has there been sufficient involvement of stakeholders in the programming and implementation?</p> |
| <p>Q23) To what extent do you agree with the following statements concerning the effectiveness of PROGRESS activities?</p> | <p>- Does "the activities" refer to the organisation's activities or all activities that can be financed by PROGRESS? Not clear Point 11: "Improved other initiatives". Would be better to write "influenced" instead of "improved"</p> <p>- modernisation.... NGOs) - does operating costs to NGOs mean effectiveness? would rather suggest "capacity of stakeholders and governments to meaningfully engage around policy-making"</p> <p>- It refers to the different axes of the program, not only the one of the project approved, which is the one known by the organization. It is a question that needs to be answered by an evaluator profile. Otherwise, it should specify that if it is responded by an organization that participates in a project, it should be evaluated only the axe where the project is involved, since there is no knowledge enough to evaluate the other axes.</p> | <p>ICF will keep this question at the programme level and will add a question at the project level</p> |
| <p>Q26) Does the current EaSI programme allow for effective upscaling of interventions and for follow-</p> | <p>It is not clear enough if it is referred to the program in general or the project approved. If it is referred to the project, we are currently at a stage when changes cannot be still evaluated</p> | <p>ICF will keep this question at the programme level and will add a question at the project level</p> |

| up conditions and mechanisms? | | |
|---|---|---|
| 27) What have been - at this stage of the implementation - the qualitative and quantitative changes/effects of the interventions? | <ul style="list-style-type: none"> - The formulation is not clear - It is not clear enough if it is referred to the program in general or the project approved. If it is referred to the project, we are currently at a stage when changes cannot be still evaluated - I can evaluate only project stage. Of course when the project is still under implementation it is hard to evaluate intervention. It should be considered if this kind of question is relevant for mid-term evaluation. - I agree with previous comments. it is not clear the formulation and It should be considered if this kind of question is relevant for mid-term evaluation. | ICF will keep this question at the programme level and will add a question at the project level |
| 28) To what extent can these changes/effects be credited to the interventions? | Same points as for 27 | ICF will keep this question at the programme level and will add a question at the project level |
| 29) In your opinion what are the main barriers encountered (if any) to reach the goals of the project you developed or were responsible for? | <ul style="list-style-type: none"> - 1st statement - not flexible to include all types of projects - unclear - the question refers to 'the' project - 1st point: it is normal that EaSI cannot cover all types of projects -It seems that the question is referred to the difficulties faced in the execution of the project in order to achieve the goals. Therefore, some of the options, such as the first one wouldn't make much sense. The question is not clear enough -you gave the possibility to specify other barriers encountered below. I do not find the space where to specify. | ICF will keep this question at the programme level and will add a question at the project level |
| 31) To what extent is EaSI coherent and complementary with: | <ul style="list-style-type: none"> - EFSI is missing -The answer "No opinion" doesn't seem to fit, it would be better "Neutral" -I think the question should be about project not programme. | ICF will keep this question at the programme level and will add a question at the project level |
| 32) Did the merging of the three previous programmes PROGRESS, EURES and PROGRESS micro-finance improve EaSI internal/external consistency, complementarit | <ul style="list-style-type: none"> -could add if the merging had no impact - again could this be distilled into 1 question? - In our opinion, we cannot respond to question 22. It should be responded by a different evaluator profile - I think it's not an appropriate question for this type of test. | ICF will keep this question at the programme level and will add a question at the project level |

| | | |
|--|---|--|
| <p>y and flexibility?</p> | <p>34) To what extent do you agree with the following statements concerning the EU-added value of EaSI and its three axes (Progress, Eures, Microfinance/Social Entrepreneurship)?</p> <p>-this seems quite repetitive with earlier questions - is long & could dissuade respondents from participating</p> <p>-It is requested to evaluate all the aspects of the EaSI programme. From our project partner profile we can assess only some of the points. The rest has not any relation with the project</p> | <p>ICF will keep this question at the programme level and will add a question at the project level</p> |
| <p>35) What would be the most likely consequences in the fields of employment, social affairs and inclusion if the EaSI programme was discontinued?</p> | <p>-Question/options not neutral. Should be better framed.</p> <p>- extremely difficult if not impossible to predict - more direct consequences would be easier to measure - e.g. lack of legitimacy of EU to work on social policy; difficult to monitor how EU social policies / EU funding measures are implemented....</p> <p>- In general, it is understood that in those areas where the programme acts as a tractor, they would suffer the consequences and impacts of the programme's discontinuity. From the point of view of partner of a project we do not have enough capacity to assess the impact of the program as a whole</p> <p>- I agree with the previous comment; " From the point of view of partner of a project we do not have enough capacity to assess the impact of the program as a whole"</p> | <p>ICF will keep this question at the programme level and will add a question at the project level</p> |
| <p>36) How satisfied are you with dissemination activities and the quality of content disseminated?</p> | <p>-Not clear if the question is about programme? Dissemination activities by whom?</p> <p>- There should be greater dissemination of the programme in terms of its objectives, strategic orientations and conclusions drawn from the good practices obtained, allowing the potential proposals to analyse the fundamental lines in order to seek synergies and approaching to the European guidelines</p> <p>- Not clear. Are you asking about our dissemination activities? For us, this should be a mid-term evaluation, so we still cannot evaluate our disseminations activities</p> | <p>ICF will keep this question at the programme level and will add a question at the project level</p> |
| <p>38) Through which channels would you prefer to</p> | <p>- The option "Other" doesn't allow to write any suggestion.</p> <p>- where could I specify other options?</p> | <p>Added.</p> |

**receive
information
about results of
EaSI activities?**

Survey questionnaire

All further information related to the survey are available here:

<http://ec.europa.eu/social/main.jsp?langId=en&catId=89&newsId=2721&furtherNews=yes>

The questionnaire is available here (please double click on the document below to open the survey questionnaire):

EaSI survey

Introduction

Information

Logic: Show/hide trigger exists.

1) I am responding as:*

- as an individual
- on behalf of my organisation

Logic: Show/hide trigger exists.

2) Please indicate in which capacity you will be answering the survey:*

- I want to answer the questions related to the EaSI Programme
- I want to answer the questions based on the experience I have with project(s) I developed with EaSI funding

3) Please select your country of residence:

- Albania
- Austria
- Belgium
- Bosnia and Herzegovina
- Bulgaria
- Croatia
- Cyprus
- Czech Republic

Annex 4 PROGRESS

Annex 4.1. Effectiveness

Topic 4 Effectiveness in generating outcomes and achieving objectives

Figure 4. Outcomes in 2014-2016

| | Employment | Social protection and inclusion | Working conditions | Cross-cutting issues | Total |
|--|------------|---------------------------------|--------------------|----------------------|-------|
| Funding of evidence-based EU policies and legislation | | | | | |
| Planned commitments | € | 51,101,593.00 | | | |
| Actual (individual) commitments | € | 30,771,155.47 | | | |
| Implementation rate (%) | | 60% | | | |
| Number of analytical outputs (2014-2016) | | | | | |
| Surveys, studies, analyses and reports | 50 | 474 | 15 | 16 | 555 |
| Qualitative and quantitative databases developed or maintained | 2 | 3 | 4 | 2 | 11 |
| Methodologies, classifications, micro-simulations, indicators and benchmarks | 3 | 2 | 1 | 3 | 9 |
| Monitoring and assessment reports on the transposition and application of EU law | 0 | 0 | 4 | 0 | 4 |
| Evaluations and impact assessment reports | 1 | 0 | 1 | 0 | 2 |
| % of stakeholders not aware of outputs (2015-16) | | | | | |
| Surveys, studies, analyses, monitoring and assessment reports | 7% | 10% | 9% | | |
| Common methodologies, classifications, micro-simulations, indicators, benchmarks | 11% | 19% | 15% | | |
| Monitoring good practices in the areas of employment, social affairs and inclusion | 15% | 14% | | | |
| Good practice guides, reports, educational material, communication and media | 21% | 20% | 17% | | |
| % of stakeholders considering analytical outputs as helpful (2015-16): | | | | | |
| Surveys, studies, analyses, monitoring and assessment reports | 90% | 85% | 87% | | |
| Common methodologies, classifications, micro-simulations, indicators, benchmarks | 85% | 76% | 82% | | |
| Monitoring good practices in the areas of employment, social affairs and inclusion | 82% | 81% | | | |
| Good practice guides, reports, educational material, communication and media | 73% | 72% | 82% | | |
| % of stakeholders stating that the EU/Commission is a source of useful and reliable information/knowledge in the field of employment and social affairs | | | | | |
| 2015-2016 | 89% | 87% | 88% | | 89% |
| Ch. 2015-2016 compared to 2014 | ▲ 5 | ▲ 5 | ▲ 8 | | ▲ 5 |
| % of stakeholders acknowledging that EU employment and social policy and legislation is based on evidence | | | | | |
| 2015-2016 | 79% | 75% | 80% | | 78% |
| Ch. 2015-2016 compared to 2014 | ▲ 7 | ▲ 10 | ▲ 9 | | ▲ 7 |

Source: European Commission. (2015). *Performance Monitoring Report of the European Union Programme for Employment and Social Innovation (EaSI) 2014*. European Commission. (2017). *Performance Monitoring Report of the European Union Programme for Employment and Social Innovation (EaSI) 2015-2016*.

Annex 4.2. Coherence

Topic 10 Coherence with other EU interventions

The following table presents the coherence of the PROGRESS axis with other EU interventions.

Table 10. Other EU initiatives at EU-level compared with EaSI PROGRESS axis

| | EaSI PROGRESS | COSME ^{6 7 8} | ESF ⁹ | HORIZON 2020 ¹⁰ | ERASMUS+ ¹¹ |
|------------|---|--|---|--|--|
| Objectives | Strengthen the ownership among policy-makers across different levels of governance (EU, National, regional and local) through concrete and innovative actions involving different stakeholders (public/private, social partners, NGOs); ¹² Support <i>developed, adequate, accessible and efficient social protection systems</i> | To support: -better access to finance for SMEs; -access to markets for SMEs; -entrepreneur-ship (especially specific groups such as young people, women and senior entrepreneurs); -more favourable conditions for business creation and growth. | Promote employment and supporting labour mobility; Promote social inclusion and fight poverty; Invest in education, skills and lifelong learning; Enhance institutional capacity and an efficient public administration. | Promote a smart, green and integrated transport system; Secure a clean and efficient energy | The Erasmus+ Programme aims to contribute to the achievement of: -the objectives of the Europe 2020 Strategy, ; -the objectives of the strategic framework ET 2020; -the sustainable development of Partner Countries in the field of higher education; -overall objectives of the renewed framework for European cooperation in |

⁶ COSME. (2017). COSME financial instruments. Retrieved from https://ec.europa.eu/growth/access-to-finance/cosme-financial-instruments_en

⁷ COSME. (2017). COSME. Retrieved from <https://ec.europa.eu/easme/en/cosme>

⁸ COSME. (2017). COSME. Europe's programme for small and medium-sized enterprises. (2017, 01 June). Retrieved from <http://ec.europa.eu/growth/smes/cosme/>

⁹ European Commission. (2017). European Social Fund website. Retrieved from http://ec.europa.eu/regional_policy/en/funding/social-fund/

¹⁰ European Commission. (2017). INEA website. Retrieved from <https://ec.europa.eu/inea/en/mission-objectives>

¹¹ European Commission. (2017). Erasmus+ website. Retrieved from https://ec.europa.eu/programmes/erasmus-plus/programme-guide/part-a/objectives-and-important-features/general-objective_en

¹² Regulation (EU) No 1296/2013, Article 4 (a).

| | EaSI PROGRESS | COSME^{6 7 8} | ESF⁹ | HORIZON 2020¹⁰ | ERASMUS+¹¹ |
|--|---|------------------------------|------------------------|----------------------------------|---|
| | <p><i>and labour</i> markets through mutual learning and social innovation;¹³</p> <p>Ensure a proper application / transposition of EU law across Member State and contribute to modernising Union law in line with decent work principles¹⁴.</p> | | | | <p>the youth field (2010-2018);</p> <p>-the objective of developing the European dimension in sport;</p> <p>-the promotion of European values in accordance with Article 2 of the Treaty on the European Union.</p> |

¹³ Regulation (EU) No 1296/2013, Article 4 (b).

