

Developing logics of intervention and related common indicators for the next ESF Operational Programmes

FINAL REPORT

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activities**

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CONTENTS

EXECUTIVE SUMMARY	5
1 INTRODUCTION	25
1.1 Purpose of the study and this report.....	25
1.2 Structure of the report.....	25
2 THE ESF AND THE EU POLICY CONTEXT.....	27
2.1 The Lisbon Strategy and the current ESF programming period.....	27
2.2 Europe 2020 aims and objectives	28
2.3 Monitoring Europe 2020	29
2.4 Europe 2020 and the ESF	31
2.4.1 Making sure the ESF delivers.....	33
2.5 Requirements for the ESF in the next programming round.....	34
2.6 Concluding summary.....	35
3 STUDY METHODOLOGY.....	37
3.1 The working group of Managing Authorities and its role in the study.....	37
3.2 Deliverable 1: proposing several methods to develop logics of intervention at the priority level	37
3.3 Methodology for Deliverable 2: Develop full logics of intervention for three policy areas	38
3.4 Methodology for Deliverable 3: developing output and result indicators for the next ESF programming period.....	39
4 LOGICS OF INTERVENTION FOR THE ESF FROM 2014	45
4.1 Introduction.....	45
4.2 The theoretical background.....	45
4.2.1 Logics of intervention.....	45
4.2.2 Theory of change.....	48
4.3 Logics of intervention for the next ESF programming period: issues and requirements.....	50
4.3.1 Current use of intervention logics and issues highlighted	50
4.3.2 Specification for an intervention logic framework post-2013.....	51
4.3.3 Implementing and validating the specification.....	53
4.4 Final intervention logic framework for the next programming period.....	55
4.4.1 Needs Analysis Table.....	55
4.4.2 Policy Context Table.....	58
4.4.3 Internal logic table.....	59
4.5 Supporting take-up of the framework post 2013.....	62
4.5.1 Promoting an intervention logic culture	62
4.5.2 Improving the technical usability and operability of the proposed intervention logic framework and associated Tables	63
4.6 Concluding summary.....	64
5 OUTPUTS AND RESULT INDICATORS FOR THE ESF FROM 2014	66
5.1 The indicator system in the current ESF programming period and requirements for 2014 onward	66
5.1.1 The current ESF indicator system and its shortcomings	66
5.2 Common output indicators for the next programming period	68

5.2.1	Labour market status indicators.....	68
5.2.2	Age indicators	75
5.2.3	Educational attainment	77
5.2.4	Vulnerable groups.....	81
5.2.5	Systems and structures	90
5.2.6	Support for enterprises	93
5.2.7	Participants and stocks and entries.....	95
5.2.8	Community Added Value	97
5.3	Common result indicators for the next ESF programming period	97
5.3.1	Immediate result indicators.....	97
5.3.2	Longer term result indicators	104
5.3.3	Gaps in the longer term result indicator set and suggestions for filling them.....	111
5.3.4	Community Added Value	115
6	CONCLUSIONS	116
6.1	Summary of the key outputs of the study	116
6.1.1	The intervention logic framework.....	116
6.1.2	The common indicators	118
6.2	Issues to consider for implementing the intervention logic framework.....	120
	ANNEX 1: MINUTES FROM THE WORKING GROUP MEETINGS	121
	ANNEX 2: MEMBER STATES' WRITTEN COMMENTS ON THE COMMON INDICATORS	161
	ANNEX 3: COMPARISON OF KEY MESSAGES AND POLICY THEMES IN ESF, SOCIAL OMC, EUROPE 2020 AND THE INTEGRATED EMPLOYMENT GUIDELINES.....	179
	ANNEX 4: THEORY OF CHANGE MODEL TO SUPPORT INDICATOR REVIEW.....	182
	ANNEX 5: ANNEX XXIII OF COMMISSION REGULATION 1828/2006 OF 8TH DECEMBER 2006	184
	ANNEX 6: TERMS OF REFERENCE FOR VT/2010/077/029	185
	ANNEX 7: BIBLIOGRAPHY AND KEY REFERENCES.....	210

EXECUTIVE SUMMARY

Purpose of the study

The purpose of the study as scoped out in the terms of reference was threefold¹:

- To develop methodologies for establishing logics of intervention at the most suitable level for the ESF. The working assumption during the implementation of the study was that the logics of intervention should be constructed at the level of the priority axis.
- To develop logics of intervention by way of example for three selected policy areas. These three policy areas were: enhancing access to employment, social inclusion and administrative capacity. During implementation of the study the titles of these policy areas were re-named as follows to match the wording of Europe 2020: access to employment; social inclusion and poverty; institutional capacity and governance.
- To develop related common output and result indicators linked to the above three policy areas. The aim was to develop indicators of a reasonable number for each of these policy areas (up to ten, broken down by gender), to include their definitions as well as the method and appropriate frequency of data collection. The remit of the study also included the methodology to construct them as well as a discussion on how the indicators can be aggregated at Member State and EU level. Based on feedback from members of the working group of Managing Authorities on ESF logics of intervention and related common indicators, convened for this study (representing 17 ESF Managing Authorities), a set of indicators was developed that is relevant for all ESF policy fields (rather than specifically designed for the three policy areas that were the focus of this study).

This report presents the result from activities undertaken to meet these three purposes. It draws together the results from all deliverables and study outputs produced.

The ESF and the EU policy context

In the next structural fund programming period (post 2013) the European Social Fund (ESF) will be required to demonstrate a clear link to the priorities and objectives set out in the Europe 2020 strategy. The ESF will have to demonstrate that it creates Community Added Value by contributing to the three Europe 2020 priorities of creating smart, sustainable and inclusive growth. This continues the practice in the current funding period of targeting spending around the Lisbon strategy objectives.

A new programming framework is currently being developed to support linkages between the ESF and Europe 2020 objectives. The Common Strategic Framework (to be developed by the European Commission at EU level) will create clear links between the European Regional Development Fund (ERDF), the ESF, the Cohesion Fund, the European Agricultural Fund for Rural Development (EAFRD)

¹ Request for services in the framework of the Multiple Framework Contract "Developing logics of intervention and related common indicators for the next European Social Fund operational programmes" Lot No 4, VT/2010/077, p. 4

and the European Fisheries Fund (EFF) and Europe 2020 objectives by tailoring the investment priorities to the overall focus and objectives of Europe 2020. Based on this, a Development and Investment Partnership Contract, proposed by the Member State and adopted by the Commission, will set out how the ERDF, the ESF, the Cohesion Fund, and possibly the EAFRD and the EFF investment should be prioritised in the country to support the achievement of the Europe 2020 objectives. This contract will be based on the Common Strategic Framework and the National Reform Programmes.

The next ESF programming period will also be informed by the principles of a results driven budget where, according to the 2010 Budget Review, measurement focuses on “real impacts rather than the outputs involved”.²

The implications from this for the ESF post 2013 are twofold. First, a concentration of resources is required to ensure ESF funding achieves a significant effect. Second, the monitoring (and evaluation) system needs to be of high quality and be aligned with the Europe 2020 policy framework. Logics of intervention, which establish links between regional and national needs on the one hand and common EU priorities and objectives on the other, will therefore be important in the process of programme planning and evaluation to achieve coherence.

The logic of intervention for the ESF in the next programming period

The logic of intervention framework developed by this study is presented in a table format so that Operational Programmes (OPs) can be summarised systematically and in a manner that makes the logical flow of the OP, including the choice of indicators, transparent. To meet the needs for planning, monitoring and evaluating ESF OPs post 2013, the logics of intervention consist of three tables. These, as well as the following tables and compilations, are displayed at the end of this Executive Summary and are discussed in Chapter 4 of this report.

The needs analysis table

The needs analysis table relates the socio-economic situation in the region or country covered by the OP to national Europe 2020 targets. The purpose is to highlight areas of greatest intervention need for the ESF and to illustrate the path towards impact on Europe 2020 objectives. The table includes the following information (by priority axis):

- Indicators from the **Joint Assessment Framework (JAF)**, the monitoring tool to track Member States' progress towards Europe 2020.³ This shows, at the time of planning the ESF OP, how far the Member State as a whole needs to progress to reach Europe 2020 objectives.
- The national Europe 2020 targets included in the **National Reform Programme (NRP)**.

² Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee, the Committee of the Regions and the National Parliaments COM(2010) 700 final The EU Budget Review, (SEC (2010) 7000 final), p. 12, http://ec.europa.eu/budget/reform/library/communication/com_2010_700_en.pdf

³ Council of the European Union (2010) Foundations and structures for a Joint Assessment Framework (JAF), including an Employment Performance Monitor (EPM) to monitor the Employment Guidelines under Europe 2020, <http://register.consilium.europa.eu/pdf/en/10/st16/st16984-ad01.en10.pdf>

- The **Common Strategic Framework (CSF)** and the **Development and Investment Partnership Contract (DIPC)** which will set investment priorities in the Member State.
- Relevant **national and regional statistics**. These present the national and regional socio-economic situation (where the OP covers the regional level) in relation to priorities agreed in the DIPC.

This information illustrates the focus on needs, shows a link between the ESF and Europe 2020 and shows the path and progression towards Europe 2020 targets. The table presenting the needs analysis can be found in section 4.4.1 of this report.

The policy context table

The policy context table relates ESF priorities and (intended) activities to other national and European programmes relevant to the region or country covered by the OP. It includes the following information (by priority axis):

- **Problem definition**. Focusing on target groups, this column offers an opportunity to deepen the analysis of the figures of the needs analysis.
- **Action and rationale**. Information in this column explains how the problem situation outlined in the preceding column will be addressed.
- **Assumptions, risks and possible challenges**. This column is envisaged to be optional. It provides an opportunity to outline some of the factors that need to remain constant to achieve intended outcomes, discuss issues around absorption capacity and other limitations in the OP's contribution to Europe 2020.

The policy context table therefore illustrates the pathways through which the ESF is expected to contribute to Europe 2020 objectives. It also indicates the potential Community Added Value of ESF support, such as volume or scope effects. The table presenting the policy context can be found in section 4.4.2 of this report.

The internal logic table

The internal logic table focuses on the OP itself. It includes information, per priority axis, on: programmed spending (both Community and national); results descriptions and indicators; possible activities (non-binding); target groups; output descriptions and outputs indicators. The table also includes an optional risks / challenges column to allow for the recording of issues outside the control of the Managing Authority that could affect the achievement of targets. A simplified version of this table could remove the results and output descriptions as well as the risks and challenges column. The tables presenting the internal logic can be found in section 4.4.3 of this report.

Strengths, weaknesses and issues for further consideration

The strength of the intervention logic lies in its combination of depth of information and summary presentation. A possible weakness is the table format which can be difficult to use for the summary of complex information. Take-up and use by Managing Authorities of the intervention logic is likely to be encouraged by further refining the usability, for instance by moving away from the table format and towards an online tool with a user-friendly graphical interface.

The use of the intervention logic as part of ESF strategic programming could be encouraged by: building on and taking forward the work of the working group; launching and implementing a programme of awareness raising, training and

professional development for officials in Member States with responsibility for strategic programming, implementation, monitoring and evaluation; promoting networking and knowledge-sharing between stakeholders; dedicating part of the ESF technical assistance to supporting Member States in defining appropriate methodologies for data collection on common indicators; consolidating and integrating the range of tools, guidelines and good practices that are available to support intervention logic implementation with the aim of developing an overview of 'what works'.

The common output and result indicators

A set of 32 common output and result indicators has been developed in the context of this study. The indicators were supposed to: cover the target groups defined in Annex XXIII of regulation 1826/2006, systems and structures in the field of labour market policy, education and training and social policies including health, and support to enterprises; reflect the distance travelled to work and qualification; show the immediate and longer term results on the policy areas and objectives and ensure a relevant contribution to achieving the EU strategic objectives; make it relatively easy to collect data on them at OP level. As a result of changing requirements it was decided, during the implementation of the study, to remove health-related indicators from the list of indicators.

The process of developing these indicators was an iterative one, involving an ongoing process of development, discussion and feedback and refinement between the European Commission, representatives from the Managing Authorities and the study team. The Terms of Reference and the proposed study design foresaw a detailed discussion on indicators as part of the final deliverable for the study. It was therefore in the last workshop with the working group of Managing Authorities that a set of 20 output and result indicators, that had been drafted by the European Commission and reviewed by the study team, was discussed. Comments by the working group on clarity, relevance, usability and aggregation were considered by the study team and, where beneficial, amendments to the original definitions proposed.

The 13 output indicators discussed with the working group of Managing Authorities simplify the current Annex XXIII by merging some indicators on educational attainment and vulnerable groups. The output indicators go beyond the current Annex XXIII by including an additional one on 'systems and structures'. The working group also discussed four immediate result indicators (that measure results immediately after leaving an intervention) and three longer-term result indicators (that measure results six months after leaving an ESF funded intervention). These indicators measure achievements in the areas of labour market situation (participants in job searching, employment or self-employment) and skills/qualification/education (participants in education / training, participants gaining a qualification).

As a result of the quality and policy review undertaken by the study team and the discussions during the 4th workshop with the working group, an additional 12 indicators are proposed by the study and introduced in Chapter 5 of this report. The eight additional output indicators cover: labour market status (long-term unemployed and self-employed); 'vulnerable groups' (participants with a care gap; participants affected by homelessness); a set of alternative 'systems and structures' indicators (governmental organisations and partnerships and networks) and in a new category called 'support to enterprises (SME's and not for profit institutions). The additional output and result indicators are designed to strengthen

the social inclusion, enterprise and institutional capacity and governance dimensions of the indicator set. These indicators have, nevertheless, neither been reviewed by MS nor discussed in detail with the European Commission.

The indicators and their definitions are discussed in Chapter 5 of this report.

Sound definitions, based on European standards wherever possible

Each indicator contains a detailed definition. The definitions of the output and results indicators discussed in the working group are mostly based on established European or international definitions (most notably Eurostat's Labour Market Policy (LMP) database definitions, Labour Force survey (LFS) definitions or the ISCED classifications). One exception is the output indicator on 'systems and structures' for which no accepted equivalent exists. The indicator remained contested among members of the working group, and the study recommends replacing it by measuring support to individual organisations on the one hand and 'partnerships and networks' on the other. Another exception is the immediate result indicator on 'participants in education / training upon leaving'.

The additional output and result indicators developed by the study team after the final workshop do not have an equivalent in LMP and LFS methodologies. The definitions of the eight additional output indicators therefore incorporate generally accepted definitions from other sources (such as the European Commission or European NGOs). As there is currently no generally accepted definition of partnerships, it is recommended to use that to be developed by the Community of Practice on Partnership in the ESF. The definitions of the additional result indicators either link to target groups defined in the output indicators or in the case of the additional LTR indicators, where a generally accepted definition was not available, the wording incorporates terminology from the common indicators contract and thus to SFC2007.

Relevant for Europe 2020

All indicators are relevant for the Europe 2020 objectives of creating smart, sustainable and inclusive growth as well as the associated Integrated Employment Guidelines.

The 13 output indicators discussed in the working group cover the major target groups relevant to these policy objectives. The additional seven output indicators proposed by the study team link to specific social inclusion objectives of the EU as well as objectives of supporting enterprises / entrepreneurship and institutional capacity and governance. In terms of a seven step theory of change model outlining progression towards achieving the Europe 2020 goals developed by the study team, all output indicators capture information on the first stage of progression towards achieving these objectives.

The seven result indicators discussed in the working group relate to the employment and education objectives of Europe 2020. However, based on feedback from Managing Authorities and a desk-based quality review the study recommends other additional tools to collect data for the longer-term result indicator measuring improved labour market situation. The definitions of the discussed indicators are too broad to generate meaningful data, and the issue should therefore be investigated through evaluation going beyond simple surveys. The additional result indicators proposed by the study team focus on capturing data on social inclusion, entrepreneurship and indirect support (that is, support to organisations). In terms of the seven step theory of change model expressing

progress towards Europe 2020, the immediate result indicators capture information on the intermediate stages (acquisition of assets, behaviour change and acquisition of a new and better situation); the longer term result indicators capture information relating to the later stages (retention of a new and better situation).

Whilst the output and result indicators capture data on different stages in a theory of change model of achieving Europe 2020 objectives, any contribution of the ESF to Europe 2020 can only be assessed with the help of evaluation.

Community Added Value

The common output and result indicators can provide the basis for estimating and assessing the Community Added Value by measuring *volume effects* (adding to existing action or directly producing beneficial effects that can be expressed in terms of volume) and *scope effects* (broadening existing action by addressing groups that would not otherwise be addressed). However, the indicators in themselves capture data on gross (project) effects only. The net effect of ESF funding (which factors in deadweight, displacement and multiplier effects) need to be assessed using evaluation techniques such as econometric modelling, experimental / quasi-experimental designs (or other appropriate approaches) considering the counterfactual situation. The intervention logic can support evaluators in this task.

Administrative burden issues

The set of 13 output indicators discussed by the working group is unlikely to increase the administrative burden on Managing Authorities. To a large part this data is already collected by Managing Authorities at present so that relevant systems and processes are already in place. Moreover, the indicator set simplifies the current Annex XXIII output indicators and should therefore make data collection easier. However, the indicator on 'systems and structures' discussed in the working group is likely to be the exception: it is considered by some members of the working group difficult to measure and, in one case, difficult to transfer into a monitoring system. Adopting the additional output indicators proposed by the study team would require an adjustment of monitoring systems and the collection of additional data, both of which would entail additional administrative effort.

The common result indicators are new for the ESF in the next programming period. In terms of the administrative burden of collecting data on the immediate result indicators, feedback from Managing Authorities does not suggest that significant cost or logistical issues can be expected. As regards the longer-term result indicators, the following administrative issues need to be considered. Surveys to collect this data would need to be undertaken on a sample of participants and / or interventions to ensure technical assistance budgets are able to cover the expense. Surveys could be conducted by the beneficiary or by the MA. In the case of the former, the contracts will need to oblige the beneficiary to collect this data.

A proposal to count stocks and entries (rather than entries and carry overs as is current practice) in order to estimate intensity of support to participants was discussed in the working group. The proposed definition of stocks requires calculation of FTE of an intervention (hours per participant per intervention) and monthly (or at least quarterly) data collection. Feedback from representatives of Managing Authorities suggests that this may be burdensome where current monitoring systems do not already permit this. Possible alternative solutions to counting stocks include the following. A minimum duration an intervention needs to have could be specified in order to be included in the monitoring process; this

would be less accurate, but put less pressure on Managing Authorities. A variation of this system would be a method where a threshold for registering people as participants is based on whether people receive support such as counselling, training, business support etc) or whether they participate in activities such as conferences, seminars, information campaigns etc. In the case of the former (more 'active') interventions, participants are counted. In the case of the latter (more 'passive interventions), participants are not registered. Whereas this distinction does not estimate the exact duration of an intervention, it enables a distinction between very short and more intensive activities. Finally, if the purpose of capturing intensity of support is to understand how this relates to results, then the use of statistical techniques such as survival analysis as part of evaluation could also be used. If the sample is sufficiently random, this technique makes it possible to make predictions for an entire population of beneficiaries (e.g. the target groups covered by an ESF funded intervention) – for example how many are likely to go on from a training event to securing employment. The costs for running such surveys could be reduced by integrating relevant questions into surveys run to obtain information on result indicators (or other issues of interest).

The intervention logics tables

Table 1: Needs analysis

Title of OP:					
National EU2020 targets and description of anticipated progress towards EU2020 objectives					
Distance to national targets using JAF framework.	National target as per National Reform Programme	Common Strategic Framework	Development and Investment Partnership contract	Relevant national statistics	Relevant regional statistics
OP priority axis:					
OP priority axis:					

Table 2: Policy context

National 2020 targets: Employment: Poverty: Education:			
Policy context	Problem definition	Action and rationale	Assumptions, risks or possible challenges (optional)
<i>Other major programmes or initiatives taking place that link to the priority axis, especially those outlined in the NRP.</i>	<i>The nature of the problem the priority axis is looking to address.</i>	<i>The focus of the priority axis and why this will address the problem</i>	<i>Factors beyond the control of programme managers that need to remain stable so that expected results are achieved.</i>
OP priority axis:			
OP priority axis:			

Table 3.1: Internal logic

Description of objectives	Funding (programmed)	Results description	Results indicators, (total and per target group)	Indicative activities (non-binding)	Target group	Outputs description	Output indicators (total and per target group)	Risks / challenges
Objectives of the priority axis	ESF funding (million €) for priority National and private funding (million €) for priority	Description of high level results (=direct effects achieved).	Relevant common result indicator selected for total targets expressed in numbers (should include baseline and target, source of verification). Relevant common result indicator selected per targets concerned expressed in numbers (should include baseline and target, source of verification). Add other relevant indicators in OP as above.	Areas of intended ESF activity. No amounts are required for programming.	Group targeted by the activity	Actual achievements expected.	Actual achievements, expressed in absolute numbers of participants. This should include baseline and target, source of verification. Outputs should be broken down by relevant target group in absolute numbers.	Optional summary of any anticipated external risk that might affect the achievement of outputs and results.
OP priority axis: [ESF priorities derived from integrated guidelines for economic and employment policies.]								
			Add common result indicators here				Add common output indicators here	

Table 3.2: Internal logic (simplified)

Description of objectives	Funding (programmed)	Results indicators, (total and per target group)	Indicative activities (non-binding)	Target group	Output indicators (total and per target group)
Objectives of the priority axis	ESF funding (million €) for priority National and private funding (million €) for priority	Relevant common result indicator selected for total targets expressed in numbers (should include baseline and target, source of verification). Relevant common result indicator selected per targets concerned expressed in numbers (should include baseline a	Areas of intended ESF activity. No amounts are required for programming.	Group targeted by the activity	Actual achievements, expressed in absolute numbers of participants. This should include baseline and target, source of verification. Outputs should be broken down by relevant target group in absolute numbers.
OP priority axis: [ESF priorities derived from integrated guidelines for economic and employment policies.]					
		Add common result indicators here			Add common output indicators here

The common output and result indicators

Labour market status indicators discussed in the working group

No.	Output indicator	Amended definitions	Source and comment
1	Unemployed, including long-term unemployed	Total number of unemployed. <i>Persons usually without work, available for work and actively seeking work. Persons considered as registered unemployed according to national definitions are always included here even if they do not fulfil all three of these criteria.</i>	Source: LMP Comment: This entails both the Labour Force Survey definition of unemployed plus registered unemployed. The definition in italics is identical to the LMP definition.
2	Inactive	<i>Inactive persons are those who are neither classified as employed nor as unemployed.</i>	Source: LFS (http://circa.europa.eu/irc/dsis/employment/info/data/eu_lfs/lfs_main/lfs/lfs_concepts_and_definitions.htm) Comment: The wording in italics is identical to the LFS definition.
3	Inactive, not in education or training	<i>Inactive persons neither classified as employed nor as unemployed and who are not in training or education.</i> Self-employment is considered as "employed".	Source: LFS (http://circa.europa.eu/irc/dsis/employment/info/data/eu_lfs/lfs_main/lfs/lfs_concepts_and_definitions.htm) Comment: This is a sub-group of indicator 3 – all (total) inactive. The wording in italics is identical to the LFS definition.
4	Employed, including self-employed	<i>Employed persons are persons aged 15 and over who performed work, even for just one hour per week, for pay, profit or family gain during the reference week or were not at work but had a job or business from which they were temporarily absent because of, for instance, illness, holidays, industrial dispute, and education or training.</i> (LFS, CODE 1) Employed includes self-employed and family workers as specified by LFS and ILO. Employed persons also include persons who: <i>Was not working but had a job or business from which he/she was absent during the reference week</i> (LFS CODE 2).	Source: LFS, (http://epp.eurostat.ec.europa.eu/cache/ITY_OFFPUB/KS-BF-03-002/EN/KS-BF-03-002-EN.PDF) Comment: Absence during the reference week includes people on long absence from work receiving more than 50% of their salary, persons on maternity/paternity leave. Definitions in italics are identical to LFS definitions.

Additional labour market status indicators proposed by the study

No.	Output indicator	Definitions	Source and comment
5	Long-term unemployed	Total number of long-term unemployed. Long-term unemployed are persons who have been unemployed since 12 months or more.	Source: LFS (http://epp.eurostat.ec.europa.eu/cache/ITY_SDDS/en/une_esms.htm) Comment: Unemployed is defined as in O1 above. Long-term unemployed is a sub-group of indicator 1. The wording in italics correspond with the LFS definition
6	Self-employed	<i>Self-employed persons are the ones who work in their own business, farm or professional practice. A self-employed person is considered to be working if she/he meets one of the following criteria: works for the purpose of earning profit, spends time on the operation of a business or is in the process of setting up his/her business.</i>	Source: LFS (http://epp.eurostat.ec.europa.eu/cache/ITY_SDDS/en/lfsa_esms.htm) Comment: The self-employed is a sub-group of indicator 4. The wording in italics is identical to the LFS definition

Age indicators discussed in the working group

No.	Output indicator	Amended definitions	Source
7	Below 25 years	<i>The age of the participant is calculated from the year of birth. For persons born in the same year, those whose birthdays fall between 1 January and the end of the reference period are, for the purposes of results analysis, regarded as being one year older than those whose birthdays fall after the end of the reference period.</i>	Source: Labour Force Survey (http://circa.europa.eu/irc/dsis/employment/info/data/eu_lfs/lfs_main/lfs/lfs_concepts_and_definitions.htm) Comment: The wording in italics is identical to the LFS definition.
8	55 to 64 years	As above	Source: Labour Force Survey (http://circa.europa.eu/irc/dsis/employment/info/data/eu_lfs/lfs_main/lfs/lfs_concepts_and_definitions.htm)

Alternative age indicator proposed by the study

8	Above 54 years	<i>The age of the participant is calculated from the year of birth. For persons born in the same year, those whose birthdays fall between 1 January and the end of the reference period are, for the purposes of results analysis, regarded as being one year older than those whose birthdays fall after the end of the reference period.</i>	Source: Labour Force Survey (http://circa.europa.eu/irc/dsis/employment/info/data/eu_lfs/lfs_main/lfs/lfs_concepts_and_definitions.htm)
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Educational attainment indicators discussed in the working group

No.	Output indicator	Amended definitions	Source
9	With primary (ISCED 1) and lower secondary education (ISCED 2)	ISCED 1 and 2. <i>"Highest level of education successfully completed. The expression 'level successfully completed' is associated with obtaining a certificate or a diploma, when there is a certification. In cases where there is no certification, successful completion must be associated with full attendance. When determining the highest level, both general and vocational education/training is taken into consideration (LFS, Basic concepts and definitions)". "All national education systems are different, but they can be compared fairly accurately on the basis of the common classification system ISCED."</i>	Source: Eurostat, ISCED (http://circa.europa.eu/irc/dsis/employment/info/data/eu_lfs/lfs_main/lfs/lfs_concepts_and_definitions.htm) Comment: All definitions in italics are identical to the definition used by Eurostat. ISCED 1: <i>Primary education – begins between 5 and 7 years of age, is the start of compulsory education where it exists and generally covers six years of full-time schooling.</i> ISCED 2: <i>Lower secondary education – continues the basic programmes of the primary level, although teaching is typically more subject-focused. Usually, the end of this level coincides with the end of compulsory. education.</i> (Eurostat, Glossary: ISCED (http://epp.eurostat.ec.europa.eu/statistics_explained/index.php/Glossary:International_standard_classification_of_education_%28ISCED%29))
10	With upper secondary (ISCED 3) and post-secondary education (ISCED 4)	ISCED 3 and 4. <i>"Highest level of education successfully completed. The expression 'level successfully completed' is associated with obtaining a certificate or a diploma, when there is a certification. In cases where there is no certification, successful completion must be associated with full attendance. When determining the highest level, both general and vocational education/training is taken into consideration (LFS, Basic concepts and definitions)". "All national education systems are different, but they can be compared fairly accurately on the basis of the common classification system ISCED."</i>	Source: Eurostat, ISCED (http://circa.europa.eu/irc/dsis/employment/info/data/eu_lfs/lfs_main/lfs/lfs_concepts_and_definitions.htm) Comment: The wording in italics is identical to the definition used by Eurostat. ISCED 3: <i>Upper secondary education – generally begins at the end of compulsory education. The entrance age is typically 15 or 16 years. Entrance qualifications (end of compulsory education) and other minimum entry requirements are usually needed. Instruction is often more subject-oriented than at ISCED level 2. The typical duration of ISCED level 3 varies from two to five years.</i> ISCED 4: <i>Post-secondary non-tertiary education – found somewhere between upper secondary and tertiary education. They serve to broaden the knowledge of ISCED level 3 graduates. Typical examples are programmes designed to</i>

			<p>prepare pupils for studies at level 5 or programmes designed to prepare pupils for direct labour market entry.</p> <p>(Eurostat, Glossary: ISCED http://epp.eurostat.ec.europa.eu/statistics_explained/index.php/Glossary:International_standard_classification_of_education_%28ISCED%29)</p>
11	With tertiary education (ISCED 5 and 6)	<p>ISCED 5 and 6. "<i>Highest level of education successfully completed. The expression 'level successfully completed' is associated with obtaining a certificate or a diploma, when there is a certification. In cases where there is no certification, successful completion must be associated with full attendance. When determining the highest level, both general and vocational education/training is taken into consideration (LFS, Basic concepts and definitions)</i>". "All national education systems are different, but they can be compared fairly accurately on the basis of the common classification system ISCED".</p>	<p>Source: Eurostat, ISCED http://circa.europa.eu/irc/dsis/employment/info/data/eu_lfs/lfs_main/lfs/lfs_concepts_and_definitions.htm)</p> <p>Comment: The wording in italics is identical to the definition used by Eurostat. ISCED 5: <i>Tertiary education (first stage) – entry to these programmes normally requires the successful completion of ISCED level 3 or 4. This includes tertiary programmes with academic orientation (type A) which are largely theoretical and tertiary programmes with an occupational orientation (type B). The latter are typically shorter than type A programmes and aimed at preparing students for the labour market.</i> ISCED 6: <i>Tertiary education (second stage) – reserved for tertiary studies that lead to an advanced research qualification (Ph.D. or doctorate).</i></p> <p>(Eurostat, Glossary: ISCED http://epp.eurostat.ec.europa.eu/statistics_explained/index.php/Glossary:International_standard_classification_of_education_%28ISCED%29)</p>

Indicators on vulnerabilities discussed in the working group

No.	Output indicator	Amended definitions	Source
12	Migrants, people with a foreign background, minorities (including Roma)	" <i>Non-national permanent residents in a country, nationals with foreign background or nationals from a minority, who need special help in the labour market because of language or other cultural difficulties</i> ".	<p>Source: LMP</p> <p>Comment: Persons may cumulate several vulnerabilities. It is advised to record the dominant characteristic. The dominant characteristic is the main target of an intervention (e.g. employment for young people, integration of migrants, access to work for disabled).</p> <p>Where an intervention permits a range of target groups to participate, 'dominant characteristic' could be understood as the single most important factor associated with a participant's vulnerability."</p> <p>The wording in italics is identical to the LMP definition.</p>
13	Disabled	" <i>Persons who are registered disabled according to national definitions</i> ".	<p>Source: LMP</p> <p>Comment: Persons may cumulate several vulnerabilities. It is advised to record the dominant characteristic. The dominant characteristic is the main target of</p>

			<p>an intervention (e.g. employment for young people, integration of migrants, access to work for disabled). Where an intervention permits a range of target groups to participate, 'dominant characteristic' could be understood as the single most important factor associated with a participant's vulnerability."</p> <p>The wording in italics is identical to the LMP definition.</p>
14	Other disadvantaged	Disadvantaged people [in the national labour market] which are neither migrants, people with a foreign background, minorities (incl. Roma) nor disabled, participants with a care gap or participants affected by homelessness. This entails all disadvantaged people who are not covered by indicators 12 to 13 as well as 15 and 16..	<p>Comment: An example for a the type of participant that can be included in this indicator is a participant with an ISCED level 0.</p> <p>Persons may cumulate several vulnerabilities. It is advised to record the dominant characteristic. The dominant characteristic is the main target of an intervention (e.g. employment for young people, integration of migrants, access to work for disabled).</p> <p>Where an intervention permits a range of target groups to participate, 'dominant characteristic' could be understood as the single most important factor associated with a participant's vulnerability."</p>

Additional indicators on vulnerabilities proposed by the study

No.	Output indicator	Definitions	Source and comment
15	Participants with a care gap	Participants who, upon entering an ESF intervention, are prevented from working due to informal care responsibilities as a result of lack of access to professional long-term care provisions.	<p>Source: http://ec.europa.eu/employment_social/emplweb/families/docs/EU%202342%20(Full%20report)%20-%20Care%20Provision%20within%20Families%20and%20its%20Socio-Economic%20Impact%20on%20Care%20Providers.pdf</p> <p>Comment: A person who provided informal care is someone "<i>who provides help to someone with a chronic illness, disability or other long-term health or support need, outside a professional or formal framework.</i>"</p> <p>'Long term' should be defined in accordance with the national definition of long term care.</p> <p>Persons may cumulate several vulnerabilities. It is advised to record the dominant characteristic. The dominant characteristic is the main target of an intervention (e.g. employment for young people, integration of migrants, access to work for disabled). Where an intervention permits a range of target groups to participate, 'dominant characteristic' could be understood as the single most important factor associated with a participant's vulnerability."</p>

16	Participants affected by homelessness	<p>People participating in an ESF funded intervention who are affected by homelessness at the beginning of the intervention. Homelessness means 'absence of a home' which includes:</p> <ul style="list-style-type: none"> • <i>Rooflessness (people living rough, people in emergency accommodation, people in accommodation for the homeless, people in women's shelter).</i> • <i>Houselessness (people in accommodation for immigrants; people due to be released from institutions; people receiving longer term support (due to homelessness))</i> • <i>Insecure housing (people living in insecure accommodation, people living under threat of eviction, people living under threat of violence)</i> • <i>Inadequate housing (people living in temporary / non-conventional structures, people living in unfit housing, people living in extreme overcrowding)</i> 	<p>Source: ETHOS – European Typology on Homelessness and Housing Exclusion (http://www.feantsa.org/code/en/pg.asp?page=484)</p> <p>Comment: Persons may cumulate several vulnerabilities. It is advised to record the dominant characteristic. The dominant characteristic is the main target of an intervention (e.g. employment for young people, integration of migrants, access to work for disabled). Where an intervention permits a range of target groups to participate, 'dominant characteristic' could be understood as the single most important factor associated with a participant's vulnerability." The wording in italics is identical to the ETHOS / FEANTSA definition.</p>
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Systems and structures indicator discussed in the working group

No.	Output indicator	Definition	Source and comment
17	Systems and structures	"ESF interventions that - do not target directly the ultimate beneficiaries; - do not belong to the framework of the technical assistance measures; - address organisations, networks, partnerships, rules or standards that play a key role in the delivery of policies".	Source: Evaluation of the ESF contribution to employment, inclusion and education & training policies through the support to systems and structures, Contract reference No: VC/2005/0040, Final report, p. 10

Alternative indicators on systems and structures proposed by the study

No.	Output indicator	Definition	Source and comment
18	Government sector organisations	<p>Number of government sector organisations supported by an ESF intervention.</p> <p>"The general government sector consists of the following groups of resident institutional units:</p> <ul style="list-style-type: none"> ▪ All units of central, state/ regional or local government; ▪ All non-market non-profit institutions that are controlled by government units." <p>The government sector includes "agencies (...) with separate legal</p> 	<p>Source: System of National Accounts (SNA 2008) (http://unstats.un.org/unsd/nationalaccount/docs/SNA2008.pdf)</p> <p>Comment: Eurostat is one of the five international organisations in charge of the world-level System of National Accounts. The definition is identical to SNA2008.</p>

		<i>identity and substantial autonomy; they may have discretion over the volume and composition of their expenditures and may have a direct source of revenue such as earmarked taxes."</i>	
19	Partnerships and networks	Number partnerships and networks supported by an ESF intervention.	

Additional indicator on enterprises proposed by the study

No.	Output indicator	Definition	Source and comment
20	SMEs	<p>Number of micro, small and medium sized enterprises supported.</p> <p><i>An enterprise is an entity engaged in an economic activity, irrespective of its legal form. The category of micro, small and medium-sized enterprises (SMEs) is made up of enterprises which employ fewer than 250 persons and which have an annual turnover not exceeding EUR 50 million, and/or an annual balance sheet total not exceeding EUR 43 million.</i></p> <p><i>A small enterprise is defined as an enterprise which employs fewer than 50 persons and whose annual turnover and/or annual balance sheet total does not exceed EUR 10 million. A microenterprise is defined as an enterprise which employs fewer than 10 persons and whose annual turnover and/or annual balance sheet total does not exceed EUR 2 million.</i></p>	<p>Source: Commission recommendation of 6 May 2003 concerning the definition of micro, small and medium-sized enterprises (2003/361/EC)</p> <p>Comment: The wording in italics is identical to the Commission recommendation. This definition is also used by Eurostat: http://epp.eurostat.ec.europa.eu/portal/page/portal/european_business/special_sbs_topics/small_medium_sized_enterprises_SMEs</p>
21	Non-profit institutions	<p>Number of non-profit institutions supported by an ESF intervention.</p> <p><i>"Non-profit institutions are legal or social entities, created for the purpose of producing goods and services, whose status does not permit them to be a source of income, profit or other financial gain for the units that establish, control or finance them."</i></p>	<p>Source: System of National Accounts (SNA 2008) (http://unstats.un.org/unsd/nationalaccount/docs/SNA2008.pdf)</p> <p>Comment: The definition is identical to SNA 2008. NPIs may be created to provide services for the benefit of the households or corporations who control or finance them; or they may be created for charitable, philanthropic or welfare reasons to provide goods or services to other persons in need; or they may be intended to provide health or education services for a fee, but not for profit; or they may be intended to promote the interests of pressure groups in business or politics; etc. Only those non-profit institutions not controlled by government should be included in this indicator.</p>

Immediate results indicators discussed in the working group

No	IR Indicator	Definition	Source and comments
22	Inactive participants newly in job searching upon leaving	Inactive persons who have received ESF support and who are newly engaged in job searching activities upon leaving the ESF intervention. This comprises - registered jobseekers which " <i>refers to all persons who are currently registered as jobseekers with the PES.</i> " (LMP) and - Other registered jobseekers which " <i>refers to all persons registered with the PES who are not considered as registered unemployed and who have (1) contacted the PES for assistance in jobsearch, (2) whose personal details and circumstances have been recorded by the PES and (3) who have had personal contact with the PES within the current year, or as otherwise defined for PES operational purposes. All 3 conditions should be fulfilled at the same time.</i> "	Source: Eurostat, :LMP (http://ec.europa.eu/eurostat/ramon/statmanuals/files/KS-BF-06-003-EN.pdf) Comment: the wording in italics is identical to the LMP definitions (paragraphs 361 and 363 respectively)
23	Participants in education/training upon leaving	Persons who have received ESF support and who are engaged in continuing education (lifelong learning, formal education) or training activities (off-the-job/in-the-job training, vocational training, etc.) within one month upon leaving the ESF intervention.	
24	Participants gaining a qualification upon leaving	Persons who have received ESF support and who gained a qualification upon leaving the ESF intervention. " <i>Qualification means a formal outcome of an assessment and validation process which is obtained when a competent body determines that an individual has achieved learning outcomes to given standards.</i> " This indicator can be further split by ISCED and EQF levels.	Source: European Commission, European Qualifications Framework (http://ec.europa.eu/eqf/terms_en.htm) Comment: the wording in italics is identical to the EQF definition.
25	Participants in employment upon leaving	Unemployed or inactive persons who have received ESF support, and who are in employment within one month upon leaving the ESF intervention	

Additional immediate result indicators proposed by the study

No	IR Indicator	Definition	Source and comments
26	Participants in self-employment upon leaving	Unemployed or inactive persons who have received ESF support and who are in self-employment within one month upon leaving the ESF intervention	
27	Inactive participants completing preparatory training	Inactive persons who have received ESF support who have completed preparatory training that is designed to: a) prepare for participation in further formal education or training courses or b) prepare for participation in other labour market measures Participation in this training may, but does not have to, lead to a qualification or other certificate.	Comment: preparatory training covers a range of activities and target groups. Amongst others, it includes: support young people in their choice of vocational training (for the UK, see for instance: http://www.derby.ac.uk/files/iceqs_evaluation_of_front_end2002.pdf); who are not eligible for vocational basic education due to inadequate language skills and/or deficient readiness for education (see, for instance, in Finland: http://www.hel.fi/hki/opev/en/Education+for+foreigners/Preparatory+training/Pr)

			eparatory+training+for+basic+vocational+education)
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Longer term result indicators discussed in the working group

No	LTR indicator	Definition	Source and comments
28	Participants in employment 6 months after leaving	<p>Persons receiving ESF support and who are in employment 6 months after leaving the ESF intervention.</p> <p>Employed persons are persons aged 15 and over who performed work, even for just one hour per week, for pay, profit or family gain during the reference week or were not at work but had a job or business from which they were temporarily absent because of, for instance, illness, holidays, industrial dispute, and education or training</p> <p>Employment excludes subsidised employment and self-employment.</p>	<p>Source: Eurostat, LFS (http://epp.eurostat.ec.europa.eu/cache/ITY_SDDS/en/lfsa_esms.htm)</p> <p>Comment: Subsidised employment should be understood as employment incentives in line with the LMP definition (§72-§75): Employment incentives (category 4) covers measures that facilitate the recruitment of unemployed persons and other target groups, or help to ensure the continued employment of persons at risk of involuntary job loss. Employment incentives refer to subsidies for open market jobs which might exist or be created without the public subsidy and which will hopefully be sustainable after the end of the subsidy period. The jobs that may be subsidised are usually in the private sector, but public or non-profit sector jobs are eligible too and no distinction is requested. With employment incentives the public money represents a contribution to the labour costs of the person employed and, typically, the majority of the labour costs are still covered by the employer. However, this does not preclude cases where all costs are covered by the public money for a limited period. http://epp.eurostat.ec.europa.eu/cache/ITY_OFFPUB/KS-BF-06-003/EN/KS-BF-06-003-EN.PDF</p>
29	Participants in self-employment 6 months after leaving	Persons receiving ESF support, and who are registered as self-employed and actively working 6 months after leaving the ESF intervention.	
30	Participants with improved labour market situation 6 months after leaving	Persons receiving ESF support, who transitioned from precarious to stable employment, from underemployment to full employment, and/or have taken up a job requiring EQF competences 6 months after leaving the ESF intervention. <i>"Precarious employment should be understood as the absence of 'permanent employment' and 'work contract of unlimited duration'. Given institutional discrepancies, the concepts of 'temporary employment' and 'work contract of limited duration' describe situations which, in different institutional contexts, may be considered similar. Employees with a limited duration job/contract are employees whose main job will terminate either after a period fixed in advance, or after a period not known in advance, but nevertheless defined by objective criteria, such as the completion of an assignment or the period of absence of an employee temporarily</i>	<p>Source, Eurostat, LFS (http://epp.eurostat.ec.europa.eu/portal/page/portal/employment_unemployment_lfs/methodology/definitions)</p> <p>Comment: In line with Guideline no. 7: <i>"Member States should tackle labour market segmentation with measures addressing precarious employment, underemployment and undeclared work."</i> The wording in italics is identical to the LFS definition.</p>

		<i>replaced.</i> " - underemployment should be understood as : " <i>Involuntary part-time employment — This is when respondents declare that they work part-time because they are unable to find full-time work.</i> "	
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Additional longer-term indicators in the areas of institutional capacity and governance and enterprises proposed by the study

No	LTR indicator	Definition	Comment
31	Government sector organisations that have gained a recognised quality standard 6 months after leaving	Government sector organisations that have acquired a recognised national, European or international quality standard, which can be ascribed to participation in an ESF funded intervention, 6 months after leaving the ESF intervention.	Comment: This quality standard could be accreditation or certification in areas such as: work organisation (e.g. process management accreditation ISO9001), environment friendly management, health and safety, and educational standard and others.
32	SMEs that have gained a recognised quality standard 6 months after leaving	SMEs that have acquired a recognised national, European or international quality standard, which can be ascribed to participation in an ESF funded intervention, 6 months after leaving the ESF intervention.	Comment: This quality standard could be accreditation or certification in areas such as: work organisation (e.g. process management accreditation ISO9001), environment friendly management, health and safety, and educational standard and others.