¹⁴ Regulation (EU) No 1296/2013, Article 4 (c).

Annex 4.3. EU Added Value

Topic 13 Communication of the EU added value

Table 11. Examples of case studies on communication of the EU added value

| Case study | Country | Communication of the EU added value |
|--|--|---|
| Share wave 6 Call for proposals reference: VP/2014/006 Contract identification reference: VS/2015/0193 | Croatia | They were satisfied with debates and dissemination activities which help them to engage with national stakeholders. |
| INNOVCare Call for proposals reference: VP/2014/008 Contract identification reference: VS/2015/0249 | EU-wide partnership: Spain, Romania, Sweden, France, Austria and Slovenia | The dissemination and communication activities were crucial for the networking events and to strengthen visibility. |
| Eurocarers Call for proposals reference: VP/2014/009 Contract identification reference: VP/2014/009 | Luxembourg/E U-level | There were no other available funding at country level to support communication and dissemination of an EU wide initiative with a Brussels based secretariat. |
| Nowcasting Call for proposals: VP/2014/006 Contract identification reference: VS/2015/0179 | Belgium | The dissemination of this data tool is helping to make it more visible and increase its demand and use from other Member States. |
| PICUM Call for proposals reference: VP/2014/009 Contract identification reference: VS/2014/0505 | 24 EU MS plus 7 other countries | The communication and dissemination activities were key to coordinate an EU-wide network. across different Member States and at national level. |
| Posting of Workers Call for proposals reference: VP/2014/007 Contract identification reference: VS/2015/0055 | Lithuania, Estonia and Latvia | The public conferences and dissemination activities help to give more visibility across the Member States involved in the project. |

Source: EaSI case study report.

Annex 5 EURES

Annex 5.1. Effectiveness

Topic 4 Effectiveness in generating outcomes and achieving objectives

Your first EURES job (YfEj)

The targeted mobility scheme, which was continued after the success of the preparatory action aims to foster the exercise of workers' freedom of movement and to contribute to filling hard to fill vacancies with available youth workforce at EU EFTA/EEA20 level. Two calls for proposals have been issued in the analysed period leading to four YfEj projects. The implementation of YfEj started in February 2015, with the latest projects commencing in February 2017 (see Table 12).

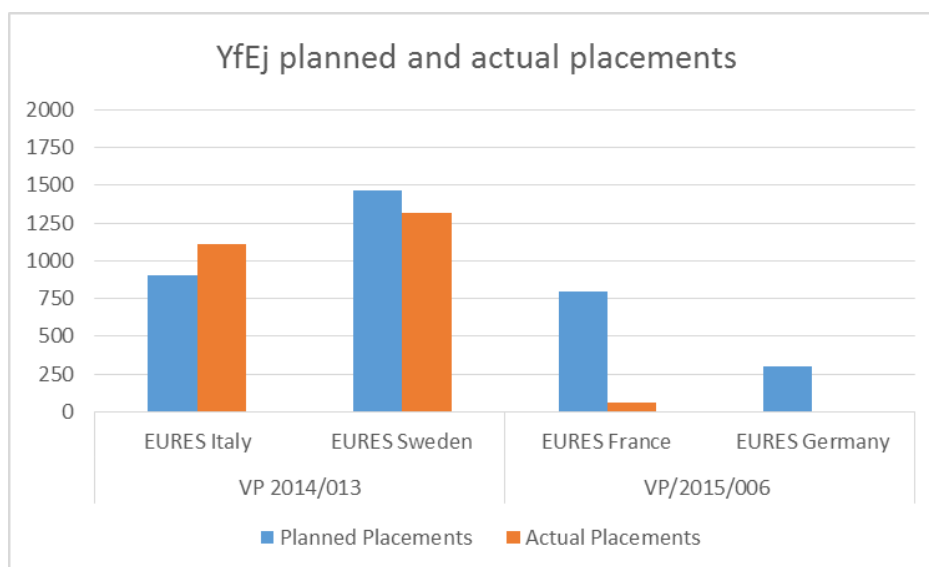
Table 12. YfEj calls for proposal issued and placements made

| Calls for proposals | Placement goals in the call for proposal | Number of Projects | Placement project goals | Actual placements | % of target reached |
|---------------------|--|------------------------------|--|---|---------------------------|
| VP/2014/013 | 1 800 | 2 (EURES Italy and Sweden) | 2 370 (900 EURES Italy and 1470 Sweden) | 2428 (1111 EURES Italy and 1317 Sweden) | Exceeded target by 3% |
| VP/2015/006 | 2 500 | 2 (EURES Germany and France) | 1 100 (800 EURES France and 300 Germany) | 59 ¹⁵ (EURES France only) | Reached only 5% of target |

Source: YfEj monitoring reports 2015, 2016, 2017

Figure 5 below shows an overview of all placement results for the YfEj project implemented so far and reported in the monitoring reports.

Figure 5. YfEj planned and actual placements



Source: ICF, based on YfEj monitoring reports

¹⁵ Please note that as of February 2017, the number of placements reported by EURES France is 90 (based on interviews with the project coordinator). This number is likely to change as both projects are still being implemented and are due for completion by November 2017 and September 2018, respectively.

Cross border partnerships and EU mobility in EEA

Table 13 below shows the main results implemented by the three projects.

Table 13. Deliverables of projects focussing on intra-EU mobility for EEA countries

| Deliverables | Norway | Iceland | |
|--|---|---|---|
| | VS/2015/0188 ¹⁶ | VS/2015/0269 ¹⁷ | VS/2015/0271 |
| Number of placements | Goal: n/a | Goal: outgoing: 300 incoming: 2000. | Goal: 100 incoming |
| | Total placements: 914 from EU/EEA to Norway 83 jobseekers from Norway to EU/EEA | Total placements: outgoing: 219 incoming: 1195 incoming | Total placements: 268 ¹⁸ |
| Number of contacts with EURES staff | Total contacts: 21609 with jobseekers 27241 with other stakeholders | Total contacts: 282888 with jobseekers 30171 with other stakeholders | n/a |
| | 1025 phone calls and 2860 emails and 337 chats | 1704 phone calls and 5339 emails and 490 chats from the EU/EEA area. | |
| Advertised positions through EURES | n/a | n/a | Goal: 200 Total advertised positions: 723 |
| Total number of visits to the EURES website | n/a | n/a | Goal: 110.000 Total visit: 166.444 ¹⁹ |

Source: implementation reports

Topic 6: Effectiveness in involving stakeholders

Table 14 below provides information on stakeholder engagement in three of the four EURES case studies, as the case study focussing on EURES Norway did not involve a consortium (VS/2015/0269).

¹⁶

http://ec.europa.eu/employment_social/defis/publigrant/public/publications/571/frame?publicationLanguage=en#full-summary

¹⁷

http://ec.europa.eu/employment_social/defis/publigrant/public/publications/681/frame?publicationLanguage=en#full-summary

¹⁸ Gender of 66% is known, 50% men, 50% women. Age is known in 51% of placements, 18-30 51%, 31-50 41,7% and 50+ 6,3%. Nationality is known for 67% of placements, 25 EU/EEA nationalities in total, top four Poland, Iceland, Latvia, and Czech Republic.

¹⁹ The website for EURES Iceland is: eures.is

Table 14. Case studies – involvement of stakeholders, challenges and final target groups

| Title | Beneficiaries | Stakeholder involvement | Challenges in involving stakeholders | Final target groups |
|--|---|---|--|---|
| VS/2015/025 1 YfEj | <p>8 Consortium Partners representing:</p> <ul style="list-style-type: none"> Public Employment Services (PES) Private Employment Organisation NGOs <p>The project coordinator is the French PES, Pôle Emploi.</p> <ul style="list-style-type: none"> | <p>Pôle Emploi developed the partnership for this project based on previous experience with the partners as well as based on needs in the different EU labour markets. The organisations have extensive experience in employment and facilitation of mobility. All partners are members of EURES and have collaborated together on several projects before.</p> <p>The project coordinator integrated private organisations as project partners, due to suggestions from the European Commission to foster public private partnerships (PPPs).</p> | <p>The project coordinator experienced challenges in building a balanced and efficient consortium and to find the right partners. Several other EU Member States decided to apply for YfEj funding as lead applicants. This meant that Pôle Emploi could build a consortium only with a limited number of Member States. The coordinators perceived this situation as being 'in competition' with other PES from other EU Member States, which made it difficult to build a balanced consortium. However, according to the coordinator a balanced consortium should include countries who are experienced and those who are new to EURES projects. This is important to achieve the needed geographical coverage and to avoid 'fatigue' in the sense that the same countries apply for grants.</p> | <p>Jobseekers – young people aged 18-35</p> <p>Employers – SMEs</p> |
| VS/2015/008 4 EURES in cross border regions | <p>11 consortium partners representing:</p> <ul style="list-style-type: none"> PES Cross-border regions Trade Unions Employer organisations Research institute <p>The project coordinator was the German Public Employment Service (PES) – regional directorate Nordrhein-Westfalen.</p> | <p>The partnership comprising three cross-border regions in Belgium, Germany and the Netherlands cooperated for the first time. The three Euregios are merged under the 'Euregio Maas-Rhein-Waal' covering the cross-border regions in Belgium, Germany and the Netherlands²⁰.</p> <p>The three Euregios were active in the cross-border regions for several years, and according to the project coordinators and the partners the collaboration was successful. However, there was no structural partnership in place.</p> <p>The rationale was given through the external change based on the EURES reform. For the Euregios the changes</p> | <p>The consortium experienced challenges regarding the determination of the coordinating organisation. Due to the EURES reform, EURES members (the PES) had to be the coordinators for the projects, in this case the German PES. Additionally, it was unclear what exactly the work of the coordinator entails, and a possibly large administrative burden was perceived as negative by the partners. Hence, the PES of the two partner countries decided to opt out of the coordination role.</p> <p>Further, the partners were initially reluctant in accepting the new structure, and the coordinator had to take into account the different cultures and styles in the partner organisations. Hence, in 2015 the partners largely continued with their existing activities separately and the coordinators role was to strengthen the cooperation during this first year.</p> | <p>Businesses and jobseekers;</p> <p>Students; Pensioners;</p> <p>National, regional and local authorities; Employment offices;</p> <p>Bodies specialising in the EU law;</p> <p>Social partners; NGOs;</p> |

²⁰ Currently there are 12 EURES cross-border partnerships active across the EU. See 'EURES in cross-border regions' for further information, available here: <https://ec.europa.eu/eures/public/eures-in-cross-border-regions#/details/2>.

| | | | | |
|---------------------------|---|---|--|---|
| | | <p>meant that only PES as EURES members could be the coordinators of EaSI-EURES projects in the cross-border partnerships. The partners agreed that the German regional PES of Nordrhein-Westfalen takes over as the coordinator. Practical experience and structures at the base have been maintained, but the new structure has been introduced to comply with the EURES Regulation (EU) 2016/589.</p> | <p>Another challenge was the concept of public-private partnerships, i.e. involving private employment services in the partnership. This is set out in the call for proposals and the partnership has experienced a loss of points during the application process, because of the lack of already established public-private partnership. The coordinator aims to address this issue with the remaining partners for the follow-up applications.</p> | <p>Higher education and research institutions; Experts;</p> |
| VS/2015/006 2 Euradria | <p>23 consortium partners representing:</p> <ul style="list-style-type: none"> • Ministry of Labour and Social Security, • regions, provinces, municipalities, • public employment services (PES), • trade unions, and • employers' organisations • The coordinator is the province of Friuli Venezia Giulia. | <p>The organisations from the three regions have collaborated together for the first time in 2015, after the introduction of changes in application process within EURES (see also above in EURES in cross border regions). The changes meant that only EURES partners could be the coordinators of EaSI-EURES projects in the cross-border partnerships, which explains the change of lead applicant from the social partners to the Friuli Venezia Giulia region.</p> | <p>The large number of stakeholders involved can increase the difficulties and this is why the partners established a Steering Committee. The role of this Committee was to set out the strategy for the partnership in the framework of its 2015 activity plan, taking into account the guidelines defined for the EURES network as a whole, to define the practical details and the partners responsible for the implementation of activities, to ensure the overall cohesion of the partnership, in particular with regard to activity plans to be implemented, to ensure an effective monitoring and evaluation of activities, including their financing, and carry out regular assessments of the results, to approve internal rules of procedures.</p> <p>Euradria can improve in stakeholder involvement is by reaching out to employers and particularly SMEs. Indeed, the involvement of SMEs in the project is still low, but contacts with his target group are important to better understand the skills and competences needed by companies, and hence inform jobseekers about these needs.</p> | <p>Businesses and jobseekers Students; Pensioners National, regional and local authorities; Employment offices Social partners Higher education and research institutions</p> |

Source: ICF case study reports

Annex 5.2. Efficiency

Topic 7 Efficiency of resource allocation and financing procedures

Table 15. Resource allocation in the analysed case studies

| Title | Policy area | Resources allocation |
|--|--------------------------|--|
| Your first EURES job - a tool for Mobility in light of stakeholders needs (VS/2015/0251) | Targeted mobility scheme | Beneficiaries explained that a substantial amount of the funding is used for administrative work. Currently 70% goes to the final beneficiaries and 30% goes to the management of the project. The coordinators see the opportunity to change this and re-allocate a larger part of the budget to the final beneficiaries. Similarly, the budget for communication activities seems rather large, and the coordinators would welcome a re-allocation of the communication budget to actions that directly benefit final beneficiaries (placement and advising activities). Visibility of the actions is important, but it is necessary to focus more on actions than on communication. |
| Euradria | Cross-border partnership | EaSI/EURES funding enabled them to run the activities. Also, due to the cross-border nature of the actions, it is difficult to get other kinds of funding such as national ones for cross-border activities. However, it is worth noting that the partnership is planning to use regional funding for the Youth Guarantee and YourFirstEURESJob for its project Euradria 2017 project as this will not only focus on cross-border mobility of workers but also of trainees. |
| EURES in cross border regions | Cross-border partnership | According to project coordinator, 80% of the budget has been spent. The initial planning included overall more financial resources than were required during the project. However, in some cases, the partner expenditures were not accepted, because they were not in line with the budget planning. This was mainly due to the inexperience of some partners in operating in such projects. |
| EURES in Norway | EURES in EEA regions | According to the project coordinator, the funding was sufficient to conduct the activities across the work packages. |

Source: EaSI mid-term evaluation, Volume I

Annex 5.3. Coherence

Topic 10 Coherence with other EU interventions

The following table presents the coherence of the EURES axis with other EU interventions.

Table 16. Labour mobility schemes initiatives at EU-level compared with EaSI-EURES axis

| | EaSI MF/SE axis ²¹ | Erasmus + ²² | EURAXESS ²³ |
|-------------|---|---|--|
| Objectives: | <p>Ensure that job vacancies and applications and corresponding information and advice, as well as any related information, are made transparent for the potential applicants and the employers.</p> <p>Support the provision of EURES services for the recruitment and placing of workers in quality and sustainable employment through the clearance of job vacancies and applications. This support will cover all phases of placement, from pre-recruitment preparation to post-placement assistance.</p> | <p>Supporting EU transparency and recognition tools for skills and qualifications</p> <p>Dissemination and exploitation of project results</p> <p>Promoting the open access to materials, documents and media that are useful for learning, teaching, training, youth work and are produced by projects funded by the Programme.</p> <p>Promoting a strong international dimension (i.e. cooperation with Partner Countries) notably in the fields of higher education and youth.</p> <p>Promoting multilinguals</p> <p>Promotion of the principles of equity and inclusion by facilitating the access to participants with disadvantaged</p> | <p>Addressing barriers to the mobility of researchers and enhancing the career development of researchers.</p> <p>Helping researchers to find appropriate positions in an open labour market</p> <p>Facilitating the sustainability and providing guidance for career development</p> <p>And we know geographic mobility comes at a cost – for the researcher and for the institution</p> <p>Facilitating practical solutions to these issues for the benefit of the researchers themselves.</p> |

²¹ EURES axis of EaSI. Retrieved from <http://ec.europa.eu/social/main.jsp?catId=1083&langId=en>

²² ERASMUS+ - The EU programme for education, training, youth and sport (2014-2020). Retrieved from https://ec.europa.eu/programmes/erasmus-plus/node_fr

²³ EURAXESS – Researchers in motion. Retrieved from <https://euraxess.ec.europa.eu/>

| | EaSI MF/SE axis ²¹ | Erasmus + ²² | EURAXESS ²³ |
|-------------------|--|---|---|
| | | backgrounds and fewer opportunities compared to their peers. | |
| Type of facility: | <p>EURES network: EURES provides specific information and facilitate placements for the benefit of employers and frontier workers in European cross-border regions. The network is composed of: the European Coordination Office (ECO), the National Coordination Offices (NCOs), EURES Partners and the Associated EURES Partners.</p> <p>EURES job portal²⁴: jobseekers can post their CV and employers can post their job advertisements. It gathers CVS and jobs advertisements across Europe.</p> <p>EURES advisers: EURES services can also be delivered through EURES advisers which represent around 1000 advisers in daily contact with jobseekers and employers across Europe.</p> | <p>Mobility exchanges of:</p> <p>Students in higher education</p> <p>Vocational training students and apprentices</p> <p>Young people taking part in youth exchanges and volunteering</p> <p>Teachers, youth trainers and other staff.</p> <p>Cooperation projects:</p> <p>Facilitating the transition between education and work</p> <p>Boosting employment and entrepreneurship</p> | <p>Providing a global support tool for career development support and mobility for European and international researchers in terms of showing them the attractiveness of the European research landscape</p> <p>EURAXESS jobs platform: where researchers can find funding and job opportunities on a daily basis.</p> <p>EURAXESS Service centres: provides support to researcher mobility and lower the administrative burden linked to the relocation to a new working place.</p> <p>EURAXESS Links: facilitating international collaboration and promoting Europe as a top destination for researchers</p> <p>Human Resources Strategy for Researchers (HRS4R) at institutional level: supports researcher careers and rights.</p> |

²⁴ EURES – The European Job Mobility Portal. Retrieved from <https://ec.europa.eu/eures/public/en/homepage>

| | EaSI MF/SE axis²¹ | Erasmus +²² | EURAXESS²³ |
|------------------------|--|--|---|
| Type of services: | Information on cross-border mobility Information, placement and recruitment services to employers and jobseekers Language courses | Opportunities to study, train, volunteer or gain professional experience abroad Funding for actions in the field of sport Opportunities to study abroad Language learning support | Information and support services structured around the four pillars mentioned above. |
| End beneficiaries: | Jobseekers Employers | Students in higher education Vocational training students and apprentices Young people taking part in youth exchanges and volunteering Teachers, youth trainers and other staff. | Researchers |
| Eligible organisations | Public Employment Services (PES) Private employment services (PRES) Trade unions Employers' organisations a Other relevant actors in the labour market | Organisations operating in all eligible sectors under Erasmus +. | Researchers Entrepreneurs, Research institutions and universities Businesses |
| Availability period | 2014-2023 | 2014-2020 | |

| | EaSI MF/SE axis ²¹ | Erasmus + ²² | EURAXESS ²³ |
|--------------------|--|---|--|
| Budget | €159 million ²⁵ | €14.7 billion | Part of the axis 'on excellent science' representing 31.73 % of the overall budget of Horizon 2020 (around 22 billion Euros) |
| Eligible countries | Cross-border regions within the EU-28 plus Switzerland, Iceland, Liechtenstein and Norway. | EU member states as well as the former Yugoslav Republic of Macedonia, Iceland, Liechtenstein, Norway and Turkey | Worldwide |
| Managing agency | European Commission (DG Employment, Social Affairs and Inclusion) | European Commission (DG Education and Culture- and the Education, Audio-visual, and Culture Executive Agency (EACEA), | European Commission ((DG Research and Innovation) |

²⁵ European Commission. (2015). Work Programme Funding priorities for 2016. European Union Programme for Employment and Social Innovation (EaSI), p. 12.

Topic 11 Coherence of involvement at EU, Member State regional and local levels

Table 17. Case studies – examples of consistency and complementarity with the EU, national and regional levels

| Title | Policy area | Assessment |
|---|--|---|
| EURES in Grenzregionen Rhein-Waal (ERW), euregio-rhein-maasnord (ermn), Euregio Maas-Rhein (EMR) 2015 ²⁶ | Cross-border partnerships | <p>Regional level</p> <p>The project objectives are coherent with the regional policy context as it created cooperation between the cross-border Euregios which did not exist before. The partnership has contributed to a better coherence between the work of the partners, including the Euregios, the responsible PES and other partners. The partners had the chance to experience different work styles etc. and thus to create synergies amongst each other.</p> <p>EU level</p> <p>The project objectives are coherent with the EU policy framework as the project helped in reducing borders in the EU and supported the implementation of the EURES Directive (and reform). In addition, it contributed to a higher satisfaction of jobseekers and employers with EU instruments as the project partners brought these 'often abstract instruments' to a regional and concrete level.</p> |
| Euradria 2015 ²⁷ | Cross-border partnerships | <p>Regional level</p> <p>The project objectives are coherent with the regional policy context as it enhanced cooperation between a wide range of stakeholders in the Euradria region and provided clearer information about cross-mobility to jobseekers and employers in the Euradria region.</p> <p>EU level</p> <p>The project objectives are also coherent in the context of an enlarged European Union. Indeed, Croatia joined the European Union in 2013, and new Croatian partners were subsequently included in the Euradria partnership with the aim to encompass a wider notion of cross-border mobility and target cross-border jobseekers and companies in this region.</p> |
| Support to cooperation on intra-EU mobility for EEA countries ²⁸ | Transparency of job vacancies, applications and any related information for applicants and employers | <p>National level</p> <p>The project objectives are coherent with the Norwegian labour market policy and the priorities of the Norwegian government with regards to employment. European mobility is one of the government priorities communicated to the NAV by the Norwegian ministry of labour²⁹.</p> <p>EU level</p> |

²⁶ Call for proposals reference: VP/2014/011; Contract reference: VS/2015/0084

²⁷ Call for proposals reference: VP/2014/011; Contract identification reference: VS/2015/0062

²⁸ Call for proposals reference: VP/2015/008; Contract identification reference: VS/2015/0269

²⁹ 67% of the respondents who were familiar with predecessor programmes or having experience in the delivery of projects under EURES were uncertain or could not comment on whether merging predecessor programmes had ensured more consistency, complementarity and flexibility. The same applied to the question on whether the merging of the programme had enabled synergies to be created as 55% of the respondents could not agree nor disagree to this question.