1 INTRODUCTION

1.1 Purpose of the study and this report

The purpose of the study as scoped out in the terms of reference was threefold⁴:

- To develop methodologies for establishing logics of intervention at the most suitable level for the ESF. The working assumption during the implementation of the project was that the logics of intervention should be constructed at the level of the priority axis.
- To develop logics of intervention by way of example for three selected policy areas. These three policy areas were: enhancing access to employment, social inclusion and administrative capacity. During implementation of the study, the titles of these policy areas were re-named in agreement with the Commission as follows to notably match the wording of Europe 2020: access to employment; social inclusion and poverty; institutional capacity and governance.
- To develop related common output and result indicators linked to the above three policy areas. The aim was to develop indicators of a reasonable number for each of these policy areas (up to ten, broken down by gender), to include their definitions as well as the method and appropriate frequency of data collection. The remit of the study also included the methodology to construct them as well as a discussion on how the indicators can be aggregated at Member State and EU level. Based on Member State feedback throughout the implementation of the study, a set of 28 indicators is proposed which are relevant for all ESF policy fields (rather than specifically designed for the three policy areas that were the focus of this study).

This report presents the result from research work undertaken to meet these three purposes. It draws together the results from all deliverables and study outputs.

1.2 Structure of the report

The report is structured as follows.

Following this introductory Chapter 1, Chapter 2 presents a concise summary of the policy context within which this study is embedded. It discusses the Europe 2020 policy architecture and the role of the ESF within this from 2014 onwards.

Chapter 3 outlines the study methodology. It explains for each of the deliverables the approach chosen and also discusses the role of the working group of Managing Authorities for this study.

Chapter 4 presents the logics of intervention developed as part of this study. It begins by discussing some of the key messages that can be found in the intervention logics literature (both theoretical and practical) about purpose, components and use of logics of intervention, locating this debate firmly within the ESF context. The chapter then presents and discusses the intervention logic proposed to develop and summarise ESF OPs for the next programming period.

⁴ Request for services in the framework of the Multiple Framework Contract “Developing logics of intervention and related common indicators for the next European Social Fund operational programmes” Lot No 4, VT/2010/077, p. 4

Chapter 5 presents and discusses a set of common output and result indicators for the ESF in the next programming period. The indicators are discussed with reference to four broad themes which incorporate key criteria included in the terms of reference: the validity of the indicators (in terms of their definitional clarity), their relevance (in particular in terms of supporting Europe 2020 objectives and the information on contribution towards them provided by them) as well as issues around data collection and aggregation. For the result indicators only, we also discuss issues around the theory of change embedded in them.

Chapter 6 finishes the report by drawing conclusions from the key messages of the preceding chapters.

2 THE ESF AND THE EU POLICY CONTEXT

This section looks into the employment and social inclusion policy architecture that the European Social Fund (ESF) is embedded in and which is key to establishing logics of intervention and common indicators.

2.1 The Lisbon Strategy and the current ESF programming period

Article 2 of the current ESF regulation 1081/2006 stipulates that the ESF shall contribute to the priorities of the Community as regards strengthening economic and social cohesion by improving employment and job opportunities, encouraging high level of employment and more and better jobs. It further requires the ESF to support national policies in line with the European Employment Strategy and the Lisbon Strategy⁵. The Regulation also emphasises that the cohesion policy should support the revised Lisbon Strategy of focusing increasingly on growth and jobs following the mid-term review in 2005.⁶ The Commission found a need to re-focus the structural funds to a more strategic approach, ensuring that the content of the funds are clearly targeted to support growth and jobs. The 2005 Communication from President Barroso to the Spring European Council stressed that the next generation of structural funds – e.g. the 2007-2013 funding period – should be reshaped to create growth and jobs at the local level.⁷ The 2008-2010 Integrated Guidelines also emphasised that the ESF should support common EU objectives when implemented.⁸

In the current programming period the ESF prioritises: a) to increase adaptability of workers, enterprises and entrepreneurs by improving the anticipation and positive management of economic change. Within this priority, ESF supports the modernisation and strengthening of labour market institutions, on active labour market measures and lifelong learning actions, including within companies.⁹ The ESF also continues to support b) enhanced access to employment and the sustainable inclusion in the labour market of job seekers and inactive people and c) reinforcing the social inclusion of disadvantaged people, d) enhancing human capital, e) promoting partnerships, pacts and initiatives as well as transnational and interregional actions. Since 2007, the ESF has also been supporting within the Convergence objective, institutional capacity and governance to improve institutions and governance in employment and social inclusion.¹⁰

⁵ Regulation (EC) No 1081/2006 Of The European Parliament and of the Council Of 5 July 2006, on the European Social Fund and repealing Regulation (EC) No 1784/1999, article 2.1.

<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2006:210:0012:0012:EN:PDF>

⁶ European Commission, 2005, Working together for growth and jobs, A new start for the Lisbon Strategy, Communication to the European Spring Council, Brussels, 2.2.2005, COM(2005) 24 final, <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2005:0024:FIN:EN:PDF>

⁷ European Commission, 2005, Working together for growth and jobs, A new start for the Lisbon Strategy, Communication to the European Spring Council, Brussels, 2.2.2005, COM(2005) 24 final, <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2005:0024:FIN:EN:PDF>

⁸ European Commission, 2008, Integrated Guidelines for Growth and Jobs, Brussels, 11.12.2007, COM(2007) 803 final, PART V

http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=SPLIT_COM:2007:0803%2805%29:FIN:en:PDF

⁹ Article 3, Regulation (EC) No 1081/2006 of the European Parliament and of the Council of 5 July 2006 on the European Social Fund and repealing Regulation (EC) No 1784/1999, <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2006:210:0012:0012:EN:PDF>

¹⁰ Ibid.

2.2 Europe 2020 aims and objectives

In 2010, the Lisbon strategy was replaced by Europe 2020. The ESF is expected to support the Europe 2020 objectives from 2013 onward.¹¹

The Europe 2020 strategy aims to “turn the EU into a smart, sustainable and inclusive economy delivering high levels of employment, productivity and social cohesion.”¹² The Europe 2020 strategy is built on the basis and experiences of the 2010 Lisbon strategy which aimed to create more and better jobs, stimulate growth and make the EU economy more competitive, knowledge-based, green and innovative. However, between the formulation of the Lisbon strategy and the Europe 2020 strategy, the European economy and labour markets have experienced an economic recession. In this context, the Europe 2020 strategy addresses the need to stimulate economic growth, create jobs and promote innovation and social cohesion.

Against this background, Europe 2020 puts forward three mutually reinforcing thematic priorities:

- **Smart growth:** developing an economy based on knowledge and innovation.
- **Sustainable growth:** promoting a more resource efficient, greener and more competitive economy.
- **Inclusive growth:** fostering a high employment economy delivering social and territorial cohesion.

These three priorities are broken down into policy sub-priorities and targets to be reached by 2020. The table overleaf illustrates the Europe 2020 priorities, sub-priorities and targets.

Table 1: Europe 2020 policy priorities and targets¹³

Europe 2020 priority	Sub-priority	Europe 2020 targets related directly to employment and social inclusion	Other Europe 2020 targets
Smart Growth	Innovation	75% of 20-64 year olds employed	R & D / innovation: - 3% of the EU's GDP to be invested in R&D/innovation Climate change / energy: - Greenhouse gas emissions 20% lower than 1990 - 20% of energy from renewables
	Education		
	Digital Society		
Inclusive growth	Employment	20m fewer people at risk of poverty	
	Skills		
	Fighting Poverty		

¹¹ See, for instance: Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee, the Committee of the regions and the European Investment Bank “Conclusions of the fifth report on economic, social and territorial cohesion: the future of cohesion policy, SEC (2010) 1348 fin, Brussels, 9.11.2010
http://ec.europa.eu/regional_policy/sources/docoffic/official/reports/cohesion5/pdf/conclu_5cr_part1_en.pdf

¹² Communication from the Commission (2010) Europe 2020. A strategy for smart, sustainable and inclusive growth, Brussels 3.3.2010 COM (2010), p. 3,
<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2010:2020:FIN:EN:PDF>

¹³ Adapted from: Bachter, J and Mendez, C (2010) The reform of cohesion policy after 2013: More concentration, greater performance and better governance? IQ-Net thematic paper No. 26 (2), p. 6
http://www.eprc.strath.ac.uk/iqnet/downloads/IQ-Net_Reports%28Public%29/IQ_Net_Paper_26%282%29.pdf and the European Commission’s official Europe 2020 website, http://ec.europa.eu/europe2020/targets/eu-targets/index_en.htm

Sustainable growth	Combating climate change	Reducing school drop out rates below 10%	- 20% increase in energy efficiency
	Clean and efficient energy	At least 40% of 30 to 34 year olds competing third level education	
	Competitiveness		

The '*inclusive growth*' agenda has the most obvious link to the ESF, but there are also clear links to the '*smart growth*' and '*sustainable growth*' priorities as the three priorities are not mutually exclusive. One key conclusion from the Lisbon Strategy Evaluation Document is that there could have been more and better links between various policy fields.¹⁴ It is therefore crucial to recognise the interdependency between e.g. employment and social policies on the one hand and stimulating growth, entrepreneurship, innovation and sustainability on the other. Furthermore, the smart growth priority supports numerous objectives and activities relevant to the ESF such as: education and training, entrepreneurship, innovation, and ICT diffusion in public administrations.¹⁵ Particular attention is paid to the situation of young people in the European economy, education systems and labour market. The sustainable growth priority is linked to the ESF by stressing the need for Europe to develop its growth and markets to being greener and cleaner; it is clearly linked with the green jobs agenda, industrial restructuring and change, skills needs and entrepreneurship which are also issues that the ESF focuses on.¹⁶

2.3 Monitoring Europe 2020

Member States' progress towards reaching Europe 2020 objectives will be monitored with the help of the Joint Assessment Framework (JAF) by: a) identifying key challenges in Member States; b) tracking progress towards Europe 2020 targets on employment and social inclusion; and c) establishing an Employment Performance Monitor.¹⁷ EMCO and SPC will use the JAF when assessing progress in employment and social inclusion respectively. The COM-EMCO-SPC report on the JAF specifies that there will be multiple purposes of the JAF results¹⁸:

- A reality check on progress and challenges toward growth and employment;
- To support EMCO and the Council in assessing progress reached by each MS;
- To feed into EMCO's report on the employment situation for the December EPSCO Council;

¹⁴ European Commission, 2010, Lisbon Strategy Evaluation Document, Commission Staff Working Document, 2.2.2010, SEC(2010) 114 final, Brussels: European Commission, http://ec.europa.eu/europe2020/pdf/lisbon_strategy_evaluation_en.pdf

¹⁵ Public administrations and services in the European Social Fund 2007-2013, http://ec.europa.eu/employment_social/esf/docs/tp_institutional_en.pdf

¹⁶ See also: <http://ec.europa.eu/esf/main.jsp?catId=49&langId=en>; <http://ec.europa.eu/esf/main.jsp?catId=48&langId=en>; Regulation (EC) no 1081/2006 of the European Parliament and of the Council of 5th July 2006 on the European Social Fund and repealing Regulation (EC) No 1784/1999 (<http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2006:210:0012:0012:EN:PDF>)

¹⁷ European Commission, 2011, JAF and EPM: a joint architecture to monitor Europe 2020 Integrated Employment Guidelines, DG Employment website, 13th of January 2011, <http://ec.europa.eu/social/main.jsp?langId=en&catId=89&newsId=972&furtherNews=yes>

¹⁸ Council of the European Union, EMCO and SPC, 2010, Foundations and structures for a Joint Assessment Framework (JAF), including an Employment Performance Monitor (EPM) to monitor the Integrated Employment Guidelines under Europe 2020, COM-EMCO-SPC report, 26.11.10, pp. 3, Available at <http://ec.europa.eu/social/main.jsp?langId=en&catId=89&newsId=972&furtherNews=yes>

- To contribute to the Annual Growth Survey and Joint Employment Report and Council debates in the beginning of each European Semester and the Spring European Council;
- To support special analysis of JAF results associated labour market areas such as flexicurity and the quality of work;
- To support the Social Protection Committee monitoring progress and challenges towards the social dimension of Europe 2020 and the social aspects of Europe 2020 (Guideline 10).

The JAF is an indicator based assessment system, covering both general and specific policy areas under Integrated Employment Guidelines 7 to 10 as well as the Broad Economic Policy Guidelines 1 and 2. As the Integrated Guidelines overlap with each other on employment, skills and social inclusion issues, the JAF includes 12 preliminary policy areas cutting across the Integrated Guidelines as well as issues on flexicurity, the Social Dialogue, and quality in work.¹⁹ At this stage, still under discussion at DG EMPL, it is expected that the ESF will be integrated throughout the JAF (rather than being a separate chapter of it): no specific policy areas or indicators covering the ESF have been indicated.²⁰ The 12 preliminary policy areas are listed in the table below.

Table 2: Policy areas in the Joint Assessment Framework

JAF policy areas
1. Increase labour market participation
2. Enhancing labour market functioning, combating segmentation
3. Active labour market policies
4. Adequate and employment oriented social security systems
5. Work-life balance
6. Exploiting job creation possibilities
7. Gender equality
8. Improving skills supply and productivity, lifelong learning
9. Improving education and training systems
10. Wage setting mechanisms and labour cost developments
11. Preventing poverty through inclusive labour markets, adequate and sustainable social protection and access to high quality, affordable and sustainable services
11.a Breaking the intergenerational transmission of poverty – tackling child poverty
11.b Active inclusion – tackling poverty in working age
11.c Tackling poverty in old age
12. Social inclusion of groups at special risk and antidiscrimination

¹⁹ Council of the European Union, EMCO and SPC, 2010, Foundations and structures for a Joint Assessment Framework (JAF), including an Employment Performance Monitor (EPM) to monitor the Integrated Employment Guidelines under Europe 2020, COM-EMCO-SPC report, 26.11.10, pp. 6-8, Available at <http://ec.europa.eu/social/main.jsp?langId=en&catId=89&newsId=972&furtherNews=yes>

²⁰ Source: Council of the European Union, EMCO and SPC, 2010, Foundations and structures for a Joint Assessment Framework (JAF), including an Employment Performance Monitor (EPM) to monitor the Integrated Employment Guidelines under Europe 2020, (draft) COM-EMCO-SPC report, 7.10.2010, p. 8, Available at <http://ec.europa.eu/social/main.jsp?langId=en&catId=89&newsId=972&furtherNews=yes>

2.4 Europe 2020 and the ESF

According to the European Commission's Lisbon Strategy Evaluation Document from February 2010, the Lisbon strategy facilitated some structural reforms of labour markets, the business environment and consolidation of public finances. As regards the structural funds, the European Commission recognised that much has been achieved in creating growth and jobs, but that the link to the National Reform Programmes (NRPs) and National Strategic Reference Frameworks could have been further refined.²¹

The structural funds are important funding vehicles to support the Member States' efforts in achieving the Europe 2020 goals.²² The details of this are still being worked out and a draft regulatory framework for the structural funds is due in the second half of 2011. Some broad parameters for structural fund spending in the next programming period are, however, outlined in a number of key documents published in 2010: the 2010 Budget Review, the 5th Cohesion Report, the Integrated Employment Guidelines and the opinion of the ESF Committee.

A key theme running through these documents is **focusing** structural funds / ESF spending on Europe 2020 objectives. The 2010 Budget Review and the 5th Cohesion Report mention a number of ESF relevant fields as possible focal points for spending: support for new businesses, modernising universities, human capital development, active inclusion and fighting poverty.²³ In the future it is expected that the scope of the ESF could be broadened so that it still focuses on employment issues, but in a way which links these more clearly to the overarching objectives of Europe 2020: smart, sustainable and inclusive growth.²⁴ Details are still under negotiation, but a greater emphasis on some of the key issues of Europe 2020 is likely: green skills and technologies, innovation and human capital development, spread and development of ICT technologies, improving the match between supply and demand of labour and linking this to increasing migration of labour, education and training systems equipped for future skills needs.²⁵ Europe 2020 does, however, also stress the 'traditional' priority areas of the ESF - employment and social inclusion policies and it is emphasised that the ESF could contribute to the Social OMC.²⁶ The ESF Committee recently stressed that the ESF should continue to support disadvantaged groups, contribute to building institutional capacity and

²¹ European Commission, 2010, Lisbon Strategy Evaluation Document, Commission Staff Working Document, 2.2.2010, SEC(2010) 114 final, Brussels: European Commission, http://ec.europa.eu/europe2020/pdf/lisbon_strategy_evaluation_en.pdf

²² Communication from the Commission (2010) Europe 2020. A strategy for smart, sustainable and inclusive growth, Brussels 3.3.2010 COM (2010), p. 20, <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2010:2020:FIN:EN:PDF>

²³ Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee, the Committee of the Regions and the National Parliaments COM(2010) 700 final The EU Budget Review, {SEC (2010) 7000 final}, p. 12, http://ec.europa.eu/budget/reform/library/communication/com_2010_700_en.pdf

²⁴ DG Regional Policy (2010) Investing in Europe's future. Fifth report on economic, social and territorial cohesion. Brussels: European Commission http://ec.europa.eu/regional_policy/sources/docoffic/official/reports/cohesion5/pdf/5cr_en.pdf

²⁵ Communication from the Commission (2010) Europe 2020. A strategy for smart, sustainable and inclusive growth, Brussels 3.3.2010 COM (2010) <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=COM:2010:2020:FIN:EN:PDF> These issues are also supported in the current programming period to some extent, but the emphasis could change in the future.

²⁶ This is indeed also stressed in the current ESF regulation. <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2006:210:0012:0012:EN:PDF>

structural reforms and working with the social partners, civil society and other key stakeholders.²⁷

The 2008-2010 Integrated Employment Guidelines played a key role in directing the use of ESF funding, and so will the renewed Integrated Employment Guidelines from 2010. These Integrated Guidelines for the economic and employment policies call on Member States to make full use of the ESF to make progress on increasing labour market participation and reducing structural unemployment (Guideline 7), developing a skilled workforce (Guideline 8), improving the performance of education and training systems (Guideline 9) and promoting social inclusion and combating poverty (Guideline 10) whilst bearing in mind that the ESF is also linked to the other Guidelines.²⁸ In its June 2010 opinion, the ESF Committee found that the ESF should be fully aligned with the objectives and priorities of Europe 2020 and therefore it would be useful to base the ESF priorities on the Integrated Guidelines, especially the Integrated Employment Guidelines.²⁹ The link between the ESF and the four Integrated Employment Guidelines is described in the table below.³⁰

Table 3: Linking the Integrated Employment Guidelines to the ESF

Employment Guideline	Link to the European Social Fund
Guideline 7: <i>Increasing labour market participation and reducing structural unemployment.</i>	This links to the Europe 2020 headline target of increasing to 75 per cent the employment rate for women and men aged 20-64, including through the greater participation of youth, older workers and low skilled workers and the better integration of legal migrants. Guideline 7 lies at the heart of the ESF priorities as it aims to increase employment rates and address labour market segmentation and addresses the same target groups as the ESF (women, disadvantaged groups, migrants, young people, older workers, low skilled workers).
Guideline 8: <i>Developing a skilled workforce responding to labour market needs, promoting job quality and lifelong learning.</i>	This guideline emphasises the link between productivity, employability and skills and the need to ensure that there is a match between supply and demand of skills. Lifelong learning and skills development are also key ESF priorities. The ESF can therefore contribute significantly to this guideline. Also in line with the ESF, Guideline 8 accentuates the crucial role of the Social Partners and other stakeholders.
Guideline 9: <i>Improving the performance of education and</i>	This links to the EU headline target of reducing the school drop-out rate to 10 per cent and increasing the share of the population aged 30-34 who have completed tertiary or equivalent education to at least 40 per cent in 2020. Guideline 9 is closely linked with

²⁷ ESF Committee, 2010, opinion on the future of the European Social Fund, Brussels, <http://ec.europa.eu/social/main.jsp?catId=88&langId=en&eventsId=256>

²⁸ European Commission (2010) Proposal for a Council Decision on guidelines for the employment policies of the Member States. Part II of the Europe 2020 Integrated Guidelines {SEC (2010) 488 final}, pp 21-22, http://ec.europa.eu/eu2020/pdf/COMM_PDF_COM_2010_0193_F_EN_PROPOSITION_DE_DECISION.pdf

²⁹ ESF Committee, 2010, opinion on the future of the European Social Fund, Brussels, <http://ec.europa.eu/social/main.jsp?catId=88&langId=en&eventsId=256>

³⁰ Based on: European Commission (2010) Proposal for a Council Decision on guidelines for the employment policies of the Member States. Part II of the Europe 2020 Integrated Guidelines {SEC (2010) 488 final} http://ec.europa.eu/eu2020/pdf/COMM_PDF_COM_2010_0193_F_EN_PROPOSITION_DE_DECISION.pdf

training systems at all levels and increasing participation in tertiary education.	the ESF and Guideline 8 as high quality education and training institutions and providers are crucial to delivering the objectives of the ESF and Guideline 8. Some ESF activities are aimed directly at this Guideline for instance by training trainers, preventing school drop out etc.
Guideline 10: Promoting social inclusion and combating poverty.	This links to the Europe 2020 headline target of reducing by 25 per cent the number of Europeans living below the national poverty line, lifting over 20 million people out of poverty. This guideline directly mentions the ESF as a crucial instrument for achieving the poverty and social inclusion target. The ESF contributes to this by carrying out activities aimed at disadvantaged groups and their integration in society and the labour market. Furthermore, the ESF supports change in the services provided to disadvantaged groups to ensure that such groups have access to adequate, high quality support.

2.4.1 Making sure the ESF delivers

To ensure that EU policies and the structural funds are coordinated to achieve the Europe 2020 objectives and targets the Commission will develop, at EU level, a **Common Strategic Framework (CSF)**. The CSF will translate the Europe 2020 objectives and targets into priorities and reforms needed of the cohesion policy to achieve this. Hence, the CSF would create clear links between the European Regional Development Fund (ERDF), the ESF, the Cohesion Fund, the European Agricultural Fund for Rural Development (EAFRD), the European Fisheries Fund (EFF) and Europe 2020 objectives.³¹ Based on the CSF, each Member State will propose a Development and Investment Partnership Contract (DIPC). This will set out how the ERDF, the ESF, the Cohesion Fund and possibly the EAFRD and the EFF investments should be prioritised in the Member States to support the achievement of national Europe 2020 objectives. The DIPC will be based on both the CSF and the NRPs. Whereas the NRP will address Europe 2020 targets, the DIPC will include cohesion policy targets.

The next ESF programming period will also be informed by the principles of a results driven budget. The 2010 Budget Review stipulates that *“spending programmes must have a real impact, with the investment feeding through into action that is measured in terms of real impact rather than the inputs involved.”*³² This is likely to mean a move away from the current ESF delivery system, which the ESF Committee Ad Hoc Group on the Future of the ESF describes as “to a certain extent audit driven instead of content driven”.³³

³¹ Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee, the Committee of the Regions and the National Parliaments COM(2010) 700 final The EU Budget Review, {SEC (2010) 7000 final}, p. 12,

http://ec.europa.eu/budget/reform/library/communication/com_2010_700_en.pdf

³² Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee, the Committee of the Regions and the National Parliaments COM(2010) 700 final The EU Budget, {SEC (2010) 7000 final}, p. 8,

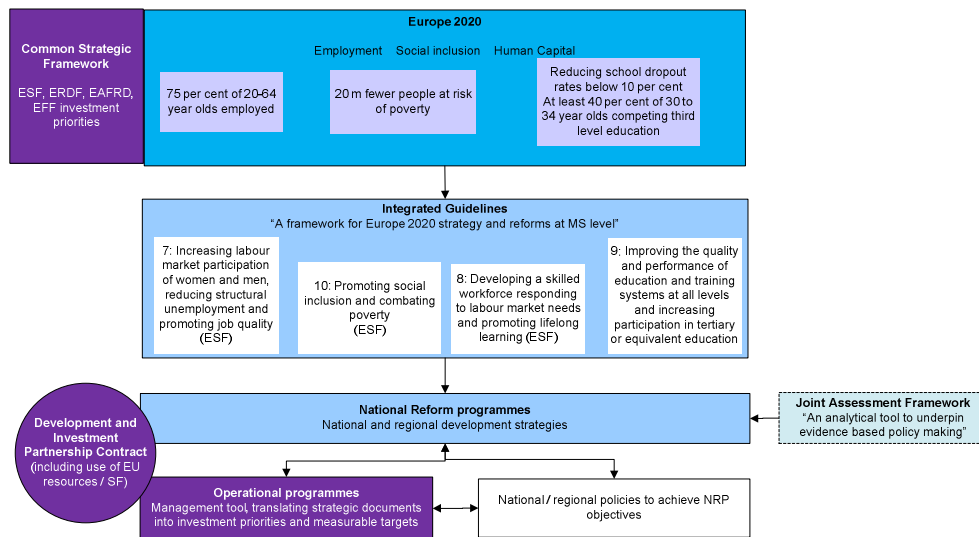
http://ec.europa.eu/budget/reform/library/communication/com_2010_700_en.pdf

³³ 2nd meeting of the ESF Committee Ad Hoc Group on the Future of the ESF, 20th January 2010, Brussels, p. 1,

http://www.esparama.lt/es_parama_pletra/failai/fm/failai/ES_paramos_ateitis/2.1_diskusiju_dokumentas_01_20_8P.pdf

This focus requires monitoring and evaluation systems that provide as good information as possible on key results achieved. Among others, this involves setting clear and measurable targets and performance indicators. As the 5th Cohesion report³⁴ outlines, these indicators must be clearly interpretable, statistically validated, truly responsive and directly linked to policy intervention, and promptly collected and publicised. Indicators and targets should be agreed in the discussions on the programming documents. A limited number of common Fund-specific indicators for all OPs linked to the Europe 2020 framework need to be established. Timely and complete submission of accurate data on the indicators and on the progress towards the agreed targets would be central to the annual reports. The ESF Committee, too, has welcomed common indicators in its opinion of 3 June 2010, provided that these do not create an excessive administrative burden on Managing Authorities.³⁵

Figure 1: The Europe 2020 policy architecture



2.5 Requirements for the ESF in the next programming round

Considering some of the main lessons from the ESF in the current programming round, there are a number of implications for the shape of the ESF post 2013.

First, ESF OPs need to be able to demonstrate in a more coherent manner linkages to EU employment and social inclusion strategies whilst keeping in mind that these are intrinsically linked to the smart, sustainable and inclusive growth objectives of Europe 2020. OPs and ex-ante evaluations could include more detailed and in-depth logics of interventions that summarise in detail how ESF spending aligns with

³⁴ Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee, the Committee of the regions and the European Investment Bank "Conclusions of the fifth report on economic, social and territorial cohesion: the future of cohesion policy, {SEC (2010) 1348 fin, Brussels, 9.11.2010, p. 6, http://ec.europa.eu/regional_policy/sources/docoffic/official/reports/cohesion5/pdf/conclu_5cr_part1_en.pdf

³⁵ ESF Committee, 2010, opinion on the future of the European Social Fund, Brussels, <http://ec.europa.eu/social/main.jsp?catId=88&langId=en&eventId=256>

the Lisbon Strategy.³⁶ The evaluation of the Lisbon Strategy also states that “(t)he links between National Strategic Reference Frameworks, defining regional policy priorities, and National Reform Programmes, defining socio-economic priorities, has helped ensure greater coherence but could have been further developed.”³⁷ Thus, if the ESF is to support and focus on Europe 2020 objectives post 2013, then OPs will need to show more clearly how priorities, activities and target groups link up with this strategy.

Second, OPs need to make a clear and transparent assessment of regional and national needs and the potential of the ESF to add value in addressing them. For instance, the current ESF regulation No. 1081/2006 art. 4.2. stipulates that: “*Within operational programmes, resources shall be directed towards the most important needs and focus on those policy areas where ESF support can have a significant effect in attaining the objectives of the programme. To maximise the efficiency of ESF support, operational programmes shall, where appropriate, take particular account of the regions and localities facing the most serious problems, such as deprived urban and outermost regions, declining rural and fisheries-dependent areas, and areas particularly adversely affected by business relocations.*” This means that a framework for logical links between the OPs and Europe 2020 should provide space for outlining and assessing the regional and national needs the OP seeks to address, whilst bearing in mind the common objectives of the EU. This supports concentration of resources and an articulation of the intended Community Added Value of ESF investments (e.g. in terms of volume or scope effects).³⁸

Third, measurement of ESF outputs and results could improve. Currently, Annex XXIII indicators have some gaps (for instance they do not include systems and structures or enterprises), are not linked to activities and are exclusively output indicators (rather than result indicators). There is no common process for collecting this data among Member States, and double counting is an issue. A greater focus on results in the next programming period would imply an ESF monitoring system that is more comprehensive, comparable across Member States/OPs and linked to Europe 2020 through target groups.

2.6 Concluding summary

Europe 2020 will shape future policies, programmes and funding of the EU. For the ESF post 2013 this requires a link to the overall priorities of Europe 2020: smart, sustainable and inclusive growth. Managing Authorities will need to show how outputs and results of OPs will contribute to achieving the common objectives and priorities set out in Europe 2020. The requirements for the ESF in the next programming period is therefore likely to entail: a) ensuring a coherent link between Europe 2020, NRPs and their link to OP priorities, activities and target groups; b) clear and transparent assessments of regional and national needs that the ESF and OPs are seeking to address and how this relates to common EU objectives and

³⁶ This was shown in a review of current OPs done by the contractors as a part of the interim report. For instance, the West Wales and the Valleys Convergence OP merely contains a ‘strategy map’ and the ex ante evaluation a brief high level summary on this topic. Welsh European Funding Office (2009) West Wales and the Valleys Convergence Programme, Operational Programme for the European Social Fund, 2007-2013

<http://wales.gov.uk/docs/wefo/publications/convergence/esfoperational/090911esfconvergenceen.pdf>

³⁷ European Commission, 2010, Lisbon Strategy Evaluation Document, Commission Staff Working Document, 2.2.2010, SEC(2010) 114 final, Brussels: European Commission, http://ec.europa.eu/europe2020/pdf/lisbon_strategy_evaluation_en.pdf, p. 22
<http://register.consilium.europa.eu/pdf/en/10/st06/st06037.en10.pdf>

³⁸ Terms of Reference present study VT /2010/077, p 19

priorities; c) improving the measurement of output and results of OPs and ensuring that there is comparable and robust data on common indicators available across all Managing Authorities.

3 STUDY METHODOLOGY

This chapter outlines the methodology chosen to complete this study. As the study proceeded in three distinct stages, the methodological approach is discussed separately for each of these stages ('Deliverables'). However, it is worth noting that, though distinct from each other, the three stages of the study were closely interlinked: the results from one stage of the work fed into another. Four workshops with a working group of Managing Authorities provided a consistent 'thread' which linked the work of the study to the 'reality' of ESF implementation in the Member States. An overview table summarising activities, objectives and results is presented at the end of this chapter.

3.1 The working group of Managing Authorities and its role in the study

Prior to the start of the study a working group of representatives from Member States' ESF Managing Authorities had been convened by the Commission. Individual delegates volunteered their participation. The group included 18 members representing 17 Member States. Working group members participated in their capacity as ESF monitoring and evaluation experts. Whilst participants were not indicator experts, they were knowledgeable about measuring the outputs and results of ESF interventions.

The group met a total of four times during the study period, each time for a one-day workshop, with membership increasing over time.³⁹ Three of these meetings were conceptualised and organised by the study team. They were designed as interactive workshops (in the style of action learning sets) with a priority given to discussions in thematically organised smaller groups. From the beginning, the role of the working group was designed as one of active contributor to (rather than passive reviewer of) study outputs, and this design was chosen to maximise opportunities for Managing Authorities' input and discussions. The minutes of the workshops were fed into outputs of the study.

3.2 Deliverable 1: proposing several methods to develop logics of intervention at the priority level

The focus of Deliverable 1 was to develop three methods for logics of intervention at ESF priority level. The results from Deliverable 1 are presented in Chapters 2 and 4 of this report.

Literature review

A review of literature was carried out to support the development of the intervention logic methods. To frame the intervention logics development work this included a review of theoretical and practical literature on logics of intervention in order to identify key components, identify common uses of logics of intervention and gain conceptual clarity on the often subtle differences between different terminologies in common use. A second element of the literature review included key policy documents relating to Europe 2020 and the future of the structural funds. During the remaining two phases of the work a period search was undertaken to identify new developments and incorporate these, where required, into outputs.

³⁹ Agendas for these meetings can be found in Annex 1.

Interviews

Semi-structured interviews with eight European Commission staff and representatives from two organisations working internationally on developing logics of intervention at policy, programme and project level were carried out. These interviews served to establish the background to this study, explore practical experiences with logics of intervention and indicators in the ESF and other contexts as well as to look ahead and to explore areas for improvement.

Development work

The development of the methods for logics of intervention drew on the above work, and was noticeably informed by discussions during the second workshop of the working group on ESF logics of intervention and related common indicators as well as material provided by DG Employment as input for these discussions. This led to the drafting of logics of intervention framed around the Integrated Employment Guidelines, the Joint Assessment Framework (JAF) and the labour market policy database categories.

3.3 Methodology for Deliverable 2: Develop full logics of intervention for three policy areas

The focus of Deliverable 2 was on testing the logic of intervention selected by the European Commission with a sample of OPs from the current programming period. This built on development work undertaken during the Deliverable 1 phase of the study and a decision made to focus the intervention logic around the Integrated Employment Guidelines. The results of Deliverable 2 have fed into Chapter 4 of this report.

The test policy areas

The Terms of Reference (ToR) for this study stipulated that the logic of intervention should be tested using three policy areas: access to employment, social inclusion and poverty, institutional capacity and governance. These three policy areas represent on the one hand significant Community Added Value (intrinsic added value through a link to Article 162 TFEU and scope effects) and directly link to key policy objectives of Europe 2020 on the other.⁴⁰

Sampling the OPs for inclusion in the testing

The purpose of Deliverable 2 was to investigate and assess the extent to which the intervention logic method was 'usable'. As planning for the next ESF funding period is some way off, this required using OPs from the current programming period. These OPs were chosen using a purposive sampling technique. Two sets of criteria were chosen to select OPs for inclusion in the study. The primary criteria were: presence of the test policy domain in the OP as a priority axis; the relative importance (in terms of funding volumes) of the ESF in the Member State; a mix of national and regional OPs; representation of the Member State in the working group of Managing Authorities on logics of intervention and related common indicators. The secondary criteria were: the language of the OP (which needed to be covered by a member of the study team) and whether the OP included some themes that could be assumed to 'stretch' the developed logic (e.g. a focus on migrants, older people, e-government, partnership / networking). As a result, 17

⁴⁰ <http://ec.europa.eu/esf/main.jsp?catId=55&langId=en#>

OPs were chosen from a total of 15 Member States, all but one (Portugal) represented in the working group⁴¹.

Testing and revising the intervention logic

Completing the tables for this sample of OPs provided empirical data for subsequent assessment of the intervention logic framework by the study team, the Commission and the ESF Working Group on the basis of the following validation criteria:

- Usability - what was the experience of completing the needs analysis and OP summary tables? What was easy to do, what was more challenging? What could be improved?
- Strengths and weaknesses of using the Integrated Employment Guidelines to frame the needs analysis and define OP priorities.
- Relevance - to what extent are relevant matching national and / or regional statistics available for the needs analysis.
- Representation of programme logic - how well does the table summarise the needs the OP is looking to address? Does the table create a clear link between these needs and Europe 2020?
- Gaps - what kind of information is missing?
- Suitability of proposed results, activities and output indicators for showing links to Europe 2020.
- Strengths and weaknesses of using the priority level.
- Feasibility and usefulness of including 'assumptions' in the framework

The intervention logic testing took place in two stages. In a first stage, the relevant priority axis from six of the sampled OPs was summarised using the tabular intervention logic that resulted from work undertaken in Deliverable 1. These OPs covered all three of the test policy areas. Following this initial testing, a revision of the intervention logic was undertaken to both simplify and develop the initial set of tables, as well as to incorporate suggestions from the working group of Managing Authorities. Key changes made were: adding a new table focusing on policy context and assumptions; a simplification of the internal logic table to make it more user friendly and improve the logical flow. All OPs were then mapped onto this new set of tables. Nine draft national reform programmes (NRPs) were also included in this mapping exercise to complete the needs analysis and policy context tables and to cross-check the match of OP indicators with NRP objectives. The results of this testing are included in the presentation of the intervention logics in Chapter 4 of this report.

3.4 Methodology for Deliverable 3: developing output and result indicators for the next ESF programming period

The focus of Deliverable 3 was on developing a set of common output and result indicators coherent with the intervention logic tested and developed in the previous

⁴¹ The countries represented included: Bulgaria, Slovak Republic, Czech Republic, Hungary, Italy, Malta, UK, Belgium, France, Poland, Latvia, Lithuania, Germany, Spain, Portugal, Luxembourg, Sweden, Netherlands. In terms of the policy area split, 7 OPs focused on 'institutional capacity and governance', 7 OPs focused on 'social inclusion' and 10 OPs focused on 'labour market participation'.

study phases. According to the terms of reference, the indicators were supposed to: cover the target groups defined in Annex XXIII of regulation 1826/2006, systems and structures in the field of labour market policy, education and training and social policies including health, and support to enterprises; reflect the distance travelled to work and qualification; show the immediate and longer term results on the policy areas and objectives and ensure a relevant contribution to achieving the EU strategic objectives; make it relatively easy to collect data on them at OP level. As a result of changing requirements it was decided, during the implementation of the study, to remove health from the list of indicators. The remaining categories, however, have been left unchanged. The results of Deliverable 3 are represented in Chapter 5 of this report.

Coverage and total number of indicators

According to the ToR, the scope of this Deliverable was to develop output and result⁴² indicators linked to the three 'test' policy areas and to develop a maximum of 10 indicators per policy area broken down by gender (30 in total). In the course of the study, this was modified slightly in favour of working towards a smaller set of output and result indicators that apply potentially to all ESF policy areas. The reasons for this came directly out of the workshops with the working group of Managing Authorities on logics of intervention and related common indicators:

- Delegates expressed a strong preference for indicators in the next programming round to be closely linked to the current Annex XXIII (but also cover systems and structures and enterprises) and to avoid new data collection requirements and costs.⁴³
- Members of the working group acknowledged that having *some* good result indicators could save evaluation work in the future.⁴⁴ This suggests a smaller number of total indicators than is possible to construct on a policy-level basis.
- In the workshop discussions a number of scenarios for linking indicators were discussed (including links to activities, objectives, priority axes). However, no preferences for additional specific policy-related indicators was expressed beyond the area of institutional capacity.⁴⁵
- A discussion in the 3rd workshop of an early version of the indicator set discussed in this study allows the conclusion that the indicators are suitable across policy areas (factoring in some perceived gaps in the field of institutional capacity and governance).⁴⁶

The indicator set discussed in Chapter 5 directly takes these conclusions into consideration and is therefore smaller than envisaged at ToR stage and designed to be applicable to all ESF policy areas.

⁴² Impact indicators were not considered within the scope of this study as the impacts of employment and social inclusion policies (to which the ESF contributes) will, from 2010 onwards, be measured using relevant Europe 2020 indicators.

⁴³ Minutes of the first workshop of the working group on ESF logics of intervention and related common indicators.

⁴⁴ Ibid.

⁴⁵ Ibid; minutes of the second workshop of the working group on ESF logics of intervention and related common indicators.

⁴⁶ Minutes of the third workshop of the working group on ESF logics of intervention and related common indicators.

Interrogating the output and result indicators

The process of developing these indicators was an iterative one, involving an ongoing process of development, discussion and feedback and refinement between the European Commission, representatives from the Managing Authorities and the study team. However, the Terms of Reference for the study, as well as the proposed study design, foresaw a focus on indicators as part of the third and final deliverable for the study.

The focus of Deliverable 3 was therefore twofold. The study team interrogated critically a draft set of 21 output and result indicators developed by DG EMPL and discussed in several iterations by the working group of MAs in workshops 1 through to 4. This review had three elements:

- A policy review: a systematic investigation of the linkages between the proposed output and result indicators and objectives of Europe 2020, the Integrated Employment Guidelines, the social OMC and the ESF. This involved an item analysis of the content of these documents to identify a list of recurring messages and themes within the text and examining the extent to which the output and result indicators link up with these themes. It also involved the development of a hypothetical theory of change model that outlines seven steps towards achieving the objectives of the three test policy areas and distance travelled to work: provision of initiatives, participation, acquisition of assets, benefits and skills, access to further opportunity, change in behaviour, acquisition of an improved situation, retention of a new or better situation. More detail is provided in Annex 4.
- A quality review, assessing the output and result indicators with regard to quality criteria from the ESF sourcebook and DG REGIO's Working Document 2 on Monitoring and Evaluation indicators.^{47 48} In particular this included: validity (clearly understandable without ambiguity, reflecting the concept to be measured), sensitivity (are changes induced by action picked up by the measure?) and actionable (depicts aspects that can be influenced by actions).
- A practical review, checking the extent to which the proposed indicators are currently used in Member States OPs, check the feasibility and cost-effectiveness of collecting data on them and how this data would most likely need to be collected.