²⁹ The NAV is the national body that is developing strategies based on this priority.

| | | |
|---|--|--|
| | | <p>The project is embedded in the EU-wide context with the aim to reduce unemployment and enhance intra-EU mobility as well as mobility across EEA countries. The project is coherent with the EURES goals, as it aims to contribute to the development of a better cooperation between the PES and EURES Norway. It also and makes the possibilities offered by the EURES axis more visible to employers and jobseekers for job placements.</p> |
| <p>Your first EURES job (YfEj) - a tool for Mobility³⁰</p> | <p>Development of services ³¹</p> | <ul style="list-style-type: none"> • National level <p>The project objectives are coherent with the national context as the project contributed to the implementation of a mobility component in the national Youth Guarantee schemes, by offering job opportunities abroad. The action also contributed to the development of best practices within the EURES network on fair mobility and make that same network more visible to employers and young people for future placement projects.</p> <ul style="list-style-type: none"> • EU level <p>The project objectives are coherent with the EU-wide strategies with the aim to reduce youth unemployment such as the Youth Opportunities Initiative, the Youth Employment Package but also other EU instruments that are not only focusing on youth unemployment but on boosting employment in the EU in general (i.e. Europe 2020). In addition, the project will ultimately contribute to the reduction of youth unemployment in Europe and help to better balance the European labour market by focusing on placement on hard-to-fill vacancies.</p> |

Source: ICF case study reports

Annex 5.4. EU Added Value

Topic 13 Communication of the EU added value

The case studies provide interesting insights into their dissemination strategies and activities as shown in the Table 18 below. The stakeholders in two case studies (YfEj and EURES in EEA countries) specifically noted that the budget allocation for communication activities should be re-allocated to benefit directly the final beneficiaries (see also the explanations in the efficiency section).

Table 18. Dissemination activities in case studies

| Title | Dissemination activities |
|--|---|
| <p>EURES in Grenzregionen Rhein-Waal (ERW), euregio-rhein-maasnord (ermn), Euregio Maas-Rhein (EMR) 2015</p> | <p>The information was disseminated online by the partners, through brochures and other publications, notably a study on the labour market in the cross-border regions of the Netherlands and Germany³².</p> |

³⁰ Call for proposals reference: VP/2015/006; Contract identification reference: VS/2015/0251

³¹ Development of services for the recruitment and placing of workers in employment through the clearance of job vacancies and applications at Union level, in particular targeted mobility schemes

³² The study is available for download here: <http://wirtschaft.eifel.info/2015/09/02/studie-der-arbeitsmarkt-in-den-grenzregionen-niederlande-und-nrw/>

| | |
|---|---|
| Euradria 2015 | The Euradria project produced key materials such as the Guide for cross-border workers which will contribute to the information of jobseekers in the region and will promote the mobility and equal access to the labour markets across the different regions. |
| Support to cooperation on intra-EU mobility for EEA countries | <p>The coordinator emphasised that the visibility of EaSI as the umbrella programme for EURES as well as the two other axes (PROGRESS and Microfinance and Social Entrepreneurship) is limited. Generally the reference is made to EURES, and not to EaSI. The project coordinator mentioned that a better link between the axes should be provided through better communication between the different persons responsible for the different axes.</p> <p>The coordinator also sees EURES as a service to end users – employers and jobseekers. This focus seems however not always obvious from the call for proposal where often communication activities are emphasised.</p> |
| Your first EURES job (YfEj) - a tool for Mobility | <p>The dissemination strategy foresees the creation of a plan in order to spread project's results by using different tools and aiming to reach the highest number of target groups and stakeholders. The project coordinator's marketing office is currently leader for all aspects of dissemination & exploitation in several EU projects (Erasmus+ KA2), developing a valorization plan covering all aspects of the project, its results and outputs. It is also involved in dissemination activities in the Erasmus for Young Entrepreneurs programme, aiming to spread information and evidences about the success stories of young entrepreneurs who participated to the programme through its own Social Media accounts and further promotional materials.</p> <p>The project results are disseminated through:</p> <ul style="list-style-type: none"> • A dedicated website during the implementation of the project. • Moreover, the French and European medias, mainly specialized magazines and newspapers, will be provided with press releases, interviews and success stories • Using testimonials of beneficiaries. • Social media channels are used to further spread the information and the analysis of the results, for example LinkedIn. The partner APEC has already a hub in LinkedIn and Viadeo and has proposed to use it for the promotion of this programme to potential employers. • Promotional video: <ul style="list-style-type: none"> - All partners have agreed on the creation of a promotional film/animation on international mobility scheme programmes – that will help promoting the programmes on the partners' websites. - The partnership aims to consider making a common roll up indicating the various Mobility programmes. For this purpose the partnership has asked for a clarification from the European Commission, on whether it is possible to use the budget from one programme to make common communication tools for YfEj and REACTIVATE <p>However, as explained above the budget for communication activities seems rather large, and the coordinators would welcome a re-allocation of the communication budget to actions that directly benefit final beneficiaries (placement and advising activities), as a stronger focus on actions compared to communication activities is important.</p> |

Source: ICF case study reports

Annex 6 Microfinance and Social Entrepreneurship

Annex 6.1. Definitions

Microfinance

MF is defined as the provision of basic financial services to poor people who traditionally lack access to banking and related services³³. The EaSI regulation provides the following definitions related to microfinance³⁴:

- 'micro-enterprise' means an enterprise, including a self-employed person, that employs fewer than 10 people and whose annual turnover or annual balance sheet total does not exceed EUR 2 million;
- 'microcredit' means a loan of up to EUR 25 000; and
- 'microfinance' includes guarantees, microcredit, equity and quasi-equity extended to persons and micro-enterprises that experience difficulties accessing credit.

MF providers include both profit-oriented and non-profit associations³⁵. The provision of microloans can be their main activity, which is primarily the case in Eastern Europe, but can also be a side activity, as commonly found in Western Europe.

Minimising information asymmetries

Borrowers can minimise information asymmetries³⁶ either by signalling their credit worthiness (through e.g. a rating by an independent agency and the provision of collateral); by establishing a strong relationship between lender and borrower; or through due diligence (i.e. screening).

Vulnerable people & EaSI target groups

In addition, the MF/SE axis specifically targets vulnerable people as defined in the EaSI regulation^{37,38} as well as micro-enterprises in both the start-up and the development phase³⁹. See definitions below.

As per the EaSI regulation, vulnerable persons refer to persons who have lost or are at risk of losing their job, or have difficulty in entering or re-entering the labour market, or are at risk of social exclusion, or are socially excluded, and are in a disadvantaged position with regard to access to the conventional credit market, who wish to start up or develop their own micro-enterprises⁴⁰. Vulnerable groups include women,

³³ CGAP. (2016). What is Microfinance. Retrieved from: <http://www.cgap.org/about/faq/what-microfinance-how-does-it-relate-financial-inclusion-0>.

³⁴ European Commission. (2013). Regulation (EU) No 1296/2013, Article 2. Retrieved from: <http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32013R1296&from=EN#page=6>.

³⁵ Kraemer-Eis, H. et al. (2016). European Small Business Finance Outlook. Retrieved from: http://www.eif.org/news_centre/publications/eif_wp_35.pdf

³⁶ Kraemer-Eis, H. (2014). Institutional non-bank lending and the role of Debt Funds. EIF Working Paper 2014/25.

³⁷ In the EaSI regulation, "vulnerable people" are defined as: "Vulnerable persons refer to persons, who have lost or are at risk of losing their job, or have difficulty in entering or re-entering the labour market, or are at risk of social exclusion, or are socially excluded, and are in a disadvantaged position with regard to access to the conventional credit market and who wish to start up or develop their own micro-enterprises".

³⁸ European Commission. (2013). Regulation (EU) No 1296/2013, Article 26. Retrieved from: <http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32013R1296&from=EN#page=13>

³⁹ European Commission. (2014). Performance Monitoring Report of the European Union Programme for Employment and Social Innovation (EaSI) 2014.

⁴⁰ European Commission. (2013). Regulation (EU) No 1296/2013. Retrieved from: <http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32013R1296&from=EN>

unemployed, young, migrants and refugees. The EIF also request data on disabled and education level.

Market failure

The reasons for microenterprises' lack of access to finance has been widely recognised among researchers and economists as a market failure. The market failure relates to insufficient supply of capital and inadequacies on the demand side⁴¹ due to information asymmetries. Financial Institutions (FIs) are incapable of determining which customers are likely to be more risky (adverse selection) and FIs cannot guarantee that customers are making the full effort required for their investment projects to be successful⁴² (moral hazard).

Terms and conditions under the Microfinance window

In their open call for expression of interest, the EIF specifies the following regarding the terms of the loans⁴³:

- **Interest rate:** The interest rates offered by the FIs for the Final Recipient Transaction, shall reflect the benefit for the support under EaSI and shall be justifiable with regard to underlying risks and the actual cost of funding related to a credit.
- **Collateral:** Preference shall be given to the use of personal guarantees or other types of soft collateral. In case collateral is required, it shall reflect the benefit for the support under EaSI and shall be justifiable with regard to underlying risks.

The document further specifies the following: "the Final Recipient Transaction shall, for the purpose of reflecting the benefit of the EaSI Microfinance Guarantee, have more favourable features for the Final Recipient than it would have without the EaSI Microfinance Guarantee"⁴⁴.

Terms and conditions however, vary greatly both across and within countries as can be seen in Table 19. This might reflect the difference in the country context in relation to economic variables such as GDP, salaries and living costs.

Table 19. Terms and conditions of loans per financial intermediaries

| Window | Country | Median loan size (€) | Annual interest rate | Average maturity (month) | Collateral requirement (%) |
|--------------|----------------|----------------------|----------------------|--------------------------|----------------------------|
| Microfinance | Albania | 2,186 | 18% | 31 | 2% |
| | Belgium | 7,500 | 9% | 31 | 48% |
| | Czech Republic | 5,551 | 9% | 67 | 100% |
| | Czech Republic | 13,693 | 10% | 41 | 0% |
| | Estonia | 15,000 | 10% | 47 | 100% |

⁴¹ Kraemer-Eis, H., Lang, F., and Gvetadze, S. (2014). European Small Business Finance Outlook. Retrieved from: http://www.eif.org/news_centre/publications/eif_wp_24.pdf.

⁴² Armendariz de Aghion, B., and Morduch, J. (2005). *The Economics of Microfinance*. MIT Press, Cambridge.

⁴³ EIF. (n.d.). Annex II to the Open Call for Expression of Interest to select Financial Intermediaries under EaSI, p.10

⁴⁴ EIF. (n.d.). Annex II to the Open Call for Expression of Interest to select Financial Intermediaries under EaSI, p.14

| | | | | | |
|-------------------------|----------------|--------|-----|----|------|
| | France | 8,510 | 7% | 43 | 35% |
| | France | 18,500 | 3% | 57 | 0% |
| | Germany | 12,500 | 0% | 59 | 0% |
| | Greece | 18,000 | 8% | 44 | 5% |
| | Ireland | 15,000 | 8% | 42 | 0% |
| | Italy | 20,000 | 8% | 62 | 81% |
| | Netherlands | 14,990 | 10% | 54 | 100% |
| | Poland | 6,054 | 0% | 40 | 0% |
| | Portugal | 9,500 | 6% | 55 | 100% |
| | Romania | 15,717 | 15% | 55 | 20% |
| | Romania | 16,054 | 6% | 53 | 0% |
| | Romania | 15,717 | 10% | 45 | 20% |
| | Slovakia | 11,645 | 5% | 33 | 0% |
| | Spain | 15,000 | 5% | 47 | 0% |
| | Spain | 15,000 | 5% | 40 | 56% |
| | Spain | 15,000 | 4% | 51 | 33% |
| | Sweden | 20,788 | 6% | 57 | 10% |
| | United Kingdom | 5,807 | 14% | 33 | 0% |
| Social Entrepreneurship | France | 50,000 | 3% | 81 | 0% |
| | Poland | 54,408 | 8% | 53 | 50% |
| | Spain | 32,600 | 5% | 18 | 45% |

Source: EIF. (2016). Semi-annual operational report.

Note: Information was not available at all for 3 intermediaries in the area of MF and 3 in the area of SE.

The European Code of Good Conduct for Microcredit Provision (ECoGC)

The ECoGC sets out good practice guidelines for microcredit providers expected to better enable the sector organisations to face the challenges of accessing long-term finance, maintaining and raising the quality of services and moving towards sustainability⁴⁵. The

⁴⁵ European Commission. (2017). Performance Monitoring Report of the European Union Programme for Employment and Social Innovation (EaSI) 2015-2016.

code is seen by the European Commission as a tool to assess the capacity and quality of MF infrastructure. As a condition to receive the EaSI Financial Instrument, non-bank microcredit providers have to sign up to the code while banks have to endorse it. Non-banks have 18 months to implement the code and be compliant. Assessment of compliance to the code fall under the EIB and the European Commission responsibility. However, as MFIs have 18 months to ensure they are compliant, it is too early to make any assessment of its effectiveness and impact.

Annex 6.2. Relevance

Topic 1: Continuing relevance of General Objectives

Mismatch between supply and demand

Table 20 summarises the estimated potential demand for and supply of microloans per country as well as the market gap per country cluster. There is a clear market gap in the majority of countries, reinforcing the need for additional supply to meet the demand. The EaSI Financial Instrument aims to address this funding gap to some extent by making access to loans easier thanks to financial instruments. There appears indeed to be a need for more effort to increase access to, and the availability of, MF for vulnerable persons and micro-enterprises⁴⁶.

Table 20. Demand, supply and financing gap

| Country Clusters/ Countries | Demand for microloans (€) | Supply of microloans (€) | Market gap |
|-----------------------------|---------------------------|--------------------------|------------|
| Central and Eastern Europe | | | |
| Bulgaria | 69.6 m | 10.9 m | |
| Croatia | 36.4 m | 2.3 m | |
| Czech Republic | 40.9 m | N/A | |
| Estonia | 8.3 m | N/A | |
| Hungary | 232.8 m | 17.7 m | |
| Latvia | 31.8 m | 2.9 m | |
| Lithuania | 169.7 m | 60.6 m | |
| Poland | 275.5 m | 256.5 m | |
| Romania | 300.7 m | 159.3 m | |
| Slovakia | 27.7 m | N/A | |
| Slovenia | 8.2 m | N/A | |

⁴⁶ European Commission. (2017). Performance Monitoring Report of the European Union Programme for Employment and Social Innovation (EaSI) 2015-2016. 49 per cent (297 respondents) reported more effort is needed while 25 per cent reported that substantially more effort is needed.

| | | | |
|------------------|----------------|----------------|----------------|
| Total | 1.2 bn | 510.2 m | 691.5 m |
| Western Europe | | | |
| Austria | 87.0 m | 1.9 m | |
| Belgium | 176.1 m | 32.8 m | |
| France | 376.07 m | 505.3 m | |
| Germany | 1.2 bn | 399.1 m | |
| Luxembourg | 3.9 m | N/A | |
| Netherlands, the | 201.2 m | 42.1 m | |
| Switzerland | 8.2 m | N/A | |
| Total | 2.1 bn | 981.3 m | 1.1 bn |
| UK and Ireland | | | |
| UK | 261.8 m | 33.9 m | |
| Ireland | 117.9 m | 4.1 m | |
| Total | 379.6 m | 37.9 m | 341.7 m |
| Southern Europe | | | |
| Cyprus | 8.9 m | N/A | |
| Greece | 145.6 m | N/A | |
| Italy | 481.5 m | 14.3 m | |
| Malta | 2.5 m | N/A | |
| Portugal | 142.1 m | 3.6 m | |
| Spain | 417.9 m | 693.9 m | |
| Total | 1.2 bn | 711.8 m | 486.7 m |
| Scandinavia | | | |
| Denmark | 83.1 m | N/A | |
| Finland | 62.1 m | 161.9 m | |
| Iceland | 5.7 m | N/A | |
| Norway | 46.9 m | N/A | |
| Sweden | 33.8 m | N/A | |

| | | | |
|--------------|----------------|----------------|---------------|
| Total | 231.5 m | 161.9 m | 69.6 m |
|--------------|----------------|----------------|---------------|

Source: Unterberg et al. (2014). Study on imperfections in the area of microfinance and options how to address them through an EU financial instrument.

Supply of Microfinance in Europe

Europe has seen an increase in microloans disbursed over the past years indicating a growing demand for MF. However, the average loan size has decreased, suggesting a focus on smaller loans.

MF providers include both profit-oriented and non-profit associations⁴⁷. There is a need to support both banks and non-banks, for different reasons⁴⁸. While providing loans is a part of banks' standard activities, the challenge for banks is to adhere to the concept of microfinance—i.e. provide small loans to vulnerable people, a group not part of the banks' usual client portfolios. The EaSI Financial Instrument encourages banks to also cater this client group thanks to the EaSI guarantee. For non-banks, on the other end, their focus is already on vulnerable groups, which is why EIF-support is more aimed at building a solid institution through the European Code of Good Conduct for Microcredit Provision (ECoGC) for instance.

In addition to the risk coverage mentioned earlier, MFIs face a number of challenges in the provision of financial services including sources of funding and regulatory constraints. In Germany for example, MFIs are not allowed to disburse loans and are therefore obliged to collaborate with banks to do so⁴⁹. Another example is France, where regulatory requirements request loans to be backed up by a guarantee as explained by ADIE in the case study analysed by ICF:

In the particular case of France, the regulation obliges microloans to be guaranteed, which means that without a guarantee, MFIs are not allowed to provide microloans. Existing initiatives at national level, such as Active France, only guarantee microloans up to €6,000. ADIE acknowledged that the EaSI Financial Guarantee allows them to meet the demand in providing higher microloans [up to €10,000].

Source: ICF. Case study: ADIE⁵⁰

Social Enterprises

The EaSI regulation (1296/2013) defines a social enterprise as an economic activity with the primary objective of generating "measurable, positive 'social impacts' rather than profit for its owners, members and shareholders"⁵¹. Moreover, social enterprises can accomplish this through either providing services or goods, which generates a social return, and/or through employing a method of production of goods or services that

⁴⁷ Kraemer-Eis, H. et al. (2016). European Small Business Finance Outlook. Retrieved from: http://www.eif.org/news_centre/publications/eif_wp_35.pdf

⁴⁸ Interview Senior Microfinance Investment Managers, EIF

⁴⁹ Cozarenco. (2015). Microfinance Institutions and Banks in Europe: The Story to date. Retrieved from: http://www.european-microfinance.org/docs/emn_publications/emn_research_papers/research_3.pdf

⁵⁰ Call for proposal ref: Open Call for Expression of Interest to select Financial Intermediaries under the Guarantee Financial Instrument; Framework Service Contract: VC/2013/0083 - Lot 1: evaluation and evaluative studies; Application reference: ADIE, SIRENE N 352.216.876

⁵¹ European Commission. (2013). Regulation (EU) No 1296/2013, Article 2, §1. Retrieved from: <http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32013R1296&from=EN#page=6>.

embodies its social objective. Social investment is any investment activity that has an expectation of both a social outcome and a financial return⁵².

Social investment

Social investment is any investment activity that has an expectation of both a social outcome and a financial return, which would usually be below market rate⁵³.

Contribution of social enterprises to society

Social enterprises are alternatives to the conventional public services and private sector enterprises and to some extent new organisational arrangements to deliver products and services. The prevalence and type of such social enterprises vary markedly between MS. The relevance of EU action in this sphere lies in the extent to which the increases in the scale of social enterprise activities are deemed desirable.

Social enterprises are recognised among scholars as addressing key social challenges such as poverty, social exclusion and unemployment, in addition to overcoming gaps in general-interest service delivery⁵⁴. In addition, social enterprises are considered key drivers of social innovation and social progress⁵⁵. Social enterprises are also better equipped to address local social needs in comparison to governments and can complement public policy efforts in combatting income inequality and achieve inclusive growth⁵⁶. In this regard, the OECD stated: "Not only is their potential far from fully realised, but fast-growing and increasingly diversified social needs and environmental concerns call for a bolder presence of social enterprises. Public policies should therefore acknowledge social enterprises' capacity to generate value for the community and support their scaling efforts as a key objective"⁵⁷.

In 2014, the estimated number of social enterprises, based on the EU definition, ranged between 91,778 and 277,926⁵⁸ with large differences between countries as can be seen in Figure 6 below. The social enterprise sector is particularly developed in Germany and the United Kingdom, together constituting more than half of the sector, while in Eastern Europe the sector remains largely underdeveloped. Over 11 million people in the EU are currently employed by the "social economy", which accounts for 6 per cent of total employment in the EU⁵⁹.

⁵² European Commission. (2013). Regulation (EU) No 1296/2013, Article 2, §1. Retrieved from: <http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32013R1296&from=EN#page=6>.

⁵³ NCVO. (2017). What is social investment? Retrieved from:

<https://knowhownonprofit.org/funding/social-investment-1/what-is-social-investment#>

⁵⁴ OECD. (2015). Policy Brief on Scaling the Impact of Social Enterprises. Retrieved from:

<https://www.oecd.org/cfe/leed/Policy-brief-Scaling-up-social-enterprises-EN.pdf>

⁵⁵ Austin, J., Stevenson, H. & Wei-Skillern, J. (2006). Social and commercial entrepreneurship: same, different, or both? *Entrepreneurship theory and practice*, 30(1), pp 1-22.

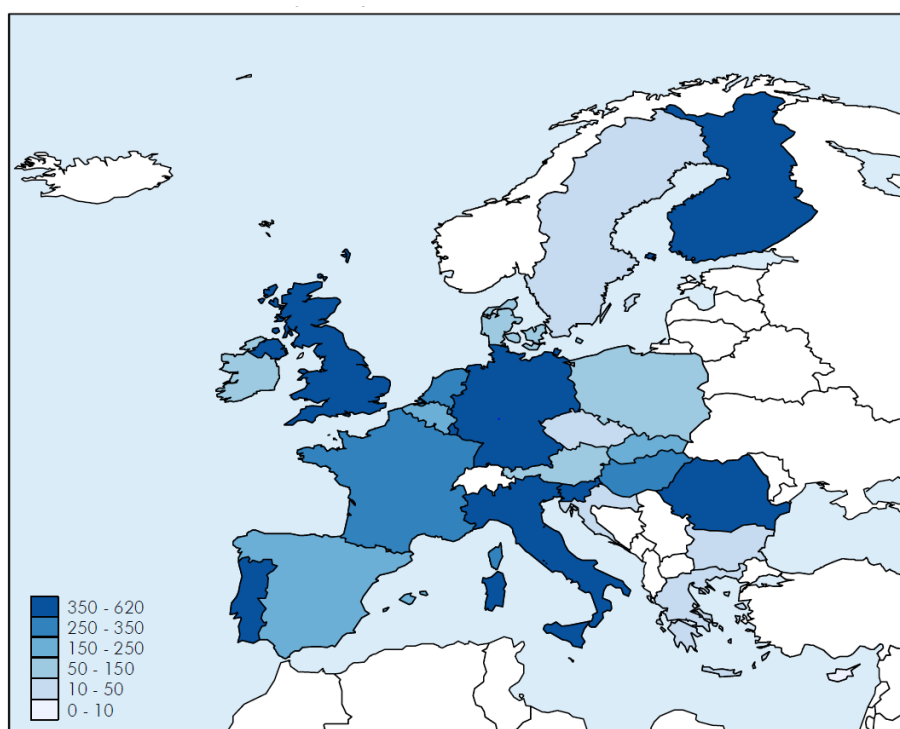
⁵⁶ EIF. (2017). Guaranteeing Social Enterprises – The EaSI way. Working Paper 2017/39

⁵⁷ OECD. (2015). Policy Brief on Scaling the Impact of Social Enterprises. Retrieved from: <https://www.oecd.org/cfe/leed/Policy-brief-Scaling-up-social-enterprises-EN.pdf> p. 3.