The results of this interrogation led to a further refinement of this indicator set. This set of 20 output and result indicators was discussed in the last workshop with the working group of Managing Authorities. The aim was for members of the working group to interrogate: the 20 indicators individually to assess the issues of clarity, relevance, usability and aggregation; the whole set in terms of coherence and gaps. Comments by the working group on these topics were considered by the study team, and amendments to definitions as well as a set of additional indicators proposed. As these were developed as a result of the last workshop with the

⁴⁷ ESF Sourcebook: <http://esfsourcebook.eu/index.php?id=2023>

⁴⁸ European Commission, DG Regional Policy (2006) The New Programming Period 2007-2013. Indicative Guidelines on Evaluation Methods: Monitoring and Evaluation Indicators. Working Document 2, http://ec.europa.eu/regional_policy/sources/docoffic/2007/working/wd2indic_082006_en.pdf

working group they have not been discussed with Member States or in detail with the European Commission departments.

Table 4: Study activities, objectives and outcomes

Deliverable	Main study activities	Objectives	Outcomes
Deliverable 1: proposing methods for logics of intervention	Review of intervention logics literature	To review theoretical approaches and practice in intervention logic modelling To gain terminological clarity and identify key components	Chapters in inception, interim and final reports Consideration of results in structure of final intervention logic
	Review of Europe 2020 and ESF relevant literature	To identify key aspects of the Europe 2020 policy architecture and implications for the ESF in the next programming period	Chapters in inception, interim and final reports Consideration of results in components of final intervention logic
	Interviews with EC officials	To understand background and expectations of study, experiences with current use of logic models and understand use of terminology.	Fed into policy context sections of inception and final reports. Understanding about expectations and current debates on the topic in EC.
	Interviews with other organisations	To gain a practitioner perspective from outside of the EU on logic modelling at policy, programme and project level	Discussion results considered discussion and development of logic models included in the inception report
	Conceptualisation, organisation and facilitation of 2 nd workshop of the working group of Managing Authorities	To discuss three 'scenarios' proposed by the EC for linking the ESF to Europe 2020	Discussion results fed into discussion of logic models included in the inception report
	Inception report	To report on outcomes from Deliverable 1	Final inception report
Deliverable 2: Develop full logics of intervention for three policy areas	Conceptualisation, organisation and facilitation of 3rd workshop of the working group of MAs	To test draft intervention logic framework with representatives from Managing Authorities with regard to: representation of programme logic, feasibility of indicator definitions, relative value of different components of the IL	Understanding of information missing, possible data sources for required statistics, feasibility of draft indicators Amendment of IL by study team to incorporate suggestions

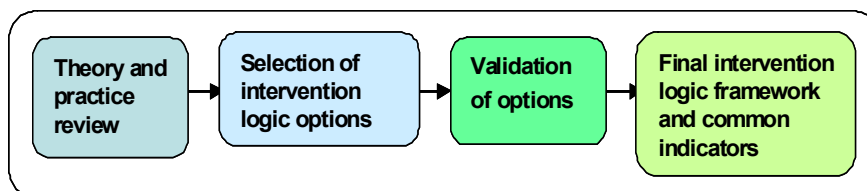
Deliverable	Main study activities	Objectives	Outcomes
	Testing chosen intervention logic with a sample of 17 OPs	To determine usability, relevance, representation of programme logic, gaps, strengths and weaknesses of framing the IL around the Integrated Employment Guidelines, feasibility of indicator types developed by EC	Revised intervention logic to improve coherence and user friendliness based on study team testing and Managing Authorities' feedback during workshop.
	Europe 2020 policy update	To be aware of relevant developments after submission of draft inception report	New developments fed into interim report and final report policy context sections
	Interim report	To report on outputs from Deliverable 2	Final interim report
Deliverable 3: developing output and result indicators	Policy and quality review of indicator set proposed by EC	To review the policy relevance and quality of a draft common output and result indicator set developed by the EC based on a structured set of criteria developed by the study team	Paper reviewing initial draft indicator set
	Conceptualisation, organisation and facilitation of 4 th workshop of the working group of Managing Authorities	To test the slightly revised set of common output and result indicators with Managing Authorities focusing on clarity of definitions, relevance, usability, aggregation and gaps	Feedback fed into discussion and revision of output and result indicators included in the final report.
	Final report	To bring together work from all deliverables and propose both an intervention logics method and a set of common output and result indicators To propose additional indicators to plug identified gaps	Final report

4 LOGICS OF INTERVENTION FOR THE ESF FROM 2014

4.1 Introduction

This section sets out the conceptual and theoretical ‘landscape’ that has helped shape the proposed intervention logic approach for the next ESF programming period. As noted in the preceding section, the methodological approach to this study reflects a ‘theory-driven’ focus, but at the same time one that is grounded in critical review and practice. As the diagram below shows, the study started with a review of the main theoretical approaches to intervention logic modelling and how these have been applied in practice, with particular relevance to the ESF context. This review then shaped the selection of three specific intervention logic ‘options’ for the next ESF programming phase. These options were then validated, through empirical analysis and critical review via the study team, the Commission Steering Group and the working group of Managing Authorities. This led to the selection of a final proposed intervention logic framework and associated common indicators which were in turn validated using the same process.

Figure 2: Intervention logic framework



This iterative approach was intended to ensure that the intervention logic framework and common indicators finally proposed for the next programming period combines a robust conceptual grounding with practical and operational capability.

This conceptual grounding draws on two main theoretical elements, or ‘fields’:

- The field of intervention logics and logic modelling;
- The field of evaluation, and in particular ‘theory of change’ evaluation.

These two fields are summarised below in relation to how the knowledge drawn from them was applied to the development of an intervention logic approach and associated common indicators for the post-2013 ESF programming period.

4.2 The theoretical background

4.2.1 *Logics of intervention*

The review of theory and practice in the field of intervention logics looked in particular at how the different conceptual and practitioner perspectives relate to the specific context of the ESF. A key objective of this review was to understand how an intervention logic approach could provide a conceptual link from the programme inputs to the production of its outputs and, subsequently, to its results and impacts on society.⁴⁹ Intervention logics provide a theory based approach to programming and evaluation, emerging in the 1980s (pioneered by evaluators like Huey Chen, Peter Rossi, Michael Quinn Patton, and Carol Weiss) to get into the ‘black box’ of

⁴⁹ <http://www.evaluation.org.uk/resources/glossary.aspx>

social policy programmes and improve understanding of why they are working or not working. The theory and practice review looked at a number of different approaches and perspectives, including: the 'theory of change' approach developed by Weiss at the Aspen Institute, which emphasises the 'implementation theory' of a programme; and the 'realist approach, based on Ray Pawson's and Nick Tilley's work⁵⁰, which focuses on articulating "what works for whom in what circumstances". It was noted that, whilst the use of logic models is not a legal requirement for the design of OPs, the approach nevertheless permeates Commission guidance on SF planning as well as Member State practice. Guidance is given through the Sourcebook on sound planning of ESF programmes.⁵¹

A key output of the review of theory and practice was to propose a definition of 'logic of intervention' that could provide anchorage for subsequent modelling and indicators development. Such a definition was needed because of the lack of a clear common definition of what an intervention logic is, and because of the tendency in the field to use a number of similar terms (such as intervention logics, logic models, logical frameworks and logic analysis), each of which have different connotations - interchangeably. Against this background, a key message that emerged from the review of theory and practice was the need to move forward from a simple 'logical framework' perspective, in which intervention logics are seen primarily as an operational tool to communicate the essential elements of a complex project throughout the project cycle⁵² to a position where the intervention logic model not only clearly shows the mechanisms through which programme objectives are implemented and what are the results of this implementation process, but also clearly shows the conceptual thinking and 'cause and effect' rationale that underpins the programme. Thus, our starting definition of the 'logic of intervention' was based on the European Commission definition: "the conceptual link from an intervention's inputs to the production of its outputs and, subsequently, to its impacts on society in terms of results and outcomes".⁵³

In the ESF context the intervention logic can be depicted as a set of relationships between programme inputs, programme operations, and subsequent outputs, results and impacts associated with the implementation of these operations, and which have an effect on programme objectives at different levels, as shown in the diagram below.

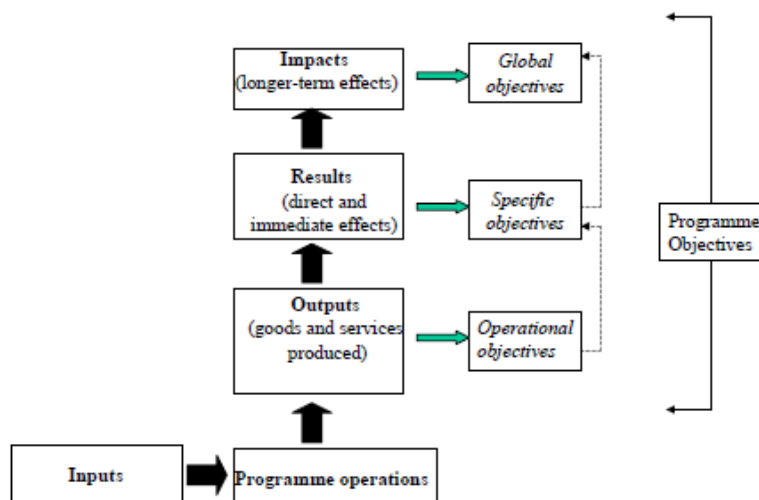
⁵⁰ Pawson, R and Tilley, N (1997) *Realist Evaluation*, London: Sage

⁵¹ <http://www.esfsourcebook.eu/index.php?id=2009>

⁵² World Bank (2009) *The LogFrame Handbook: A Logical Framework Approach to Project Cycle Management*, World Bank (2009), http://www.ansa-africa.net/uploads/documents/publications/Logframe_handbook_WorldBank.pdf

⁵³ European Commission, DG Budget, 'Evaluating EU activities: a practical guide for the Commission services', July 2004, pp. 87 and 106, http://ec.europa.eu/dgs/secretariat_general/evaluation/docs/eval_activities_en.pdf

Figure 3: The ESF logical framework⁵⁴



In this context, the key components of the intervention logic are defined as follows:

Inputs relate to the resources and activities to be run in order to achieve the outputs/operational objectives. They consist of financial, human, material, organisational or regulatory means used to implement interventions. Specifically for the ESF, this means spending by priority axis and the types of activities conventionally funded (e.g. training, awareness raising, counselling, support for self-employed etc).

Outputs (sometimes defined as 'operational objectives') represent the services, changed attitudes/practices or knowledge available due to the intervention. Within the ESF context, outputs are often defined as 'deliverables' – 'everything that is obtained directly in exchange for the inputs', for example training materials that are delivered through a training programme. Although outputs also typically include the knowledge gained from using these materials, in the ESF context this is not the case and outputs within ESF mainly focus on participants. Within the current ESF programming period, at EU level ESF outputs are measured as types of target groups reached (see Annex XXIII indicators).

Results (sometimes defined as 'specific objectives') represent the immediate short-term changes and benefits (outcomes) associated with the use of the outputs produced by the programme, for example: a beneficiary getting a job as a result of participating in a training programme; businesses improving their capacity based on using consultancy services provided through an ESF activity.^{55 56}

⁵⁴ Source: European Commission, DG Regional Policy (2008) Guide to socio economic development http://ec.europa.eu/regional_policy/sources/docgener/evaluation/evalsed/index_en.htm

⁵⁵ The EQUAL Partnership Development Toolkit - a practical guide to participative planning, monitoring and evaluation for facilitators of EQUAL Development and Transnational Partnerships, European Commission, Directorate General for Employment, Social Affairs and Equal Opportunities, 2005 http://ec.europa.eu/employment_social/equal/data/document/pdtoolkit_en.pdf

⁵⁶ Sourcebook on sound planning for ESF programmes, 2005, <http://esfsourcebook.eu/>

However, in addition to these 'basic building blocks', the literature and practice review showed that an intervention logic also needs to communicate a convincing story of the programme's expected performance, telling stakeholders and others the problem the programme focuses on and how it is uniquely qualified to address it.^{57 58} This means that the intervention logic needs to include additional components that show 'causal logic', things like: the assumptions made about expected outcomes and impacts; the inter-relationships between different activities; and the interactions between different stakeholders involved in the programme.

One way of embedding the 'causal logic' underpinning a programme is to design the matrix that links objectives, activities, outputs, outcomes and indicators with a specific 'point of view' perspective. This 'point of view' shows the relationship between a programme and the broader contextual environment within which the programme is embedded (for example in the case of ESF, the relationship between the ESF and Europe 2020) or the relationship between a sub-programme or project within a programme (for example in the case of ESF, the relationship between an OP and the ESF as a whole).⁵⁹

4.2.2 Theory of change

Further review of relevant literature from the evaluation field made a strong case for reinforcing the 'causal logic' component of the intervention logic framework to incorporate a 'theory of change' dimension. Theory of change involves the specification of an explicit theory of how and why a programme or project might cause or have caused an effect and the use of this theory to guide future programme implementation and evaluation.^{60 61} In practical terms, this means the intervention logic framework needs to incorporate four additional elements:

- A way of depicting the contextual background of the programme and how this could influence expected results and impacts – particularly the extent to which anticipated results and impacts are likely to be inhibited by local context, and thus how 'progress towards' expected results can be assessed.
- A way of illustrating the links between the programme and its outcomes, focusing not on the activities per se but on the response that the activities generate (the mechanism of change).⁶²

⁵⁷ European Commission, Directorate General for the Budget (2004) *Evaluating EU Activities*, A Practical Guide for the Commission Services, Luxembourg: Office for Official Publications of the European Communities, p. 71

http://ec.europa.eu/dgs/secretariat_general/evaluation/docs/eval_activities_en.pdf

⁵⁸ McLaughlin, J. A. and Jordan, G "Using Logic Models", in: *Handbook of Practical Program Evaluation*, p. 8

⁵⁹ Kellogg Foundation: W. K. Kellogg Foundation (2004). *W. K. Kellogg Foundation Logic Model Development Guide*,

http://ww2.wkcf.org/DesktopModules/WKF.00_DmaSupport/ViewDoc.aspx?fld=PDFFile&CID=281&ListID=28&ItemID=2813669&LanguageID=0.

⁶⁰ Weiss, C 1995. "Nothing as Practical as Good Theory: Exploring Theory-Based Evaluation for Comprehensive Community Initiatives for Children and Families." In *New Approaches to Evaluating Community Initiatives: Concepts, Methods, and Contexts*, ed. James P. Connell et al. Washington, DC: Aspen Institute.

⁶¹ DTI (2006) *Evaluating the impact of England's Regional Development Agencies: Developing a Methodology and Evaluation Framework*, DTI Occasional Paper NO 2, http://www.sqw.co.uk/file_download/25

⁶² Stame, N. (2004) *Theory-based Evaluation and Types of Complexity*, *Evaluation*, vol. 10, no. 1, pp. 58-76.

- A way of showing how ‘time’ affects the implementation of a programme and its expected results and impacts. This ‘temporal’ element can be split into two sub-components. First, how the intervention logic model incorporates the programming cycle – particularly where it sits with regard to planning, implementation and monitoring and evaluation. Second, how it shows programme evolution – particularly the ways in which objectives, and hence anticipated results and impacts – change as the programme develops.
- Capturing the ways in which the programme ‘logic’ and its objectives can sometimes be interpreted in different terms by different stakeholders. The literature and practices review showed that programmes, and their intervention logics, reflect the particular ‘value systems’ of the stakeholders involved. Intervention logic models therefore need to recognise that multiple theories of change might be held by EU institutions, central government, regional bodies and partners, and local stakeholders.⁶³

Overall, the literature and practices review highlighted the importance of incorporating ‘situational analysis’ within intervention logic frameworks and models.⁶⁴ This analysis should reflect two things. First, the overall environmental and policy background in which the programme is situated. This needs to clearly illustrate a statement of the ‘problem’ the programme is trying to address (what ‘causes’ the problem, in terms of the social, economic, and/or environmental symptoms; what are the likely consequences if nothing is done; who is affected by the problem; who are the stakeholders; what other projects address the problem). It also needs to illustrate what are the ‘assets’ the programme can draw on to address the problem. In short, the situation analysis has to illustrate the ‘needs’ the programme addresses. These in turn will enable the intervention logic to communicate the *relevance* of the programme to stakeholders, and thus provide a justification and rationale for the subsequent choices made about programming goals, expected results, activities, target groups and outputs, and to provide a yardstick to assess whether these choices are the right ones.

Second, the situational analysis should support the intervention logic model in demonstrating ‘cause and effect’ and in capturing how needs change over time and how effectively the programme responds to these changing needs.⁶⁵

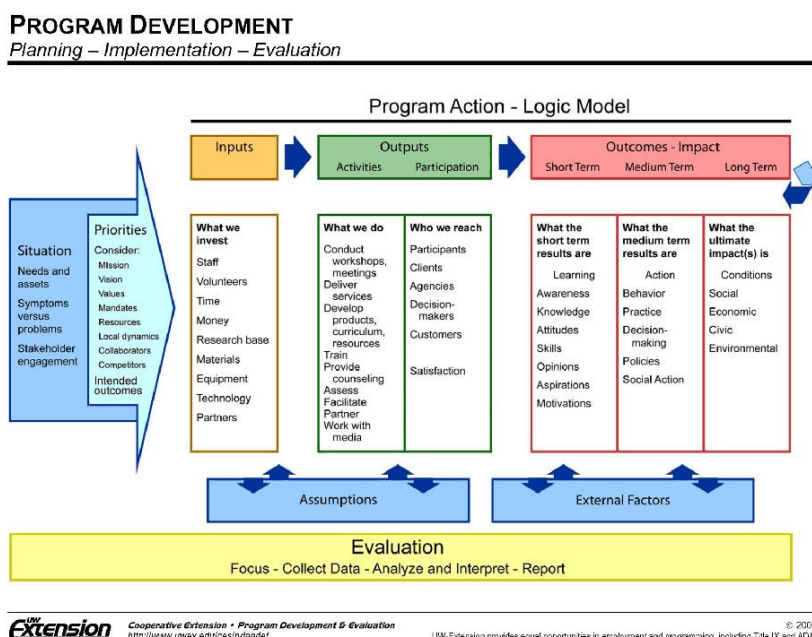
The role of situational analysis within the overall framework of the intervention logic is shown in the illustration below.

⁶³ Brouselle, A (2009) How about a logic analysis? A quick evaluation capitalising on best knowledge’, European Evaluation Society Conference, Praha, 2009

⁶⁴ McLaughlin, J.A. and G.B. Jordan. 1999. Logic models: a tool for telling your program’s performance story. *Evaluation and Planning* 22:65-72

⁶⁵ Anderson, A (2008) *A practical guide to theory development*, Aspen Institute

Figure 4: Use of situation analysis in logic modelling⁶⁶



4.3 Logics of intervention for the next ESF programming period: issues and requirements

This sub-section discusses how the findings from the review of theory and practice, set out above, were used to shape the design and implementation of a proposed logic of intervention framework to support the next ESF programming period.

The proposed framework, discussed in detail below, aims to address the issues and problems that have emerged around implementing and monitoring the ESF in the current programming period, as well as addressing the requirements of the next programming period from 2014.

4.3.1 Current use of intervention logics and issues highlighted

Several EU programme development and evaluation guidelines currently encourage the use of logics of intervention in the ESF.⁶⁷ According to these documents, logics of intervention support the systematic planning of ESF

⁶⁶ Source: University of Wisconsin

⁶⁷ For instance: European Commission, Directorate General for the Budget (2004) Evaluating EU Activities. A Practical Guide for the Commission Services, Luxembourg: Office for Official Publications of the European Communities http://ec.europa.eu/dgs/secretariat_general/evaluation/docs/eval_activities_en.pdf; ESF Sourcebook on sound planning for ESF programmes, 2005, <http://esfsourcebook.eu/>; European Commission, Directorate General for Employment, Social Affairs and Equal Opportunities (2005) The EQUAL Partnership Development Toolkit - a practical guide to participative planning, monitoring and evaluation for facilitators of EQUAL Development and Transnational Partnerships http://ec.europa.eu/employment_social/equal/data/document/pdtoolkit_en.pdf

programmes (e.g. through the development of hierarchies of objectives and results / impacts and the systematic linking of indicators) and their evaluation. All relevant guidance documents advocate an inclusive approach to programme development which incorporates the various stakeholder views into programme design. Finally, logics of intervention have a place during ESF programme implementation as a programme management tool to monitor and report on progress towards a set goal and to support ongoing as well as ex post evaluation.

Despite the available guidance and the potential benefits outlined above, there is a broad consensus⁶⁸ that currently little use is made of the tool in the Member States. For instance, the European Commission itself has developed a template in 2007 which was designed to summarise OPs in a way that illustrates the logic of intervention. This includes two tables: one summarising priorities, ESF policy fields, links to NSRF, Lisbon objectives and funding; the other including objectives, result indicators, main types of operations and output indicators. These tables, whilst summarising OPs, are not always able to show a clear and logical pathway from spending to activities to outputs and results through to the Lisbon agenda.⁶⁹ Generally, therefore, in the current funding round it was difficult to establish a connection between ESF funding and the Lisbon agenda (though the lack of an overlap between the current ESF programming period and the timeframe for the Lisbon agenda means that the final judgement on this matter will need to wait for the completion of the ex post evaluations after 2013).⁷⁰

Stakeholders further recognise that previous programme design, implementation and monitoring has not sufficiently represented the 'user voice'. As a Commission Working Document remarks, referring to the 2000-2006 ESF planning period "*some systems had a tendency to become overly complex and were insufficiently driven by the needs of the users*".⁷¹ The Working Document goes on to emphasise that "*the starting point of each public financial intervention is an analysis of the socio-economic and environmental reality with an identification of problems or needs*".

4.3.2 Specification for an intervention logic framework post-2013

Within the context of the terms of reference for this study, the lessons learned from the review of theory and practice in the field were applied to the issues identified in the current programming period, together with the main requirements of the next programming round. This analysis was further supported with the results of scoping interviews with Commission officials, as well as the results of the successive rounds of critical review derived from the workshops with the working group. Using these sources, a specification for a proposed intervention logic was devised that incorporates the following features.

⁶⁸ Scoping interviews, European Commission representatives

⁶⁹ See for instance: summary of England and Gibraltar OP.

⁷⁰ Second workshop of the ESF working group on logics of intervention and related indicators, 10th December 2010, draft minutes

⁷¹ European Commission, DG Regional Policy (2006) New Programming Period 2007-2013. Indicative Guidelines on Evaluation Methods: Monitoring and Evaluation Indicators, Working Document No. 2, http://ec.europa.eu/regional_policy/sources/docoffic/2007/working/wd2indic_082006_en.pdf

The intervention logic framework shows a conceptual link between ESF activities and Europe 2020.⁷² This connects ESF priorities (and interventions) and policy priorities of Europe 2020. It also includes a limited number of practical, usable and Europe 2020 relevant common output and result indicators that provide a good picture of what the ESF does and against which progress can be reported.

Therefore, the intervention logic is also an instrument to concentrate ESF funding, both on Europe 2020 objectives and on results as stipulated in the 2010 Budget Review.⁷³ It further includes a needs analysis which, also through the incorporation of the JAF indicators, highlights those (Europe 2020 relevant) target groups that have the greatest need for support through the ESF.

The logic of intervention is constructed at priority axis level.⁷⁴ It is assumed that annual reporting will take place at priority level and focus on inputs and outputs by target group and immediate results. Strategic reporting could either take place in the fourth year of the 5+5 budgeting cycle and at the end of the programming period, or after seven years with a mid-term review. Strategic reporting would include information on the longer term result indicators.

Target groups defined in Annex XXIII are covered to reflect the ESF focus on 'people', as well as enterprises (in particular SMEs), systems and structures in labour market policy.

The intervention logic is designed to demonstrate the added value of the ESF,⁷⁵ and in particular the 'intrinsic' added value, e.g. the contribution of the ESF towards Treaty objectives in the fields of employment and social inclusion. Demonstrating intrinsic added value requires "building a 'chain of causality' by which action contributes to achieving a particular Treaty objective."⁷⁶ This is based on the following dimensions: scope, role, volume and process. Comparative added value, considering "to what extent EU actions / interventions add something to national actions / interventions to achieve EU objectives"⁷⁷ in terms of thinking about logic of intervention also means that the proposed intervention logic model includes reference to 'needs': what are the problem areas at regional / national level and how will ESF funded actions (as opposed to national ones) solve them?

The logic of intervention model includes the following core components: inputs, outputs, results and impacts.⁷⁸ A logical coherent chain from the context / initial problem to inputs / activities through to outputs and results is demonstrated. This is

⁷² Minutes of the working group "Developing logics of intervention and related common indicators for the next programming round", 12th November 2010; Terms of reference VT 2010/077

⁷³ European Commission (2010) Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee, the Committee of the Regions and the national parliaments, The EU Budget Review, {SEC(2010) 7000 final}, p. 12, http://ec.europa.eu/budget/reform/library/communication/com_2010_700_en.pdf

⁷⁴ Terms of reference VT2010-077

⁷⁵ See also: European Commission, DG Employment, Social Affairs and Equal Opportunities (2008) Possible aspects of 'Community Added Value' for Employment and Social Policy, Brussels: 29/11/08, in: Request for services in the framework of the Multiple Framework Contract "Developing logics of intervention and related common indicators for the next European Social Fund operational programmes" Lot No 4, VT/2010/077, p. 19 (Annex 5 Terms of Reference to this present study)

⁷⁶ Ibid, p. 19

⁷⁷ Ibid, p. 19

⁷⁸ As included in all major guidance documents on logic modelling: DG Budget Evaluation Guidelines, ESF Sourcebook, Kellogg Foundation logic modelling, UNDP and World Bank Guidance, UK Department for Transport Logic Mapping (see reference list).

essential in order to be able to 'tell' the story' of a programme. The information and format is usable for all programming activities: planning, implementation and evaluation. The logic model is displayed in a table / predefined matrix structure. This table provides a logical summary of the OP and how it links to Europe 2020. The format is designed to be as simple as possible so as to encourage use by the Member States.

4.3.3 Implementing and validating the specification

On the basis of the above specification, three intervention logic framework options were developed.

Option 1: Illustrating links between the ESF and Europe 2020 through the Integrated Employment Guidelines. This consisted of two tables. First, a 'needs analysis' table presents a systematic way of summarising information from relevant existing sources in order to make the case for the focus of an OP. In this option, the needs analysis table starts with the Integrated Employment Guidelines as framing element. The second table focuses on outlining the intervention logic for the ESF and its priorities foreseen in the OP. As the first table, it is framed around the Integrated Employment Guidelines. The main strength of this option was seen in terms of its flexibility and its capacity to spell out a logical sequence for ESF funding the likely ease of use by Member States. The main weaknesses were seen, as a result of the systematic review carried out by the study team, together with the review carried out by the working group of Managing Authorities on ESF logics of intervention and related common indicators, as: the lack of a match with some current key ESF activity areas (for example institutional capacity and governance); and the preoccupation in the Integrated Guidelines on 'job activation' as a strategy for addressing social inclusion when this is not necessarily sufficient to reduce poverty.⁷⁹

Option 2: Linking the ESF to the Joint Assessment Framework (JAF). The JAF spells out specific and well defined policy areas that are linked to the Integrated Guidelines (and hence to Europe 2020). This option also consisted of two tables. The 'needs analysis' table begins with the targets laid down in Member States' NRPs. In this option, these targets are linked to a JAF indicator for the relevant JAF policy area. This indicator set shows where Member States are at present in terms of the Europe 2020 objectives. It is thus both an expression of the status quo and of the progress needed by the Member State to achieve its Europe 2020 objectives. The second table starts with the JAF policy areas as framing categories for ESF priority axes / spending categories. This is then followed by the corresponding title given to the priority axis in the OP as well as associated funding. As in the previous option, this is then followed by a description of results (including baseline and target figures), optional ESF interventions and outputs (e.g. target groups). The main strength of this option was seen in terms of the clear conceptual link it provides to Europe 2020 through the JAF policy areas. However, several JAF policy areas are out of scope of the ESF and several ESF fields of activity are not covered by the JAF, in particular wage setting mechanisms and social security systems. In turn, some ESF objectives are not covered, most notably the territorial cooperation objective. Mechanisms such as strengthening inter-regional cooperation and transnational co-operation, part of the territorial co-operation objective, cannot be found

⁷⁹ COUNCIL OF THE EUROPEAN UNION, 2010, Presidency, Lunch debate at EPSCO Council, The Social dimension within the Europe 2020 Strategy, 17280/10, 1 December 2010
<http://register.consilium.europa.eu/pdf/en/10/st17/st17280.en10.pdf>

in the current version of the JAF policy areas definition (other than the promotion of labour mobility and hence would need to be added). In addition, the fact that the JAF policy areas are not necessary stable due to the need to remain responsive to socio-economic changes during the 10 year period covered by Europe 2020, was also seen as possible weaknesses.

Option 3: Showing the focus of the ESF on Europe 2020 via the Labour Market Policy (LMP) database. The LMP categories represent activities rather than broad policy areas that could be used as ESF priority axes in OPs. Constructing a logic of intervention on the LMP categories would therefore mean creating a link to Europe 2020 through the categories of activities as defined in this database by matching them either with the Integrated Guidelines or the JAF policy areas. Whilst in terms of data quality, Option 3 was seen as the most rigorous option, the linkages to Europe 2020 are much weaker than in the other two options. Moreover, comprehensive coverage of the ESF is not possible with the LMP in its current form. This would mean either introducing a number of changes to the LMP database, which may not be feasible, or building ESF activities and target groups around the LMP ones, somewhat reducing the key strength of this option (the data quality and comparability).

These three intervention logic frameworks were then tested using the following validation methodology, as shown in the table below.

Table 5: Intervention logic validation methodology

Phase	Activity	Description	Outcome
1	1.Options design	Application of results of literature and practices review, interviews and workshop results to designing three different intervention logic frameworks	Production of three alternate intervention logic frameworks based on Integrated Employment Guidelines; JAF and LMP
	2.Review Workshop 3	Interrogation and critical review, using SWOT analysis approach, of 3 options by ESF Working Group, supported by study team and Commission	Feedback data and recommendations on selection of most suitable Option
	3.Final Option Selection	Analysis of feedback data from Workshop. Selection of preferred option – Integrated Employment Guidelines option – on basis of analysis results	Option 1 – Integrated Employment Guidelines Option - selected
2	1.Population of Selected Framework	Completing the tables of the selected intervention logic framework using data from a sample of OPs and NRPs from 'case study' countries	25 completed intervention logic tables covering 3 policy areas in a range of Member States
	2.Team review	Analysis of the completed tables on: suitability and appropriateness; gaps analysis; assumptions; quality of information	Modified intervention logic framework
	3.Review Workshop	Interrogation and critical review of modified intervention logic framework by ESF Working Group, supported by study team and Commission. Assessment of the framework on: relevance; strengths and weaknesses; challenges in use; gaps	Feedback on proposed intervention logic framework and recommendations for further modification

3	1. Analysis of workshop results	Analysis of results of review workshop	Modified intervention logic framework
	2. Final Framework Design	Modification of intervention logic framework using results of review workshop	Final intervention logic framework

As the table shows, the final intervention logic framework is the result of a series of iterative phases of design; validation through review by the study team and Commission and a series of review workshops involving the ESF Working Group and subsequent modification of the framework as described in the methods section.

4.4 Final intervention logic framework for the next programming period

The final proposed intervention logic framework for the next programming period, incorporating the results of the design, implementation and validation process described above, is presented below.

The framework consists of three integrated tables:

- A 'Needs Analysis' Table
- A 'Context' Table
- An 'OP Summary' Table

4.4.1 Needs Analysis Table

The needs analysis table represents a high level summary of the 'problem situation' in a Member State in relation to the Europe 2020 objectives. The 'unit of analysis' is the OP: the aim of the table is to situate the socio-economic situation in the region (or country) covered by an Operational Programme within the overall Europe 2020 objectives and related national targets. As a consequence, it is structured by Priority Axis. The needs analysis table thus provides a snapshot overview of the key development gaps between a region / country and the objectives a Member State has set itself for 2020 and links these back to the OP. In addition to the above more theoretical requirements, this takes place against the request that the ESF (as other structural funds) should address the development needs of a Member State: as EMCO emphasises, cohesion funds should concentrate on supporting bottlenecks to achieve EU2020 objectives and focus on a few, selected themes in line with the regional and local needs.⁸⁰ Because of its remit, overall funding volume as well as Member States' absorption capacity, it is clear that the ESF can only make a limited contribution to a Member States (and the EU) achieving Europe 2020 targets. The articulation of needs as proposed by the table below, therefore, creates preconditions for targeting funding to where needs are greatest. The likely factors affecting contribution to Europe 2020 objectives could be outlined in the assumptions column of the context table. The needs analysis table therefore provides the overall socio-economic context within which an OP is situated and against which its own logic, and rationale for effectiveness, is developed. It shows the path and progression towards EU2020 targets realised through ESF-funded initiatives aimed at relevant target groups.

⁸⁰ <http://ec.europa.eu/social/main.jsp?catId=115&langId=en>

Table 6: Needs analysis table

Title of OP:					
National EU2020 targets and description of anticipated progress towards EU2020 objectives					
Distance to national targets using JAF framework.	National target as per National Reform Programme	Common Strategic Framework	Development and Investment Partnership contract	Relevant national statistics	Relevant regional statistics
OP priority axis:					
OP priority axis:					

In order to show the link between the socio-economic needs a regional or national OP is looking to address and Europe 2020, the table contains the following categories of information:

- The priority axis of the OP. The current working assumption is that OP priorities in the next programming period will be broadly based on the Integrated Employment Guidelines (in particular guidelines 7 to 10). As the Integrated Employment Guidelines are the framework for the Europe 2020 strategy in the Member States, this creates the first conceptual link between the needs to be addressed in the OP and Europe 2020. Further, the three policy areas (increasing labour market participation; promoting social inclusion and poverty; strengthening institutional capacity and governance) have been chosen as examples because: a) the first two policies are directly within the scope of the ESF as articulated in Article 162 TFEU (and hence provides ‘intrinsic added value’); and b) contribute or support growth and employment⁸¹ – key policy objectives of Europe 2020 and hence indicative of key areas of investment priority in the Member States. Reporting will take place by priority axis; therefore, it is logical to display the needs analysis by priority axis also.
- Relevant Joint Assessment Framework (JAF) indicators. The JAF is the monitoring tool to track progress towards Europe 2020 targets and implementation of individual measures in the Member States.⁸² It makes the broad Europe 2020 policy areas more concrete by matching a total of 12 policy areas to the Integrated Employment Guidelines. The intention is to develop, for each of these policy areas, a quantitative indicator (“an overall indicator that can be interpreted as providing a representative summary of a policy objective”) plus a limited set of sub-indicators relevant to the overall main indicator would be defined. “Their purpose would be to shed light on why the overall indicator behaves as it does (that is, indicates a degree of relative under or over-

⁸¹ <http://ec.europa.eu/esf/main.jsp?catId=55&langId=en#>

⁸² Council of the European Union (2010) Foundations and structures for a Joint Assessment Framework (JAF), including an Employment Performance Monitor (EPM) to monitor the Integrated Employment Guidelines under Europe 2020, p. 2

performance).⁸³ Among others, the JAF results will be used to “support EMCO and the Council in taking a multilateral position on the progress reached by each Member State at its country examination in spring every year.”⁸⁴ By including the latest results for these indicators into the needs analysis table, we show, at the time of planning the ESF OP, how far a Member State still needs to travel to reach its Europe 2020 objectives. This then gives a first indication of the extent to which ESF OPs can be seen to contribute to achieving these objectives, in particular when read together with information on resources budgeted for each priority axis (included in the detailed intervention logics table discussed in the next chapter). Including the JAF indicators as part of the needs analysis of the intervention logic may also support a focusing of ESF spending on those groups (covered by the JAF indicator framework) that have the greatest need for support (rather than those, for instance, where positive outcomes can most easily be achieved).

- The national targets as fixed in the National Reform Programmes (NRPs). The NRPs should provide information on the national Europe 2020 targets and on key measures to achieve them. NRPs are to be produced by national governments in April of each year, along with stability / convergence programmes; these will set out the action they will undertake in areas such as employment, research, innovation, energy or social inclusion.⁸⁵ The first full Europe 2020 NRP is due in April 2011 (drafts of these documents were to be submitted in November 2010). These documents will include the final national targets.⁸⁶ Progress towards these targets will be monitored annually, the JAF being the key tool for this purpose in the field of employment, social affairs and education. NRP targets, as set out in the April 2011 NRPs, therefore need to be included in the logic model table so that the framing of OPs around Europe 2020 is maintained and so that it is clear around which objectives national resources are mobilised. It is noteworthy that a review of Europe 2020 is foreseen for 2014 – at the point of completing programme planning for the next funding period of the ESF. OPs are unlikely to be able to respond to any major changes to Europe 2020 that may be introduced at this stage and, certainly at the level of the priority axis, are most likely to remain aligned to the strategy as currently formulated (unless renegotiated). However, Member States will have flexibility to decide which activities they will fund and what target groups to focus on – the link to a Europe 2020 post review may therefore be maintained through these mechanisms.
- Common Strategic Framework (CSF) and Development and Investment Partnership Contract (DIPC). With these two columns the logic of the table jumps from the Europe 2020 targets and a Member State's progress towards them to a Member State's development needs and how these are going to be addressed with the help of structural funds investments. They take a bridging function between the broad Europe 2020 objectives and the more specific national and regional situation to be addressed by the structural funds.

⁸³ Council of the European Union (2010) Foundations and structures for a Joint Assessment Framework (JAF), including an Employment Performance Monitor (EPM) to monitor the Employment Guidelines under Europe 2020, p. 12

⁸⁴ Council of the European Union (2010) Foundations and structures for a Joint Assessment Framework (JAF), including an Employment Performance Monitor (EPM) to monitor the Employment Guidelines under Europe 2020, p. 3

⁸⁵ <http://europa.eu/rapid/pressReleasesAction.do?reference=MEMO/11/14>

⁸⁶ http://ec.europa.eu/europe2020/targets/national-targets/index_en.htm

- National and regional statistics. These should present the national and regional socio-economic situation (where the OP covers the regional level) in relation to the priorities agreed in the DIPC, hence reinforcing the link between investment priorities and socio-economic situation.

The table thus approaches the needs analysis issue from two ends: the top level European end (with the NRP targets and the JAF indicators) which highlights top level targets and status quo for a country; from the more 'bottom up' end, showing the socio-economic situation in a country / region through the lens of the ESF.

Validation of the table showed that it succeeds in providing an overview of the different socio-economic situations (and hence needs) across the different levels. Overall, data availability does not seem to be an issue. However, the validation process suggested that data sources vary across Member States and so, to improve comparability, the final table should include a clear set of guidelines on the full range of EU level data sources that can be drawn on to undertake the needs analysis. Lists of alternative and relevant data sources especially for the field of institutional capacity and governance could also be provided.

4.4.2 Policy Context Table

The policy context table was developed as a result of some gaps that were identified through the validation process with regard to the information captured in the 'needs analysis' table, in particular: the need to represent the 'time' dimension of an evolving programme; provision for including more background information on how to deal with a regional need or a particular target group's need; a field to add text to the table to cater for policy fields and quantitative data.

Table 7: Policy Context Table

National 2020 targets: Employment: Poverty: Education:			
Policy context	Problem definition	Action and rationale	Assumptions, risks or possible challenges (optional)
<i>Other major programmes or initiatives taking place that link to the priority axis, especially those outlined in the NRP.</i>	<i>The nature of the problem the priority axis is looking to address.</i>	<i>The focus of the priority axis and why this will address the problem</i>	<i>Factors beyond the control of programme managers that need to remain stable so that expected results are achieved.</i>
OP priority axis:			
OP priority axis:			

On this basis, the context table captures data on:

- **Policy context.** This is defined as “other major programmes or initiatives going on in the Member State or region that support what is being funded through the ESF.” This offers an opportunity to specify which other national programmes, initiatives, legislative acts relate to activities funded by the ESF. At programming stage, this information shows what might affect (positively or negatively) the actions in an OP. The policy context column also ‘sets the scene’ for a demonstration of the community added value (CAV) of the envisaged actions funded by the ESF. This might be comparative added value (what ESF funded interventions add to national ones) or through volume effects (e.g. using ESF funding to amplify a national / regional measure) contributing to Europe 2020. The link to Europe 2020 is maintained by including information from the NRP.
- **Problem definition.** This is defined as “what is the nature of the problem?”. Linked to the priority axis, and focusing on the target groups the OP seeks to address, this column provides an opportunity to explain the high level statistics of the needs analysis table, e.g. why there is unemployment amongst a target group that is particularly affected.
- **Action and rationale.** This is defined as “how will the problem be addressed in the OP and why” (hence outlining, effectively, the “theory of change” behind the Priority Axis and how it supports Europe 2020 objectives). This should outline the focus, goals and rationales for the priority axis and outline the envisaged path towards achieving impacts. This column offers also an opportunity to demonstrate CAV through multiplier effects (e.g. by making a case for innovative activities and provisions to encourage wider take-up or discussion of these) or scope effects (e.g. addressing groups or policy areas that would not normally be addressed).
- **Assumptions and threats.** Finally, the table includes an assumptions and threats column. Information to include here might cover: limitations / constraints; assumptions and risks; expected changes / theory of change; description how OP will contribute to Europe 2020 objectives. For instance, one of the factors influencing the degree to which the ESF can make a contribution to Europe 2020 objectives is a Member States’ capacity to absorb the funding. Challenges and mitigating strategies on absorption could be one of the items outlined in the assumptions column. Whilst the testing of the table showed this column to be useful, members of the working group felt information on assumptions might be bland and not meaningful. Therefore, the assumptions and threats column is an optional one which Member States can decide to complete or not. The word ‘threat’ has been chosen as it links up with the SWOT analysis Member States undertake as part of their programme planning exercise.

Overall, the conclusion from testing the table with current OPs and members of the working group was that the information required by the policy context table is already available. However, there were some issues identified: the value of the information in the table is likely to differ between Member States; it can be difficult to extract relevant information from current documents and put into the present format; it is a challenge to summarise complex information concisely so as to avoid overly long and complicated text.

4.4.3 Internal logic table

The internal logic table broadly follows the format currently used by the Commission to summarise OPs and which can be found in a similar format in some OPs. It

includes funding (both Community and national) allocated to priority axis. This is followed by a description of results expected and a list of associated indicators. Intended activities included in the OP precedes a description of outputs which is followed by the output indicators included in the OP. In addition, an optional 'risks / challenges' column is included, and a 'target group' column has been added to allow for a more granular list of people that are envisaged to be covered by an OP and its activities than may be captured through output indicators. This allows for another way to create linkages to Europe 2020.

Table 8: Internal Logic Table

Description of objectives	Funding (programmed)	Results description	Results indicators, total and per target group	Indicative activities (non binding)	Target group	Outputs description	Output indicators, total and per target group	Risks / challenges
Objectives of the priority axis	ESF funding (million €) for priority National and private funding (million €) for priority	Description of high level results (=direct effects achieved).	Relevant common result indicator selected for total targets expressed in numbers (should include baseline and target, source of verification). Relevant common result indicator selected per targets concerned expressed in numbers (should include baseline and target, source of verification). Add other relevant indicators in OP as above.	Areas of intended ESF activity. No amounts are required for programming.	Group targeted by the activity	Actual achievements expected.	Actual achievements, expressed in absolute numbers of participants. This should include baseline and target, source of verification. Outputs should be broken down by relevant target group in absolute numbers.	Optional summary of any anticipated external risk that might affect the achievement of outputs and results.
OP priority axis: [ESF priorities derived from integrated guidelines for economic and employment policies.]								
			Add common result indicators here				Add common output indicators here	

Table 9: Simplified internal logic table

Description of objectives	Funding (programmed)	Results indicators, (total and per target group)	Indicative activities (non binding)	Target group	Output indicators (total and per target group)
Objectives of the priority axis	ESF funding (million €) for priority National and private funding (million €) for priority	Relevant common result indicator selected for total targets expressed in numbers (should include baseline and target, source of verification). Relevant common result indicator selected per targets concerned expressed in numbers (should include baseline a	Areas of intended ESF activity. No amounts are required for programming.	Group targeted by the activity	Actual achievements, expressed in absolute numbers of participants. This should include baseline and target, source of verification. Outputs should be broken down by relevant target group in absolute numbers.
OP priority axis: [ESF priorities derived from integrated guidelines for economic and employment policies.]					
		Add common result indicators here			Add common output indicators here

4.5 Supporting take-up of the framework post 2013

The review of literature and practices in the intervention logics field, outlined in the Inception and Interim Reports of this study and earlier in this chapter, identified a number of factors that militate against the routine and systematic use of intervention logic modelling and tools within ESF programme design, implementation and monitoring and evaluation practice. These include:

- The diversity of theory and practice in the field generally, and a lack of agreed definitions of what intervention logics are and how they should be used. This lends itself to variability in how intervention logics are used in practice, including in the ESF programming environment.
- The lack of an embedded 'intervention logic' culture within the ESF environment. Although several EU programme development and evaluation guidelines currently encourage the use of logics of intervention in the ESF, the commitment to using logic modelling varies significantly across Member States. There is a broad consensus that currently little use is made overall of the tools that are available to support good programming. In turn, the evidence suggests that a further impediment to the widespread diffusion of an 'intervention logic culture' and the systematic use of intervention logic methods and tools is the lack of a 'joined-up' way of collaborative working in many member states between the various stakeholders involved in ESF programming.
- Related to the above issues is a fragmentation of the knowledge base on intervention logics and their utilisation. Although a number of useful sets of Guidelines and tools are available, they are not integrated in a coherent way.
- Tensions between the Commission's need to obtain an overview of how ESF is contributing to key policy goals like EU2020 at the European level, and the focus in Member States on national context and national objectives.

The work carried out in the study involving the ESF Working Group reinforced the above conclusions. The representatives involved in the Working Group reported that perceptions of the value of logic modelling varied widely in their different countries, as did knowledge of the tools available to support the application of logic modelling and, ultimately, the use of logic modelling in practice.

Against this background, two sets of activities are likely to support the take-up and use of the framework by the Member States in the process of programming for the period post 2013. These are discussed below.

4.5.1 *Promoting an intervention logic culture*

The above discussion points towards a need to promote 'sensemaking' and a common purpose between the different stakeholders involved in the ESF: between the Commission and Member States; between Member States themselves, and between the various actors involved in individual OPs within different countries. This could be achieved by integrating and building on existing approaches, tools and practices (rather than attempting to develop and apply something new that could be seen as a further addition to the administrative burden). A suggested way forward reflects approaches and tools that, for example, have been applied in the Commission's 'soft law' approach to supporting Member States in meeting their social inclusion objective via the Open Method of Co-ordination, through actions like peer review, benchmarking and collaborative networking. This could involve the following practical steps:

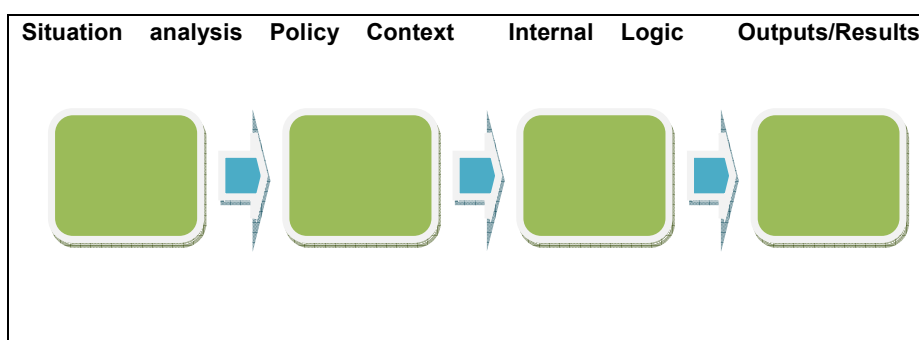
- Building on and taking forward the work of the current ESF Working Group. The inputs of the ESF Working Group were of considerable value to this study. Getting together the group in the first place illustrated the potential scope for collaborative working between ESF stakeholders. As the study developed, the group's 'common identity' also developed. In turn, the group environment provided a space for collaborative working. As a result, real knowledge sharing actually took place. These positive outcomes should be valued through further support from the Commission and from Member States to enable the group to continue its collaborative work, and to expand its membership and activities with the aim of building a 'critical mass' of stakeholder representatives to support the establishment and consolidation of an 'intervention logic culture' for future ESF programming. The Working Group should focus in particular on exploring ways of supporting benchmarking, peer review and good practice exchange between Member States.
- Launching and implementing a programme of awareness-raising, training and professional development for officials in Member States with responsibility for ESF programme design, implementation and monitoring and evaluation. This could focus on integrating existing theory, methods and practices in the field of logic modelling and on valorising it to make it more 'user-friendly' for practitioners. We would recommend an 'action learning approach' to implementing this programme (outlined in the Inception Report to this study), which is designed to promote 'convergence' between the different perspectives of different stakeholders.
- Promoting networking and knowledge sharing between stakeholders. This could build on existing structures, particularly 'communities of practice' such as the ESF Community of Practice on Results Based Management or the ESF Community of Practice on Partnerships.
- Consolidating and integrating the range of tools, guidelines and good practices that are currently available to support intervention logic implementation with the aim of developing an overview of 'what works'. This should then provide inputs to the work of the working group, the communities of practice and the training and professional development programme outlined above.

4.5.2 Improving the technical usability and operability of the proposed intervention logic framework and associated Tables

In tandem with the work on supporting a robust 'intervention logic culture' within the ESF programming environment the usability of the the proposed intervention logic framework and associated Tables should be further improved. Though attention has been paid to developing 'practical and usable' outputs to help support more effective OP design, implementation and monitoring, and to show a clear causal linkage between ESF and EU2020 objectives, issues remain with the usability of the table format of the tools developed. Indeed, although members of the ESF Working Group largely approved of the final products, some remained unconvinced about the usability of the framework and Tables.

One way of improving the usability of the tool would be to experiment with converting the current tabular structure and format of the Tables (which is based on an Excel spreadsheet) to a web-based tool that incorporates an appropriate graphical user interface. The logic framework components currently comprised of separate Excel worksheets could be implemented through a set of inter-linked work

spaces within the web-based tool that represent the components of the intervention logic framework, as illustrated in the diagram below.



Each component would then contain a set of drop-down menus illustrating the range of options on which data is required (priority axis; target groups and so on) together with numerical/text boxes for data input.

Further exploratory work could be done on enhancing the functionality of the core web-based tool to support more effective logic modelling. For example, a database and content management system could sit below the logic framework to collect and aggregate the data input through the drop-down menus. In addition, Web 2.0 tools – including ‘wikis’ could be incorporated to support the development of agreed indicator definitions; operational guidelines and other material, developed through collaborative work between system users.

4.6 Concluding summary

The iterative methodology used to arrive at the intervention logic framework for the next ESF programming round has helped to ensure that the framework is rooted in a robust evidence-based systematic review of theory and practice in the field, as well as reflecting the pragmatic realities of implementing the framework in practice. The framework incorporates common building blocks that are intended to support EU-wide standardisation in monitoring and reporting for the ESF, as well as providing ways to reflect the particular contextual nuances of Member States and regional and local situations.

The iterative use of validation practices in successive development and refinement phases of the framework was intended to ensure that the final proposed framework is: rigorously tested, usable, relevant and acceptable to stakeholders. In particular, the results of the validation activities suggest that the link between the ESF and Europe 2020 – a core objective of this study – can be clearly demonstrated through the proposed framework.

As a result of the development and validation process, the current intervention logic framework and constituent tables have the potential to support aspects of the whole programming cycle:

- At programme planning stage, the tables will support the focusing of OPs on needs and Europe 2020 objectives.
- During implementation the information on links to Europe 2020 will support the preparation of Annual Implementation Reports (AIRs) should they remain a requirement in the next programming period.

- For evaluation (both mid-term/ongoing and ex-post), both the information on needs and context as well as the final intervention logics table itself will provide a valuable starting point for investigation.

However, a number of outstanding issues related to the implementation of the framework and the tables were highlighted in the study which need to be addressed in the future. First, to avoid the framework being seen as another administrative burden by Managing Authorities, it would be helpful for the tables to be accompanied by clear guidelines on their use (including the background to the approach, definitions and possible data sources) to ensure they support better programme planning. In addition, a slimmed-down 'summary' version of the framework and tables, focusing on the bare essentials and removing columns such as results description, target groups, output description, risk and challenges, might also be well-received.

Second, though a key objective of the study was to produce a framework and tools that are simple to use, the 'spreadsheet' format of the current tables is unwieldy and difficult to use. Exploring the feasibility of alternative representational media – such as on-line forms with different menus – would be a worthwhile future action.

Finally, it would be useful to explore how far the use of the set of intervention logics tables might be made compulsory for Managing Authorities in order to support good programme planning for the next round of ESF funding where outputs and results are linked systematically.

5 OUTPUTS AND RESULT INDICATORS FOR THE ESF FROM 2014

This chapter follows on from the discussion of the intervention logics by discussing a set of 32 common output and results indicators for the ESF from 2014 onwards. This discussion starts with a brief summary of the current ESF indicator system, its perceived shortcomings and the requirements, as set out in key policy documents, going forward. The chapter then discusses a set of proposed common indicators for the next ESF funding period, starting with the output indicators, followed by the immediate results and longer term result indicators.

5.1 The indicator system in the current ESF programming period and requirements for 2014 onward

5.1.1 *The current ESF indicator system and its shortcomings*

In the current funding period, monitoring of ESF OPs is guided by two sets of indicators.

The Annex XXIII indicators

Annex XXIII of the Implementing Regulation 1828/2006 contains a set of core output indicators.⁸⁷ These capture data on the following characteristics of ESF participants: number of participants per year (entering, leaving, carry over from one year to the next); participants by labour market status (employed, self-employed, unemployed, long term unemployed, inactive, inactive persons in education and training); participants by age (young people 15-24, older workers 55-64); participants by vulnerable groups (minorities, migrants, disabled, other disadvantaged people); participants by educational attainment (by ISCED levels). Member States are required to collect this data which is aggregated at EU level for reporting on ESF participation.⁸⁸

The challenges with the rules governing Annex XXIII indicators are as follows. While the target groups remain relevant for the Europe 2020 agenda, there are gaps around the institutional capacity and governance area which, according to the ESF Committee should remain a focus of ESF spending.⁸⁹ There is a data collection issue particularly for the category of vulnerable groups. Definitions of vulnerable groups vary between member states⁹⁰, affecting the accuracy of aggregated data at EU level. In addition, some member states have difficulties collecting data on vulnerable groups (minorities, migrants, disabled, other disadvantaged people) as their data protection legislation does not allow registering

⁸⁷ Commission Regulation (EC) No 1828/2006 of 8 December 2006 setting out rules for the implementation of Council Regulation (EC) No 1083/2006 laying down general provisions on the European Regional Development Fund, the European Social Fund and the Cohesion Fund and of Regulation (EC) No 1080/2006 of the European Parliament and of the Council on the European Regional Development Fund, p. 115, <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2006:371:0001:0001:EN:PDF>

⁸⁸ See, for instance: <http://ec.europa.eu/esf/main.jsp?catId=66&langId=en>

⁸⁹ ESF Committee, 2010, opinion on the future of the European Social Fund, Brussels, <http://ec.europa.eu/social/main.jsp?catId=88&langId=en&eventsId=256>

⁹⁰ Minutes of the third workshop of the ESF working group.

migrant status or background or disabilities of ESF participants.⁹¹ Practical challenges can also arise: members of the working group of Managing Authorities on ESF logics of intervention and related common indicators pointed out that individuals do not wish to be categorised as disadvantaged⁹² or that data can be unavailable at regional level.⁹³ The ESF, unlike the ERDF and the CF, does not have common result indicators. It is therefore currently not easily possible to report on ESF achievements at EU level, and evaluating whether and how the ESF has contributed to broad EU policy objectives is made more difficult. Finally, the capturing of entries, exits and carry overs to calculate number of participants per year does not provide information on intensity of support to participants which, among others, is useful for understanding results achieved.

OP specific indicators

In addition to the Annex XXIII indicators, ESF Managing Authorities have defined OP specific output and result indicators to measure achievements of ESF interventions.⁹⁴ In the current programming period, around 7000 of such programme specific indicators are in use, captured in the SFC2007 database. As these indicators are OP specific, they vary greatly, both in terms of their range and definitions. Nevertheless, a service contract to develop a template for a Commission annual ESF implementation report succeeded in extracting from these 7000 indicators 39 common output and result indicators by clustering similar individual indicators from Member States' OPs.⁹⁵ However, for the purposes of ESF monitoring in the next programming period, these indicators present three main challenges: definitions cannot always be applied in all Member States since they are contextual to the specific situation in the Member States which used these indicators.⁹⁶; there are too many indicators with too much overlap to make them acceptable to Member States as common indicators; having been developed bottom up and retroactively, the indicators do not necessarily capture the entire breadth of the programmes and are thus not necessarily a tool to monitor ESF support to Member States in achieving Europe 2020 objectives.

Eurostat's labour market database

ESF activities feed also into Eurostat's Labour Market Policy (LMP) database (e.g. spending on labour market services, on active LMP measures as well as on passive LMP supports).⁹⁷ However, the definitions used in Annex XXIII and those used by Eurostat (e.g. in the LMP data and the Labour Force Survey – LFS) do not

⁹¹ Minutes of the second workshop of the ESF working group

⁹² Minutes of the third workshop of the ESF working group

⁹³ See: Member State comments in Annex 2 of this report.

⁹⁴ See Article 37 (1) (c) COUNCIL REGULATION (EC) No 1083/2006 of 11 July 2006 laying down general provisions on the European Regional Development Fund, the European Social Fund and the Cohesion Fund and repealing Regulation (EC) No 1260/1999, <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2006:210:0025:0078:EN:PDF>

⁹⁵ Ca 4,900 of the 7,000 indicators were used as a basis for developing these common indicators. ESF implementation in the period 2007-2013 -Template for EC reporting and 2008 outline report (VT/2009/103), undertaken by Eureval, Ramboll Management and Ecorys for the EC

⁹⁶ This is also reflected in Member State comments on these indicators.

⁹⁷ European Commission, Eurostat (2005) European Social Statistics. Labour Market Policy Expenditure and Participants, p. 8, http://epp.eurostat.ec.europa.eu/cache/ITY_OFFPUB/KS-DO-05-001/EN/KS-DO-05-001-EN.PDF

align, creating additional barriers to reflecting ESF participants in LMP data.⁹⁸ The ESF is therefore currently not properly reflected in the LMP database. ESF reporting via indicators whose definitions align with those used by Eurostat could facilitate the inclusion of relevant ESF data in the LMP statistics.

5.2 Common output indicators for the next programming period

In light of the implications for the ESF of the Europe 2020 policy architecture and the challenges with the rules around Annex XXIII indicators, a total of 21 output indicators (each broken down by gender) for monitoring of the ESF from 2014 onward have been developed in the context of this study.

13 of these output indicators and the definitions were developed by the European Commission and reviewed by the study team before they were commented on and discussed by members of the working group in the 4th workshop held in the context of this study.⁹⁹ As a result of these discussions, further modifications to definitions as well as a group of additional indicators were developed by the study team. For reasons of clarity, these new indicators are presented in separate tables.

Most of the output indicators can be grouped under the same headings as the current Annex XXIII indicators (labour market status indicators, age indicators, indicators relating to vulnerable groups and indicators relating to educational attainment). In addition, a set of new indicators on systems and structures, institutional capacity and governance and enterprises has been developed and is discussed. The review of the output indicators below follows this structure.

5.2.1 Labour market status indicators

The proposed labour market status indicators discussed with the working group of Managing Authorities cover the following four common indicators: unemployment, inactive, inactive not in education or training, employed, including self-employment. They differ from the current Annex XXIII labour market indicators as follows:

- The long term unemployed (LTU) are no longer counted separately, but as part of the unemployed;
- The self-employed are not counted separately but are included in the employed;
- Rather than reporting on the inactive in education and training, reporting on the inactive **not** in education or training is proposed to cover NEETs as one of the Europe 2020 target groups.

The definition of each indicator is listed in the table overleaf.

⁹⁸ Other, more structural reasons, for the difficulties of representing the ESF in the LMP are that it is not always possible to identify the share of ESF funding as this may cover several LMP measures. If the funding is given to an organisation rather than a specific measure or is spread over several years, it is difficult to provide information on an annual basis. See: European Commission, Eurostat (2010), Labour Market Policy (LMP) Statistics Task Force on Methodology, Item 9 – Treatment of ESF funding in the LMP database, 4-5 May 2010, p. 2

⁹⁹ These comments can be found in Annexes 1 and 2 to this report.

Table 10: Labour market status indicators discussed in the working group

Output indicator no.	Name	Initial definition
1	Unemployed, including LTU	Total number of unemployed. "Persons usually without work, available for work and actively seeking work. Persons considered as registered unemployed according to national definitions are always included here even if they do not fulfil all three of these criteria" (LMP).
2	Inactive	"Persons currently not part of the labour force (in the sense that they are not employed or unemployed) but who would like to enter the labour market and are disadvantaged [in the national labour market] in some way" (LMP). Self-employment is considered as "employed".
3	Inactive, not in education or training	"Persons currently not part of the labour force (in the sense that they are not employed or unemployed) but who would like to enter the labour market and are disadvantaged [in the national labour market] in some way" (LMP), and are not in training or education. Self-employment is considered as "employed".
4	Employed, including self-employed	- Employed: "A job is classified with respect to the type of explicit or implicit contract of employment of the person with other persons or organizations. The basic criteria used to define the groups of the classification are the type of economic risk, an element of which is the strength of the attachment between the person and the job, and the type of authority over establishments and other workers which the job incumbents have or will have" (ICSE). - Self-employed: "Different types of self-employment jobs are distinguished according to the type of authority they will have over the productive unit which they represent or for which they work: Own-account workers have the same authority over the economic unit as the 'employers', but do not engage 'employees' on a continuous basis. Members of producer cooperatives take part on equal footing with other members in determining the organization of production etc." (ICSE).

Clarity of the definitions

As the table above shows, the definitions are based on Eurostat's LMP database, which provides information and statistics on target groups and labour market interventions, as well as ICSE, the International Classification of Status in Employment used by the International Labour Organisation (ILO).¹⁰⁰

O1 unemployed, including long term unemployed. The definition of unemployed in the LMP database refers to both the Labour Force Survey (LFS) definition of unemployment¹⁰¹ and 'registered unemployed'.¹⁰² The main difference between these two definitions is that the latter tends to under-estimate unemployment, because 'registered unemployed' only includes claimants. Hence, incorporating both provides the widest possible definition. The definition can therefore be assessed as clear in the sense that it refers to publicly available data sources already used in labour market statistics across Europe. However, written and verbal feedback from Member States shows that it is not clear to everyone that both LFS

¹⁰⁰ Eurostat (2010) Labour Market Policy, Reference Metadata in Euro SDMX Metadata Structure (ESMS) , Luxembourg: Eurostat, http://epp.eurostat.ec.europa.eu/cache/ITY_SDDS/en/lmp_esms.htm

¹⁰¹ The Labour Force Survey definition of unemployment is: "Unemployed persons are persons aged 15-74 who were without work during the reference week, were currently available for work and were either actively seeking work in the past four weeks or had already found a job to start within the next three months." Source: Eurostat (2010) LFS series – Detailed Annual Survey Results http://epp.eurostat.ec.europa.eu/cache/ITY_SDDS/en/lfsa_esms.htm

¹⁰² The difference between the two definitions is as follows: The LFS definition is used in most Eurostat publications and is based on survey data collected across Member States whereas registered unemployment are figures used by the national public employment services and the most frequent unit of analysis for national labour market statistics – in particular when this is related to labour market interventions.

and LMP definitions are covered by the indicator definition.¹⁰³ Thus, the definition would benefit from specifying that it includes both the LFS and registered unemployment definitions.

The definition of the unemployed is likely to increase the validity of the collected data, the data aggregation and comparability across programmes. Some Member States have expressed a preference for retaining the long-term unemployed (LTU) as a separate indicator, arguing that the LTU are a traditional ESF target group and that monitoring them separately would strengthen the social inclusion aspect of the indicator set (see also discussion on relevance below).¹⁰⁴ Moreover, for some Member States the LTU are a particularly important target group, and two of the draft NRP's included in this study specifically single out the LTU as a Europe 2020 target group to be addressed.¹⁰⁵ There is, therefore, a strong case for a separate indicator on the LTU, and such an indicator is included in the summary below.

O2 Inactive. In the definition above, the category 'inactive' is also defined based on the LMP database. It refers to individuals in the working age population who are neither employed nor unemployed. Hence, as pointed out by the working group in the 4th workshop, the definition is clear in the sense that it is logically connected to the definition of employed and unemployed: together inactive, unemployed and employed constitute the total working age population.

The definition does retain a degree of ambiguity through the phrase: "*but who would like to enter the labour market and are disadvantaged and are disadvantaged in some way*".¹⁰⁶ This gives the impression that the indicator is not logically connected to the total of the working age population. For instance, it indicates that housewives are not counted as inactive. Moreover, §222 in the Labour Market Policy database methodology refers to inactivity as "*e.g. return to education, retirement, illness, caring responsibilities, failure to satisfy job-search criteria to qualify as unemployed, etc.*".¹⁰⁷ However, the methodology paper does not explain how caring responsibilities or return to education is related to being "disadvantaged in some way".¹⁰⁸ This ambiguity has also been emphasised by numerous Member States in written and verbal feedback on the indicator definition shown above.¹⁰⁹ There is therefore a risk that it will be interpreted differently across Member States and that, therefore data on the indicator could include very different types of persons depending on each country's interpretation or traditions for defining inactivity. Validity may therefore be lower. One way to address these

¹⁰³ Sources: Minutes of the 4th Workshop on ESF Intervention Logic and related common indicators and written feedback on the indicators from Member States who are also members of the working group. Written feedback by MS on the indicators as replicated in Annex 2 of this report.

¹⁰⁴ Minutes of the 4th Workshop on ESF Intervention Logic and related common indicators and written feedback on the indicators from Member States who are also members of the working group.

¹⁰⁵ Volaeufiger Entwurf des nationalen Reformprogramms Deutschland ("Draft NRP") zur Vorlage bei der EU-Kommission am 12. November 2010, Stand 12.11.2010; National Reform Programme of the Slovak Republic 2010. Better education, more jobs and better business environment, November 2010

¹⁰⁶ Written feedback by MS on the indicators as replicated in Annex 2 of this report.

¹⁰⁷ Source: Eurostat (2006) Labour Market Policy Database - Methodology
http://epp.eurostat.ec.europa.eu/cache/ITY_OFFPUB/KS-BF-06-003/EN/KS-BF-06-003-EN.PDF

¹⁰⁸ Indeed, the LMP database generally collects data "on public interventions in favour of persons disadvantaged in the labour market" which is the reason for the emphasis on disadvantaged. Source: Eurostat (2006) Labour Market Policy Database - Methodology, p. 28.
http://epp.eurostat.ec.europa.eu/cache/ITY_OFFPUB/KS-BF-06-003/EN/KS-BF-06-003-EN.PDF

¹⁰⁹ Sources: Minutes of the 4th Workshop on ESF Intervention Logic and related common indicators and written feedback on the indicators from Member States who are also members of the working group.

ambiguities would be to use the LFS definition of inactive: "Inactive persons are those who are neither classified as employed nor as unemployed."¹¹⁰ Indeed, this was also the conclusion reached at the 4th workshop of the ESF working group, and the recommendations by two delegates in their written response to the indicator. The proposed revisions of the definition incorporate this suggestion (see Table 11 at the end of this section).

O3 Inactive, not in education or training: The definition is clear. However, written and verbal feedback from some members of the working group shows that it is not clear to them that the indicator is a sub-group of indicator O2 (that is, indicator O2 refers to all inactive and indicator O3 to a subset of inactive). Hence, the definition could be further improved by spelling this out, and a suggestion to this effect is made in the comments section in the table below.

O4 Employed: Employed are defined in accordance with the International Classification of Status in Employment definition (known as ISCE-93) of the International Labour Organization.¹¹¹ The indicator is clear as it defines both employed and self-employed explicitly. It therefore corresponds with the validity criterion of being clearly understandable without ambiguity, reflecting the concept to be measured.¹¹² However, feedback from some members of the working group¹¹³ shows that the definition would be clearer still if it referred directly to the LFS definition of employment: *persons aged 15 and over who performed work, even for just one hour per week, for pay, profit or family gain during the reference week or were not at work but had a job or business from which they were temporarily absent because of, for instance, illness, holidays, industrial dispute, and education or training.*^{114 115} Further, some members of the working group found that it was unclear whether this indicator included remunerated family members, volunteers and students. Thus, to ensure data validity and comparability across Member States it is suggested below that the definition refers directly to LFS and mentions what type of groups this entails.

Relevance, in particular with regard to Europe 2020 objectives

Evidence from the policy review carried out by the study team to assess match with Europe 2020, Integrated Employment Guidelines and social OMC as well as contributions from members of the working group concluded that all the labour

¹¹⁰ Eurostat Labour Force Survey: Basic Concepts and Definitions, http://circa.europa.eu/irc/dsis/employment/info/data/eu_lfs/lfs_main/lfs/lfs_concepts_and_definitions.htm

¹¹¹ International Labour Organization (1993) International Classification of Status in Employment, Geneva: ILO, http://www.ilo.org/wcmsp5/groups/public/@dgreports/@integration/@stat/documents/normativeinstrument/wcms_087562.pdf

¹¹² ESF Sourcebook, (Source: <http://esfsourcebook.eu/index.php?id=2023>)

¹¹³ Sources: Minutes of the 4th Workshop on ESF Intervention Logic and related common indicators and written feedback on the indicators from Member States who are also members of the working group.

¹¹⁴ Eurostat, 2010, LFS series - Detailed annual survey results, Luxembourg: Eurostat http://epp.eurostat.ec.europa.eu/cache/ITY_SDDS/en/lfsa_esms.htm

¹¹⁵ The LFS definition of employment is indeed based on the recommendations and definitions ILO give on labour force surveys "The data generally relate to employment during a specified brief period, either one week or one day. Usually, no distinction is made between persons employed full time and those working less than full time." ILO, 2010, Employment, Laboursta Internet <http://laborsta.ilo.org/applv8/data/bulempe.html>

market status indicators are relevant (in the sense of relating to important objectives)¹¹⁶

- Conceptually, they are linked with the ESF Treaty purpose on supporting and promoting employment: knowing the employment status of participants is crucial for assessing the potential contribution of an ESF intervention to an improved labour market situation.
- The indicators also have a conceptual link to the EU headline target of a 75% employment rate for the 20-64 year olds by 2020 and the aim to increase access to the labour market and reduce the number of people living in jobless households. The relevance of O4 (employment, including self-employment) is potentially limited for the Integrated Employment Guidelines' objective of "Addressing precarious employment, underemployment and undeclared work" in that the indicator does not specify the type of employment.

In terms of making a statement on the causal path of ESF contribution towards Europe 2020 objectives, this set of indicators (as all proposed output indicators for the ESF from 2014 onwards) provides information on the very early stage of the theory of change model developed by the study: 'participation in initiatives'.¹¹⁷ Nevertheless, the extent of the ESF contribution to Europe 2020 employment objectives can only be assessed with the help of evaluations.

Whilst this set of indicators reviewed by the study team and the working group of Managing Authorities on ESF logics of intervention and related common indicators can therefore be assessed as relevant for Europe 2020, the labour market status output indicators have two main challenges:

- Members of the working group noted that the objective of improving **entrepreneurship** in the EU is not represented.¹¹⁸ This could be done if self-employed were singled out from total employed. This amendment to the original indicator set is recommended and has been included in Table 12 below. This amendment is also in line with Annex XXIII which refers to self-employed as a separate group. Entrepreneurship could also be captured with a separate indicator on number of SMEs supported. Such an indicator is proposed in section **Error! Reference source not found.**
- The Europe 2020 target of **alleviating poverty and social exclusion** could be reflected better in this group of output indicators if the long-term unemployed were singled out from the unemployed (see discussion above) (as is currently the case in Annex XXIII). This would also give some indication of 'distance travelled to work' as the long-term unemployed are further away from the labour market than the average unemployed. Indeed, in the second workshop of the working group delegates felt that "it was particularly relevant to focus on the long-term unemployed separately", and in the 4th workshop a broad support for a separate indicator on the LTU remained.¹¹⁹ For these reasons, a separate indicator on the long-term unemployed is recommended as presented in Table 11 below.

¹¹⁶ This view was also expressed by Member States in the 4th workshop of the ESF working group. (Source: Minutes of the 4th Workshop on ESF Intervention Logic and related common indicators and written feedback on the indicators from Member States who are also members of the working group.)

¹¹⁷ See Annex 4 for a description of the model.

¹¹⁸ Sources: Minutes of the 4th Workshop on ESF Intervention Logic and related common indicators and written feedback on the indicators from Member States who are also members of the working group.

¹¹⁹ Minutes of the 2nd workshop of the working group on ESF Intervention Logic and related common indicators; Minutes of the 4th Workshop on ESF Intervention Logic and related common indicators.

Data collection

Overall, data on employment, unemployment and inactivity is straightforward to collect by Managing Authorities via their monitoring systems as this is already collected in the current programming period. However, some members of the working group noted that it can be challenging to collect data on indicator O3 *Inactive, not in education or training*, because it can be difficult to single out training (e.g. how much training does it take to be classified as 'in training?').¹²⁰ Some variation in what participants will be including in this category can therefore be expected if no further guidance is provided.

Summary

The table below summarises the results of the review above of the four labour market status indicators.

Output indicator no.	Name	Is the indicator...		
		Clear?	Relevant?	Possible to collect data on?
1	Unemployed, including LTU	Yes	Yes	Yes
2	Inactive	Needs to be specified	Yes	Yes
3	Inactive, not in education or training	Needs to be specified	Yes	Yes
4	Employed, including self-employed	Needs to be specified	Yes	Yes

Based on the above review a number of amendments to the definitions of common indicators are suggested in the tables overleaf. Changes to the original definitions discussed above are highlighted in bold. Additional indicators proposed as a result of the discussions in the 4th workshop are displayed in a separate table. The sources of the definition as well as text that can be classified as clarifying commentary (rather than an essential part of the definition) has been moved to a separate column to retain clarity.

¹²⁰ Sources: Minutes of the 4th Workshop on ESF Intervention Logic and related common indicators and written feedback on the indicators from Member States who are also members of the working group.

Table 11: Labour market status indicators discussed in the working group (amended)

Output indicator no.	Name	Amended definitions	Source and comment
1	Unemployed, including long-term unemployed	Total number of unemployed. <i>Persons usually without work, available for work and actively seeking work. Persons considered as registered unemployed according to national definitions are always included here even if they do not fulfil all three of these criteria.</i>	Source: LMP Comment: This entails both the Labour Force Survey definition of unemployed plus registered unemployed. The definition in italics is identical to the LMP definition.
2	Inactive	<i>Inactive persons are those who are neither classified as employed nor as unemployed.</i>	Source: LFS (http://circa.europa.eu/irc/dsis/employment/info/data/eu_lfs/lfs_main/lfs/lfs_concepts_and_definitions.htm) Comment: The wording in italics is identical to the LFS definition.
3	Inactive, not in education or training	<i>Inactive persons neither classified as employed nor as unemployed</i> and who are not in training or education. Self-employment is considered as "employed".	Source: LFS (http://circa.europa.eu/irc/dsis/employment/info/data/eu_lfs/lfs_main/lfs/lfs_concepts_and_definitions.htm) Comment: This is a sub-group of indicator 3 – all (total) inactive. The wording in italics is identical to the LFS definition.
4	Employed, including self-employed	<i>Employed persons are persons aged 15 and over who performed work, even for just one hour per week, for pay, profit or family gain during the reference week or were not at work but had a job or business from which they were temporarily absent because of, for instance, illness, holidays, industrial dispute, and education or training.</i> (LFS, CODE 1) Employed includes self-employed and family workers as specified by LFS and ILO. Employed persons also include persons who: <i>"Was not working but had a job or business from which he/she was absent during the reference week"</i> (LFS CODE 2).	Source: LFS, (http://epp.eurostat.ec.europa.eu/cache/ITY_OFFPUB/KS-BF-03-002/EN/KS-BF-03-002-EN.PDF) Comment: Absence during the reference week includes people on long absence from work receiving more than 50% of their salary, persons on maternity/paternity leave. Definitions in italics are identical to LFS definitions.

Table 12: Additional labour market status indicators proposed by the study

Output indicator no.	Name	Definitions	Source and comment
5	Long-term unemployed	Total number of long-term unemployed. Long-term unemployed are persons who have been unemployed since 12 months or more.	Source: LFS (http://epp.eurostat.ec.europa.eu/cache/ITY_SDDS/en/une_esms.htm) Comment: Unemployed is defined as in O1 above. Long-term unemployed is a sub-group of indicator 1. The wording in italics correspond with the LFS definition
6	Self-employed	<i>Self-employed persons are the ones who work in their own business, farm or professional practice. A self-employed person is considered to be working if she/he meets one of the following criteria: works for the purpose of earning profit, spends time on the operation of a business or is in the process of setting up his/her business.</i>	Source: LFS (http://epp.eurostat.ec.europa.eu/cache/ITY_SDDS/en/lfsa_esms.htm) Comment: The self-employed is a sub-group of indicator 5. The wording in italics is identical to the LFS definition

5.2.2 Age indicators

The age indicators cover the following two proposed common indicators: Below 25 and 55 to 64 years. The definition of each indicator is listed in the table below.

Table 13: Age indicators discussed in the working group

Output indicator no.	Name	Definition
7	Below 25 years	The age of the participant is calculated from the year of birth. For persons born in the same year, those whose birthdays fall between 1 January and the end of the reference period are, for the purposes of results analysis, regarded as being one year older than those whose birthdays fall after the end of the reference period. (LFS).
8	55 to 64 years	As above.

Clarity of definitions

The definition of age in O8 is based on the LFS and is clear in that it is understandable without ambiguity. Member States commented that the upper age limit of O8 *55-64 years* could be raised to take into account later retirement ages in some countries.¹²¹

Indicator O7 *Below 25 years* is less unambiguously clear because it does not include a minimum age. Member States could therefore interpret the indicator differently. When aggregated, this would affect the validity and comparability of the data between Member States. For instance, a review of the SFC2007 database shows that Member States currently collect data on a variety of age groups (e.g. 18-24, 20-24, 20-50). The definition used in Annex XXIII is clearer in this regard, because it specifies young people as 15-24 year olds (though in practice data is still collected on different age brackets). However, the lack of a lower limit is likely to facilitate data collection, and it is therefore recommended to retain the above definition.

Relevance, in particular with respect to Europe 2020 objectives

Increasing the employment rates of young people and older workers lie at the heart of the Europe 2020 objective of creating *“Inclusive growth”*: *“raising Europe’s employment rate – more and better jobs, especially for women, young people and older workers.”*¹²²

Europe 2020 and the Integrated Employment Guidelines put a particular emphasis on the challenge of youth unemployment and young people not in education and training. This challenge is partly included in the indicator set via indicator *Inactive not in education or training*. When this indicator is combined with indicator O7 *Participants under 25* there is a link to the challenge of young people not in education or training. Likewise the indicator on unemployment can be combined with O7 to assess young and unemployed participants. It also opens up the ESF to

¹²¹ Minutes of the 4th workshop of the ESF working group (see Annex 1); written comments of delegates on the indicators (see Annex 2)

¹²² European Commission (2010) Europe 2020, Inclusive growth – a high-employment economy delivering economic, social and territorial cohesion, website of Europe 2020 http://ec.europa.eu/europe2020/priorities/inclusive-growth/index_en.htm

children as a target group, hence creating a link to the Europe 2020 objective of reducing child poverty. Active ageing and increased labour market participation for the over-54 is an objective of Europe 2020 and the Integrated Employment Guidelines.¹²³ Thus, indicator O8 on 55-64 year olds creates an important conceptual link to this objective. Indeed, both indicators are also considered relevant by Member States.¹²⁴

At the same time, the retirement age in some Member States is increasing beyond 65. Removing the upper age limit in this definition could therefore be beneficial in taking account of this trend and 'future-proofing' the indicator against any potential adjustments to this effect of the current Europe 2020 target.

As the set of labour market status indicators, this group of output indicators collects data on the early stages of the causal chain between ESF interventions and Europe 2020 objectives – remaining at the level of counting participation in initiatives that have a conceptual link to Europe 2020 without being able to make a statement on the contribution towards achieving these objectives without additional evaluation.

Data collection

Data on both indicators are straightforward to collect via existing monitoring systems, and there should not be any challenges associated with aggregating the data.

The table below summarises the results of the review above of the three indicators on age. As the review concludes that the age indicators are clear we conclude that the definitions provided in the table above should remain unchanged.

Output indicator no.	Name	Is the indicator...		
		Clear?	Relevant?	Possible to collect data on?
7	Below 25 years	Yes	Yes	Yes
8	55 to 64 years	Yes, but the upper age limit could be removed.	Yes	Yes

In the table below, indicator O8 is re-phrased to take into account the removal of the upper age limit which is recommended as the final indicator.

Output indicator no.	Name	Definition	Source and comment
8	Above 54 years	"The age of the participant is calculated from the year of birth. For persons born in the same year, those whose birthdays fall between 1 January and the end of the reference period are, for the purposes of results analysis, regarded as being one year older than those whose birthdays fall after the end of the reference period."	LFS

¹²³ Integrated Employment Guidelines p. 49. <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2010:308:0046:0051:EN:PDF> Europe 2020 p. 16, http://europa.eu/press_room/pdf/complet_en_barroso_007_-_europe_2020_-_en_version.pdf

¹²⁴ Sources: Minutes of the 4th Workshop on ESF Intervention Logic and related common indicators and written feedback on the indicators from Member States who are also members of the working group.

5.2.3 Educational attainment

The educational attainment group covers the following three indicators: with primary and lower secondary education, with upper secondary and post-secondary education, with tertiary education. These indicators are slightly less detailed than those currently included in Annex XXIII because ISCED levels 3 and 4 are now combined.¹²⁵

Table 14: Educational attainment indicators discussed in the working group

Output indicator no.	Name	Initial definition
9	With primary and lower secondary education	ISCED 1 and 2. " <i>Highest level of education successfully completed. The expression 'level successfully completed' is associated with obtaining a certificate or a diploma, when there is a certification. In cases where there is no certification, successful completion must be associated with full attendance. When determining the highest level, both general and vocational education/training is taken into consideration (LFS, Basic concepts and definitions)</i> ". " <i>All national education systems are different, but they can be compared fairly accurately on the basis of the common classification system ISCED</i> " (Eurostat, ISCED).
10	With upper secondary and post-secondary education	ISCED 3 and 4. Definition as above.
11	With tertiary education	ISCED 5 and 6. Definition as above.

Clarity of definitions

The definitions above follow the International Standard Classification of Education (ISCED). This is used internationally and by Eurostat to define and compare different education levels.¹²⁶ All Member States are therefore used to working with these definitions. ISCED 97, which is currently used, refers to seven qualification levels with 0 being the lowest and 6 the highest. The proposed common indicators on qualification levels thus include the levels ranging from primary education (level 1) to doctoral/PhD level (6).

The three definitions can be characterised as clearly understandable without ambiguity, reflecting the concept to be measured. Feedback from members of the working group confirms this assessment. Indeed, written feedback showed no criticism of this indicator set.¹²⁷

It is nevertheless noteworthy that the definitions above do not refer directly to the ISCED definition of education levels (e.g.: "*ISCED 1: Primary education or first stage of basic education*"). It could therefore be considered whether basing the

¹²⁵ Regulation (EC) No 1828/2006 of 8 December 2006 setting out rules for the implementation of Council Regulation (EC) No 1083/2006 laying down general provisions on the European Regional Development Fund, the European Social Fund and the Cohesion Fund and of Regulation (EC) No 1080/2006 of the European Parliament and of the Council on the European Regional Development Fund, p. 115, <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2006:371:0001:0001:EN:PDF>

¹²⁶ Eurostat, Glossary: International Standard Classification of Education. http://epp.eurostat.ec.europa.eu/statistics_explained/index.php/Glossary:International_standard_classification_of_education_%28ISCED%29

¹²⁷ Source: Written feedback from Member States on proposed common indicators (see Annex 2).

wording on the ISCED definition would make the indicator definition even clearer. Corresponding amendments in the form or a clarifying comment have been made below.