⁵⁸ Borzaga, C. & Tortia, E. (2009). Social Enterprises and local economic development. *The changing boundaries of Social Enterprises*, pp 195-228.

⁵⁹ EIF. (2017). Supporting entrepreneurs and the self-employed - Social entrepreneurship. Retrieved from: <http://ec.europa.eu/social/main.jsp?catId=952&intPageId=2914&langId=en>.

Figure 6. Number of Social Enterprises per million of inhabitants



Source: EIF. (2017). *Guaranteeing Social Enterprises – The EaSI way. Working Paper 2017/39.*

The above evidence emphasise the importance of social enterprises in addressing current societal challenges and suggest that it is relevant for EaSI to focus on this specific market to attain the objectives of social inclusion, lower unemployment and poverty levels.

Annex 6.3. Effectiveness

Topic 4 Effectiveness in generating outcomes and achieving objectives

Increased access to microfinance (see section 4.2.1 in the report)

There are important disparities in the number of final recipients and the allocated amount per country as it can be seen in Table 21. The regional distribution appears similar under EaSI as under PROGRESS with France, Spain and the Netherlands receiving the largest amount.

Table 21. Number of transactions and amount as of 30/09/2016

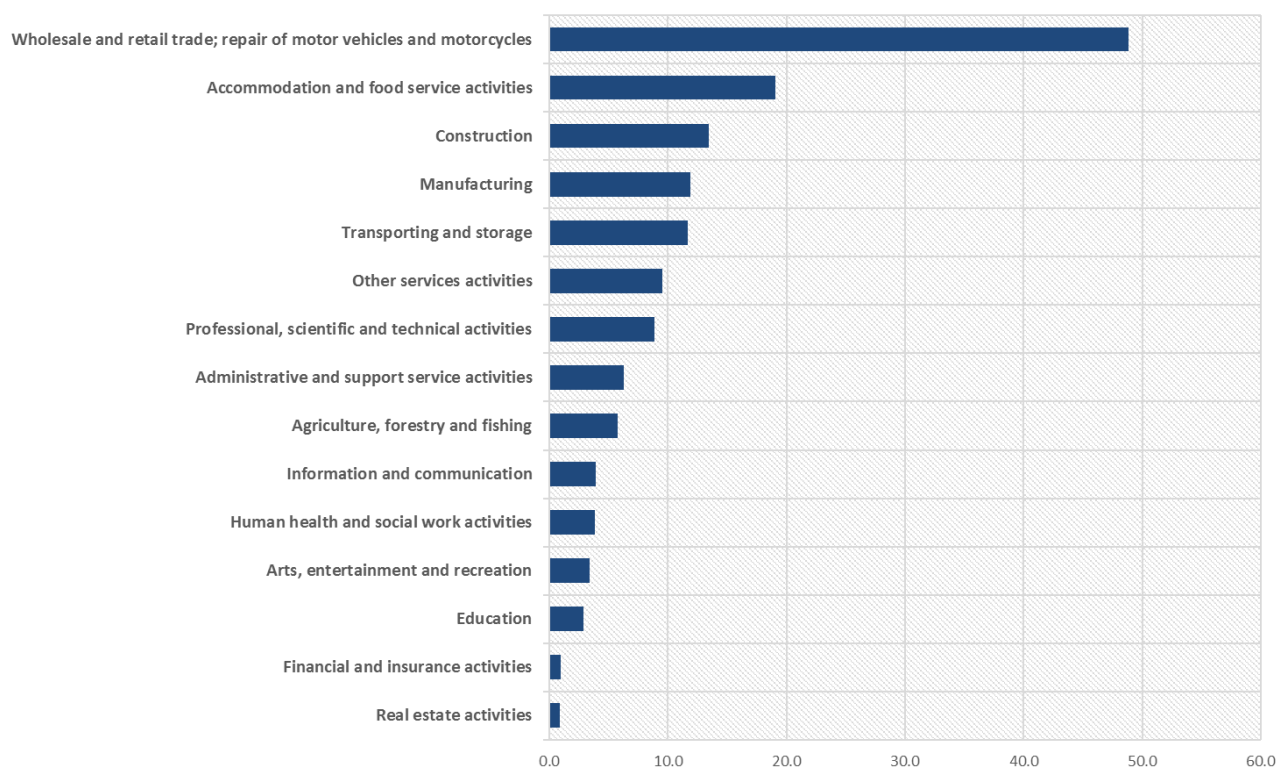
| Country | Transactions to final recipients (bn) | Amount committed to final recipients (million €) | Average loan size (€) |
|----------------|---------------------------------------|--|-----------------------|
| France | 4,766 | 40.8 | 8,561 |
| Spain | 2,011 | 30.5 | 15,167 |
| Netherlands | 1,550 | 23.1 | 14,903 |
| Czech Republic | 824 | 7.2 | 8,738 |

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| | | | |
|----------------|--------|-------|--------|
| Sweden | 763 | 13.3 | 17,431 |
| Poland | 697 | 5.2 | 7,461 |
| Belgium | 583 | 4.5 | 7,719 |
| Ireland | 425 | 6.1 | 14,353 |
| Italy | 364 | 6.7 | 18,407 |
| Romania | 320 | 5.2 | 16,250 |
| Slovenia | 164 | 3.8 | 23,171 |
| Portugal | 156 | 1.6 | 10,256 |
| Estonia | 114 | 1.8 | 15,789 |
| United Kingdom | 90 | 0.7 | 7,778 |
| Albania | 83 | 0.3 | 3,614 |
| Austria | 56 | 0.6 | 10,714 |
| Greece | 44 | 0.6 | 13,636 |
| Slovakia | 8 | 0.1 | 12,500 |
| Germany | 3 | 0 | 0 |
| Total | 13,021 | 152.3 | 11,696 |

Source: EIF. (2016). Semi-annual operational report.

Figure 7. Microfinance: Aggregate amount committed by sector as of 30/09/2016



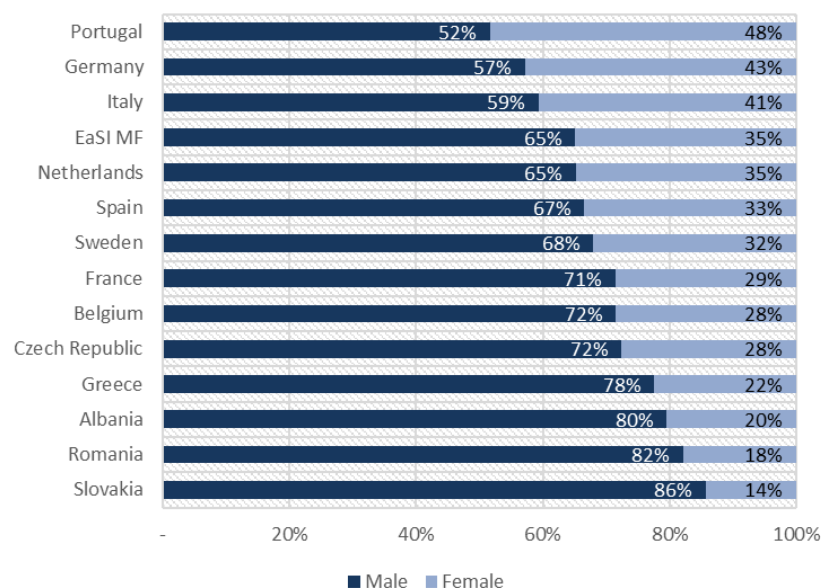
Source: EIF. (2016). Semi-annual operational report.

Increased access to, and availability of, microfinance for vulnerable persons

Findings are presented below per country as well as for the axis as a whole. Overall, large disparities exist among the countries.

In terms of gender, all countries covered have a majority of male beneficiaries. Portugal has the highest proportion of women beneficiaries with 48 per cent followed by Germany and Italy. The EaSI aggregated data shows a proportion of women of 35 per cent.

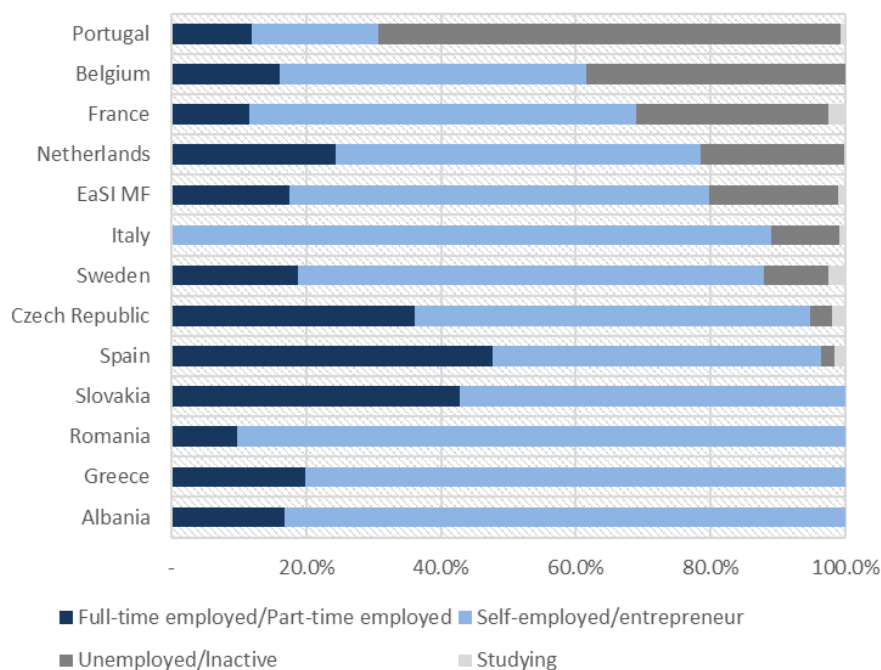
Figure 8. Gender



Source: EIF. (2016). Impact report.

The majority of FIs provide loans to self-employed and entrepreneurs as reflected in the figure below. Unemployed and inactive people are particularly supported in Portugal and to some extent in Belgium, France and the Netherlands. The data suggests that unemployed might still face difficulties in accessing credit in some countries while people who already have a microenterprise or are already employed are favoured. This figure is much lower than the usual share of the unemployed people supported annually under the predecessor programme (around 60 per cent)⁶⁰.