Relevance, in particular with regard to the Europe 2020 objectives

The three indicators are relevant to both the Europe 2020 strategy and the Integrated Employment Guidelines both of which emphasise Smart Growth (building an economy based on knowledge and innovation as well as the education targets).¹²⁸ The indicators are also of core relevance to the Europe 2020 priority of creating inclusive growth: the share of early school leavers should be under 10% and at least 40% of the younger generation should have a tertiary degree.¹²⁹ The Integrated Employment Guidelines further mention the general objective of achieving “high levels of education and training.”¹³⁰ The indicators also link conceptually to the New Skills for New Jobs Agenda by capturing data on the ESF’s investment in education and training.¹³¹ A final conceptual link is created to the core ESF objective of improving people’s employability and adaptability by increasing their skills, in particular for low-skilled workers.¹³² Hence, the inclusion of the indicators on education levels enable conceptual a link between core ESF objectives, high level EU policies (Europe 2020, Integrated Employment Guidelines and New Skills for New Jobs) and ESF interventions.

Data collection issues specific to this indicator group

Member States are used to collecting data on levels of qualifications following the ISCED 97 definitions so data collection should not be a problem or increase administrative burden. Some of the written comments by members of the working group support this conclusion. Further, data should also be easily comparable and valid due to the clarity of the definition. This finally implies that it will be quite straightforward to aggregate data at the European level.

The table overleaf summarises the results of the review above of the three indicators on qualification levels.

Output indicator no.	Name	Is the indicator...		
		Clear?	Relevant?	Possible to collect data on?
9	With primary and lower secondary education	Yes	Yes	Yes

¹²⁸ European Commission (2010) Communication from the Commission: Europe 2020: A Strategy for Smart, Sustainable and Inclusive Growth, Brussels: European Commission http://europa.eu/press_room/pdf/complet_en_barroso_007_-_europe_2020_-_en_version.pdf

¹²⁹ European Commission (2010) Europe 2020, Inclusive growth – a high-employment economy delivering economic, social and territorial cohesion, website of Europe 2020 http://ec.europa.eu/europe2020/priorities/inclusive-growth/index_en.htm

¹³⁰ The Council of the European Union (2010) Council Decision of 21 October 2010 on Guidelines for Employment Policies of Member States, (2010/707/EU) <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2010:308:0046:0051:EN:PDF>

¹³¹ Sources: European Social Fund website of the European Union (2010) Workers and New Skills <http://ec.europa.eu/esf/main.jsp?catId=48&langId=en> and European Social Fund website of the European Union (2010) Education and Training <http://ec.europa.eu/esf/main.jsp?catId=51&langId=en>

¹³² REGULATION (EC) No 1081/2006 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 5 July 2006 on the European Social Fund and repealing Regulation (EC) No 1784/1999, Article 3 <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2006:210:0012:0018:EN:PDF>

10	With upper secondary and post-secondary education	Yes	Yes	Yes
11	With tertiary education	Yes	Yes	Yes

Based on the above review it is proposed to add, in the form of a comment, the definition of the ISCED levels relating to the three indicators. The existing definition of the educational attainment indicators can remain unchanged, though it is proposed to add the ISCED level to the indicator name. The table overleaf lists the indicators including comments and sources. Changes are highlighted in bold.

Table 15: Educational attainment indicators discussed in the working group (amended)

Output indicator no.	Name	Definition	Source and comment
9	With primary (ISCED 1) and lower secondary education (ISCED 2)	ISCED 1 and 2. "Highest level of education successfully completed. The expression 'level successfully completed' is associated with obtaining a certificate or a diploma, when there is a certification. In cases where there is no certification, successful completion must be associated with full attendance. When determining the highest level, both general and vocational education/training is taken into consideration (LFS, Basic concepts and definitions)". "All national education systems are different, but they can be compared fairly accurately on the basis of the common classification system ISCED."	Source: Eurostat, ISCED (http://circa.europa.eu/irc/dsis/employment/info/data/eu_lfs/lfs_main/lfs/lfs_concepts_and_definitions.htm) Comment: All definitions in italics are identical to the definition used by Eurostat. ISCED 1: <i>Primary education – begins between 5 and 7 years of age, is the start of compulsory education where it exists and generally covers six years of full-time schooling.</i> ISCED 2: <i>Lower secondary education – continues the basic programmes of the primary level, although teaching is typically more subject-focused. Usually, the end of this level coincides with the end of compulsory. education.</i> (Eurostat, Glossary: ISCED (http://epp.eurostat.ec.europa.eu/statistics_explained/index.php/Glossary:International_standard_classification_of_education_%28ISCED%29))
10	With upper secondary (ISCED 3) and post-secondary education (ISCED 4)	ISCED 3 and 4. "Highest level of education successfully completed. The expression 'level successfully completed' is associated with obtaining a certificate or a diploma, when there is a certification. In cases where there is no certification, successful completion must be associated with full attendance. When determining the highest level, both general and vocational education/training is taken into consideration (LFS, Basic concepts and definitions)". "All national education systems are different, but they can be compared fairly accurately on the basis of the common classification system ISCED".	Source: Eurostat, ISCED (http://circa.europa.eu/irc/dsis/employment/info/data/eu_lfs/lfs_main/lfs/lfs_concepts_and_definitions.htm) Comment: The wording in italics is identical to the definition used by Eurostat. ISCED 3: <i>Upper secondary education – generally begins at the end of compulsory education. The entrance age is typically 15 or 16 years. Entrance qualifications (end of compulsory education) and other minimum entry requirements are usually needed. Instruction is often more subject-oriented than at ISCED level 2. The typical duration of ISCED level 3 varies from two to five years.</i> ISCED 4: <i>Post-secondary non-tertiary education – found somewhere between upper secondary and tertiary education. They serve to broaden the knowledge of ISCED level 3 graduates. Typical examples are programmes designed to prepare pupils for studies at level 5 or programmes designed to prepare pupils for direct labour market entry.</i> (Eurostat, Glossary: ISCED (http://epp.eurostat.ec.europa.eu/statistics_explained/index.php/Glossary:International_standard_classification_of_education_%28ISCED%29))
11	With tertiary education (ISCED 5 and 6)	ISCED 5 and 6. "Highest level of education successfully completed. The expression 'level successfully completed' is associated with obtaining a certificate or a diploma, when there is a certification. In cases where there is no certification, successful completion must be associated with full attendance. When determining the highest level, both general and vocational education/training is taken into consideration (LFS, Basic concepts and definitions)". "All national education systems are different, but they can be compared fairly accurately on the basis of the common classification system ISCED".	Source: Eurostat, ISCED (http://circa.europa.eu/irc/dsis/employment/info/data/eu_lfs/lfs_main/lfs/lfs_concepts_and_definitions.htm) Comment: The wording in italics is identical to the definition used by Eurostat. ISCED 5: <i>Tertiary education (first stage) – entry to these programmes normally requires the successful completion of ISCED level 3 or 4. This includes tertiary programmes with academic orientation (type A) which are largely theoretical and tertiary programmes with an occupational orientation (type B). The latter are typically shorter than type A programmes and aimed at preparing students for the labour market.</i> ISCED 6: <i>Tertiary education (second stage) – reserved for tertiary studies that lead to an advanced research qualification (Ph.D. or doctorate).</i> (Eurostat, Glossary: ISCED (http://epp.eurostat.ec.europa.eu/statistics_explained/index.php/Glossary:International_standard_classification_of_education_%28ISCED%29))

5.2.4 Vulnerable groups

The indicators on disadvantaged participants discussed in detail in the working group cover: migrants, people with a foreign background, minorities, Roma; disabled; and other disadvantaged. The definition of each indicator is listed in the table below.

Table 16: Indicators on vulnerable groups discussed in the working group

Output indicator no.	Name	Initial definitions
12	Migrants, people with a foreign background, minorities, Roma	"Non-national permanent residents in a country, nationals with foreign background or nationals from a minority, who need special help in the labour market because of language or other cultural difficulties" (LMP). "Persons may cumulate several vulnerabilities "(ESF guidance). It is advised to record the dominant characteristic.
13	Disabled	"Persons who are registered disabled according to national definitions" (LMP definitions).
14	Other disadvantaged	Disadvantaged people [in the national labour market] which are neither migrants, people with a foreign background, minorities (incl. Roma) nor disabled.

Clarity of definitions

The definitions of indicators 12 and 13 are taken from the LMP Database §297 and §296 respectively.¹³³ The target groups captured by these indicators correspond to those in Annex XXIII (minorities, migrants, disabled, other disadvantaged). However, minorities and migrants have been merged into one indicator (indicator 12) to take into account practical and legal issues of collecting data on these groups separately.

The definition of indicator O12 on migrants and minorities does not specify whether this also includes EU citizens. This has been noted in two comments on the indicator from the Member States.¹³⁴ Both suggested that it might be useful to separate out migrants from the EU from non-EU migrants, either because they might face different challenges or because this could be analytically interesting. However, taking into account the second part of the definition ("who need special help in the labour market because of language or other cultural difficulties") it is clear that language and cultural differences can equally apply to migrants from EU member states as from abroad. Data on EU national could still be collected through OP level indicators.

The separate mentioning of Roma is, strictly speaking, not necessary as the Roma can be characterised as a minority ethnic group.¹³⁵ However, the separate mention corresponds with the political focus in ensuring that the situation of the Roma is taken into account in all EU programmes and policies (recognising that it is the responsibility of Member States to design and implement Roma integration

¹³³ Source: Eurostat (2006) Labour Market Policy Database – Methodology, p. 44.

http://epp.eurostat.ec.europa.eu/cache/ITY_OFFPUB/KS-BF-06-003/EN/KS-BF-06-003-EN.PDF

¹³⁴ See Annex 2 in this report.

¹³⁵ See, for instance, the following paper written for UNESCO: Ivatts, Arthur R (2003) Roma / Gypsies in Europe – the Quintessence of Intercultural Education, <http://www.grtleeds.co.uk/information/downloads/UNESCOForReal.doc>

policies).¹³⁶ It would further seem that the sentence referring to 'several vulnerabilities' is misplaced in indicator O12 as the categories of migrants, foreign background and minorities are rather clearly defined. However, it has value for the indicator set on vulnerable groups as a whole as we will discuss in the section on data collection and aggregation below. The table below proposes a way of dealing with these inconsistencies.

Indicator O14 'other disadvantaged' constitutes the remainder of disadvantaged persons, not covered by indicators 12 and 13. However, this was not understood by all members of the working group in their feedback.¹³⁷ Indicator O14 could therefore be made clearer by specifying this (as below). O14 also does not include a reference to an official definition, though it corresponds broadly to the LMP database: "§299 *Public priorities and other (item 7.7) refers to any nationally recognised disadvantaged groups*".

With these minor exceptions, however, the definitions of the above indicators can be characterised as clear.

Relevance, in particular with regard to Europe 2020 objectives

The policy review of this set of indicators carried out by the study team suggests that it is relevant both for ESF objectives (as outlined in the current ESF regulation 1082/2006) and Europe 2020 objectives.

The three indicators on vulnerable groups discussed above are very relevant to the ESF objectives of promoting full integration of *all participants in all labour market situations*, improving labour market participation of disadvantaged groups (such as Roma, migrants, minorities, lone-parents, people with disabilities)¹³⁸ and improving social inclusion.¹³⁹ This includes both integration and re-integration into employment and supporting non-discrimination of minorities in recruitment and employment.¹⁴⁰ Therefore indicators providing information on number of ESF participants with disadvantaged backgrounds are relevant to establish the added

¹³⁶ "(...) the Commission is keen to ensure that the situation of the Roma is taken into account in all EU programmes and policies that could be significant (...)." In: European Commission, DG Employment, Social Affairs and Equal Opportunities (2007) "Integration helps Roma become full members of EU society", The EU social protection and social inclusion process, good practice article, <http://ec.europa.eu/social/main.jsp?catId=751&langId=en>

¹³⁷ Sources: Minutes of the 4th Workshop on ESF Intervention Logic and related common indicators and written feedback on the indicators from Member States who are also members of the working group.

¹³⁸ ESF regulation does not specify the type of disadvantaged groups, but mentions the following groups as examples: people experiencing social exclusion, early school leavers, minorities, people with disabilities and people providing care for dependent persons. Source: REGULATION (EC) No 1081/2006 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL, Article 3 (i).

of 5 July 2006 on the European Social Fund and repealing Regulation (EC) No 1784/1999, point (9) <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2006:210:0012:0018:EN:PDF>

¹³⁹ REGULATION (EC) No 1081/2006 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL of 5 July 2006 on the European Social Fund and repealing Regulation (EC) No 1784/1999, point (9) <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2006:210:0012:0018:EN:PDF> and

European Commission (2010) European Social Fund: Access to employment and social inclusion, ESF fields of activity, ESF website <http://ec.europa.eu/esf/main.jsp?catId=50&langId=en>

¹⁴⁰ European Commission (2010) European Social Fund: Access to employment and social inclusion, ESF fields of activity, ESF website <http://ec.europa.eu/esf/main.jsp?catId=50&langId=en> and European Commission (2010) European Social Fund: Fighting discrimination, ESF website <http://ec.europa.eu/esf/main.jsp?catId=53&langId=en>

value (in terms of volume effects) of the ESF in promoting an inclusive labour market and society.

The indicators are also relevant to the overall Europe 2020 objective of creating inclusive growth. The Integrated Employment Guidelines, for instance, specify that “Member States’ reforms should therefore ensure access and opportunities for all throughout their lifecycle, thus reducing poverty and social exclusion through removing barriers to labour market participation, especially for women, older workers, young people, people with disabilities and legal migrants.”¹⁴¹ The relevance of the output indicators on vulnerable participants, including the separate categories for people with disabilities, minorities and/or migrants and other disadvantaged groups, is therefore relevant.

The table below summarises the results of the review above of the three indicators on disadvantaged groups.

Output indicator no.	Name	Is the indicator...		
		Clear?	Relevant?	Possible to collect data on?
12	Migrants, people with a foreign background, minorities, Roma	Minor specifications needed.	Yes	Varies between Member States
13	Disabled	Yes	Yes	Varies between Member States
14	Other disadvantaged	Needs to be specified	Yes, but could be more granular	Varies between Member States

Data collection issues specific to this indicator group

Whilst Member States are collecting data on most of the above indicators in the current programming period (other than O15 and O16), verbal and written feedback from Managing Authorities has pointed out that collecting data on some of the categories can be challenging.¹⁴² Concerns focused especially on the category of migrants/minorities and the disabled. Delegates pointed out that in some Member States it is illegal to record people’s ethnic background or disabilities.¹⁴³ One solution could be that those Member States whose data protection legislation does not permit the monitoring of certain types of participants estimate numbers of participation, for instance by carrying out surveys which include optional self-declaration of vulnerability status. This data, together with the method of collecting

¹⁴¹ The Council of the European Union (2010) Council Decision of 21 October 2010 on Guidelines for Employment Policies of Member States, (2010/707/EU) <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2010:308:0046:0051:EN:PDF>, European Commission (2010) Communication from the Commission: Europe 2020: A Strategy for Smart, Sustainable and Inclusive Growth, Brussels: European Commission, p. 8. http://europa.eu/press_room/pdf/complet_en_barroso_007_-_europe_2020_-_en_version.pdf.

¹⁴² Data collection on O15 and O16 has not been tested with MAs as part of this study, and it would be advisable to undertake such an exercise before adopting these indicators. It is, however, likely that monitoring the homeless is likely to be not without difficulties as, like many severely deprived groups, continuity of participation –coupled with the lack of a permanent residence – is less certain than for other target groups.

¹⁴³ See, for instance: Minutes of the 2nd workshop of the working group on ESF logics of intervention and related common indicators; Minutes of the 3rd workshop of the working group on ESF logics of intervention and related common indicators; MS written comments (see Annex 2)

it, could then be submitted to the European Commission instead of the monitoring data.

A second set of challenges that have been raised by member states are issues around the sensitivity of declaring certain vulnerabilities.¹⁴⁴ People may not wish to be categorised as being Roma or disabled, for instance, because of the stigma attached or a mistrust of public authorities generally. There is therefore the possibility that people will not honestly declare these statuses. This could affect the accuracy of the data received by the European Commission (as numbers collected might be lower than actual numbers participating). Evaluation, however, could be used to get a better estimate of the size effect of this.

The vulnerabilities category of output indicators further creates a potential challenge of double counting. An individual may have multiple vulnerabilities (e.g. they may be a migrant and disabled). This creates a risk of double counting if multiple vulnerabilities are recorded for one participant and hence reported on separately at EU level. The solution here is to record only the 'dominant characteristic' as specified in the current ESF guidance: "*Persons may cumulate several vulnerabilities. It is advised to record the dominant characteristic.*" One written comment by a member of the working group suggested, however, that 'dominant characteristic' is not clear. This suggests that: first, it will need to be specified to Managing Authorities and in turn to project leads that out of this list only one vulnerability can be recorded per participant; and second, that the phrase 'dominant characteristic' may need to be further specified. The following specification could be applied: the dominant characteristic is the main target of an intervention (e.g. employment for young people, integration of migrants, access to work for disabled). Where an ESF funded intervention does not specify one type of vulnerability, 'dominant characteristic' could be understood as the single most important factor associated with a participant's vulnerability."

Finally, comparability could be an issue in particular with the indicator on 'other disadvantaged'. This is the 'rest category' for individuals who do not meet any of the categories explicitly included in the set. Disadvantaged individuals can consist of very different types of target groups across Member States and regions and thus it might not make sense to compare this indicator across programmes and between Member States. Similarly, data aggregation of indicator O12 on migrants and minorities can be challenging in so far as Member States record this data in different ways depending on national understandings and realities of what constitutes a "*minority, who need special help in the labour market because of language or other cultural difficulties.*" Data will therefore not be entirely comparable between Member States.

Adding these two additional output indicators proposed by the study team to the set would require Managing Authorities to amend their monitoring systems and would therefore require some additional administrative effort. Beyond this, however, no information on administrative burden that might result from adopting these indicators was collected by the study. This would therefore need to be tested with Managing Authorities before adopting the indicator.

The tables overleaf show the suggested amendments to the initial definitions based on the review above.

¹⁴⁴ See, for instance, Minutes of the 3rd workshop of the working group on ESF logics of intervention and related common indicators

Additional indicators on vulnerable groups proposed by the study

A policy review carried out by the study team to assess the relevance and coherence of the output indicators highlighted the strong employment related focus of the output indicators. To reflect the social inclusion and poverty dimension of Europe 2020 and the ESF more strongly, two further output indicators on vulnerable groups are therefore proposed which specifically address this issue. This also considers the comment made by some members of the working group which highlighted that some OPs only fund projects that address social inclusion without any immediate goal of increased labour market participation of participants.¹⁴⁵ Based on the policy review, the following two additional indicators appear particularly relevant:

O15: Participants with a care gap. Child care and other forms of care provision (e.g. care for older relatives) are related to social exclusion, poverty, gender equality and labour market participation. Lack of care provision is an obstacle to labour market participation. A recent study found “more or less consistent evidence (...) on the adverse impact of care on paid work.”¹⁴⁶ When it comes to caring for older people, the study found that “(m)any carers experience difficulty combining caring and employment; there is a clear probability that especially heavy caring reduces active labour market participation and therefore current and future incomes.”¹⁴⁷ When it comes to childcare, Eurostat data shows that the employment rate for women decreases as the number of children increases. In 2009 in the EU27, the employment rate for women aged 25-54 without children was 75.8 per cent versus 71.3 per cent for women with one child, 69.2 per cent for those with two children and 54.7 per cent for those with three children.¹⁴⁸ This fits very well with the low levels of children in formal care arrangements: 13% of children under three are being looked after more than 30 hours a week in formal arrangements and 42% of children between three and the admission age for compulsory school.¹⁴⁹ Since the ESF aims to improve all these aspects and various measures to improve the reconciliation of work and family are included in the current OPs, it is suggested to include an output indicator on ‘participants with a care gap’ into the set of common output indicators.

O16: Participants affected by homelessness. The European Commission has characterised homelessness as “one of the most extreme forms of poverty and deprivation, which has increased in recent years”.¹⁵⁰ It affects a person in multiple ways, for instance through poor health, lack of access to services (including education and employment), difficulties of maintaining social relations.

¹⁴⁵ Minutes of the 2nd workshop of the working group on ESF logics of intervention and related common indicators (see Annex 1).

¹⁴⁶ Glendinning, C et al (2009) **Care Provision within Families and its Socio-Economic Impact on Care Providers**, Report for the European Commission DG EMPL, Negotiated Procedure VT/2007/114. Social Policy Research Unit, University of York in collaboration with Vilans Centre of Expertise for Long-Term Care, Utrecht, p. 126
[http://ec.europa.eu/employment_social/emplweb/families/docs/EU%202342%20\(Full%20report\)%20-%20Care%20Provision%20within%20Families%20and%20its%20Socio-Economic%20Impact%20on%20Care%20Providers.pdf](http://ec.europa.eu/employment_social/emplweb/families/docs/EU%202342%20(Full%20report)%20-%20Care%20Provision%20within%20Families%20and%20its%20Socio-Economic%20Impact%20on%20Care%20Providers.pdf)

¹⁴⁷ Ibid

¹⁴⁸ Eurostat (2011) Women and men in the EU seen through figures
http://epp.eurostat.ec.europa.eu/cache/ITY_PUBLIC/1-04032011-AP/EN/1-04032011-AP-EN.PDF

¹⁴⁹ Eurostat, 2009, EU-SILC

¹⁵⁰ European Commission (2010) Communication on the Platform against Poverty and Social Exclusion”, 16th December 2010

Homelessness has come to be understood as “the result of a complex interplay of structural, institutional, relationship and personal factors.”¹⁵¹ Reflecting this understanding, the European Consensus Conference on Homelessness advocates an integrated approach to ending homelessness, which encompasses all relevant policy areas such as social policy, housing, health, employment, education, training, and migration etc.¹⁵²

The issue of homelessness is beginning to attract growing interest at EU level and in the Member States. This is evidenced, for instance, by the fact that: in 2009, the network of independent experts on social inclusion concluded that “it is essential that (homelessness and housing exclusion) issues be considered an integral part of the Social OMC and be consolidated and continued post 2010”¹⁵³; in 2010 the European Consensus Conference on Homelessness was held - an official event as part of the Belgian Presidency of the Council of the European Union, co-organised by the European Commission and the European Federation of Organisations Working with the Homeless (FEANTSA) and supported by the French government; in December 2010 the European Parliament adopted Written Declaration 61/2010 calling on the Commission to develop an ambitious EU homelessness strategy and on the Council to commit to ending homelessness by 2015¹⁵⁴; to ensure decent housing for everyone has been identified as one of five key challenges by EU action and as part of monitoring progress towards the social OMC some context indicators on housing are currently being measured.^{155 156}

Already in the current ESF programming period, the homeless are a target group in some OPs (e.g. the Luxembourg ESF OP; in the UK the London Regional Framework¹⁵⁷ and the North West ESF Plan). Causes for homelessness include those closely related to core ESF activities: personal causes for homelessness include lack of skills, loss of job, inability to enter the labour market; structural factors include poverty; and social factors include difficulties in accessing the labour market.¹⁵⁸ Moreover, the European Consensus Conference on Homelessness recommends a ‘housing led’ approach to ending homelessness where the provision of secure housing is accompanied by “adequate social support to help people

¹⁵¹ European Consensus Conference on Homelessness (2010) Policy Recommendations of the Jury, <http://www.epha.org/a/4410>

¹⁵² European Consensus Conference on Homelessness (2010) Policy Recommendations of the Jury, p. 12, <http://www.epha.org/a/4410>

¹⁵³ Frazer, H and Marlier, E. (2009) Homelessness and housing exclusion across EU Member States, p. 6, <http://www.peer-review-social-inclusion.eu/network-of-independent-experts/2009/homelessness-and-housing-exclusion>

¹⁵⁴ [http://www.europarl.europa.eu/sides/getDoc.do?reference=P7_TA\(2010\)0499&language=EN](http://www.europarl.europa.eu/sides/getDoc.do?reference=P7_TA(2010)0499&language=EN)

¹⁵⁵ European Commission, Employment, Social Affairs and Equal Opportunities DG (2009) Portfolio of indicators for the monitoring of the European Strategy for social protection and social inclusion, 2009 update, p. 28, <http://ec.europa.eu/social/main.jsp?catId=756&langId=en>

¹⁵⁶ <http://ec.europa.eu/social/main.jsp?catId=751&langId=en>

¹⁵⁷ Department for Work and Pension, European Social Fund Programme 2007-2013 Local Specification London, Lambeth, Southwark and Wandsworth District, <http://www.dwp.gov.uk/docs/lo6-lambeth-spotlights.pdf>

¹⁵⁸ Centre for Economic & Social Inclusion (2007) European Research Study into Homelessness and Employment, p. 30 http://www.crisis.org.uk/data/files/TMD_London/european_research_homelessness_and_employment.pdf

sustain tenancies and progress towards integration and improved quality of life”.¹⁵⁹
This support might be in the fields of employment, health, welfare services as well as addressing specific obstacles the homeless might have in accessing services.¹⁶⁰

All of this suggests that: first, the ESF is well placed to make a contribution to the issue of homelessness; second, including an indicator on homelessness strengthens the social inclusion dimension of the indicator set as well as ensures that it is ‘up to speed’ with EU policy developments. For all of these reasons, an output indicator on homelessness is recommended. The definition above is the one used by the European Consensus Conference on homelessness. It resembles the definition employed by Eurostat’s working group on homelessness¹⁶¹ but is easier to understand and hence recommended for the ESF context.

The two indicators and their definitions can be found in Table 18 below. For reasons of clarity, they are displayed separately from the indicators discussed with the working group of Managing Authorities on ESF logics of intervention and related common indicators.

Deleted: ¶

¹⁵⁹ European Consensus Conference on Homelessness (2010) Policy Recommendations of the Jury, p. 15, <http://www.epha.org/a/4410>

¹⁶⁰ European Consensus Conference on Homelessness (2010) Policy Recommendations of the Jury, p. 14, <http://www.epha.org/a/4410>

¹⁶¹ People who are homeless according to national definitions, or at risk of being homeless: A homeless person is someone who does not have access to accommodation which they can reasonably occupy, whether this accommodation is legally their own property or whether the property is rented; provided by institutions; provided by employers; or occupied rent-free under some contractual or other arrangement. Or risk at homelessness: (a) they do not currently have regular access to accommodation which they perceive to be their own, whether this accommodation is legally their own property or whether the accommodation is rented; provided by institutions; provided by employers; or occupied rent-free under some contractual or other legal arrangement or to which they do not have any legal entitlement – but there are grounds to expect this access to terminate in the foreseeable future, and (b) after such termination they will not have regular access to alternative accommodation, and (c) they will therefore be obliged either to sleep outdoors or in buildings which do not meet commonly agreed criteria for human habitation or in an emergency shelter which is operated for that purpose. Eurostat Working Group on Homelessness, p. 56 in Edgar et al 2007, http://www.susannegerull.de/veroeffentlichungen/pdfs/Measurement_of_homelessness_a_%20EU_level.pdf

Table 17: Indicators on vulnerabilities discussed in the working group (amended)

Output indicator no.	Name	Amended definitions	Source
12	Migrants, people with a foreign background, minorities (including Roma)	<i>"Non-national permanent residents in a country, nationals with foreign background or nationals from a minority, who need special help in the labour market because of language or other cultural difficulties".</i>	Source: LMP Comment: Persons may cumulate several vulnerabilities. It is advised to record the dominant characteristic. The dominant characteristic is the main target of an intervention (e.g. employment for young people, integration of migrants, access to work for disabled). Where an intervention permits a range of target groups to participate, 'dominant characteristic' could be understood as the single most important factor associated with a participant's vulnerability." The wording in italics is identical to the LMP definition.
13	Disabled	<i>"Persons who are registered disabled according to national definitions."</i>	Source: LMP Comment: Persons may cumulate several vulnerabilities. It is advised to record the dominant characteristic. The dominant characteristic is the main target of an intervention (e.g. employment for young people, integration of migrants, access to work for disabled). Where an intervention permits a range of target groups to participate, 'dominant characteristic' could be understood as the single most important factor associated with a participant's vulnerability." The wording in italics is identical to the LMP definition.
14	Other disadvantaged	Disadvantaged people [in the national labour market] which are neither migrants, people with a foreign background, minorities (incl. Roma) nor disabled, participants with a care gap or participants affected by homelessness. This entails all disadvantaged people who are not covered by indicators 12 to 14 as well as 15 and 16..	Comment: An example for a type of participant that can be included in this indicator is a participant with an ISCED level 0. Persons may cumulate several vulnerabilities. It is advised to record the dominant characteristic. The dominant characteristic is the main target of an intervention (e.g. employment for young people, integration of migrants, access to work for disabled). Where an intervention permits a range of target groups to participate, 'dominant characteristic' could be understood as the single most important factor associated with a participant's vulnerability."

Table 18: Additional indicators on vulnerabilities proposed by the study

Output indicator no.	Name	Definitions	Source and comment
15	Participants with a care gap	Participants who, upon entering an ESF intervention, are prevented from working due to informal care responsibilities as a result of lack of access to professional long-term care provisions.	<p>Source: http://ec.europa.eu/employment_social/emplweb/families/docs/EU%202342%20(Full%20report)%20-%20Care%20Provision%20within%20Families%20and%20its%20Socio-Economic%20Impact%20on%20Care%20Providers.pdf</p> <p>Comment: A person who provided informal care is someone “<i>who provides help to someone with a chronic illness, disability or other long-term health or support need, outside a professional or formal framework.</i>”</p> <p>‘Long term’ should be defined in accordance with the national definition of long term care.</p> <p>Persons may cumulate several vulnerabilities. It is advised to record the dominant characteristic. The dominant characteristic is the main target of an intervention (e.g. employment for young people, integration of migrants, access to work for disabled). Where an intervention permits a range of target groups to participate, ‘dominant characteristic’ could be understood as the single most important factor associated with a participant’s vulnerability.”</p>
16	Participants affected by homelessness	<p>People participating in an ESF funded intervention who are affected by homelessness at the beginning of the intervention. Homelessness means ‘absence of a home’ which includes:</p> <ul style="list-style-type: none"> • <i>Rooflessness (people living rough, people in emergency accommodation, people in accommodation for the homeless, people in women’s shelter).</i> • <i>Houselessness (people in accommodation for immigrants; people due to be released from institutions; people receiving longer term support (due to homelessness)</i> • <i>Insecure housing (people living in insecure accommodation, people living under threat of eviction, people living under threat of violence)</i> • <i>Inadequate housing (people living in temporary / non-conventional structures, people living in unfit housing, people living in extreme overcrowding)</i> 	<p>Source: ETHOS – European Typology on Homelessness and Housing Exclusion (http://www.feantsa.org/code/en/pg.asp?page=484)</p> <p>Comment: Persons may cumulate several vulnerabilities. It is advised to record the dominant characteristic. The dominant characteristic is the main target of an intervention (e.g. employment for young people, integration of migrants, access to work for disabled). Where an intervention permits a range of target groups to participate, ‘dominant characteristic’ could be understood as the single most important factor associated with a participant’s vulnerability.”</p> <p>The wording in italics are identical to the ETHOS / FEANTSA definition.</p>

5.2.5 Systems and structures

The set of output indicators discussed in detail by the working group also included a new indicator on systems and structures, which is defined in the table below.

Table 19: Systems and structures indicator discussed in the working group

Output indicator no.	Name	Definition
17	Systems and structures	"ESF interventions that - do not target directly the ultimate beneficiaries; - do not belong to the framework of the technical assistance measures; - address organisations, networks, partnerships, rules or standards that play a key role in the delivery of policies". (Evaluation of the ESF contribution to employment, inclusion and education & training policies through the support to systems and structures, Contract reference No: VC/2005/0040, Final report, p. 10)

Clarity of definition

Indicator 17 differs from the other output indicators in that it measures ESF interventions targeting organisations, networks, partnerships etc. rather than people.¹⁶²

The definition of the indicator is clear in the sense that it can be distinguished from the other indicators. However, in terms of clearly reflecting the concept to be measured it retains a degree of ambiguity:

- If an ESF project supports a number of organisations and their collaboration in a network would this count as the number of organisations supported or one network?¹⁶³ If the aim is to show improvement as a result of an ESF intervention, Managing Authorities would have an incentive to count organisations rather than a network or collaboration created.
- The definition does not specify whether the indicator includes all types of systems and structures or only public ones.
- In the case of the public sector, the definition of organisation could be specified. A review of selected OPs for the 2007-2013 programming period undertaken as part of this study shows that ESF support often covers public administrations. This raises the issue of how to delineate one public organisation from another. For instance, in the case of public employment services a 'system or structure' according to the definition above could be either an individual job centre, the

¹⁶² The definition is taken from IDEC (2005) Evaluation of the ESF contribution to employment, inclusion and education and training policies through the support to systems and structures, report for the European Commission, VC/2005/0040
The report can be downloaded at:

<http://www.google.co.uk/search?q=Evaluation+of+the+ESF+contribution+to+employment%2C+inclusion+and+education+%26+training+policies+through+the+support+to+systems+and+structures%2C+Contract+reference+No%3A+VC%2F2005%2F0040&ie=utf-8&oe=utf-8&aq=t&rls=org.mozilla:en-GB:official&client=firefox-a>

¹⁶³ For instance the Welsh OP and the Bulgarian OP include different activities and associated indicators aimed at cooperation between public sector bodies and stakeholders/partners (e.g. third sector/NGOs or the private sector) or improved cooperation internally in the public sector. Examples are: 'Collaborative Agreements between public service bodies', (Wales), "Normative legislative acts adopted after consultation with stakeholders' (Bulgaria). Sources: Ministry of State Administration and Administrative Reform, Operational Programme Administrative Capacity 2007-2013, September 2007 <http://www.eeagrants.bg/docs/OP%20Administrative%20Capacity%20March%202007%20.pdf> and Welsh European Funding Office (2009) West Wales and the Valleys Convergence Programme, Operational Programme for the European Social Fund, 2007-2013 <http://wales.gov.uk/docs/wefo/publications/convergence/esfoperational/090911esfconvergenceen.pdf>

public employment services in a region (depending on Member States' employment services system) or the entire national public employment service system. Similar challenges apply to other parts of the public sector.

To make the definition somewhat clearer, the terms 'systems' and 'structures' as well as the exact measurement unit would need to be specified. The proposed indicator on systems and structures is based on the definition from the 2005 evaluation of ESF's contribution to systems and structures. The evaluation defines the two terms in the ESF context as follows:¹⁶⁴

- Structure: "Well-defined entities or sections of entities or interrelations between various entities set and limited by their decision making possibilities."
- System: "A number of elements interrelated with processes, rules and functions. The elements can be subsystems, structures as defined above, networks, while their interaction involves criteria, standards, regulations and laws, approaches, IT infrastructure, tools, capitalised knowledge and practices."

For the purpose of constructing an unambiguous, clear and measureable output indicator, these two definitions are, however, still relatively unclear, and it shall be stressed that they have not been created with the purpose of constructing indicators. Similar points have been raised by Member States who felt the indicator as currently defined was lacking clarity and meaningfulness.¹⁶⁵

Relevance, in particular with regard to Europe 2020 objectives

In the 2007-2013 programming period strengthening "*institutional and administrative capacity*" became a distinct priority in convergence regions and Cohesion Member States.¹⁶⁶ This is reflected in the ESF regulation which stipulates that the least developed regions and Member States should improve institutional, administrative and judicial capacity and that ESF actions should support this process. By "strengthening institutional capacity and the efficiency of public administrations and public services at national, regional and non-governmental organisations with a view to reforms, better regulations and good governance especially in the economic, employment, education, social, environment and judicial fields"¹⁶⁷

- Reforms, better regulation and good governance
- Modernisation and strengthening of labour market institutions, in particular employment services

¹⁶⁴ IDEC (2005) Evaluation of the ESF contribution to employment, inclusion and education and training policies through the support to systems and structures, report for the European Commission, VC/2005/0040, p. 9

The report can be downloaded at:

<http://www.google.co.uk/search?q=Evaluation+of+the+ESF+contribution+to+employment%2C+inclusion+and+education+%26+training+policies+through+the+support+to+systems+and+structures%2C+Contract+reference+No%3A+VC%2F2005%2F0040&ie=utf-8&oe=utf-8&aq=t&rls=org.mozilla:en-GB:official&client=firefox-a>

¹⁶⁵ Sources: Minutes of the 4th Workshop on ESF Intervention Logic and related common indicators and written feedback on the indicators from Member States who are also members of the working group.

¹⁶⁶ Institutional Capacity, Public Administration and Services in the European Social Fund 2007-2013, Brussels: European Commission, http://ec.europa.eu/employment_social/esf/docs/tp_institutional_en.pdf

¹⁶⁷ REGULATION (EC) No 1081/2006 OF THE EUROPEAN PARLIAMENT AND OF THE COUNCIL, Article 3.2(b).

- Involvement of stakeholders

In the light of these policy priorities an output indicator on ‘systems and structures’ is relevant. Indeed, Member States have, from the first workshop onwards, expressed an interest in a ‘systems and structures’ indicator, albeit recognising that, considering the definitional challenges, it might not be better to measure this through evaluation.¹⁶⁸

Data collection issues specific to this indicator

The challenges for the definition and operationalisation of the above systems and structures indicator also have implications for data collection: in order to ensure that Member States/Managing Authorities can collect data on the indicator at OP level, its definition and measurement unit need to be specified. This is also confirmed by feedback from Member States, some of whom felt that in its current definition the indicator is not measurable and would be difficult to transfer into a data collection system.¹⁶⁹ The quality of information gained from aggregating data collected through this indicator is further impaired by the fact that it merges a large number of different types of ‘systems and structures’ – from a single organisation through to a network and rules and standards. This will lead to a wide variety of information being collected at OP level. When the information is aggregated, the indicator will therefore merge very different categories and different data across OPs and Member States and hence provide information that is not only not very meaningful but also virtually impossible to compare.

The table below summarises the results of the review above of the indicator on systems and structures.

Output indicator no.	Name	Is the indicator...		
		Clear?	Relevant?	Possible to collect data on?
17	Systems and structures	No	Yes	No

Alternative indicators for ‘systems and structures’

In the light of the above discussion it is recommended that the indicator on systems and structures as defined above is replaced with a set of indicators that separates out the different types of organisations covered by O17. The indicators proposed for this heading and their definitions are displayed in Table 20 below. Each of the types of organisation listed are relevant for the ESF and / or Europe 2020. Further, the categories in Table 20 are sufficiently different to avoid the risk of double counting.

The indicator on networks and partnerships (O19) retains a degree of ambiguity as it is likely to lead to reporting on a whole range of different collaboration configurations. There is currently no generally accepted definition of partnership or network, and the ESF regulation 1081 mentions both concepts but does not define

of 5 July 2006 on the European Social Fund and repealing Regulation (EC) No 1784/1999, point (9) <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2006:210:0012:0018:EN:PDF>

¹⁶⁸ Minutes of the 1st and 4th workshop of the working group on ESF logics of intervention and related common indicators

¹⁶⁹ See: written comments on the proposed common indicators (Annex 2).

them. The ESF Community of Practice on Partnerships is due to produce a communiqué on partnership by the end of 2011¹⁷⁰ which is likely to include a definition of partnership valid for the ESF context. It is therefore recommended to use this definition for the indicator. Capturing information on partnerships and networks lays the foundation for investigating specific questions further through evaluation.

5.2.6 Support for enterprises

In addition, the study recommends adding an indicator on SMEs to the set of output indicators (O20). The working group of Managing Authorities on ESF logics of intervention and related common indicators explicitly expressed an interest in an output indicator on enterprises. Moreover, the indicator is relevant to both the ESF in the current funding period (where assistance is provided to businesses undergoing change) and Europe 2020 (e.g. the flagship initiative “An industrial policy for the globalisation era”)¹⁷¹ The table below offers a definition of an indicator on SMEs (20)

O21 (number of non-profit institutions supported) recognises that: these are organisations currently funded by the ESF to support reforms, better regulation and good governance in the Member State¹⁷²; and that social partners and representatives of civil society are to contribute to the implementation of Europe 2020.¹⁷³

¹⁷⁰ <http://partnership.esflive.eu/node/417>

¹⁷¹ See: <http://ec.europa.eu/esf/main.jsp?catId=49&langId=en>; Europe 2020, p. 15, http://europa.eu/press_room/pdf/complet_en_barroso_007_-_europe_2020_-_en_version.pdf

¹⁷² See: <http://ec.europa.eu/esf/main.jsp?catId=55&langId=en>

¹⁷³ See: Europe 2020, p. 28, http://europa.eu/press_room/pdf/complet_en_barroso_007_-_europe_2020_-_en_version.pdf

Table 20: Additional indicators on enterprises, governmental and non-governmental organisations proposed by the study

Output indicator no.	Name	Definition	Source and comment
18	Government sector organisations	<p>Number of government sector organisations supported.</p> <p><i>"The general government sector consists of the following groups of resident institutional units:</i></p> <ul style="list-style-type: none"> ▪ <i>All units of central, state/ regional or local government;</i> ▪ <i>All non-market non-profit institutions that are controlled by government units."</i> <p>The government sector includes "agencies (...) with separate legal identity and substantial autonomy; they may have discretion over the volume and composition of their expenditures and may have a direct source of revenue such as earmarked taxes."</p>	<p>Source: System of National Accounts (SNA 2008) (http://unstats.un.org/unsd/nationalaccount/docs/SNA2008.pdf)</p> <p>Comment: Eurostat is one of the five international organisations in charge of the world-level System of National Accounts. The definition is identical to SNA2008.</p>
19	Partnerships and networks	Number partnerships and networks supported.	

Table 21: Support for Enterprises

Output indicator no.	Name	Definition	Source and comment
20	SMEs	<p>Number of micro, small and medium sized enterprise supported.</p> <p><i>An enterprise is an entity engaged in an economic activity, irrespective of its legal form. The category of micro, small and medium-sized enterprises (SMEs) is made up of enterprises which employ fewer than 250 persons and which have an annual turnover not exceeding EUR 50 million, and/or an annual balance sheet total not exceeding EUR 43 million.</i></p> <p><i>A small enterprise is defined as an enterprise which employs fewer than 50 persons and whose annual turnover and/or annual balance sheet total does not exceed EUR 10 million. A microenterprise is defined as an enterprise which employs fewer than 10 persons and whose annual turnover and/or annual balance sheet total does not exceed EUR 2 million.</i></p>	<p>Source: Commission recommendation of 6 May 2003 concerning the definition of micro, small and medium-sized enterprises (2003/361/EC)</p> <p>Comment: The wording in italics is identical to the Commission recommendation. This definition is also used by Eurostat: http://epp.eurostat.ec.europa.eu/portal/page/portal/european_business/special_sbs_topics/small_medium_sized_enterprises_SMEs</p>
21	Non-profit institutions	<p>Number of non-profit institutions supported. "Non-profit institutions are legal or social entities, created for the purpose of producing goods and services, whose status does not permit them to be a source of income, profit or other financial gain for the units that establish, control or finance them."</p>	<p>Source: System of National Accounts (SNA 2008) (http://unstats.un.org/unsd/nationalaccount/docs/SNA2008.pdf)</p> <p>Comment: The definition is identical to SNA 2008.</p> <p>NPIs may be created to provide services for the benefit of the households or corporations who control or finance them; or they may be created for charitable, philanthropic or welfare reasons to provide goods or services to other persons in need; or they may be intended to provide health or education services for a fee, but not for profit; or they may be intended to promote the interests of pressure groups in business or politics; etc. Only those non-profit institutions not controlled by government should be included in this indicator.</p>

5.2.7 Participants and stocks and entries

Data on participants in ESF operations is currently collected as entries and exits: "Number of participants per year (People entering, those leaving, carry-over from one year to the next)."¹⁷⁴ For the next programming period, the European Commission has suggested to replace this with data on entries and stocks to obtain information on intensity of support. The table overleaf includes the proposed definition of entries and stocks:

Name	Definition
Entries	"Entry: total number of participants that join or start on the intervention during the year - e.g. the inflow or new starts. Persons who are already participating on the intervention at the start of the year are considered to be a carry-over from the previous year and not new starts and should not be counted as entrants. The data required refer to the total number of new starts in the year and not to the number of different individuals who join the intervention during the year. Thus, the same person may be counted as an entrant more than once in a year (LMP)".
Stock	"Stock: Number of persons participating in an intervention at a given moment (annual average stock), usually calculated as an average of the stock at the end of each month. Two different observations of stocks are requested: Stock (total) = annual average stock; Stock (FTE) = annual average stock adjusted to take account of part-time participation - e.g. Stock (total) converted to full-time equivalents (FTE). When converting stocks to full-time equivalents, national definitions of full-time should be applied. Full-time hours per week may be different for training than for employment" (LMP).

The definitions of entries and stocks are taken from the LMP database.

Entries: Entries entails participants that join or start an intervention during a year. It excludes carry-overs from previous year(s).¹⁷⁵ The definition and data collection of entries should not be associated with additional bureaucracy and administrative burden for Managing Authorities as it does not change existing data collection guidance and practice. Feedback from members of the working group on ESF logics of intervention and related common indicators does, however, show that there is some uncertainty regarding the definition's distinction between 'inflow' and 'new starts'. Members did not feel certain what the difference is between the two. As the definition above follows that of the LMP database it must be considered advantageous to keep it. However, the uncertainty expressed by some members of the working group indicates that data validity could be improved if the difference between inflow and new starts is specified.

Stocks: Two figures are requested: a) the annual average of participants calculated on the basis of stocks at the end of each month (Total Stocks); and b) the annual average stock adjusted to take part time participants into account (FTE Stocks) (§182-186 in the LMP Database Methodology).¹⁷⁶ The latter is thus the total stock converted to Full Time Equivalents (FTE). To convert the total stocks into FTE stocks some estimation on the intensity of an intervention is required (e.g number of days).

¹⁷⁴ Council Regulation (EC) No 1083/2006, of 11 July 2006, Laying down general provisions on the European Regional Development Fund, the European Social, Fund and the Cohesion Fund and Repealing Regulation (EC) No 1260/1999, p. 115, <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2006:210:0025:0025:EN:PDF>

¹⁷⁵ Eurostat (2006) Labour Market Policy Database – Methodology (§187-190), p. 28, http://epp.eurostat.ec.europa.eu/cache/ITY_OFFPUB/KS-BF-06-003/EN/KS-BF-06-003-EN.PDF

¹⁷⁶ the Labour Market Policy Database, Eurostat (2006) Labour Market Policy Database – Methodology, p. 28, http://epp.eurostat.ec.europa.eu/cache/ITY_OFFPUB/KS-BF-06-003/EN/KS-BF-06-003-EN.PDF

Consultation with members of the working group on ESF logics of intervention and related common indicators shows that there are two pertinent issues regarding the definition and data collection on stocks:

- *Estimating the duration of an intervention*: in order to calculate the FTE of an intervention to provide the stocks figure, Managing Authorities will need to estimate the hours per participant per intervention. This will be burdensome for Managing Authorities if an adjustment of monitoring systems is required.
- *Collecting data each month*: It would be costly and administratively burdensome to collect data on participants each month as required in the current definition. An alternative to this could be to collect the data once a quarter and calculate annual averages on the basis of this.

As an alternative to calculating FTE, therefore, the Commission could specify the minimum duration an intervention needs to have in order to be included into the monitoring process. This would be less accurate, but put less pressure on Managing Authorities. A variation of this system would be a method used in Poland where a threshold for registering people as participants is used which is based on whether people receive support such as counselling, training, business support etc) or whether they participate in activities such as conferences, seminars, information campaigns etc. In the former (more 'active') cases, participants are counted. In the case of the latter (more 'passive interventions'), participants are not registered. Again, this approach could serve as an approximation of intensity of participation. Both of these methods would, however, require a re-definition of stocks to permit Member States / Managing Authorities to do this rather than an exact estimation of hours.

If the purpose of capturing intensity of support is to analyse how this influences results, then the use of statistical techniques such as survival analysis as part of evaluation could also be used. Survival analysis can be used to model the 'transition paths' that beneficiaries take after entering an intervention using different types of samples (entries, exits, population).¹⁷⁷ On this basis, if the sample is sufficiently 'random', it is possible to make predictions for an entire population of beneficiaries – for example how many are likely to go on from a training event to securing employment - even if the dataset is incomplete (due to drop-outs or sample attrition). The costs for running such surveys could be reduced by integrating relevant questions into surveys run to obtain information on result indicators (or other issues of interest).

For both stocks and entries it can be considered whether the term intervention needs to be specified further. The LMP database specifies the term intervention in detail. However, as ESF interventions do not correspond completely with LMP interventions additional guidance for Member States / Managing Authorities on this matter is likely to be beneficial. As part of this it could be considered whether the term 'project' is more relevant for the ESF as most programmes consists of a number of projects. Projects are therefore typically more clearly delineated than interventions. In any case, a clear definition of intervention and/or project would support the Member States / Managing Authorities in collecting data in a valid and comparable way.

¹⁷⁷ See for instance Lee, E.T., 1980, *Statistical methods for survival data analysis*, Belmont and Bryk, A. and S.W. Raudenbush, 1992, *Hierarchical linear models: applications and data analysis methods*. Newbury Park, Sage; Jenkins, S. P. (2005) *Survival Analysis*, <http://www.iser.essex.ac.uk/files/teaching/stephenj/ec968/pdfs/ec968lnotesv6.pdf>

5.2.8 Community Added Value

In terms of indicating Community Added Value, the output indicators can provide quantitative input into work designed to investigate volume and scope effects of ESF funding.

- *Volume effects (boosting or amplifying actions taken by others)*. The output indicators capture the number of people or institutions reached by ESF funded interventions and, factoring in the relative importance of the ESF vis-à-vis other labour market and social policy interventions, may thus give an initial estimation of the significance of ESF in OPs and Member States.
- *Scope effects (target groups or policy areas that would not have been addressed otherwise)*. It may be possible to gain, in combination with the intervention logic, some understanding of the scope effect 'by design' (that is, numbers of a target group or institution that are only or primarily addressed because of the priorities of the ESF).

However, the output indicators in themselves capture gross figures only, and do, of course, not measure results. Net figures on volume and scope effects (which factor in deadweight, displacement and multiplier effects) need to be assessed using evaluation techniques such as econometric modelling, experimental / quasi-experimental designs (or others) considering the counterfactual situation. The intervention logic can support evaluators in this task.

5.3 Common result indicators for the next ESF programming period

Unlike in the current funding period, the proposed set of common indicators for the next ESF funding period also contains a number of result indicators, both immediate result indicators (measuring actual effects achieved immediately after the end of participation in an ESF funded intervention, typically collected through the regular monitoring system) and longer-term result indicators (measuring estimated effects further down the line, in this case 6 months after participation, requiring additional collection tools, such as surveys). The discussion below follows this distinction.

5.3.1 Immediate result indicators

Four immediate results (IR) indicators were discussed in the working group and reviewed in detail by the study team. These indicators and their original definitions as discussed with the working group of Managing Authorities on ESF logics of intervention and related common indicators are shown in the table below.

Table 22: Immediate result indicators discussed in the working group

No	IR Indicator	Definition
22	Participants newly in job searching upon leaving	Persons receiving ESF support and who are newly engaged in job searching activities upon leaving the ESF intervention. This comprises - registered jobseekers which "refers to all persons who are currently registered as jobseekers with the PES." (LMP) and - Other registered jobseekers which "refers to all persons registered with the PES who are not considered as registered unemployed and who have (1) contacted the PES for assistance in jobsearch, (2) whose personal details and circumstances have been recorded by the PES and (3) who have had personal contact with the PES within the current year, or as otherwise defined for PES operational purposes. All 3 conditions should be fulfilled at the same time." (LMP)
23	Participants in education/training upon leaving	Persons receiving ESF support and who are engaged in continuing education (lifelong learning, formal education) or training activities (off-the-job/in-the-job training, vocational training, etc.) upon leaving the ESF intervention.

24	Participants gaining a qualification upon leaving	Persons receiving ESF support and who gained a qualification upon leaving. "Qualification means a formal outcome of an assessment and validation process which is obtained when a competent body determines that an individual has achieved learning outcomes to given standards." (EQF). This indicator can be further split by ISCED and EQF levels.
25	Participants in employment or self-employment immediately upon leaving	Persons receiving ESF support, and who are in employment or self-employment immediately upon leaving the intervention

Clarity of definitions

The quality review of the IR indicators undertaken by the study team concluded that the definitions as presented above can, overall, be assessed as clear (that is, clearly understandable without ambiguity, reflecting the concept to be measured¹⁷⁸). Using the LMP definition in IR22 specifies what "being in job searching" means and thus creates some (necessary) conditions for similar data being collected across the Member States (and hence that meaningful aggregation is possible). The EQF definition of IR24 is clear and means that a link to the European lifelong learning agenda is created.

Overall, this assessment was shared by members of the working group, though some minor comments were made on the wording of selected IR indicators:

- It was suggested by one member to change the wording "persons receiving ESF support" to "persons that have received ESF support" (though this would apply equally to the remaining IR indicators as here the same wording is used). Making this change would be more in line with the intention of the indicator to measure what has been achieved immediately after participation in an ESF funded intervention.
- One comment on IR25 received prior to the 4th workshop questioned whether the target group for this indicator was those unemployed or inactive before participating in an ESF funded intervention. To avoid ambiguity this specification could be added to the definition. Moreover, during the workshop some participants felt that entering employment and self-employment should be recorded separately to measure entrepreneurship. This would also align with recording the self-employed separately as outputs.

Another aspect of the validity of the IR indicators is the extent to which the 'theory of change' embedded in them is sound, and they pick up changes that can be influenced by an ESF action. The only potential challenge here relates to IR23 (Participants in education / training upon leaving). The implied theory of change behind IR23 is that ESF support has created the necessary conditions within participants (e.g. more knowledge, better skills, greater motivation) to allow them to continue to engage in further and relevant education and training activities after the initial ESF funded training has ended which will eventually help participants into a job. This is not expressed in the title above and definition of this indicator which leaves it more open ended and hence ambiguous than other IR indicators.

¹⁷⁸ See also: <http://esfsourcebook.eu/index.php?id=2023>

Relevance: conceptual links to the objectives of Europe 2020, Integrated Employment Guidelines, social OMC and the ESF

The analysis undertaken by the study team to assess the relevance of the IR indicators (ie their link to important policy objectives) shows that between key documents (EU 2020, EG, social OMC) some themes are recurring. In the field of participation in employment these common themes are: enhancing access to employment; increasing participation in the labour market; encouraging active ageing and longer working lives. The table below shows these 'high coherence' themes.

Table 23: High coherence themes in the field of participation in employment

ESF Regulation	Social OMC	EU2020	Integrated Employment Guidelines
Increasing labour market participation of women and men, reducing structural unemployment and promoting job quality			
High Coherence			
Enhancing access to employment	Increasing access to labour market	identify ways to better manage economic transitions facilitate and promote intra-EU labour mobility	75 % of the population aged 20-64 should be employed
Increase participation in the labour market	Reduce people in jobless households	Fight unemployment and raise activity rates	Measures addressing precarious employment, underemployment and undeclared work remove barriers to labour market entry for newcomers
Encouraging active ageing and longer working lives	Employment of older workers	Promote active ageing policies	Promote active ageing

This shows that IR25 (Participants in employment of self-employment immediately upon leaving) supports all of the employment objectives shown above, as well as a number of social inclusion objectives such as: sustainable integration of disadvantaged people in employment, extending employment opportunities, combating discrimination in the labour market and equal opportunities. This indicator can therefore be assessed as highly relevant. IR22 (Participants newly in job searching upon leaving), IR23 (Participants in education / training upon leaving) and IR24 (Participants gaining a qualification upon leaving) can also be assessed as relevant. They mainly link to the 'enhancing access to employment' objective of the EU's employment and social inclusion policies (specifically by preparing participants for employment by equipping them with the right skills), but also support the social inclusion objective of sustainable integration of disadvantaged people into employment. These two indicators link also to the skills agenda embedded in Europe 2020, though investigating this in similar depth was out of the scope of this study.

Table 24: High coherence themes in the field of social inclusion and poverty

ESF Regulation	Social OMC	EU2020	Integrated Employment Guidelines
Promoting social inclusion and combating poverty			
High Coherence			
Sustainable integration of disadvantaged people in employment	Support social cohesion for all	Design and implement programmes to promote social innovation for the most vulnerable	Extend employment opportunities
Combating all forms of discrimination in the labour market	Supporting equality between men and women and equal opportunities for all	Fight discrimination	Ensure equal opportunities Put in place effective anti-discrimination measures

Theory of change

In terms of the extent to which the 'theory of change' embedded in the IR indicators coheres with the strategic objectives of Europe 2020, the IR indicators can be located at stages 3 to 6 of the theory of change model developed by the study team. One indicator concerns Level 3, the acquisition of assets, benefits and skills (IR 24); two relate to level 5, change in behaviour (IR22, IR23); one relates to level 6 – acquisition of a new and better situation (IR25). This signals that in terms of the causal link between the IR indicators and the short-term, medium and long-term effects on the policy areas and objective concerned, the IR indicators on the one hand show a progression from the output indicators (which relate to the participation level 2) and capture data on the path towards the ultimate objective of an improved employment or socio-economic position.

It is noteworthy that some Member States' feedback on the IR indicators prior and during the 4th workshop questioned whether indicators measuring the pre-employment stages were in fact relevant for the ESF. IR22 (participants newly in job searching upon leaving) - a new indicator for the ESF which is not currently used in any of the ESF OPs – was seen as particularly challenging in this respect. Some Member States have a general relevance issue with the indicator (that is, whether it picks up important objectives of the ESF): 'searching for a job' is not everywhere considered a positive outcome of an ESF intervention and should therefore not be measured as a result. Others point towards some sensitivity challenges with the indicators (are changes induced by an action picked up): the indicator would not capture job searches started during the intervention and when participants find a job before the end of the intervention. The indicator might therefore not capture the complete effects of the action funded by the ESF.

IR22 (participants newly in job searching upon leaving) does capture one of the first stages of finding employment (that is, to actively look for work). As the policy review has shown, it links with both the ESF objective of 'access to employment' and the sustainable integration of disadvantaged people into employment (e.g. through providing pathways for integration and entry into employment, and job creation for disadvantaged and disabled people in the social economy.¹⁷⁹) Indeed, the working group concluded that this indicator primarily relates to those most remote from the labour market. To make this clearer delegates suggested that the indicator could be re-focused to capture "positive steps of the inactive towards employment". It could have two components: a) participants finishing training not intended to lead to a qualification (as this can also be seen as a positive outcome for those most removed from the labour market); b) persons newly in job searching. However, it could also be argued that, in order to be a fully fledged social inclusion indicator, the target groups to which this indicator applies would need to be specified beyond the 'inactive': the indicator would need to focus on the disadvantaged and those with the lowest educational attainment levels. It is only for these target groups that training without a qualification can be seen as a positive result.¹⁸⁰ Following this discussion at the 4th workshop of the working group of Managing Authorities on ESF logics of intervention and related common indicators, a possible indicator was formulated by the study team. This indicator can be found in *Table 26* below.

¹⁷⁹ See: <http://ec.europa.eu/esf/main.jsp?catId=50&langId=en>

¹⁸⁰ There is, for instance, tentative evidence from the English Skilled for Health programme that those most removed from learning can only be 'enticed' back into the classroom through activities that do *not* lead to a qualification.

Data collection and aggregation

In principle, collecting data for the set of IR indicators is unlikely to pose many logistical difficulties. Data for these indicators can be collected as part of project monitoring, with relevant data from participants being captured at the end of their participation in a relevant intervention or shortly after. Data collection on IR indicators is therefore likely to be cost effective (as no additional survey work would be required) and practically possible (for instance in terms of avoiding high volumes of attrition of participants). Indeed, verbal and written responses from members of the working group did (with one exception) not raise data collection as an issue for this indicator set.¹⁸¹

However, the wording 'upon leaving' does open up a degree of ambiguity about the point in time at which this information is to be captured from participants. Indeed, during the 4th workshop of the working group on ESF logics of intervention and related common indicators there was some uncertainty especially about when data for IR23, IR24 and IR25 was expected to be collected: by registration at the last day of an intervention or after the participant leaves the intervention, or within a number of days or quarter. This could be remedied by including instructions into relevant ESF guidance on when this data should ideally be collected. Logically, the last day of the intervention up until one month after (to allow for follow up of 'no shows' during the last session) would be the most appropriate framework. Consequently, the wording of IR25 had been modified slightly in Table 25 below: the word 'immediately' has been removed to align the definition to the other IR indicators. Moreover, one comment made on IR22 prior to the workshop suggests that current practice in some Member States is for Managing Authorities to receive participant data at the end of a project rather than after individuals leave (a scenario that is, in fact, also likely to apply to other indicators). Unless this practice can be changed, this might have implications for annual reporting if result indicators are included in this: annual data might not offer a complete picture of achievements.

Methodologically, the following points are noteworthy. IR22 (participants newly in job searching upon leaving) requires data from before (and ideally during) the intervention to understand whether participants are indeed not looking for work. Unless the indicator is refocused on the inactive, this would need to take place through a question at the beginning of an intervention. It is also noteworthy that there is no related indicator in use at the moment; introducing this will therefore require a degree of adjustment of monitoring systems (though this has not been raised as an issue by members of the working group). Second, data aggregation will be relatively straightforward for IR 22, IR 24 and IR 25. However, the information obtained from IR23 (participants in education / training upon leaving) may not be very meaningful when aggregated to OP level let alone country or European level. The numbers will 'hide' a great variety of different types of further training and education entered into by participants, which is likely to differ from project to project and country to country. Aggregated figures will therefore not offer a very detailed picture. However, the only way to address this situation is to narrow the definition of the indicator towards one kind of training (e.g. vocational training). This would, however, mean disregarding the achievements of a great number of participants funded through the ESF who undertook other training and is therefore not recommended.

¹⁸¹ See: Minutes of the 4th workshop of the working group of Managing Authorities on ESF logics of intervention and related common indicators (Annex 1) and written feedback on the indicator set discussed in this workshop (Annex 2).

Summary

The table below summarises the results of the review above of the IR indicators.

IR indicator no.	Name	Is the indicator...		
		Clear?	Relevant?	Possible to collect data on?
22	Participants newly in job searching upon leaving	Yes	Yes	Yes
23	Participants in education/training upon leaving	Yes	Yes	Yes
24	Participants gaining a qualification upon leaving	Yes	Yes	Yes
25	Participants in employment or self-employment immediately upon leaving	Yes	Yes	Yes

The tables below presents the IR indicators with the changes suggested by the working group of Managing Authorities (added in bold) and in the discussion above as well as the additional indicators proposed as a result of the discussions in the working group. IR 27 would logically precede IR22; IR26 would logically follow indicator IR25

Table 25: Immediate results indicators discussed in the working group (amended)

No	IR Indicator	Definition	Source and comments
22	Inactive participants newly in job searching upon leaving	Inactive persons who have received ESF support and who are newly engaged in job searching activities upon leaving the ESF intervention. This comprises - registered jobseekers which " <i>refers to all persons who are currently registered as jobseekers with the PES.</i> " (LMP) and - Other registered jobseekers which " <i>refers to all persons registered with the PES who are not considered as registered unemployed and who have (1) contacted the PES for assistance in jobsearch, (2) whose personal details and circumstances have been recorded by the PES and (3) who have had personal contact with the PES within the current year, or as otherwise defined for PES operational purposes. All 3 conditions should be fulfilled at the same time.</i> "	Source: Eurostat, :LMP (http://ec.europa.eu/eurostat/ramon/statmanuals/files/KS-BF-06-003-EN.pdf) Comment: the wording in italics is identical to the LMP definitions (paragraphs 361 and 363 respectively)
23	Participants in education/training upon leaving	Persons who have received ESF support and who are engaged in continuing education (lifelong learning, formal education) or training activities (off-the-job/in-the-job training, vocational training, etc.) within one month upon leaving the ESF intervention.	
24	Participants gaining a qualification upon leaving	Persons who have received ESF support and who gained a qualification upon leaving the ESF intervention. " <i>Qualification means a formal outcome of an assessment and validation process which is obtained when a competent body determines that an individual has achieved learning outcomes to given standards.</i> " This indicator can be further split by ISCED and EQF levels.	Source: European Commission, European Qualifications Framework (http://ec.europa.eu/eqf/terms_en.htm) Comment: the wording in italics is identical to the EQF definition.
25	Participants in employment upon leaving	Unemployed or inactive persons who have received ESF support, and who are in employment within one month upon leaving the ESF intervention	

Table 26: Additional immediate result indicators proposed by the study

No	IR Indicator	Definition	Source and comments
26	Participants in self-employment upon leaving	Unemployed or inactive persons who have received ESF support and who are in self-employment within one month upon leaving the intervention	
27	Inactive participants completing preparatory training	Inactive persons who have received ESF support who have completed preparatory training that is designed to: a) prepare for participation in further formal education or training courses or b) prepare for participation in other labour market measures Participation in this training may, but does not have to, lead to a qualification or other certificate.	Comment: preparatory training covers a range of activities and target groups. Amongst others, it includes: support young people in their choice of vocational training (for the UK, see for instance: http://www.derby.ac.uk/files/icegs_evaluation_of_front_end2_002.pdf); who are not eligible for vocational basic education due to inadequate language skills and/or deficient readiness for education (see, for instance, in Finland: http://www.hel.fi/hki/opev/en/Education+for+foreigners/Preparatory+training/Preparatory+training+for+basic+vocational+education)

5.3.2 Longer term result indicators

Three longer term results (LTR) indicators were discussed in the working group and reviewed in detail by the study team. The longer-term result indicators for the ESF in the next programming round, together with their definitions, are listed in the table below.

Table 27: Longer term result indicators discussed in the working group

No	LTR indicator	Definition
28	Participants in employment 6 months after leaving	Persons receiving ESF support, and who are working as employees 6 months after the end of the intervention.
29	Participants in self-employment 6 months after leaving	Persons receiving ESF support, and who are in self-employment 6 months after the end of the intervention.
30	Participants with improved labour market situation 6 months after leaving	Persons receiving ESF support, who transitioned from precarious to stable employment, from underemployment to full employment, and/or have taken up a job requiring EQF competences. <i>"Precarious employment should be understood as the absence of 'permanent employment' and 'work contract of unlimited duration'. Given institutional discrepancies, the concepts of 'temporary employment' and 'work contract of limited duration' describe situations which, in different institutional contexts, may be considered similar. Employees with a limited duration job/contract are employees whose main job will terminate either after a period fixed in advance, or after a period not known in advance, but nevertheless defined by objective criteria, such as the completion of an assignment or the period of absence of an employee temporarily replaced."</i> (LFS) - underemployment should be understood as : <i>"Involuntary part-time employment — This is when respondents declare that they work part-time because they are unable to find full-time work."</i> (LFS, http://epp.eurostat.ec.europa.eu/portal/page/portal/employment_unemployment_lfs/methodology/definitions). In line with Guideline no. 7: <i>"Member States should tackle labour market segmentation with measures addressing precarious employment, underemployment and undeclared work."</i>

Clarity of definitions

The quality review undertaken by the study team concluded that the definition of LTR28 can be assessed as clear. However, delegates at the 4th workshop suggested making the title of this indicator more specific by re-phrasing it *"Participants in employment 6 months after the end of their participation in an ESF intervention."* They also suggested specifying the definition of LTR28 as follows: *"Persons receiving ESF support and who are working as an employee for a minimum number of hours per week, as defined by ILO, 6 months after the end of their participation in an ESF intervention"*. The minimum number of hours worked (e.g. as in the LFS definition of employment¹⁸²) could be added to avoid giving an incentive to create jobs that are very fragile or involve a low number of hours. To remain consistent with the definition of 'in employment' of indicator O5, however, the study recommends adopting the LFS definition rather than that used by the ILO.

¹⁸² The LFS defines employed persons as persons aged 15 and over who performed work, even for just one hour per week, for pay, profit or family gain during the reference week or were not at work but had a job or business from which they were temporarily absent because of, for instance, illness, holidays, industrial dispute, and education or training (http://epp.eurostat.ec.europa.eu/cache/ITY_SDDS/en/lfsa_esms.htm)

The working group further suggested that subsidised jobs should not be included in this definition. Indeed, placing ESF participants in the first labour market needs to be the objective in times of tight budgets and clearly represents the 'greatest achievement' the longer term result indicators should measure. It is therefore justified to exclude subsidised jobs from LTR28.

The definition of LTR29 (Participants in self-employment 6 months after leaving) can be assessed as clear. There was support for the LFS definition of self-employment¹⁸³ in the working group, but delegates suggested excluding participants that are "in the process of setting up a business" and focus on counting those that have a company registration number or equivalent and are actively working as self-employed (also to distinguish between a participant who is self-employed at a low level of activity). The working group therefore recommended changing the definition of the indicator to: '*Persons receiving ESF support and who are registered as self-employed and actively working 6 months after the end of their participation in an ESF intervention*'.

During the 4th workshop delegates raised a point about coherence of the indicator set. It was noted that LTR29 is, in fact, a sub-indicator of LTR28. Moreover, it was noted that separating employment from self-employment created a discrepancy with O4 which combines these two categories (O4: employed, including self-employed).

LTR 30 (Participants with improved labour market situation 6 months after leaving) is potentially the most problematic in terms of its clarity. The following issues can be identified:

- The working group argued that the conceptual underpinning of the indicator is problematic because it adheres to the traditional 'human capital' model of labour, in which the policy logic takes the view that 'everyone should be employed indefinitely and full-time'. This position is seen as not properly addressing 'quality of employment'. Some members of the working group further felt that the indicator was subjective ('improved' labour market situation was given as an example) and vague. One written comment suggested that this indicator should be measured at the level of impact.¹⁸⁴ At the 4th workshop of the ESF working group delegates therefore did not support this indicator.
- The quality review of the indicator set carried out as part of this study (Deliverable 3) suggested that the indicator covers factors that the ESF cannot influence, including structural issues around the permanence of contracts (which in some countries and jobs are difficult to achieve) or the use of flexibilisation measures to deal with restructuring (for instance in times of economic downturn). A comment along these lines was also made as part of a written response from a member of the working group to this indicator. Whilst the objective of the common indicator set is to measure greatest achievements of the ESF, there is therefore the possibility that numbers may be low and differ greatly between Member States for reasons that are unrelated to ESF interventions.

It is therefore recommended not to include LTR30 into a set of common LTR indicators. Considering the relevance of the indicator in the Europe 2020 context, however (see next section), care should be taken to make this issue the subject of

¹⁸³ Eurostat (2001) The European Union Labour Force Survey. Methods and Definitions, p. 12
http://epp.eurostat.ec.europa.eu/cache/ITY_OFFPUB/KS-BF-03-002/EN/KS-BF-03-002-EN.PDF

¹⁸⁴ See Annex 2 to this report for written comments.

evaluation work which would allow to investigate this issue beyond simple survey work.

The table overleaf presents the LTR28 and LTR29 with the changes suggested by the working group (added in bold). To align definitions with the IR indicators, the term 'in employment' has been chosen rather than the terminology suggested by members of the working group. Further, in LTR28 the original word 'participation' has been replaced with leaving to align it with the remainder of the indicator set.

Another aspect of the validity of the LTR indicators is the extent to which the 'theory of change' embedded in them is sound and the indicators pick up changes that can be influenced by an ESF action ('sensitivity'). We have discussed the conceptual – theory of change – challenges with LTR30 above. The issue with LTR28 and LTR29 is less about the underlying theory of change and more about sensitivity. The 6-month timeframe is a key challenge here: whilst through the two indicators it is possible to measure change before and after participation in an ESF intervention, factors other than the ESF intervention may have made a significant contribution to the result measured. Understanding the relative contribution of the ESF to a positive result would therefore require an evaluation to construct the causal links from intervention participation to result (through quasi-experimental or theory-based approaches depending on what is methodologically more appropriate and feasible).

Table 28: Longer term result indicators discussed in the working group (amended)

No	LTR indicator	Definition	Source and comments
28	Participants in employment 6 months after leaving	<p>Persons receiving ESF support and who are in employment 6 months after leaving the ESF intervention.</p> <p>Employed persons are persons aged 15 and over who performed work, even for just one hour per week, for pay, profit or family gain during the reference week or were not at work but had a job or business from which they were temporarily absent because of, for instance, illness, holidays, industrial dispute, and education or training</p> <p>Employment excludes subsidised employment and self-employment.</p>	<p>Source: Eurostat, LFS (http://epp.eurostat.ec.europa.eu/cache/ITY_SDDS/en/lfsa_esms.htm)</p> <p>Comment: Subsidised employment should be understood as employment incentives in line with the LMP definition (§72-§75): Employment incentives (category 4) covers measures that facilitate the recruitment of unemployed persons and other target groups, or help to ensure the continued employment of persons at risk of involuntary job loss. Employment incentives refer to subsidies for open market jobs which might exist or be created without the public subsidy and which will hopefully be sustainable after the end of the subsidy period. The jobs that may be subsidised are usually in the private sector, but public or non-profit sector jobs are eligible too and no distinction is requested. With employment incentives the public money represents a contribution to the labour costs of the person employed and, typically, the majority of the labour costs are still covered by the employer. However, this does not preclude cases where all costs are covered by the public money for a limited period. http://epp.eurostat.ec.europa.eu/cache/ITY_OFFPUB/KS-BF-06-003/EN/KS-BF-06-003-EN.PDF</p>
29	Participants in self-employment 6 months after leaving	<p>Persons receiving ESF support, and who are registered as self-employed and actively working 6 months after leaving the ESF intervention.</p>	
30	Participants with improved labour market situation 6 months after leaving	<p>Persons receiving ESF support, who transitioned from precarious to stable employment, from underemployment to full employment, and/or have taken up a job requiring EQF competences 6 months after leaving the ESF intervention. <i>"Precarious employment should be understood as the absence of 'permanent employment' and 'work contract of unlimited duration'. Given institutional discrepancies, the concepts of 'temporary employment' and 'work contract of limited duration' describe situations which, in different institutional contexts, may be considered similar. Employees with a limited duration job/contract are employees whose main job will terminate either after a period fixed in advance, or after a period not known in advance, but nevertheless defined by objective criteria, such as the completion of an assignment or the period of absence of an employee temporarily replaced."</i> - underemployment should be understood as : <i>"Involuntary part-time employment — This is when respondents declare that they work part-time because they are unable to find full-time work."</i></p>	<p>Source, Eurostat, LFS (http://epp.eurostat.ec.europa.eu/portal/page/portal/employment_unemployment_lfs/methodology/definitions)</p> <p>Comment: In line with Guideline no. 7: <i>"Member States should tackle labour market segmentation with measures addressing precarious employment, underemployment and undeclared work."</i> The wording in italics is identical to the LFS definition.</p>

Relevance: links to the objectives of Europe 2020, Integrated Employment Guidelines, social OMC and the ESF

The three LTR indicators discussed above set out to measure the employment effects achieved by ESF funded interventions within six months of that intervention having ended. Increasing labour market participation is a key objective of all employment and social inclusion strategies relevant for this study. Europe 2020, the Integrated Employment Guidelines, the social OMC as well as the ESF (based on the current regulation) address the following three themes: enhancing access to employment, increasing participation in the labour market and encouraging active ageing and longer working lives. Table 29 below shows the high degree of coherence around these themes displayed by these policy strategies.¹⁸⁵

Table 29: Comparison of key messages on increasing labour market participation in key EU employment and social inclusion strategy documents – high coherence

ESF Regulation	Social OMC	EU2020	Integrated Employment Guidelines
Increasing labour market participation of women and men, reducing structural unemployment and promoting job quality			
High Coherence			
Enhancing access to employment	Increasing access to labour market	identify ways to better manage economic transitions facilitate and promote intra-EU labour mobility	75 % of the population aged 20-64 should be employed
Increase participation in the labour market	Reduce people in jobless households	Fight unemployment and raise activity rates	Measures addressing precarious employment, underemployment and undeclared work remove barriers to labour market entry for newcomers
Encouraging active ageing and longer working lives	Employment of older workers	Promote active ageing policies	Promote active ageing

Comparing the focus of the LTR indicators with the employment themes included in relevant policy documents and the ESF regulation, we can conclude that all three are highly relevant. LTR 25 (Participants in employment 6 months after leaving) directly supports all of the employment policy themes that are shared among the key EU strategies (see table above). In addition, it supports some less common themes such as youth unemployment (ESF, Europe 2020, Integrated Employment Guidelines), migrants' participation in employment (ESF, Europe 2020, Integrated Employment Guidelines). LTR 26 (Participants in self-employment 6 months after leaving) also directly supports these objectives as well as the entrepreneurship objective covered only in the ESF regulation and the Integrated Employment Guidelines. LTR27 (Participants with improved labour market situation 6 months after leaving), finally, directly supports the Integrated Employment Guidelines objective of addressing precarious employment, underemployment and undeclared work. The LTR indicators are therefore valid. This assessment was also shared by the working group, in particular with regard to LTR indicators 22 and 23.¹⁸⁶

Turning to the policy domain of social inclusion and poverty, we can observe that two themes are consistently found in relevant strategies and the ESF regulation: integration of disadvantaged people in employment; combating discrimination and supporting equality in the labour market (see Table 30 below). Focusing, as the

¹⁸⁵ The full assessment can be found in Annex 3.

¹⁸⁶ ESF Intervention Logics and Related Common Indicators, Minutes from the 4th workshop of the working group of MAs (draft)

LTR indicators do, on employment therefore means they also show a strong link to the common themes of the social inclusion and poverty agenda of Europe 2020 and the social OMC.

Table 30: High coherence themes in the field of social inclusion and poverty

ESF Regulation	Social OMC	EU2020	Integrated Employment Guidelines
Promoting social inclusion and combating poverty			
High Coherence			
Sustainable integration of disadvantaged people in employment	Support social cohesion for all	Design and implement programmes to promote social innovation for the most vulnerable	Extend employment opportunities
Combating all forms of discrimination in the labour market	Supporting equality between men and women and equal opportunities for all	Fight discrimination	Ensure equal opportunities Put in place effective anti-discrimination measures

Especially if we equate high coherence of policy themes between key strategy documents with high importance we can therefore conclude that the three LTR indicators are highly relevant in terms of the employment and social inclusion and poverty objectives of Europe 2020. The question is, then, what the indicators in themselves say about the ‘distance travelled’ to these policy objectives. This is discussed in the next section.

Theory of change

Analysing the extent to which the LTR indicators match up with the objectives of Europe 2020, the Integrated Employment Guidelines and the social OMC we conclude that all LTR indicators link to the final stage in our seven step model – the retention of a new and better (employment as well as socio-economic) situation, that is, the medium if not long term policy objectives of Europe 2020. In terms of the indicator set’s ability to reflect the distance travelled to work, the LTR indicators build on the output and IR indicators by measuring employment and improved quality of employment.

Data collection, aggregation and reporting

In terms of data collection, the LTR indicators are probably the most challenging of the whole indicator set. Data collection will require the use of follow up surveys.¹⁸⁷ This raises practical and methodological challenges.

Two members of the ESF working group who submitted written comments on the indicators before the workshop expressed concern about the costs of collecting data for the LTR indicators. For instance, in Germany the Bundes-OP has about 1.9 million participants. Collecting data per participant would involve very high costs and would be neither cost-effective nor feasible; though this may be less of a challenge for some of the smaller Member States (e.g. Luxembourg did not think there was going to be a data collection problem). One way to address this could be through sampling, e.g. on specific target groups or for specific instruments. However, when aggregating data at Member State and even more so at European level this would risk distorting results, e.g. if sampling is undertaken ‘strategically’ to incorporate only the most successful instruments or easiest to reach target groups, or if sampling is undertaken by some Member States only. Using the technical

¹⁸⁷ ESF Intervention Logics and Related Common Indicators, Minutes from the 4th workshop of the working group of MAs (draft), p 4

assistance budget to support Member States in setting up appropriate methodologies for carrying out surveys could be another solution.

The uneven timeframe and duration of ESF funded interventions, and hence individual involvement in them, creates another practical challenge for data collection. It means the data collection process cannot be 'standardised' at OP level but would need to be managed at intervention level. Project managers will therefore have a crucial role in collecting these data as they are most in touch with patterns of delivery and participation. Delivery contracts would therefore need to stipulate a requirement to collect data on any result indicators chosen by the Managing Authorities to ensure this happens, and funding provided to them would need to enable them to carry out the necessary data collection exercises.

A second set of challenges around the LTR indicators relates to the methodological limitations of collecting data on the LTR indicators. Concretely, there is likely to be a significant problem with attrition (that is, loss of participation) between the monitoring and the follow-up stages: engaging participants in follow up activities tends to be difficult, and particularly so with target groups from very disadvantaged backgrounds.¹⁸⁸ One of the methodological risks this entails is a response bias (for instance only those with the most positive results responding) and hence a distortion of achieved results.

Analytically, attribution is a key challenge. Within the 6-month timeframe a range of factors ('intervening variables') could contribute to the individual participant obtaining employment (or failing to do so), and these factors may not necessarily be related to the ESF funded activity. This points towards another methodological challenge: the blurring of boundaries between monitoring and evaluation. For example, ideally, a survey to measure long-term effects would require a randomised treatment-control group design in order to estimate the ESF effect. This, however, would not only be very costly, it would also be difficult to implement (both logistically in terms of finding a control group and in terms of skills) and would be a clear evaluation activity. Indeed, some of the written comments on the LTR indicators pick up on these challenges and suggest that the LTR indicators are, in fact, impacts and should be a matter for evaluation.

Four conclusions can be drawn from the above analysis. First, unlike outputs and immediate result indicator data, which can be collected using entry and exit data collection methods, long-term indicator data are likely to reflect 'estimates' based on accessing a critical mass of participants, either through 'panel' surveys (longitudinal surveys of different groups over different time-frames) or 'cross-sectional' surveys taken at different points in time. Second, the practical (delivery) and methodological aspects of collecting data on the LTR indicators suggests that reporting on this indicator group would need to take place periodically (that is, form part of a potential 5-year strategic reporting arrangements) and could not take place annually. Third, the point at which data on the LTR indicators are collected will need to be carefully considered. Surveys should ideally be run as closely as possible after the end of the 6-month period following exit from the ESF intervention (within one to two months) to bound some of these challenges. Fourth, evaluation work will be needed to really understand the cause-effect relationships behind the data collected.

¹⁸⁸ See also: ESF Intervention Logics and Related Common Indicators, Minutes from the 4th workshop of the working group of MAs (draft), p 4

Summary

The table below summarises the results of the review above of the LTR indicators.

LTR indicator no.	Name	Is the indicator...		
		Clear?	Relevant?	Possible to collect data on?
28	Participants in employment 6 months after leaving	Yes	Yes	Yes
29	Participants in self-employment 6 months after leaving	Yes	Yes	Yes
30	Participants with improved labour market situation 6 months after leaving	No	Yes	Somewhat

5.3.3 Gaps in the longer term result indicator set and suggestions for filling them

The indicator review carried out as part of this study as well as the discussions during the fourth workshop of the working group on ESF logics of intervention and related common indicators highlighted that the original indicator set had some gaps, most notably in the areas of result indicators on the social inclusion and poverty dimension of the ESF, institutional capacity and governance and enterprises.

Social exclusion

Whilst the employment and education focus of the result indicators discussed above captures important social exclusion dimensions, other aspects are not represented. With a view towards Europe 2020, reducing poverty is of particular importance. During the 4th workshop of the working group of Managing Authorities on ESF logics of intervention and related common indicators delegates suggested a result indicator on “participants above the national poverty line 6 months after leaving.” However, whilst this is an important social inclusion outcome of ESF interventions, this indicator does not capture results as defined in the context of this study (that is, “immediate short term changes and benefits associated with the use of outputs”). It is, rather, an impact which needs to be investigated with the help of evaluation.

Institutional capacity and governance

The second gap in the indicator set discussed in the 4th workshop of the working group on ESF logics of intervention and related common indicators is in the area of ‘institutional capacity and governance’. Whilst there is no Europe 2020 target for this area, we have identified three areas are mentioned in all relevant documents: reforms, better regulation and good governance; modernisation and strengthening of labour market institutions, in particular employment services; involvement of stakeholders. In addition, in the current funding period this policy domain is an important one for the ESF (especially the least developed regions and Member States).