Figure 9. Employment status

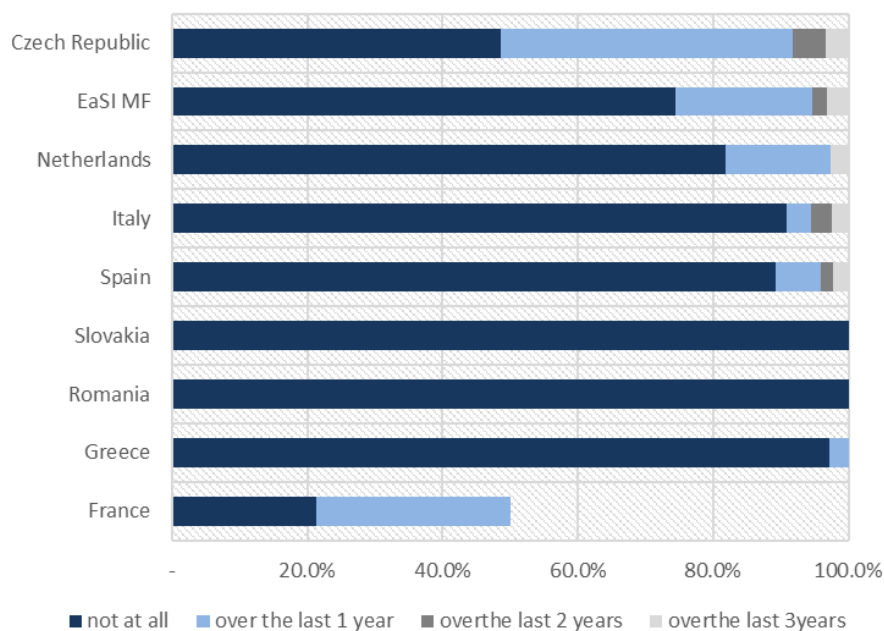


Source: EIF. (2016). Impact report.

Looking further into people who have lost their job, in the majority of countries final beneficiaries have not lost a job at all. Czech Republic stands out with 57 per cent of their clients having lost their job over the last year. Again, this suggest that FIs are keener to lend to employed people.

⁶⁰ European Commission. (2017). Performance Monitoring Report of the European Union Programme for Employment and Social Innovation (EaSI) 2015-2016.

Figure 10. People having lost their job

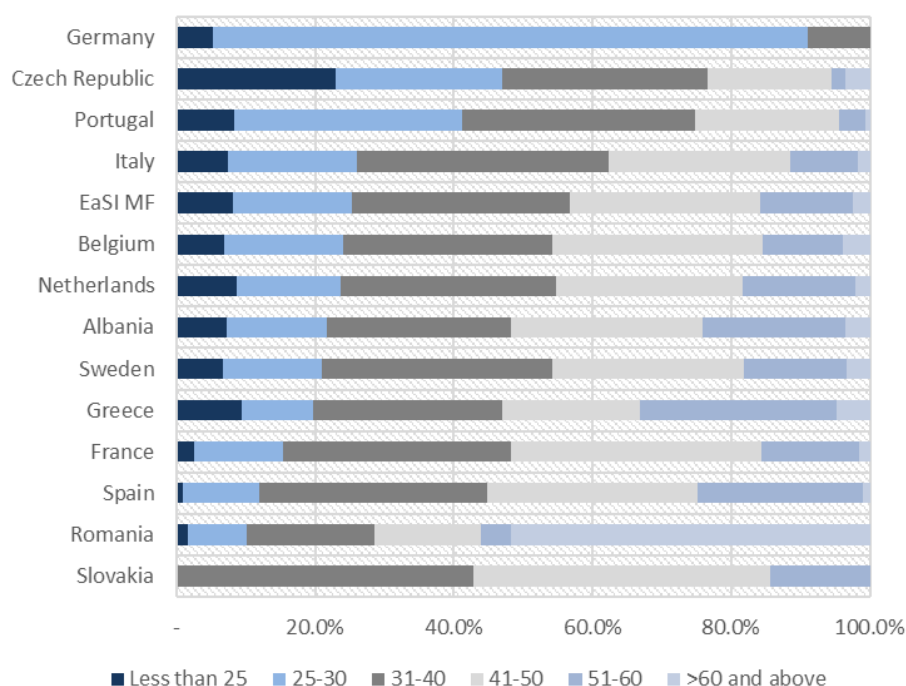


Source: EIF. (2016). Impact report

Young people are identified in the literature as particularly vulnerable. Figure 11 however indicates that the majority of recipients of the EaSI financial guarantee are aged between 31 and 50. Some countries nonetheless favour young people (under 30) such as Germany and Czech Republic.

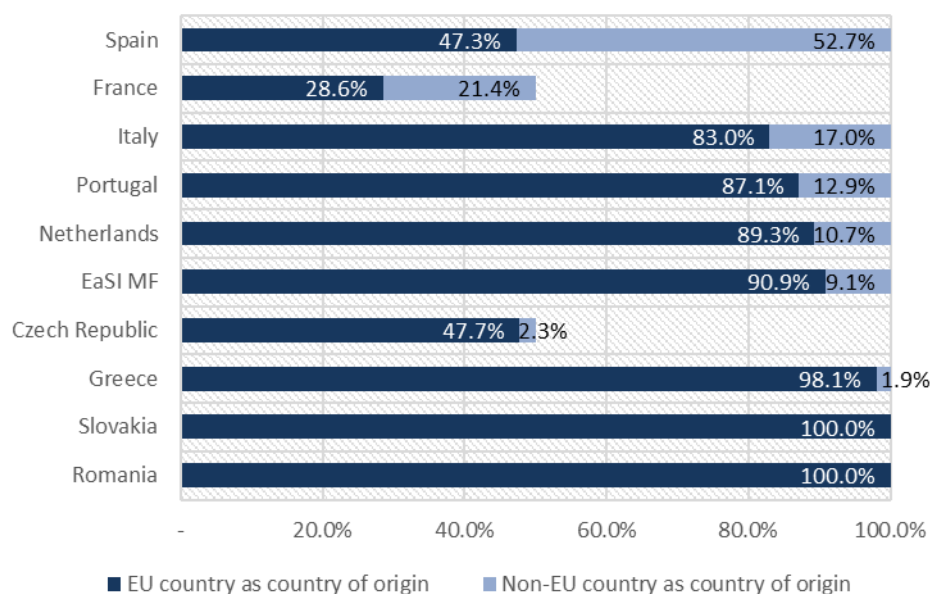
Migrants were identified as a group who particularly faces difficulties in accessing finance and these difficulties might still remain under EaSI. As seen in Figure 12 the majority of countries disbursed loans to people coming from another EU country with the exception of Spain where more than half of the microloans provided to people with a non-EU country origin.

Figure 11. Age



Source: EIF. (2016). Impact report

Figure 12. Migrant background



Source: EIF. (2016). Impact report

Note: Data for France and Czech Republic were incomplete and therefore does not sum to 100 per cent.

Data on people with disabilities suggests that, in all the countries covered, disabled are supported to a limited extent by EaSI as they represent only 1.3 per cent of the final beneficiaries. Finally, data on education level was scarce but indicates that the majority possess at least a secondary education: 36 per cent possess a secondary

degree while 29 per cent possess a post-secondary education. Only 1.6 per cent have no formal education.

Annex 6.4. Efficiency

Topic 7: Efficiency of resource allocation and financing procedures (see section 4.3 in the draft final report)

Table 22. Commitments (planned and actual) under Microfinance and Social Entrepreneurship axis, 2015 - 2016⁶¹

| | Actual Commitments (EUR) | Share in axis/programme (actual) % | Planned commitments (EUR) | Share in axis/programme (planned) % | Share of actual commitments in planned commitments % | Share planned in the EaSI Regulation % |
|-------------------------|--------------------------|------------------------------------|---------------------------|-------------------------------------|--|--|
| Years 2015 to 2016 | | | | | | |
| EaSI-MF/SE total | 54,190,385 | 60% | 54,443,070 | 44% | 100% | 21% |
| Microfinance | 34,717,171 | 64% | 34,717,171 | 64% | 100% | 45% |
| Social entrepreneurship | 19,365,899 | 36% | 19,365,899 | 36% | 100% | 45% |
| Cross-cutting issues | 107,314 | 0.2% | 360,000 | 1% | 30% | Any remainder (= up to 20%) |

Source: European Commission. (2017). Performance Monitoring Report of the European Union Programme for Employment and Social Innovation (EaSI) 2015-2016, Table 27. Planned and actual commitments under Microfinance and Social Entrepreneurship axis in 2015, and Table 28. Planned and actual commitments under Microfinance and Social Entrepreneurship axis in 2016, p. 59. Values in the two tables have been added for years 2015 and 2016.

Table 23 shows that as of 31 December 2016 the total fees and management costs paid/to be paid had almost doubled from 2015.

⁶¹ Note: Data for 2015 is as of April 2016, and data for 2016 is as of February 2017.

Table 23. Management fees and efficiency per year, for the MF/SE axis⁶²

| | 2015 | 2016 |
|---|-------------|-------------|
| Total fees and Management costs paid/to be paid (incl. accruals) | €2,310,758 | €4,023,790 |
| Contract value | €27,181,627 | €32,230,623 |
| Average fees and management cost per contract signed with FIs | €210,069 | €138,751 |
| Average fees and management cost as % of volume of all Final Recipient Transactions signed and reported | 33.93% | 2.66% |
| Average fees and management cost per final recipients receiving financing | €5,555 | €325 |

Source of data: EaSI – Guarantee Financial Instrument (EaSI GFI) Annual Operational Report 2016 and 2015 (Reporting date 31/12/2015 and 31/12/2016).

Examples of efficiency from the perspective of the FIs interviewed in the case studies are displayed in Table 24.

Table 24. Examples of efficiency from the case studies

| Financial intermediary | Window, country | Examples of efficiency of MF/SE-axis |
|------------------------|-----------------|---|
| La Nef | SE, France | <p>La Nef in France has achieved a large increase in the number of beneficiaries while at the same time deeming the allocated money as sufficient. The extract from the case study below illustrates⁶³: “Regarding the resource allocation for the project, the budget provided for 2017 was considered to be sufficient. As of 30 September 2016 la Nef had provided loans under EaSI to 55 final recipients. This is an eleven-fold increase as compared to seven months before when la Nef had provided loans to 5 eligible final beneficiaries (as of 31 March 2016).”</p> <p>Another form of constraint limiting the efficiency of the implementation of the EaSI MF/SE axis is language as mentioned by La Nef. Language poses an important resource constraint as English is required for certain tasks related to EaSI, but not everyone speaks it in their organisation⁶⁴.</p> |
| ADIE | MF, France | <p>The French MF provider ADIE did not consider the allocated budget as sufficient, due to the high demand as well as their success with Propulse, a product aimed at helping micro-entrepreneurs without access to bank loans to develop existing businesses or to start new businesses⁶⁵. As a matter of fact, ADIE applied for a guarantee of €100 million, which exceeded the EIF’s limit per country. Moreover, the limited time a guarantee is available gives intermediaries like ADIE very short visibility (not more than two years). The large volume of activities as well as the legal requirement in France force ADIE to continuously think about the next guarantee to sign, in order to secure the existence of their project. Thus, a longer coverage period of four years instead of two is deemed desirable⁶⁶.</p> |

⁶² Note: the numbers are for both MF and SE, added as per the table above (**Error! Reference source not found.**).

⁶³ ICF, Case study: La Nef.

⁶⁴ ICF, Case study: La Nef.

⁶⁵ Propulse is a product developed in 2013 under the predecessor programme of EaSI, the European Progress Microfinance Facility (EPMF).