A mapping exercise undertaken as part of Deliverable 2 of this study has shown that the result indicators currently used by Member States in their OPs are highly programme specific (and often merge output and result indicators). This conclusion is supported by work undertaken as part of a separate contract to define common indicators from the current set of 7000 in SFC2007 using a thematic clustering

methodology.¹⁸⁹ This only generated indicators for enterprises and did not produce result indicators relating to institutional capacity and governance which indicates that there are currently insufficient similarities between indicators used to develop a common one. Indeed, Member States at the second workshop of the ESF working group felt that result indicators for systems and structures and enterprises would be difficult to develop.¹⁹⁰

This evidence suggests that result indicators in the field of 'institutional capacity and governance' might be most meaningful when developed at the OP level (where information would need to be collected through surveys and ideally be followed up through thematic evaluation work).

Nevertheless, taking into account the fact that the common indicators should measure greatest achievements and the Europe 2020 objectives of modernising labour market institutions there is one LTR indicator that could usefully be included in the common indicator set:

- Government sector organisations *that have gained a recognised quality standard 6 months after leaving.*

Definition: The number of government sector organisations that have acquired a recognised national, European or international quality standard *which can be ascribed to participation in ESF funded projects 6 months after participation.*

Comment: A quality standard could be accreditation or certification in areas such as: work organisation (e.g. process management accreditation ISO9001), environment friendly management, health and safety, educational standard and others.

The indicator links to the quality and effectiveness goals of Europe 2020, the Integrated Employment Guidelines and the ESF. The 'theory of change' behind the indicator is that gaining a quality mark means adhering with management 'best practices' and as a result delivering efficient and high quality services of public interest. Data on this indicator should be straightforward to collect by surveying those involved in the ESF intervention from between seven to twelve months after the end of the ESF intervention. Whilst there is no internationally recognised definition for this indicator, the wording incorporates terminology from the common indicators contract and thus to SFC2007.

The 6-month timeframe of this indicator may be too short to capture data on major accreditation schemes (such as ISO9001). In addition, when data is aggregated across OPs and Member States it will also not offer any detail on the kinds of quality certificates that were gained. It is therefore recommended to use evaluation in order to obtain this information as well as the impact of this accreditation on quality of service provided.

Support to enterprises

The set of longer term result indicators discussed in the 4th workshop of the working group on ESF logics of intervention and related common indicators also does not include an indicator on support to enterprises. In the current programming period,

¹⁸⁹ Eureval et al (2011) ESF implementation in the period 2007-2013 -Template for EC reporting and 2008 outline report (VT/2009/103), undertaken by Eureval, Ramboll Management and Ecorys for the EC

¹⁹⁰ Minutes of the second workshop of the working group on ESF logics of intervention and related common indicators.

the ESF funds adaptability interventions for enterprises undergoing change.¹⁹¹ The European Commission's Europe 2020 flagship initiative "An industrial policy for the globalisation era" aims to improve the business environment, notably for SMEs, and to support the development of a strong and sustainable industrial base able to compete globally.¹⁹² As part of this, the Commission will, among others, support entrepreneurship, provide help and support to meet the challenges of globalisation and a low-carbon economy and promote the competitiveness of Europe's primary, manufacturing and service industries. In addition, Europe 2020 aims to support entrepreneurship (e.g. through the flagship initiatives Innovation Union and Youth on the Move and An industrial policy for the globalisation era).

Whilst members of the working group welcomed an indicator on enterprises in the 4th workshop, no specific request for a longer term indicator on enterprises was made. Indeed, facets of support to enterprises are covered through the output indicators 'number of SME's supported' and are also included in the support to the employed. Entrepreneurship is captured by the output and immediate result indicators on self-employment. In terms of a longer-term result indicator on support to enterprises, therefore, it could be considered to include one on quality standards for SME's along the lines of LTR28 above. By capturing aspects of performance improvement, the attainment of a quality standard through participation in an ESF funded intervention could then serve as a proxy measure for competitiveness. Indeed, the primary strategy of SMEs to face increasing competition is the improvement of product quality.¹⁹³

The two additional indicators discussed above are presented in the table below.

¹⁹¹ See: <http://ec.europa.eu/esf/main.jsp?catId=49&langId=en>

¹⁹² European Commission (2010) Europe 2020. A European strategy for smart, sustainable and inclusive growth, p. 4, http://europa.eu/press_room/pdf/complet_en_barroso_007_-_europe_2020_-_en_version.pdf

¹⁹³ http://ec.europa.eu/enterprise/policies/sme/facts-figures-analysis/sme-observatory/index_en.htm

Table 31: Additional longer-term indicators in the areas of institutional capacity and governance and enterprises proposed by the study

No	LTR indicator	Definition	Comment
31	Government sector organisations that have gained a recognised quality standard 6 months after leaving	Government sector organisations that have acquired a recognised national, European or international quality standard, which can be ascribed to participation in an ESF funded intervention, 6 months after participation.	Comment: This quality standard could be accreditation or certification in areas such as: work organisation (e.g. process management accreditation ISO9001), environment friendly management, health and safety, and educational standard and others.
32	SMEs that have gained a recognised quality standard 6 months after leaving	SMEs that have acquired a recognised national, European or international quality standard, which can be ascribed to participation in an ESF funded intervention, 6 months after participation.	Comment: This quality standard could be accreditation or certification in areas such as: work organisation (e.g. process management accreditation ISO9001), environment friendly management, health and safety, and educational standard and others.

5.3.4 Community Added Value

The IR and LTR indicators can support assessments of Community Added Value in terms of the employment and educational attainment results achieved by ESF funded interventions. As was the case with the output indicators, the result indicators offer gross figures on the results of ESF funded interventions. When factoring in the relative importance of the ESF vis-à-vis other labour market and social policy interventions (drawing on the intervention logic), this may give an indication of the importance of the ESF in achieving them. However, a robust assessment of the net effects of the ESF on the results requires additional evaluation work which factors in the issues of deadweight, displacement and multiplier effects.

6 CONCLUSIONS

This report has described the 'journey' through which an intervention logic framework, and a set of associated common indicators, have been developed to help meet the needs for implementation, monitoring and reporting of the ESF in the new programming period post 2013. As noted in Chapter 3, the approach used to develop the framework and indicators was based on an iterative methodology that combined desk research with interviews, case studies and, in particular, an 'action research' approach that engaged stakeholders, through the working group on ESF logics of intervention and related common indicators, in the collaborative design and testing of the framework and tools. The approach has helped to ensure that the framework and tools reflect 'state of the art' in theory and evidence-based practice as well as addressing the practical realities of implementing the framework and indicators in the field. The framework incorporates common building blocks that are intended to support EU-wide standardisation in monitoring and reporting for the ESF, as well as providing ways to reflect the particular contextual nuances of member states and regional and local situations.

The iterative use of validation practices in successive development and refinement phases of the framework was intended to ensure that the final proposed framework is: rigorously tested, usable, relevant and acceptable to stakeholders.

Against this background, this concluding section focuses on two issues:

- First, we provide a brief summary of the features of the key outputs of the study: the logics of intervention framework and the outputs and result indicators, and the rationale for their final form.
- Second, we provide a review of the possible challenges associated with their future utilisation and possible ways in which to address them.

6.1 Summary of the key outputs of the study

6.1.1 *The intervention logic framework*

The rationale for the proposed framework

The rationale for the intervention logic framework and the 'drivers' that have shaped its final form stem from the following:

- The results of the review of theory and practice carried out in the study;
- The assessment of the issues and problems highlighted through analysis of how implementation and monitoring has been experienced in the current programming period;
- The requirements for the next programming period;
- The results of the analysis of data drawn from interviews with key stakeholders and the results of the validation process, including the workshops involving the working group on ESF logics of intervention and related common indicators.

The starting point for the framework was the need, identified in the literature, to provide something that could demonstrate "the conceptual link from an intervention's inputs to the production of its outputs and, subsequently, to its impacts on society in terms of results". Many logic models are useful operational

tools that show linkages between objectives, activities, outputs, results and impacts. The main difficulties with intervention logic approaches, however, as shown in the literature and practices review, lie in adequately demonstrating the 'theory of change' that links the over-arching rationale of a programme to its anticipated results. In turn, many logic models do not deal effectively with a 'point of view' perspective - showing the relationship between a programme and the broader contextual environment within which the programme is embedded. Other issues highlighted by the literature and practices review included: poor representation of how 'progress towards' expected results can be assessed; inadequate representation of the response that programme activities generate (the mechanism of change); difficulties in representing how 'time' effects the implementation of a programme and its expected results and impacts; capturing the ways in which the programme 'logic' and its objectives can sometimes be interpreted in different terms by different stakeholders.

These issues were reinforced by our assessment of the issues experienced in the current ESF programming phase. A key conclusion of the study was that, although a number of tools are available at the EU level to support the use of intervention logics in programming, currently little use is made of the tools in the member states. This strongly suggests the need for future frameworks and tools to be usable, relevant and practical. Another key finding of the study was that existing programming tools are not always able to show a clear and logical pathway from spending to activities to outputs and results through to key policy objectives like the Lisbon agenda. Finally, another gap in current provisions was that previous programme design, implementation and monitoring have not sufficiently represented the 'user voice'.

Two further 'drivers' shaped the rationale for the final form of the intervention logic framework. These reflect two key requirements for the new programming period. First, ESF OPs need to be able to demonstrate in a more coherent manner linkages to EU employment and social inclusion strategies. Second, OPs will need to show more clearly how priorities, activities and target groups link up with Europe 2020 objectives. The logic of intervention therefore illustrates how ESF funds are concentrated on Europe 2020 objectives and areas where ESF support can have significant effects. By building a causal chain from action to objectives, the intervention logic further points towards possible Community Added Value (in particular possible volume and scope effects).

Key features of the intervention logic framework

The final form of the intervention logic framework, described above in Chapter 4 of this report, implements this rationale as follows:

- The intervention logic framework shows a link between ESF activities and Europe 2020 by connecting ESF priorities (and interventions) and policy priorities of Europe 2020;
- The logic of intervention is constructed at priority axis level.
- Target groups defined currently in Annex XXIII are covered.
- The intervention logic is designed to demonstrate the added value of the ESF, and in particular the 'intrinsic' added value, e.g. the contribution of the ESF towards Treaty objectives in the fields of employment and social inclusion, by 'building a 'chain of causality' by which action contributes to achieving a particular Treaty objective.

- The logic of intervention model includes the following core components: inputs, outputs and results.
- A logical coherent chain from the context / initial problem to inputs / activities through to outputs and results is demonstrated. This 'tells the story' of a programme.
- The information and format is usable for all programming activities: planning, implementation and evaluation.
- The logic model is displayed in a table / predefined matrix structure. This table provides a logical summary of the OP and how it links to Europe 2020.
- The format is designed to be as simple as possible so as to encourage use by the member states.

The framework consists of three integrated tables: a 'needs analysis' table; a 'context' table; an 'OP summary table. The needs analysis table represents a high level summary of the 'problem situation' in a member state in relation to the Europe 2020 objectives. The context table represents the 'time' dimension of an evolving programme; provision for including more background information on how to deal with a regional need or a particular target group's need; a field to add text to the table to cater for policy fields and quantitative data. The OP Summary Table broadly follows the format currently used to summarise OPs and which can be found in a similar format in some OPs. It includes funding (both Community and national) allocated to priority axis. This allows for another way to create linkages to Europe 2020.

6.1.2 The common indicators

The rationale for the proposed common indicators

The rationale for the proposed common indicators set is primarily driven by the potential shortcomings of the Annex XXIII output indicators (and the rules governing them), as assessed in light of the requirements that the Europe 2020 strategy places on the ESF (as well as the other structural funds).

The main challenges identified in relation to the existing rules governing Annex XXIII were twofold: Firstly, Annex XXIII indicators capture data on outputs and on people only. This means EU-level information on results achieved through the ESF can only be created bottom up by clustering similar OP-specific result indicators. This clustering is, however, only possible to a very limited extent due to the great variety of scope and definition of the result indicators. Consequently, that bottom-up clustered indicators do not cover the entire breadth of programme intervention and not all programmes to the same extent. Demonstrating concentration of ESF support on Europe 2020 objectives as requested by the 2010 Budget Review is thus not feasible with this bottom-up approach. Secondly, not all Annex XXIII indicators are backed by common definitions; they may therefore be defined differently in the Member States with the resulting effects on the validity of the aggregated data.

Key features of the proposed common indicators set discussed with the working group

A total of 20 output and result indicators was reviewed and discussed with the working group.

The output indicators can be grouped under the same headings as the current Annex XXIII indicators broken down by gender: labour market status indicators

(unemployment; employment; economic activity), age indicators (below 25 years; 55 to 64 years), indicators relating to vulnerable groups and indicators relating to educational attainment (primary; secondary; tertiary). In addition, they include an indicator on 'systems and structures'. Whenever possible, the definitions of these output indicators are based Eurostat's LMP database or the LFS. Validation of the output indicators shows that most rate high on the key evaluation criteria of definitional clarity, relevance (in particular with regard to the Europe 2020 objectives), and collectability (in terms of quality of data, costs and low administrative burden). Issues with data collection or comparability may persist with two indicators: 'nationals with foreign background' (part of indicator O12) is likely to be defined differently in Member States and hence include different types of participants. Data protection legislation may affect how data is collected. The size effect of these differences can only be estimated through evaluations. The definition of the 'systems and structures' indicator has been criticised as not being very clear and challenging to incorporate into a monitoring system; data collection challenges may therefore arise. For these reasons, it is recommended to replace this indicator with a set of measures focusing on different kinds of organisations supported by the ESF.

The immediate result (IR) indicators cover: inactive participants newly in job searching upon leaving, participants in education / training upon leaving, participants gaining a qualification upon leaving, participants in employment upon leaving. The definitions of the IR indicators were, overall, assessed as clear by the working group and the study team, although some minor changes in wording were suggested by the validation process. In principle, collecting data for the set of IR indicators is unlikely to pose many logistical difficulties.

Finally, the common indicator set discussed with members of the working group contains three longer term result (LTR) indicators: participants in employment 6 months after leaving; participants in self-employment 6 months after leaving; participants with improved labour market situation 6 months after leaving. Whilst relevant to Europe 2020 objectives it is not recommended to include the latter in a common indicator set because the definition incorporates too many factors that are not under the control of Managing Authorities. This issue should therefore be investigated through evaluation. In terms of data collection, the LTR indicators are probably the most challenging of the whole indicator set. Collecting data on LTR indicators is likely to involve the use of follow up surveys. This raises practical and methodological challenges such as costs and attrition rates. Attribution issues are also likely to be significant and will need to be investigated with the help of evaluation.

Additional output and result indicators proposed by the study

In addition to the above indicators, the study proposes a set of additional output and result indicators. These take into account recommendations from the working group and address gaps identified by the policy review undertaken by the study team, most notably in the area of social inclusion, enterprises and institutional capacity and governance.

The additional output indicators proposed are: the long term unemployed and the self-employed; participants with a care gap and participants affected by homelessness; SMEs and non-profit organisations.. Two alternative indicators to the original one on 'systems and structures' re proposed: 'government sector organisations' and 'partnerships and networks'. Standardised definitions have been applied wherever possible, though this has not been possible for partnerships and

networks. Data collection on the homelessness is likely to be challenging as the nature of the vulnerability may aggravate issues of attrition.

Two additional immediate result indicators are proposed in order to strengthen the entrepreneurship and social inclusion dimension of the set: participants in self-employment upon leaving; inactive participants completing preparatory training. Finally, it is proposed to amend the longer term result indicators with two indicators on quality standards achieved by government organisations and SMEs.

6.2 Issues to consider for implementing the intervention logic framework

Three challenges for the successful implementation of the proposed intervention logic framework, and recommended solutions, were identified by the study.

First, to avoid the framework being seen as an administrative burden by Managing Authorities, it would be helpful for the tables to be accompanied by clear guidelines (including the background to the approach, definitions and possible data sources) to ensure they support better programme planning and implementation. In addition, a slimmed-down 'summary' version of the framework and tables, focusing on the bare essentials and removing columns such as results description, target groups, output description, risk and challenges, might also be well-received.

Second, the systematic use of intervention logic is likely to be hampered by the diversity of theory and practice in the field, a lack of an embedded intervention logics culture within the ESF environment and a fragmentation of the knowledge base on the issue. The development of an intervention logics culture in ESF Managing Authorities therefore needs to be actively supported. This could be achieved through mechanisms such as: building on and taking forward the work of the working group on ESF logics of intervention and related common indicators; a programme of awareness raising, training and professional development; promoting networking and knowledge sharing between stakeholders and consolidating and integrating a range of tools.

Third, though a key objective of the study was to produce a framework and tools that are simple to use, the 'spreadsheet' format of the current tables is unwieldy and difficult to use. Exploring the feasibility of alternative representational media – such as on-line forms with different menus – would be a worthwhile future action.

ANNEX 1: MINUTES FROM THE WORKING GROUP MEETINGS

▪ Minutes of the First Workshop of the ESF working Group



EUROPEAN COMMISSION
Employment, Social Affairs and Equal Opportunities DG
Directorate-General
Evaluation and impact assessment

Brussels,
EMPL/0/3/JM D(2009)

Minutes of the meeting of the Working Group "Developing logics of intervention and related common indicators for the next programming period"

Brussels, 12/11/2010 J-II, 7/59 09:30 – 16:00

1. Introduction and context

The meeting was introduced by Thomas Bender (ESF coordination unit of DG EMPL) and chaired by Antonella Schulte-Braucks (Evaluation and impact assessment unit of DG EMPL). A brief "tour de table" took place.

Thomas Bender introduced the framework of this working group: Europe 2020, the Budget review, the 5th cohesion report are all referring to performance management in addition to the accountability requirements. In particular, two principles of Europe 2020: are to underpin qualitative objectives with targets and indicators; and – as already proposed by the Prodi Commission, a budget structure that mirrors objectives The setting is not agreed yet (issue of financial framework of 5+5 years with a mid-term review, performance reserve), but will become more clear in the course of 2011. The Commission is looking for a limited set of common indicators, not necessarily highly scientific, which can be reported for monitoring purposes (within a relative short time span) and should not include impact indicators. This set should allow the Commission to meet these objectives.

Antonella Schulte-Braucks underlined the need to develop together with Member States robust, feasible and shared indicators. This working group should focus on concrete issues.

2. Role of the working group as it was Discussed

It is understood that the ESF Committee and the 5th Cohesion Report call for common indicators for the next reporting period¹⁹⁴.

¹⁹⁴ ESF Committee Ad Hoc Group on the Future of the ESF (2010) Delivery Systems (2), 3rd meeting, http://www.esparama.lt/es_parama_pletra/failai/fm/failai/ES_paramos_ateitis/3.1_diskusiju_dokumentas_03_02_8P.pdf "more strategic OPs and more focused on outputs and results". "The Committee welcomes the idea of developing a limited set of core indicators for ESF funding". Communication from the Commission to the European Parliament, the Council, the European Economic and Social Committee, the Committee of the regions and the European Investment Bank "Conclusions of the fifth report on economic, social and territorial cohesion: the future of cohesion policy, {SEC (2010) 1348 fin, Brussels, 9.11.2010 http://ec.europa.eu/regional_policy/sources/docoffic/official/reports/cohesion5/pdf/conclu_5cr_part1_en.pdf "Future Cohesion Policy must be aligned with Europe 2020"- "Focus the ESF on securing the 2020 targets" "a few core Fund-specific indicators linked to the Europe 2020 framework"

The role of the working group is essentially to provide feedback and advice on the logic of interventions and related common indicators proposed by the COM, with the support of the contractors.

A service order has been awarded by the Commission to a consortium led by EPEC « developing logics of interventions and related common indicators for the next ESF OPs ». It will produce the following 3 main deliverables by April 2011:

1. Methodologies to develop intervention logics at priority level
2. Full logics of interventions in 3 policy areas: enhance access to employment, social inclusion, and administrative capacity
3. For each policy area, related common output and result indicators, including definitions, methodology to construct them, possible data sources, frequency, method of data collection and reporting

Three further workshops with a limited number of Member States are foreseen in the course of this contract, which is to be completed in April 2011. The outputs of this working group should feed in the draft regulations which should be presented in March/April. This underlines the importance of advancing quickly on this issue.

The Commission explained that this working group should not at this stage consider the issue of performance reserve or conditionality, and focus rather on the minimum reporting requirements for common indicators which would be useful both for the Commission and for Member States. Likewise, the issue of setting performance targets is a different topic, which will be discussed in the framework of the ESF Community of Practice on results based management (RBM).

3. Feedback on the Joint Assessment Framework (JAF) for Europe 2020

Commission: Policy areas of the JAF have been defined so as to be homogeneous. It was decided that the ESF would not be a separate chapter of the JAF, but integrated throughout the framework. An initial list of core indicators for the analysis plus supplementary context indicators which are not part of the quantitative assessment mechanism were presented. Indicators developed so far say very little on efficiency, except for the follow-up of participants. Areas where no quantitative indicator exists at EU level will rely on a pre-defined qualitative analysis. The issue of specific indicators for the ESF is still being considered. Priorities or policy areas of the JAF may become priorities/spending categories for the ESF. In the JAF, migrants are defined as non EU nationals. National targets for poverty will be expressed as numbers (and not %) to allow aggregation.

Member States: it is difficult to establish a direct link between the ESF OPs and the targets/indicators of the JAF, especially for the social protection and social inclusion strand, however, it would be worth setting intermediary indicators/targets within the OPs (not part of the reporting on common indicators) to signal what is expected from the ESF. It should be acknowledged that the net contribution to Europe 2020 can hardly be measured through data from the monitoring system, for example as regards deprivation. Likewise, the common indicators cannot be used directly to measure the success of a policy, such as the ESF.

4. Feedback on LMP database

Commission: relying on LMP definitions where possible would avoid reinventing the wheel and foster the aggregation of data, also because the methodology can exclude double counting. It is recognised that for the purpose of common ESF indicators, the list of activities

would need to be expanded and notably social inclusion activities and activities targeted at systems and structures, as also on data on participants (in LMP limited to sex, age and status on labour market). Another limitation is that presently regional disaggregation is incomplete and data at local level nearly inexistent. Finally, the information on the ESF is only qualitative: Eurostat does not have information on the level and share of ESF in its statistics. Interestingly, Eurostat has a contract to undertake a validation process of the yearly input by Member States (approximately 2-5 days per country of work), it may be worth investigating the usefulness of a similar system for the validation of common ESF indicators. Eurostat has attempted to gather information follow-up information on participants after a certain laps of time (employment, other LMP measure, unemployment, inactivity, don't know) with the support of national delegates, but has not yet managed to produce reliable data.

Member States: common indicators definitions would be useful to overcome the difficulty of having different administrative sources in Member States. In particular, categories of interventions should be defined according to policy areas, and it should be possible to have mixed interventions (interventions falling into more than just one policy area). Also as regards results, definitions should be clear and operational, in particular for concepts such as gaining qualification and returning to work.

5. Feedback on common indicators

Commission: Common indicators would allow to report more easily on performance and also to account better for our programmes. Annex XXIII is a good basis for developing common indicators, knowing that it needs to be expanded to enterprises, and systems and structures and may be simplified in other aspects (categories of participants and the number of times they are counted). Also, Annex XXIII only relates to outputs. We should investigate if we include some result indicators in the common indicators. It is important to have clear, shared and common definitions of these common indicators.

Member States: at this stage, aggregation is difficult, as there are no common indicators defined beforehand, and no common definitions, beyond Annex XXIII. Aggregation of a minimum set of indicators would be useful also at Member States level. Basic data should be defined in order to facilitate aggregation and disaggregation (e.g. numbers/absolute values), acknowledging that they can also be expressed in % for management purposes. There is a reluctance to include any indicator that would imply new data collection requirements or new costs, although it is felt that Managing Authorities can benefit from better quality of indicators. The common indicators proposed for the current programming period would be a good basis to develop common indicators for the next programming period. Common indicators should be linked to Annex XXIII, but also cover systems and structures. Having common indicators would also be useful for making beneficiaries aware of the priorities of the ESF. Having some good result indicators could save evaluation work in the future. These common indicators cannot reflect all activities within the ESF, but the major ones. Especially for innovative projects, it will be difficult to define common indicators, moreover the concept of performance does not apply to the same extent, as innovative projects should be allowed to fail. The Commission could offer some possible indicators for innovation, transnational activities, and activities with social partners without being part of the common indicators and only reflecting outputs (or alternatively guidelines).

6. Feedback on Logics of intervention

Commission: spending categories and common indicators should be linked in a matrix to improve our reporting. Spending categories should be aligned with Europe 2020. It would also be important to link target groups with the activities.

Member States: one participant would like the logic of intervention to be set below the priority level, and not the priority level itself as has been tentatively proposed in the service order. Presently priorities and categories are too large, and not homogeneous. Member States generally are in favour of linking/harmonising spending categories to common indicators. This could take the shape of a predefined matrix structure, allowing to link common indicators with spending expenditures, types of activities, and overall Europe 2020 objectives. Another option could be to have common indicators at activity level only (e.g. number of participants in type of action) for reporting on what the ESF actually spends it money on. The link from types of action to the EU 2020 headline objectives could then be made at OP level. This means the path to EU 2020 can be different in each OP.

Tasks till next meeting (proposed)

Commission (EMPL 03): propose a template to link activities with target groups; prepare concrete questions for the next meeting

Consultants: identify gaps of LMP with ESF requirements (target groups, types of interventions, activities); propose definitions for basic concepts such as "indicators", and "quality".

Member States: detailed feedback on proposed common indicators for the current programming period and how they could be used for the next programming period; propose intermediary indicators/targets (not common indicators) allowing to link with Europe 2020 targets or alternatively a menu of options

Distribution list/use of a platform

Participants agreed to share their email details for the purpose of this working group. Mr. Wauters offered the platform of Community of Practice RBM as a host for exchanging information. The consultants will also make a proposal in this respect.

Jeannette MONIER

Agenda

Working Group "Developing logics of intervention and related common indicators for the next programming period"

- | | |
|---------------|---|
| 9:30 – 10:30 | Getting started <ul style="list-style-type: none">-role of the working group-working method-role of contractors<ul style="list-style-type: none">-reporting to TWG and ESF Committee Ad Hoc Group on the future of the ESF |
| 10:30 – 10:45 | <i>Coffee Break</i> |
| 10:45 – 12:30 | Existing indicator systems <ul style="list-style-type: none">-The Europe 2020 indicators (presentations by EMPL D2 and EMPL E2)-The Eurostat Labour Market Policy Statistic (presentation by contractor of Eurostat)-Possible common indicators derived from those currently available in SFC2007 (presentation by EMPL03)-Discussion |
| 12:30 – 13:30 | <i>Lunch (sandwiches)</i> |
| 13:30 – 15:00 | Summarising and presenting Ops (part 1) <ul style="list-style-type: none">-The OP summary template used by the COM during the negotiation of some OPs of the current programming period |
| 15:00 – 15:15 | <i>Coffee Break</i> |
| 15:15 – 16:45 | Summarising and presenting Ops (part 2) <ul style="list-style-type: none">-Feedback from Member States on any templates used to summarise OPs-Discussion |
| 16:45 – 17:00 | AOB (next meeting, interface with contractors...) |

Minutes of the second workshop of the ESF working Group

Introduction

The meeting was introduced by Antonella Schulte-Braucks (DG EMPL 03) who welcomed participants and ran through the agenda. Kerstin Junge (Tavistock Institute) then welcomed participants on behalf of the study team.

Setting the scene

The meeting started with two presentations, one from Jeannette Monier (DG EMPL 03) and one from Joe Cullen (Tavistock Institute).

Jeannette Monier gave a presentation entitled “*Linking target groups, spending categories, priorities, to align with Europe 2020.*” The presentation covered the following three topics:

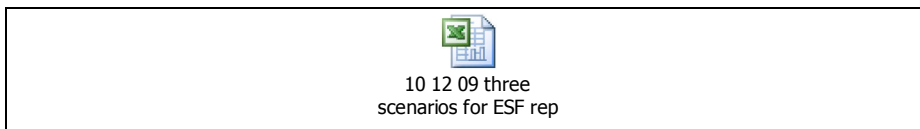
Key policy documents, such as the ESF Committee Opinion (3 June 2010) (emphasising the need for more “*strategic OP’s and more focused on outputs and results*” as well as better linkage between key policies and the OPs, in particular Europe 2020, and welcoming the idea of developing a limited set of core indicators for ESF funding) and the Budget Review and the conclusions of the 5th Cohesion Report (stressing the need for the ESF to focus on EU added value, on results driven budgets and greater concentration and coherence between EU instruments and agreed EU priorities).

The institutional framework governing OPs: Common Strategic Framework, developed by the Commission (translating Europe 2020 targets and objectives into national investment priorities), and Development and Investment Partnership Contracts presented by Member States (focusing on results expected from EU support).

The aim of this workshop: reflect with Member States on how to link target groups, spending categories and priorities using 3 different scenarios.

Before the workshop the Commission had sent possible lists for spending categories and target groups. The three scenarios creating these linkages were shown during the presentation: the first scenario by Integrated Employment Guidelines, the second scenario by policy areas of the Joint Assessment Framework and the third scenarios by the Eurostat’s Labour Market Policy categories. During the workshop, delegates were to discuss the strengths and weaknesses (important activities missing, improvements to Annex XXIII target groups, possible alternatives) of each of the three scenarios. The task was not to choose a scenario or to provide detailed definitions of common indicators.

The excel file showing the three scenarios circulated before the workshop:



Joe Cullen, of the Tavistock Institute, then reminded participants of the context within which the day’s work is situated. The purpose of the study is to develop both logics of intervention and related indicators for the next ESF programming round. Types of

logic models range from simple, linear, models to very complicated ones allowing for feedback loops. Considering the complex policy environment within which thinking about the next ESF programming round is taking place, the study task is to represent the complexity in an (albeit simple) logic model. Joe Cullen then offered participants an introduction and background to working with action learning sets – the format chosen for this workshop. The methodology allows for the views of different stakeholders to be heard by providing a space for sense making and alignment through small group work. Joe Cullen and Kerstin Junge then offered a detailed explanation of the small group work.

Assessing the strengths and weaknesses of the three scenarios

The participants were asked to distribute themselves into three smaller groups. Each group had the task of discussing the strengths and weaknesses of one of the three scenarios and to present their findings to the large group after lunch.

Scenario 1: Policy Areas of The Joint Assessment Framework

The group found that the JAF was a good framework to create the linkages because it is an operationalisation of the Integrated Employment Guidelines of Europe 2020 and thus already has a clear link to Europe 2020. The policy areas of JAF do, however, need to be further detailed for the purposes of ESF reporting. The group also found that there was a need to develop sub-categories in some areas, because some of the areas – e.g. improving skills supply and productivity – were very broad and did not reflect the full range of ESF activities (e.g. support to low skilled persons). The same applies to Social inclusion of groups at special risk and anti-discrimination, where projects targeting migrants and minorities specifically could be singled out. The group also found that innovation was not visible in the policy areas of the JAF, although it is cross-cutting area, and could thus be included as a sub-category in every policy area, rather than listed separately. The group also found that the JAF headings were lacking a reference to capacity building activities.

The group undertook a detailed assessment of how well activities currently funded under the “Systems and Structures” and “Enterprises” heading matched with the JAF policy areas.

‘*Systems and Structures*’ are relevant as ESF funded activities across all the policy areas of JAF. Nevertheless, the group found that ‘*Systems and Structures*’ was a difficult category because outputs were not very meaningful, e.g. the number of organisations supported. Results for systems and structures should be country specific and should be the subject of evaluation rather than monitoring. Finally, a break-down of the types of systems and structures supported (government, for profit, not for profit) or the different ‘sectors’ covered (labour market, education and training, social inclusion, health and safety) would be useful.

For ‘*Enterprises*’ the group found that the ESF was funding activities in all policy areas of the JAF except: increase labour market participation, and improving education and training systems. The group questioned whether there should be a reporting on SMEs, because some support is already benefiting larger companies and the areas covered presently by the EGF might possibly be included in the scope of the future ESF.

The group went on to discuss issues around definitions of target groups relating to persons/participants. Overall, the group found the Annex XXIII categories useful and

was not inclined to simplify them. It would be useful to be able to see how much money a project had spent per type of participant and then relate this to the output

-the first category should remain total number of participants to track unit costs of projects,

-followed by gender,

-employment status categories would be left unchanged compared to the current annex XXIII (and not regrouped as suggested in the scenarios) and only self-employment dropped, as this was covered by the policy area exploiting job creation possibilities

-age: the group found that the age category suggested three age brackets: 0-19, 20-64, above 64, to align with Europe 2020 targets

-the three categories of education proposed were acceptable

-There are some possible challenges to collecting data on disadvantaged groups as it can be politically sensitive and against data protection legislation to register migrant status/background, disabilities etc. The group thought that it could be useful to monitor also population groups at risk of social exclusion. However, this might be even more sensitive, as it means collecting/using information on income.

In the questions and discussion session afterwards, the following issues were raised:

Is it risky to choose JAF as the policy areas could change? It was pointed out that there was no guarantee that the JAF policy categories were going to stay the same during the next ESF programming period. Therefore, how relevant would the JAF be as a framework for ESF spending?

Should there be EU level definitions of minorities/disadvantaged groups or should this be up to the Member States? The opinions were divided on this. The definitions used by ESTA in this respect should be explored and may be proposed, still allowing Member States to specify these further in their programmes and reporting.

Scenario 2: Integrated Employment Guidelines

The group found that the key strengths of this scenario are:

- Usefulness for monitoring because the Guidelines are directly linked to Europe 2020.
- The Guidelines are broad enough for the Member States to align their own OPs and projects under them. One delegate found that it is an advantage that the Guidelines do not specify activities because these can be very different between countries, regions and local areas.
- The Guidelines reflect what is already being done in the Member States; it therefore be would easy for Member States to report according to the Guideline.
- The Guidelines are relatively easy to understand and this makes them easy to use in relation to both monitoring and evaluation.
- They are easy to explain to policy makers.
- The most important result/impact indicators must be: increased employment rates and lower unemployment rates.

The weaknesses of using the Guidelines are:

- They are too broad to use for linking spending and activities with output and results.
- There is some uncertainty as to the categorisation of certain target groups such as recent redundant workers: would they fit under Guideline 7 (increasing labour market participation/employability) or 8 (lifelong learning/adaptability)?
- The group also discussed whether it was necessary to have other Guidelines than number 7 and then just monitor outputs according to target groups. Member States with an emphasis on ALMP and found that Guidelines 9 and 10 were less relevant. Guideline 9 is mainly about education policy and could fit under Guideline 8 and Guideline 10 is most often measures that could lead to increased employment rates and thus fit under Guideline 7.

In terms of target groups (persons/participants), the group found that the proposed definitions of categories were useful. It is particularly relevant to focus on the long-term unemployed separately. Lone parents could also be an additional category. The sub-groups in the disadvantaged category (disabled, migrants, Roma) could be a challenge for national data collection as not all of this data is currently collected in the Member States. However, the group did not know how useful the proposed categories of '*Systems and Structures*' and '*Enterprises could be*'. The main reason for this is that these are too ambiguous presently and thus too difficult to define and assess. '*Systems and Structures*' could be different kind of organisations, relate to capacity building and it could address different areas of intervention. Also, the group felt that it would be difficult to define when there had been a significant change in systems and structures (a result), because some changes could be very subtle. For both '*Systems and structures*' and '*Enterprises*' it would be difficult to determine result indicators.

The large group discussion afterwards focused on the following issues:

- Is it possible to monitor institutional capacity building or is this more of an intermediate objective to achieve other objectives (e.g. higher employment rates)? There was some discussion as to whether this category was mainly relevant for New Member States and less so for Old Member States with established institutions. Another issue is how institutional capacity can be measured and how it can be separated from the other interventions e.g. projects to increase lifelong learning.
- Some Member States stressed that their OPs had projects which were only about social inclusion without any immediate goal of increased labour market participation (for instance supporting drug users in getting off drugs). However, another Member States argued that this could still fit under Guideline 7 (increased labour market participation) as these interventions would still increase the likelihood that these beneficiaries find a job as a result of being involved in such a project.
- There was a discussion about whether local activities matter for monitoring and reporting. Member States' Operational Programmes include different types of activities, projects and this diversity increases at local level. Some participants found that such local particularities would not be relevant for higher level monitoring and reporting – simply because of the diversity of activities. Several Member States found that this was mainly an issue for evaluation and not for monitoring and that the present work only addresses monitoring/reporting and not evaluation. These delegates stressed that it was crucial to keep these distinct and that it was not possible to base evaluations on common indicators only.

- There may be too much overlap between the Guidelines as spending categories and the ESF target groups. Sometimes they are very close, e.g. Employment Guideline 7 mentions structural unemployment and one of the suggested target groups is long-term unemployed. There was a feeling among some of the participants that tracking status and changes for target groups would show the same results as the spending categories, e.g. increased employment rates of women etc.
- Finally, it was pointed out that, whilst the Integrated Guidelines have certain stability, there was no guarantee that they would not change till 2020. Moreover, EMCO already opted for reporting on policy areas to draw conclusions on Integrated Employment Guidelines.

Scenario 3: Labour Market Policy / Eurostat

The strengths of using the LMP database of Eurostat are:

- It constitutes a clearly defined set of activities, agreed by the Member States (even if not used by most Managing Authorities of the ESF), and includes methodology support.
- The data is already being collected at least at national level.
- Unlike the other scenarios (which refer to objectives), these categories refer to activities. Furthermore, the categories are stable and unlikely to change. At the same time it is possible to add new activities.
- Finally, using the LMP means the ESF can be compared to other spending in future.

The weaknesses of this scenario are:

- It is not linked to Europe 2020 and could be misleading by indicating that a lot of spending in one area leads to a specific set of results. This may not actually be the case because the system only monitors indicators.
- The LMP database could be used for reporting but less so for evaluation as not all types of ESF interventions are included in the database.
- There are some details and activity types missing in the database, most notably social inclusion and education, but also equal opportunities and the support to the third sector. This is because it is a labour market database. Possible solutions include: Member States add more detail below the categories in the current database; more categories are added to the database.
- The database does not have any activity for innovation / capacity building / systems-structures etc. The question is whether this should be a sub-category under each main category or be recorded completely separately?
- Sometimes projects include several activities (integrated approach, especially in social inclusion): how should they then be categorised? However, the database already has guidelines on how to do this (e.g. by main activity rather than allocating every sub-action of a project).
- The group also discussed whether social inclusion needed to be a separate category, whether it could be included under other categories or by looking at disadvantaged target groups.

Large group discussion

The following issues were discussed by all delegates after the small group session:

- Is it feasible to use the LMP approach compared to the kind of reporting the Member States are doing now? Most Member States are in fact already collecting data by activity and target group. The categories of LMP are well defined. Others Member States argued that the LMP database does not have a clear link to the ESF yet.
- Does the Commission only want to use these indicators for reporting or also for programming? Several Member States stressed that it would only make sense to use common indicators for reporting purposes and not for programming. The Commission stressed that Member States will have to make clear links between the Integrated Employment Guidelines (EG), the Joint Assessment Framework in the Operational Programmes (OP). Monitoring and intervention logics are closely interlinked. A discussion followed about the level of intervention logics needed and the link to indicators and monitoring. Some participants found that intervention logics were only required at OP level whereas others found that there needed to be a clear intervention logic at EU policy level as well. One of the problems of the ESF and the Lisbon Strategy was that a clear link between the two were never established, so that it was difficult to identify how the ESF had contributed to the Lisbon targets. The Commission would like to avoid such a situation regarding Europe 2020. Thus there needs to be some linkage between the ESF and Europe 2020. Some Member States found that this is feasible, but that it will be up to each Member States to establish this link in their OPs, because the activities and context of each OP is so different that it would not be meaningful to make an EU level intervention logic. There can be common objectives and a few selected indicators for reporting, but not more. There was some concern about whether common indicators for all Member States would implicitly force all Member States to use the same intervention logic.
- Following on from this, one Member States suggested that there should be a clearer distinction between reporting on objectives and activities. It is difficult to report on reaching objectives the first couple of years in a programme, but not on activities carried out. Another Member States stressed that it should be decided what the objectives of the ESF are and that activities and monitoring should follow from this rather than the other way around. Some participants found that it would be sufficient to measure results on higher level objectives such as increased labour market participation as this would always be the ultimate aim. Others found that it would be inappropriate to measure results without knowing why and how such changes were achieved.

Summing up and reflections by the consultants and DG EMPL

The consultants summed up the day and presented some reflections on the workshop.

It seems that there is an implicit Theory of Change in the high level EU policy documents. One thing to consider for the next workshop could look at reach (types of target groups addressed through the ESF) as a vehicle to surface possibly different conceptualisations of how the ESF is going to contribute to achieving Europe 2020 goals.

Member States clearly have very different interpretations and understandings of key issues during the day – e.g. how to define social inclusion, target groups, intervention logic etc. In particular, it was interesting that there was a quite clear consensus on labour market issues, but less so on social inclusion. There are many issues related

to social inclusion that were not discussed at all, mainly issues that were not directly related to getting jobs.

Today we focused a lot on monitoring, which was also the key aim of the day. In the future we should consider *process* as well. There are different processes in planning, programming, evaluation and monitoring. The different scenarios presented today could be seen to represent different aspects of a programme life cycle.

The Commission found that we now had a good idea of strength and weaknesses of the 3 scenarios. An important outcome of the workshop was that it is now clear, that it would be relatively easy for Member States to report on LMP activities, but that the other two scenarios have the advantage of the clear link to EU2020. If the COM would opt for objectives, then these should be further "customised" to ESF activities and should be homogeneous. Also, the COM should distinguish between EU and OP level. It should explore further the issue of requirements for planning and reporting, which could be different. We need to work further on systems and structures.

Date and location for the next workshop

The next meeting of the working group will be on 20th January 2011, Hotel Bloom, Brussels.