⁶⁶ Case study ADIE; contract reference?

| | | |
|----------------|---------------------|--|
| Qredits | MF, The Netherlands | The Dutch MF provider Qredits also reported that the resource allocation was sufficient for the project. Qredits still has the capacity to use the EaSI guarantee for the upcoming year, despite the fact that more than half of the allocated amount of €50 million has been utilised (€28 million as of 1 February 2017) ⁶⁷ . |
| Komerční Banka | MF, Czech Republic | The Czech bank Komerční Banka (KB) is satisfied with the volume of the guarantee provided by EIF. KB also consider the financial support provided by EaSI as adequate to pursue the objectives of microloans, and they still have resources left for 2017. KB did however also mention the possibility of having overestimated the demand for loans from start-ups, forcing the bank to broaden the recipient group (other social groups that meet the eligible criteria) as well as to reassess the guarantee and the product offered ⁶⁸ . Komerční Banka also mentioned that the product is perceived as very flexible and user-friendly for both Komerční Banka staff and the final beneficiaries thanks to the requirement for final recipients being easy to fulfil once the eligibility criteria are met. Staff at Komerční Banka can focus on analysing the business plan of the potential client instead of assessing whether final recipients meet the criteria, while the final recipients do not have to deal with administrative requirements ⁶⁹ . |

Source: EaSI mid-term evaluation, Volume

⁶⁷ Case study Qredits; contract reference?

⁶⁸ Case study Komerční Banka; contract reference?

⁶⁹ Case study Komerční Banka, idem.

Annex 6.5. Coherence

Topic 10 Coherence with other EU interventions

The following table presents the coherence of the MF/SE axis with other EU interventions.

Table 25. MF/SE-initiatives at EU-level compared with EaSI MF/SE axis

| | EaSI MF/SE axis^{70 71 72} | COSME^{73 74 75} | InnovFin^{76 77 78} | EFSE: European Fund for South East Europe^{79 80} | ESF: Micro credit fund ESF Campania^{81 82} |
|------------|--|--|--|---|---|
| Objectives | Increase access to and availability of microfinance for vulnerable groups who want to set up and develop their | To support: better access to finance for SMEs; access to markets for SMEs; | To facilitate and accelerate access to finance for innovative businesses and other entities in Europe; | The fund's objective is to provide development finance in the South East European region, | To improve access to finance for so called 'non-bankable' individuals: young people, the unemployed, women, migrants and disadvantaged individuals. |

⁷⁰ EIF. (2016). EaSI Guarantee Instrument. (2016, 21 December). Retrieved from http://www.eif.org/what_we_do/microfinance/easi/easi-guarantee-instrument/index.htm

⁷¹ EIF. (2016). EaSI Capacity Building Investments Window. (2016, 21 December). Retrieved from http://www.eif.org/what_we_do/microfinance/easi/easi-capacity-building-investments-window/index.htm

⁷² European Commission (2017). Microfinance and Social Entrepreneurship axis of EaSI. (2017, 02 June). Retrieved from <http://ec.europa.eu/social/main.jsp?catId=1084&langId=en>

⁷³ COSME. (2017). COSME financial instruments. Retrieved from https://ec.europa.eu/growth/access-to-finance/cosme-financial-instruments_en

⁷⁴ COSME. (2017). COSME. Retrieved from <https://ec.europa.eu/easme/en/cosme>

⁷⁵ COSME. (2017). COSME. Europe's programme for small and medium-sized enterprises. (2017, 01 June). Retrieved from <http://ec.europa.eu/growth/smes/cosme/>

⁷⁶ European Investment Bank. (2017). InnovFin – EU Finance for innovators. (2017, 02 June). Retrieved from <http://www.eib.org/products/blending/innovfin/>

⁷⁷ European Investment Bank. (2017). InnovFin EU Finance for Innovators (leaflet). (2017, March). Retrieved from http://www.eib.org/attachments/thematic/innovfin_eu_finance_for_innovators_en.pdf

⁷⁸ European Investment Bank. (2017). InnovFin advisory. (2017, 02 June). Retrieved from <http://www.eib.org/products/advising/innovfin-advisory/index.htm>

⁷⁹ European Investment Bank. (2017). European Fund for South East Europe (EFSE). (2017, 23 October). Retrieved from <http://www.eib.org/projects/pipelines/pipeline/20050436>

⁸⁰ European Investment Bank. (2017). EUROPEAN FUND FOR SOUTH EAST EUROPE. (2017, 02 June). Retrieved from <http://www.eib.org/projects/loan/loan/20050436>

⁸¹ European Investment bank/fi-compass. (2015). The European Social Fund Financial instruments, p.7. (2015). Retrieved from https://www.fi-compass.eu/sites/default/files/publications/ESF_The_european_social_fund_EN.pdf

⁸² European Investment bank/fi-compass. (n.d.) ESF Microcredit Fund Campania Case Study. (2017, 02 June). Retrieved from <https://www.fi-compass.eu/publication/case-studies/case-study-esf-microcredit-fund-campania>

| | EaSI MF/SE axis ^{70 71 72} | COSME ^{73 74 75} | InnovFin ^{76 77 78} | EFSE: European Fund for South East Europe ^{79 80} | ESF: Micro credit fund ESF Campania ^{81 82} |
|------------------|--|---|--|---|--|
| | <p>business and micro enterprise.</p> <p>To build up the institutional capacity of micro-credit providers.</p> <p>Support the development of social enterprises, in particular by facilitating access to finance.</p> | <p>entrepreneur-ship (especially specific groups such as young people, women and senior entrepreneurs); more favourable conditions for business creation and growth.</p> | <p>To provide finance for research and innovation to entities that may otherwise have difficulty to access financing.</p> | <p>through the local financial sector, particularly focusing on the needs of micro enterprises and small enterprises.</p> | |
| Type of facility | <p>Loan guarantee facility: capped guarantees and counter guarantees for FIs within microfinance and social entrepreneurship.</p> <p>Capacity building investment: investments to build institutional capability of FIs. (Part of EaSI's capacity building investment window).</p> | <p>Loan guarantee facility (LGF): guarantees and counter guarantees for FIs – to enable more loan creation and higher leverage for SMEs. Also involves securitization of SME debt-finance portfolios.</p> <p>The equity facility for growth (EFG): equity financing (venture capital and mezzanine finance) to beneficiaries, using means invested in risk-capital funds.</p> | <p>A series of integrated and complementary financing tools and advisory services (InnovFin Advisory) on how to improve access to finance for research and innovation projects.</p> | <p>Closed-end microfinance fund.</p> <p>The fund provides financing to micro and small scale enterprises, as well as rural and housing loans through qualified FIs.</p> | <p>Microcredit for non-bankable and disadvantaged individuals, to increase the access to credit for starting a business.</p> <p>Support to the final recipients during the first implementation step (6 months) with implementation, funding and administration.</p> |

| | EaSI MF/SE axis ^{70 71 72} | COSME ^{73 74 75} | InnovFin ^{76 77 78} | EFSE: European Fund for South East Europe ^{79 80} | ESF: Micro credit fund ESF Campania ^{81 82} |
|---|---|--|---|--|--|
| | | Education and support services: supporting entrepreneurs, improving business conditions and opening markets for SMEs. | | | |
| Type and size of the financial products | Portfolios of microloans up to €25,000 for micro-borrowers and micro-enterprises; Portfolios of debt financing products: loans, mezzanine loans, subordinated debts, leases and profit-sharing loans, up to €500,000 for social enterprises. Interest rate for loans: 0% Capacity building | Guarantees and counter-guarantees, including securitisation of SME debt finance portfolios, to selected FIs. Expected average guaranteed loan amount in the LGF is €65,000. Expected overall investment through the EFG is €4 billion with the average size of each equity financing €8m ⁸³ . | EIF can provide finance in the range from €25,000 to €500m ⁸⁴ : Early-stage equity investments to micro-enterprises, SMEs and social enterprises. Guarantees and counter guarantees on debt financing between €25,000 and €7.5m for SMEs; and up to €50m for Mid-caps. For large caps the guarantees are | EIB finance up to €25m. | Loans of from €5,000 up to €25,000. Interest rate for loans: 0% |

⁸³ It is expected that 500 firms will benefit from equity finance through the Equity Facility for Growth and overall investment reaching up to €4 million. This gives an average finance amount of €8,000,000. Source: COSME. (2017). COSME financial instruments. Retrieved from https://ec.europa.eu/growth/access-to-finance/cosme-financial-instruments_en

⁸⁴ European Investment Bank. (2017). What InnovFin products are available and who can benefit from them? (2017, 02 June). Retrieved from <http://www.eib.org/products/blending/innovfin/products/index.htm>

| | EaSI MF/SE axis ^{70 71 72} | COSME ^{73 74 75} | InnovFin ^{76 77 78} | EFSE: European Fund for South East Europe ^{79 80} | ESF: Micro credit fund ESF Campania ^{81 82} |
|-------------------|--|--|---|---|---|
| | | | <p>between €25 million and €500 million.</p> <p>Direct corporate lending (long-term senior, subordinated or mezzanine loans) from €7.5 million to €25 million for mid-caps; and up to €500 million for large-caps.</p> | | |
| End beneficiaries | <p>Micro-entrepreneurs and micro enterprises; vulnerable groups (women, long-term unemployed) wishing to start their own micro-enterprise;</p> <p>Social enterprises and social entrepreneurs.</p> | <p>Small and medium-sized enterprises (SMEs) operating in one or more EU Member States and COSME associated countries.</p> | <p>Enterprises and projects of any size: from micro enterprises and SMEs (<500 employees), to mid-caps (<3,000 employees) and large caps (>3,000 employees).</p> <p>Also social enterprises.</p> <p>Entities that are crucial in promoting innovation and creating growth and employment (but that lacks access to finance).</p> | <p>Micro and small enterprises;</p> <p>Private households</p> | <p>Individuals: unemployed people, job seekers, employees recently made redundant; young people (under 35), women, immigrants, disabled individuals, university students and disadvantaged workers. Individuals must be EU citizens or permanent residents of an EU member state; 18 years old or older and never have committed a crime.</p> <p>Enterprises: microenterprises (less than 10 employees and an annual turnover not exceeding € 2m), third sector enterprises (non-government</p> |

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|------------------------|--|---|---|--|---|
| | | | | | organisations), new businesses. |
| Eligible organisations | Banks, non-bank financial institutions/organisations in the microfinance or social entrepreneurship market. Funds/vehicles investing in those intermediaries. | Financial or credit institutions and loan (debt) funds Guarantee institutions, credit or financial institutions. Both must be established and operate in one (or more) EU Member state(s) and COSME assoc. countries. | Organisations operating in all eligible sectors under Horizon 2020. | n.a. | n.a. |
| Availability period | 2014-2023 | 2014-2020 | 2014-2020 | From 2007 | 2012-2015 |
| Budget | €96 million (+16 million through the EaSI Capacity Building Investments Window). | €2.3 billion (possibility to mobilise up to €25 billion in financing from FIs via leverage effects). | €100.5 million | €25 million | €100 million (€58.3 million ESF + €41.7 million national public co-financing) |
| Eligible countries | EU member states, Albania, FYROM, Iceland, Montenegro, Serbia, Turkey. | EU member states, EEA countries, and enlargement countries. | EU member states and associated countries. | Albania, Bosnia and Hercegovina, Bulgaria, Montenegro, FYROM, Romania, Serbia. | Italy, the region of Campania. |

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|-----------------|---|---|---|--|--|
| Managing agency | European Investment Fund. | The Executive Agency for Small and Medium-sized Enterprises (EASME) on behalf of the European Commission. | European Investment Bank Group (EIB and the EIF), in cooperation with the European Commission under Horizon 2020. | EIB | ESF Italy |

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