Agenda

Logics of intervention and indicators for the next ESF programming period

Second workshop with the working group of Managing Authorities

10th December 2010

Hotel Bloom, Rue Royale/Koningsstraat 250

<http://www.hotelbloom.com/hotel/location-en.html>

Formatted: Dutch
(Netherlands)

Time	Agenda item
10:00-10:30	Arrival, Tea and Coffee
10:30-10:40	Welcome and introduction to the day <i>The study team</i>
10:40-11:00	Setting the scene 1: Different scenarios for target groups, for spending categories and for establishing linkages with priorities / Europe 2020 <i>Presentation by DG EMPL</i>
11:00-11:25	Setting the scene 2: Working with Action Learning Sets: the workshop process <i>Presentation by the study team</i>
11:25 – 11:35	Questions and answers Coffee
11:35 – 12:45	Assessing strengths and weaknesses of the scenarios for target groups, spending categories and linkages. <i>Small group work</i>
12:45 – 13:45	Lunch
13:45 – 15:30	Presentation of results from the small group work and discussion <i>All delegates</i>
15:30 – 15.45	Coffee break
15:45 – 16:15	Feedback from the study team on usability of methods for establishing linkages for the scenarios <i>Study team</i>
16:15-17:00	Summing up: important factors for establishing linkages, reflections and feedback, next steps <i>DG EMPL and study team</i>

Minutes of the 3rd workshop on Logics of Intervention and Related Common Indicators

ESF Intervention Logics and Related Common Indicators

Minutes from the 3rd workshop of the working group of Managing Authorities

20th January 2011, Hotel Bloom, Brussels

Purpose of the workshop

The purpose of the workshop was to discuss two tentative tables that represent: 1) current thinking on showing the link between the ESF Operational Programmes (OPs) and Europe 2020 via the Integrated Employment Guidelines; and 2) describe what the OP is planning to achieve. The purpose of the tables is to provide a template to summarise OPs (and demonstrate their logics of intervention) at the programming stage.

Table 1 summarises the choices of OP priorities of a country/region by putting them in the context of relevant EU and national Europe 2020 targets and gaps. Table 2 focuses on summarising inputs, activities, outputs and results at priority axis level.

Participants received these documents and instructions for preparation in advance of the meeting. At the workshop, the tables were discussed and tested in three sub-groups. Each group was focusing on one of three policy domains: social inclusion and poverty; increasing labour market participation; institutional capacity and governance.

Table 1: the needs and targets analysis

This table links the national (and regional if applicable) situation articulated in an OP, expressed in official statistics by priority axis, to the national Europe 2020 targets as articulated in National Reform Programmes. Needs and development gaps are contextualised using relevant Joint Assessment Framework (JAF) data, the investment priorities outlined in the Common Strategic Framework (CSF) and the Development and Investment Partnership Contract (DIPC). The table as discussed in the workshop is intended to include mostly quantitative data.

The needs and gaps analysis can be seen as mapping the 'rationale' behind the focus of the OP.

Usefulness and relevance of a needs analysis for programme planning and monitoring, link to Europe 2020

Presenting the socio-economic needs analysis in a table format using well established "objective" indicators was seen as useful for programme planning and monitoring. Most working group participants found that the link to the Europe 2020 strategy using the JAF indicators proposed in the table was straightforward (whilst considering that this is still work in progress). Specifically, the Integrated Employment Guidelines were seen as a useful framework to structure OP priorities and consequently the needs analysis, but should be broken down by target group.

There was a general consensus that it should be possible to structure the OPs for the next programming period in a way which makes each priority fit under each Employment Guideline.

Issues raised for further consideration included the possibility of initiatives cutting across guidelines (for instance activities relating to young persons not in employment, education and training might fall under Employment Guideline 7 or Employment Guideline 8) and of overlaps between guidelines. Institutional capacity and governance as such is not targeted in an Employment Guideline but is an important cross-cutting domain that should remain visible. It was, however, recognised that it can be difficult to apply to this kind of activities the same criteria used for other priorities.

A 'SWOT analysis' is still required to explain the gaps. Supplementary text information was considered useful. First, to cater for policy fields and situations where official statistics do not provide all necessary information (e.g. issues regarding the shadow economy or health conditions). Second, to contextualise quantitative data. For instance, text might be used to: explain issues the OP addresses that are not captured by statistics; offer additional background information on how to deal with regional or specific target groups' needs. It allows in particular to deepen the analysis of the data gaps of specific target groups, like immigrants, disabled and so on.

This suggests that the purpose of this table needs to be clearly outlined in the table as well as what it should encompass. Also, one should specify what is intended by the term "target groups": a vehicle to reach people, or the actual target groups (presumably the first, if the ESF is to "invest in people", but how is the competitiveness objective then taken into account)?

A stakeholder analysis could complement the SWOT analysis.

The data to include into table 1

Eurostat data were seen as valuable data sources, and the inclusion of regional data into the table (if applicable) was seen as important to show differences compared to national level data. Eurostat data on non-EU nationals could be used as a proxy on migrants and minorities.

Data from other sources (e.g. from Eurofound, national datasets or non-official data) should also be added where relevant.

In the field of institutional capacity and governance availability of official statistics is more limited than in other areas. However, data from the World Bank, OECD GOV, Transparency International, EIPA Maastricht, Bertelsmann Foundation, quantitative data in National Reform Programmes and DG Regio's statistics on regional governance may be valuable sources (even though they might be very general data, not closely related to the kind of interventions funded in the ESF). Alternative sources (e.g. from evaluations) might also be considered.

Statistics will not always be comparable or be aggregable across Member States as definitions, scope and quality of data vary (typically so for disabled, migrants, and minorities).¹⁹⁵ The challenge of obtaining relevant and timely data was also highlighted

¹⁹⁵ For example, for 'at risk youth', some MS's take the age group 16-25; others 15-24 (this reflects the varying legal base of labour regulations). There is a particular problem with definitions of immigrants'. The only common measure of 'immigrants' across the EU is 'immigrants from inside/outside the EU'. On the one hand, this doesn't tell much about the characteristics and needs of immigrants. On the other,

Additional information to include into the table

The working group suggested some additional items to add to the table:

- The timeframe of interventions planned for in the OP, ie how far into the future the OP and its specific interventions look. This impacts on what results can be expected and when.
- The relative importance of the ESF in the Member States (e.g. expressed as a percentage of ESF to national labour market policies/education...).
- Prospective data (e.g. on demographic developments which might impact on the programme).
- Space for text (in addition to numbers) to explain the needs the OP is looking to address and its focus as this will have an impact on effects.

Table 2: the intervention logic

Table 2 frames OP priorities around the Integrated Employment Guidelines, and links objectives and funding by priority axis to results and outputs whilst also including a column to list possible activities included in the OP, recognising that these are not binding and no indication of funding is required for programming purposes.

Including activities in the table

The activities included in the list provided for the workshop were seen as relevant. It should be checked where activities such as 'entrepreneurship', 'new forms of work organisation', social innovations, local initiatives, leadership development, "parcours d'accompagnement", reclassement" would fit in such a scheme.

The working group re-iterated that any activities included in the intervention logics table at the programming stage are non-binding and that the table needs to clearly say this. There was some recognition that including output and result indicators without activities reduces understanding of what is behind any change achieved, while there was also a position that activities should be subject of evaluations and not of regular reporting, as actual interventions were seen as too complex to be captured through monitoring.

Target groups

A number of gaps were identified in the current Annex XXIII list of target groups: companies, schools, universities, public employment services are missing even though they are frequent target groups for ESF funding.

The 'disadvantaged' category was seen to be particularly problematic because of the variability in its definition across Member States. There are also legal restrictions in some countries around collecting data on some groups. Data collection can also be difficult because people do not wish to be categorised as

there is no legal basis in some states – for example in Sweden – for collecting these data. This reflects another problem: the scope and quality of data on immigrants varies widely across the EU.

One way of overcoming these problems is to have broad common indicators – e.g. immigration inside/outside the EU, supplemented by national and regional statistics.

disadvantaged. It was proposed to continue allowing Member States to specify their own definitions.

Output and result indicators and links to Europe 2020

There was a consensus that output and result indicators should be at priority level (and not split by activity at the programming stage). Targets should be set in numbers to allow for comparability. It was also suggested that targets for results may be more relevant during programming than for outputs, though results may be affected by external factors. Actual reporting should be on all target groups.

Output and result indicators should relate to individuals. Good definitions are crucial: for instance, an output indicator of 'number of participants leaving a programme' does not necessarily reflect whether the participant found a job (they may have moved on to another programme).

The result indicators proposed were considered as a good basis by the social inclusion group (with some reservation on the first and indicator as it may encourage a perverse effect of shifting a participant to another intervention); in the labour market participation domain, alternative result indicators were proposed (finding a better or more sustainable job, not finding a job). Results are affected by how difficult to reach target groups are. Similarly, the link to Europe 2020 is affected by whether the OP is targeting individuals directly or through systems and structures. Common result indicators that measure direct effects, supplemented by OP specific indirect result indicators could be a solution.

'Number of studies produced', 'number of projects carried out' and 'number of institutional certifications' are outputs and results of ESF funded institutional capacity and governance activities and are not currently represented in the list. Finally, it is important to distinguish between results measured immediately at the end of the intervention and those assessed in the medium and long term through other tools than the regular data collection system of the Managing Authorities.

Value of including assumptions into the table

The working group was sceptical about how meaningful in practice this information on assumptions would be, as there was a risk that these would be too generic to be useful. Also, it is assumed they are already discussed in the NRP. A possible solution proposed is to present assumptions in the form of a diagram and narrative to reflect the 'expected path to impacts/effects' of the OP.

The intervention logic in the life cycle

The European Commission specified that it would like to see more 'crispy' presentations of OPs in a short, concise format with easily comparative data, clear rationales etc in the programming stage. Member State representatives agreed and argued that this should not preclude an ability to make changes to activities during the implementation.

The next workshop

The date for the next workshop will be the **17th March 2011** as originally planned. The workshop will be held in Brussels (Hotel Bloom). Preparation material will be sent out early enough (a tentative list of common indicators, complete with definitions by the Commission) to be discussed in detail in the workshop.

Agenda

Logics of intervention and indicators for the next ESF programming period

Third workshop with the working group of Managing Authorities

20th January 2011

Hotel Bloom, Rue Royale/Koningsstraat 250

<http://www.hotelbloom.com/hotel/location-en.html>

Time	Agenda item
10:00-10:30	Arrival, Tea and Coffee
10:30-10:40	Welcome and introduction to the day <i>DG EMPL and study team</i>
10:40-11:10	Setting the scene 1: Update by DG EMPL <i>Presentation by DG EMPL</i>
11:10-11:25	Setting the scene 2: Short introduction: presentation of the OP template-part one and part 2 on priorities and mode of working for the day <i>Presentation by the study team</i>
11:25 – 11:35	Questions and answers Coffee
11:35 – 12:45	Part 1: Linking the ESF to Europe 2020 through the Integrated Employment Guidelines <i>Small group work</i>
12:45 – 13:45	Lunch
13:45 – 14:30	Presentation of results from the small group work and discussion <i>All delegates</i>
14:30 – 15:45	Part 2: Interrogating the logics of intervention <i>Small group work</i>
15:45 – 16.00	Coffee break
16:00 – 16:45	Presentation of results from the small group work and discussion <i>All delegates</i>
16:45-17:00	Summing up: important factors for establishing linkages, reflections and feedback, next steps <i>DG EMPL and study team</i>

E-mail sent to participants in advance of the 3rd workshop

Dear all

We look forward to welcoming you to the third workshop of the ESF working group on logics of intervention and related common indicators on Thursday 20th January 2011.

The location is the Hotel Bloom in Brussels and we will start the meeting at 10:30 promptly (arrival from 10:00). The officer responsible for reimbursement will be present from 10:00 to 10:30 to make the necessary arrangement for the reimbursement of travel costs.

The focus of this third workshop is discussing in detail the feasibility of a template to summarise OPs (and demonstrate its logic of intervention) at the programming stage. The working assumption at this stage is that the Integrated Guidelines are used to define ESF priorities (plus a priority on institution building and governance).

This template allows summarising:

In sheet 1 basic information to assess needs and targets, including:

- distance to national targets using the JAF framework,
- the national targets to reach Europe 2020,
- targets and priorities defined in other strategic documents (CSF, DIPC)
- the relevant national statistics (and regional statistics if relevant)

In sheet 2:

- the priorities chosen and the related targets for results (by target group)
- the possible activities and related outputs (by target group).

We will also be discussing implications for reporting.

Please find the draft spreadsheet attached to this email.

We will discuss the strengths and weaknesses of this spreadsheet, including the typology of objectives, results, activities and outputs, by using Operational Programmes from the current programming round as detailed examples and by focusing on three policy areas: increasing labour market participation and reducing structural unemployment (guideline 7); promoting social inclusion and combating poverty (guideline 10); governance and institutional capacity.

The discussion will initially take place in three small groups, one per policy area. We have allocated you to one of these groups; you will find the policy area we have allocated you to in the attached Word document. Please inform us if you would prefer to work on another area.

To prepare for the discussion in your small group we kindly ask you to:

- Complete the attached spreadsheet (worksheets 1 and 2), in advance of the workshop, with information from one OP of your choice from your country relevant to the policy domain we have assigned you to.
- Include any major changes you are considering for the next programming period.

To support you in this work, you can consult the link to OP summary documents in English (<https://webgate.ec.europa.eu/sfc2007/frontoffice/programmingOverviewOutside/listOutside.g>o).

Please complete the template in English and bring it to the workshop on January 20th.

When completing this work, we would like to ask you to consider the following overarching questions:

- To what extent do the tables, when completed, offer a convincing summary of the needs the OP is looking to address in relation to Europe 2020 objectives and how it will address them?
- To what extent are the definitions of results, activities and outputs appropriate and suitable? Will they remain relevant for the next programming round? What key indicators are missing from the current list?
- What categories of information are particularly valuable (and why)? How can the template be improved to show the links to Europe 2020 better and / or make it more user-friendly?

We appreciate that the turnaround time for this preparation is short and apologise for the inconvenience this may cause you. We are very grateful for any time you can dedicate to this task. Should you have any further questions, please do not hesitate to contact Kerstin Junge (k.junge@tavinstitute.org).

Should you not have had the opportunity to do so, we would be grateful if you could confirm by tomorrow whether you will be able to attend the workshop.

Many thanks and best wishes,

Josina Moltesen

Templates sent out in advance and used at the 3rd workshop

Table 1: Needs and targets

Priority axes of OP	Distance to national targets using JAF framework.	National target as per NRP	Common Strategic Framework	Development and Investment Partnership contract	Relevant national statistics	Relevant regional statistics
<p><i>ESF priorities derived from integrated guidelines for economic and employment policies. Currently focusing on three 'test' areas. Please only complete the table for the policy area you have been assigned to. Delete or ignore the other policy areas.</i></p>	<p><i>As used for the latest European Semester. No information to be added on this for the workshop.</i></p>	<p><i>No information to be added on this for the workshop.</i></p>	<p>A summary of the priorities included in the Common Strategic Framework. <i>No information to be added on this for the workshop.</i></p>	<p>Titles of the priorities agreed in the Development and Investment Partnership contract. <i>No information on this to be added for the workshop.</i></p>	<p><i>Relevant national statistics as they relate to the priority axes. This information needs to be completed whether the OP in question is national or regional. Use data included in the 2007-2013 OP. No need to provide numbers. Please include a reference to the data source(s) and definitions if not available through Eurostat.</i></p>	<p><i>Relevant regional statistics as they relate to the priority. Use data included in the 2007-2013 OP. No need to provide numbers. Please include a reference to the data source(s) and definitions if not available through Eurostat.</i></p>
Increasing labour market participation of women and men, reducing structural unemployment and promoting job quality (EG7)						
Promoting social inclusion and combating poverty (EG10)						
Strengthening Institutional Capacity and governance						

Table 2: OP summary

Summary category	Priority axes based on Integrated Guidelines	Description of objectives	Funding	Results description	Result indicators, total and per target group	Possible Activities description	Outputs description	Output indicators, total and per target group
General definition of the category	Selected, as relevant for 'test areas'	Priority axes as worded in the 2007-2013 OPs.	ESF funding (million €) programmed for the priority National and private funding (million €) programmed for the priority	Description of high level results (=direct effects achieved).	Relevant common result indicator selected for total targets expressed in numbers (should include baseline and target, source of verification). Relevant common result indicator selected per targets concerned expressed in numbers (should include baseline and target, source of verification, but not for this workshop).	Areas of ESF activity. No amounts are required for programming.	Actual achievements expected.	Actual achievements, expressed in absolute numbers of participants. This should include baseline and target, source of verification. Outputs should be broken down by relevant target group in absolute numbers.

<p>Instruction for completing the template for the workshop in January 2011</p>	<p>Please only complete the row that relates to the policy area you have been allocated to. Leave blank or delete the other rows.</p>	<p>Please add the objectives of the priority axis in the 2007-2013 OP that matches the Integrated Employment Guidelines policy area you have been assigned to and update with new elements you are considering for the future.</p>	<p>This information is not required for the workshop. Please leave blank.</p>	<p>Please use the 2007-2013 OP to add the description of results. Please add any relevant results expected for 2014 onwards or an assessment on the extent to which the current high level results will remain valid.</p>	<p>Please select relevant result indicator(s) for total participants. Use the list included in worksheet 3 (list 2). If a relevant result indicator is missing, please add it.</p> <p>Please identify the relevant target groups for which this/result indicator needs to be broken into (list 3 : target groups). If any relevant target group is missing, please add this.</p> <p><u>Please note: you do not need to provide numbers for the workshop.</u></p>	<p>Keeping in mind ESF activities outlined in the 2007-2013 AIR and OP and planned developments for 2014 onwards, please select relevant activities, using the types of activities in list 4 in the third worksheet to complete this column. If any important activity is missing, please add it.</p>	<p>Please use 2007-2013 OP to add types of outputs expected. Use list 4 in worksheet 3 for output categories. Please make an assessment on the relevance of these outputs for 2014 onwards. Should any relevant outputs be missing, please add.</p>	<p>Please use list 1 and 3 in worksheet 3 to list total outputs and identify relevant target group. Should any relevant target group be missing, please add.</p> <p><u>Please note: you do not need to provide numbers for the workshop.</u></p>
	<p>Increasing labour market participation of women and men, reducing structural unemployment and promoting job quality (EG7)</p>	<p>Description of objectives</p>						

Promoting social inclusion and combating poverty (EG10)	Description of objectives					
Strengthening Institutional Capacity and Governance	Description of objectives					
<p>Assumptions <i>These are the external conditions (ie those that are beyond the control of programmes, projects and their managers) that need to be fulfilled to achieve activities, outputs and results.</i></p>	<p>If the priorities are achieved, what assumptions must be true for the OP to support Europe 2020? For instance, the planned results have been achieved, etc.</p> <p>Please add any assumptions that apply to your OP.</p>	<p><i>If the results are achieved what assumptions must be true for the OP to achieve its priorities? For instance, the activities actually delivered support OP priorities, funding allocated is sufficient, etc</i></p> <p>Please add any assumptions that apply to your OP.</p>	<p><i>If the activities are completed, what assumptions must be true so that results can be achieved? For instance: activities are delivered to schedule, match funding can be found, relevant partnerships are in place.</i></p> <p>Please add any assumptions that apply to your OP.</p>			

Table 3: Indicators and activities

NB: all these concepts should be defined in detail in next workshop, this workshop is only testing the coherence of this approach.

1. List of possible common output indicators

People:

- number of participations (entries)
- number of participations (stocks, see LM database)

Enterprises:

- number of enterprises participating
- of which number of SMEs

Systems and structures

- number of bodies participating in labour market
- number of bodies participating in education
- other

2. List of possible common result indicators

People:

- number of participations in job-searching or further training or education (data collection)
- number of participations in gaining a qualification or recognition of their skills (data collection)
- number of participants who exited unemployment and still hold a job when leaving (data collection)
- number of participations who exited unemployment and still hold a job after 3 months (survey...)
- number of participants improving their income or job security (survey...)

Enterprises:

- number of succesful endeavours?

Systems and structures

NA?

3. List of target groups (people)

Total -T				
Gender- G	W	M		
Status-LM	Unemployed, including LTU	Employed including self-employed	Inactive	Inactive in education and training
Education -E	primary and low	upper secondary and post-secondary	tertiary	

Age - A	below 25	above 54		
Disadvantaged - D	total	disabled	migrants, people with a migrant background and minorities, including Romas	

4. List of activities

Training

Education

Counselling and advice

Placement and subsidised jobs

Awareness raising

Studies

Other

ESF Intervention Logics and Related Common Indicators
Minutes from the 4th workshop of the working group of MAs (draft)
17th March 2011, Hotel Bloom, Brussels

1. Purpose of the workshop

The purpose of the workshop was to critically review the set of common output and result indicators put forward by the European Commission (EC) for the next ESF programming period.¹⁹⁶

Participants had received the set, including definitions, two weeks before the workshop and 12 of the 13 Member States represented had submitted written comments on the clarity of definitions, relevance and gaps to the study team and the EC prior to the workshop.¹⁹⁷ The written comments are not reflected in these minutes. A summary of them can be found in annex 6 (see separate excel document). The final set-up of the workshop, which took place in three sub-groups, was however based on these comments.¹⁹⁸

2. Issues discussed during the workshops

The sub-groups discussed the clarity and relevance of the proposed common ESF indicators, the gaps in the proposed common indicators set, and the linkage with Europe 2020 targets in the current indicator set.

Overall, the working group felt that most of the proposed common indicators were relevant but suggested revising several of the proposed definitions. Participants agreed that a clear link could be identified between Europe 2020 and ESF in terms of 'increasing labour market participation', but much less so for 'education', 'promoting social inclusion', and 'strengthening institutional capacity and governance' themes.

The main comments made during the workshops are summarised below.

- **All Output (O) and Result (R) indicators: it was suggested to count women, men and totals separately.**

Output indicators

Stocks

The proposed LMP stocks definition includes average participants over a year and a measure on the duration of the intervention.

Member States identified two main practical challenges relating to stocks:

- Collecting data on the duration of participation (by a) specifying a threshold for duration of participation qualifying for inclusion in the counting; or b) registration or estimation of hours per participants).
- Calculating data with lower frequency (not monthly)

¹⁹⁶ The Agenda of the workshop is attached in Annex 2.

¹⁹⁷ The list of proposed common output and result indicators reviewed and discussed at the workshop can be found in Annex 3. The email text sent to working group members prior to the 4th workshop can be found in Annex 4.

¹⁹⁸ Group tasks and composition can be found in Annex 3.

Entries

The definition of entries is relatively straightforward except: it was not clear to Member States what the terms 'inflow' and 'join' were referring to, in addition to 'new starts' and 'start'. Also, the word 'intervention' would need to be replaced by 'project'

Participants' status on Labour market

There was a general agreement that ILO/LFS definitions are more adequate than the proposed LMP definitions.

- **O1: Unemployed, including LTU**
The participants supported the Labour Force Survey (LFS) definition of unemployment; and that it should also include registered unemployed.

- There was a broad (though not unanimous) support for an additional indicator for LTU, in addition to the one on unemployment, because a) this is a traditional target group for ESF interventions and b) it would include some indicators relevant to social exclusion which is currently not represented very much in the overall indicator set. LTU needs to be defined.

- **O2: Inactive; O3: inactive not in education or training**
The definition of O3 needs to make clear that it is a subgroup of indicator O2 . The ILO and the LFS definition of inactive comprise everyone in working age not employed or unemployed. The advantage of this definition is that it is more 'logical' as the three categories inactive, employed and unemployed then become mutually exclusive and exhaustive. The reference to 'and are disadvantaged in some way' in the current proposed definition of O2 and O3 is unclear and should be removed.

- **O5: below 25 years**
This removal of a minimum age could be problematic for some Member States, as this may open the ESF to children in the future.

- **O6: 55-64 years**
The upper age limit of 64 years could mean that participants above 64 might be excluded from ESF interventions although in some Member States the legal retirement age is now above 65. However, this was not considered to be a problem.

- **O12: Other disadvantaged**
This definition was considered unclear as it would include very different types of disadvantaged persons (homeless, drug addicts, with new categories such as lone parents, highly indebted participants, participants with health problems). Thought should be given to a possible alternative indicator, for example '**at risk of poverty or social exclusion**' similar to the Eurostat definition could be used, but it was underlined that this indicator would also be difficult to collect.

- **O13: Systems and structures**
The current definition was not considered meaningful, in particular to measure improved governance. It was suggested that it might be better not to have it as a common indicator and instead measure system and structures in evaluation. However, it was also noticed that if support to institution building and governance becomes a separate priority axis, a

common indicator should at least be capturing some of the desired outcomes. Member States were asked to provide examples of suitable indicators by email, also based on the work already carried out by the consultants on this subject.

- Several participants would welcome an indicator on enterprises. This indicator could be implemented with sub-categories (e.g. public and private).

Due to time constraints the remaining output indicators were not discussed during the workshop.

Immediate result indicators

Collecting data on IR indicators. There was some uncertainty about when data for IMR15, IMR16 and IMR17 was expected to be collected and that this should be clarified: by registration at the last day of an intervention or after the participant leaves the intervention, or within a number of days or quarter.

- **IR 14: Participants newly in job searching upon leaving**
Delegates argued that this indicator relates to those most remote from the labour market. The indicator should therefore be re-focused to capture positive steps of the inactive towards employment. It could have two components: participants finishing training not intended to lead to a qualification (as this can also be seen as a positive outcome for those most removed from the labour market); persons newly in job searching.
- Indicators **IR15** (Participants in education / training upon leaving) and **IR 16** (Participants gaining a qualification upon leaving) were considered clear, relevant and useful.
- **IR 17: Participants in employment or self-employment immediately upon leaving**
The definition should include what is considered subsidised employment. Some felt that in the result indicators, **employment and self-employment** should be recorded separately so as to measure entrepreneurship. Others felt that employment and self-employment should be combined at the level of LTR. However, consistency with O4 definitions needs to be ensured.

Longer-term result indicators

Collecting data on LTR indicators. Longer term indicators raise particular issues associated with: the uneven time-frame and duration of interventions and hence of individual participant involvement in interventions; problems associated with tracing participants to follow up on changes that have happened to them¹⁹⁹; problems around 'attribution'.²⁰⁰

Collecting data on LTR indicators is therefore likely to involve the use of surveys.

- **LTR 18: Participants in employment 6 months after leaving**
The indicator was considered relevant. It was suggested to change the indicator title to "*Participants in employment 6 months after the end of their participation in an ESF intervention.*" Or even better to "*Persons receiving ESF support and who are working as*

¹⁹⁹ For example: high attrition rates; difficulties in engaging 'hard to reach' in follow-up data collection.

²⁰⁰ Attributing changes in participant behaviour and status to the effects of participation in an intervention, not least because of the potential influence of 'intervening variables' not connected with the intervention.

an employee for a minimum number of hours per week, as defined by ILO, 6 months after the end of their participation in an ESF intervention". The minimum number of hours worked (e.g. as in the ILO definition of employment) could be added to avoid giving an incentive to create jobs that are very fragile or involve a low number of hours. Subsidised jobs should not be included in this definition.

▪ **LTR 19: Participants in self-employment 6 months after leaving**

The indicator was considered relevant. Issues with the definitions of the proposed indicator relate to:

a) Definition of 'self-employed' – the LFS definition was considered relevant, but without the reference to "in the process of setting up a business". The definition of 'self-employed' should reflect 'active participation' to distinguish between a participant who is self-employed at a low level of activity. The proposal is to include only those participants who have a company registration number or equivalent and who are actively working.

Therefore, the indicator title should be changed to: *'Persons receiving ESF support and who are registered as self-employed and actively working 6 months after the end of their participation in an ESF intervention'*

It was noted that it should be made clear that indicator 19 is a sub-indicator of indicator 18. A definition coherent with O4 which also combines employment and self-employment was also a concern.

▪ **LTR20: Participants with improved labour market situation 6 months after leaving.**

The indicator was not supported. The term 'precarious' is open to many interpretations. It was argued that the conceptual underpinning of the indicator is flawed, because it adheres to the traditional 'human capital' model of labour, in which the policy logic takes the view that 'everyone should be employed indefinitely and full-time'. This position is seen as not properly addressing 'quality of employment'. It would also conflict with 'flexicurity'. Instead one of the groups proposed two additional indicators to better reflect social inclusion targets within Europe 2020:

- Participants receiving ESF funding who are employed and whose equivalised disposable income has risen above 60% of the national equivalised median income 6 months after the end of their participation in an ESF intervention.
- Participants whose intensity of work has increased after their participation in an ESF intervention

However, these 2 indicators were disputed, because they go beyond the current scope of the ESF and there would be issues concerning data protection, respondent resistance to income questions, and problems around the effect of intervening variables in contributing to income changes.

There was also some discussion on the need to develop additional indicators to assess the ESF contribution to Europe 2020 goals of reducing early school leaving and increasing tertiary educational attainment. It was suggested that data for these measures could be derived through cross-tabulation with other proposed common indicators (for example 7, 8, 9 and 15,16), considering an additional age category for outputs (30-34 years),

3. Next steps

Member States are invited to submit their thoughts to the European Commission on the following issues (by email, deadline April 1st):

- The 'bagatelle' issue: how to distinguish in monitoring systems ESF funded activities that are of very short duration (e.g. help with CV writing, attendance of a one day conference) with those that have a longer duration, to avoid reporting of very short duration as participation.
- Systems and structures: suggestions for possible indicators would be welcome.
- Information on whether and how data on duration of interventions is collected at present.

Final workshop with the working group of Managing Authorities

17th March 2011

Hotel Bloom, Rue Royale/Koningsstraat 250

<http://www.hotelbloom.com/hotel/location-en.html>

Agenda

Time	Agenda item
10:00-10:30	Arrival, Tea and Coffee
10:30-10:40	Welcome and introduction to the day <i>DG EMPL and study team</i>
10:40-11:10	Setting the scene 1: The proposed common indicators <i>Presentation by DG EMPL</i>
11:10-11:25	Setting the scene 2: Feedback on work on indicators carried out by study team Tasks for workshop <i>Presentation by the study team</i>
11:25 – 11:35	Questions and answers Coffee
11:35 – 12:45	Task 1: Discussing the individual indicators <i>Small group work to discuss definitions, relevance and usability</i> <i>Group 1: Outputs indicators</i> <i>Group 2: Immediate result indicators</i> <i>Group 3: Long-term result indicators</i>
12:45 – 13:45	Lunch
13:45 – 14:30	Presentation of results from the small group work and debate <i>All delegates</i>
14:30 – 15:45	Task 2: Discussing the indicator set <i>Small group work to discuss balance, coherence, gaps and contribution to EU 2020</i> <i>Group 1: Practical issues</i> <i>Group 2: Gaps that need to be addressed</i> <i>Group 3: Contribution to Europe 2020</i>
15:45 – 16.00	Coffee break
16:00 – 16:45	Presentation of results from the small group work and discussion <i>All delegates</i>
16:45-17:00	Summing up: main findings of the workshop, reflections and feedback, next steps

Time	Agenda item
	<i>DG EMPL and study team</i>

Logics of intervention and indicators for the next ESF programming period

Final workshop with the working group of Managing Authorities

17th March 2011

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Note on tasks and procedures for the workshop

Background

This final workshop reflects the accumulation of previous stages of work carried out by the study team, the Commission and members of the working group of Managing Authorities. Following initial exploratory discussions (Workshop 1), a review of the theory and practice in the field of 'intervention logics' and indicators was carried out. This led to the development and design of three different methodologies for developing intervention logics and associated indicators which were then tested in Workshop 2. The results of this workshop fed into the development and design of three types of logic model, which were tested in Workshop 3.

This final workshop proposes a set of twenty 'common indicators' – covering thirteen 'output' indicators and seven 'results' indicators – which link to the logic model developed from Workshop 3. The main objective of the final workshop is to review the proposed set of common indicators.

Scene-setting

Prior to the main workshop tasks, which, following the format of previous workshops, will involve small group work, two presentations will be delivered. The first will outline the proposed set of common indicators. The second will summarise the work that has led up to the proposed set.

Task 1: Discussing the individual indicators

This task entails interrogation of the proposed set of twenty common indicators. Participants will be asked to split into three groups: Group 1 will discuss output indicators, Group 2 will discuss the immediate result indicators and Group 3 will discuss the long-term result indicators. Delegates have been pre-allocated into groups, and this allocation can be found at the end of this note.

Each group will be asked to discuss the following questions:for each indicator:

- Clarity - is the proposed definition of the indicator unambiguously clear? If not, how should the wording be changed to make the definition clearer?
- Relevance - is the indicator relevant with regard to participants' national / regional context? If not, what needs to be changed?

- Usability – are there likely to be problems in collecting data for the indicator? What are these problems and how can they be resolved? Are there likely to be significant cost implications in data collection?
- Aggregation - is aggregation of the data meaningful?

In addition, the groups discussing result indicators will be invited to discuss the question:

- How meaningful is the indicator? To what extent does it describe changes that are influenced by ESF interventions?

As with previous workshops, each of the groups will nominate a 'rapporteur' to present the results of their work after the lunch break.

Task 2: Feedback on the indicator set as a whole

The objective of this part of the workshop is to critically review the set of twenty indicators as a whole, looking at factors like the balance between outputs and result indicators; any gaps that need to be addressed and the extent to which the indicators can reflect progress towards EU2020 objectives. Participants will remain in the same three groups they worked in during the morning's Task 1 discussion.

Group 1 will focus on further practical issues:

- How clear are the proposed definitions for stocks and entries? If they are not clear, how could the definitions be improved?
- How useful and feasible is the application of these definitions for the ESF? Do you foresee any challenges with either, and how could these be addressed?
- What changes, if any, do the indicators require of data capture systems? How feasible and acceptable (in particular in terms of administrative burden) is it to make these changes?
- Is the current balance of outputs and result indicators appropriate? If not, which additional (results) indicators should be proposed?

Group 2 will focus on discussing gaps in the current indicator set based on the following criteria:

- Is the social inclusion dimension of the ESF and Europe 2020 adequately represented in the current indicator set? If not, what additional indicator(s) on poverty and social exclusion could be proposed?
- What other gaps are there in the indicator set (e.g. in terms of showing the contribution of the ESF to Europe 2020)?

Group 3 will focus on 'Inconsistencies and progress to Europe 2020. This group will critically review the proposed indicator set on the following criteria:

- Can the current proposed common indicators set adequately reflect progress towards the main goals of EU2020 and the Integrated Employment Guidelines? If not, what improvements need to be carried out with the proposed indicator set to better reflect the contribution?

- Do the current proposed common indicators reflect the 'intervention logic' of the ESF in terms of its contribution to achieving the objectives of Europe 2020? Do they adequately show progress in terms of the desired changes anticipated by Europe 2020? If not, what improvements need to be made to the proposed indicator set?

As for Task 1, each of the three groups will nominate a 'rapporteur' to present the results of their work at the end of the session.

The workshop will end with a summary and review of the findings and results of the workshop and present the next steps of the work.

List of indicators and definitions commented on by working group members and discussed at the 4th workshop

Indic ID-no.)	Indicator	Indicator - attribute at the time of entering ESF interventions.
		Definitions
1	Unemployed, including LTU	Total number of unemployed. "Persons usually without work, available for work and actively seeking work. Persons considered as registered unemployed according to national definitions are always included here even if they do not fulfil all three of these criteria" (LMP).
2	Inactive	"Persons currently not part of the labour force (in the sense that they are not employed or unemployed) but who would like to enter the labour market and are disadvantaged [in the national labour market] in some way" (LMP). Self-employment is considered as "employed".
3	Inactive, not in education or training	"Persons currently not part of the labour force (in the sense that they are not employed or unemployed) but who would like to enter the labour market and are disadvantaged [in the national labour market] in some way" (LMP), and are not in training or education. Self-employment is considered as "employed".
4	Employed, including self-employed	- Employed: "A job is classified with respect to the type of explicit or implicit contract of employment of the person with other persons or organizations. The basic criteria used to define the groups of the classification are the type of economic risk, an element of which is the strength of the attachment between the person and the job, and the type of authority over establishments and other workers which the job incumbents have or will have" (ICSE). - Self-employed: "Different types of self-employment jobs are distinguished according to the type of authority they will have over the productive unit which they represent or for which they work: Own-account workers have the same authority over the economic unit as the 'employers', but do not engage 'employees' on a continuous basis. Members of producer cooperatives take part on equal footing with other members in determining the organization of production etc." (ICSE).
5	Below 25 years	"The age of the participant is calculated from the year of birth. For persons born in the same year, those whose birthdays fall between 1 January and the end of the reference period are, for the purposes of results analysis, regarded as being one year older than those whose birthdays fall after the end of the reference period" (LFS).
6	55 to 64 years	"The age of the participant is calculated from the year of birth. For persons born in the same year, those whose birthdays fall between 1 January and the end of the reference period are, for the purposes of results analysis, regarded as being one year older than those whose birthdays fall after the end of the reference period" (LFS).
7	With primary and lower secondary education	ISCED 1 and 2. "Highest level of education successfully completed. The expression 'level successfully completed' is associated with obtaining a certificate or a diploma, when there is a certification. In cases where there is no certification, successful completion must be associated with full attendance. When determining the highest level, both general and vocational education/training is taken into consideration (LFS, Basic concepts and definitions)". "All national education systems are different, but they can be compared fairly accurately on the basis of the common classification system ISCED" (Eurostat, ISCED).
8	With upper secondary and post-secondary education	ISCED 3 and 4. "Highest level of education successfully completed. The expression 'level successfully completed' is associated with obtaining a certificate or a diploma, when there is a certification. In cases where there is no certification, successful completion must be associated with full attendance. When determining the highest level, both general and vocational education/training is taken into consideration (LFS, Basic concepts and definitions)". "All national education systems are different, but they can be compared fairly accurately on the basis of the common classification system ISCED" (Eurostat, ISCED).
9	With tertiary education	ISCED 5 and 6. "Highest level of education successfully completed. The expression 'level successfully completed' is associated with obtaining a certificate or a diploma, when there is a certification. In cases where there is no certification, successful completion must be associated with full attendance. When determining the highest level, both general and vocational education/training is taken into consideration (LFS, Basic concepts and definitions)". "All national education systems are different, but they can be compared fairly accurately on the basis of the common classification system ISCED" (Eurostat, ISCED).
10	Migrants, people with a foreign background, minorities, Romas	"Non-national permanent residents in a country, nationals with foreign background or nationals from a minority, who need special help in the labour market because of language or other cultural difficulties" (LMP). "Persons may cumulate several vulnerabilities "(ESF guidance). It is advised to record the dominant characteristic.
11	Disabled	"Persons who are registered disabled according to national definitions" (LMP definitions).
12	Other disadvantaged	Disadvantaged people [in the national labour market] which are neither migrants, people with a foreign background, minorities (incl. Roma) nor disabled.
13	Systems and structures	"ESF interventions that - do not target directly the ultimate beneficiaries; - do not belong to the framework of the technical assistance measures; - address organisations, networks, partnerships, rules or standards that play a key role in the delivery of policies". (Evaluation of the ESF contribution to employment, inclusion and education & training policies through the support to systems and structures, Contract reference No: VC/2005/0040, Final report, p. 10)

14	Participants newly in job searching upon leaving	Persons receiving ESF support and who are newly engaged in job searching activities upon leaving the ESF intervention. This comprises - registered jobseekers which "refers to all persons who are currently registered as jobseekers with the PES." (LMP) and - Other registered jobseekers which "refers to all persons registered with the PES who are not considered as registered unemployed and who have (1) contacted the PES for assistance in jobsearch, (2) whose personal details and circumstances have been recorded by the PES and (3) who have had personal contact with the PES within the current year, or as otherwise defined for PES operational purposes. All 3 conditions should be fulfilled at the same time." (LMP)
15	Participants in education/training upon leaving	Persons receiving ESF support and who are engaged in continuing education (lifelong learning, formal education) or training activities (off-the-job/in-the-job training, vocational training, etc.) upon leaving the ESF intervention.
16	Participants gaining a qualification upon leaving	Persons receiving ESF support and who gained a qualification upon leaving. "Qualification means a formal outcome of an assessment and validation process which is obtained when a competent body determines that an individual has achieved learning outcomes to given standards ." (EQF). This indicator can be further split by ISCED and EQF levels.
17	Participants in employment or self-employment immediately upon leaving	Persons receiving ESF support, and who are in employment or self-employment immediately upon leaving the intervention
18	Participants in employment 6 month after leaving	Persons receiving ESF support, and who are working as employees 6 months after the end of the intervention
19	Participants in self-employment 6 month after leaving	Persons receiving ESF support, and who are in self-employed 6 months after the end of the intervention
20	Participants with improved labour market situation 6 months after leaving	Persons receiving ESF support, who transitioned from precarious to stable employment, from underemployment to full employment, and/or have taken up a job requiring EQF competences. "Precarious employment should be understood as the absence of 'permanent employment' and 'work contract of unlimited duration'. Given institutional discrepancies, the the concepts of 'temporary employment' and 'work contract of limited duration' describe situations which, in different institutional contexts, may be considered similar. Employees with a limited duration job/contract are employees whose main job will terminate either after a period fixed in advance, or after a period not known in advance, but nevertheless defined by objective criteria, such as the completion of an assignment or the period of absence of an employee temporarily replaced. " (LFS) - underemployment should be understood as : "Involuntary part-time employment — This is when respondents declare that they work part-time because they are unable to find full-time work." (LFS, http://epp.eurostat.ec.europa.eu/portal/page/portal/employment_unemployment_lfs/mett)

Participants	Entries	"Entry: total number of participants that join or start on the intervention during the year - i.e. the inflow or new starts. Persons who are already participating on the intervention at the start of the year are considered to be a carry-over from the previous year and not new starts and should not be counted as entrants. The data required refer to the total number of new starts in the year and not to the number of different individuals who join the intervention during the year. Thus, the same person may be counted as an entrant more than once in a year (LMP)".
	Stock	"Stock: Number of persons participating in an intervention at a given moment (annual average stock), usually calculated as an average of the stock at the end of each month. Two different observations of stocks are requested: Stock (total) = annual average stock; Stock (FTE) = annual average stock adjusted to take account of part-time participation - i.e. Stock (total) converted to full-time equivalents (FTE). When converting stocks to full-time equivalents, national definitions of full-time should be applied. Full-time hours per week may be different for training than for employment" (LMP).
Systems & structures	Entities	Organisations, networks, partnerships.

Sources:

EQF	Recommendation of the European Parliament and of the Council of 23 April 2008 on the establishment of the European Qualifications Framework for lifelong learning 2008/C 111/01, http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:C:2008:111:0001:0007:EN:PDF
ESF guidance	Clarification and simplification of data collection requirements on participants in ESF programmes and transmission to the Commission in accordance with the implementing regulation for Council Regulation 1083/2006 and its Annex XXIII.
ICSE	Resolution concerning the International Classification of Status in Employment (ICSE), http://www.ilo.org/wcmsp5/groups/public/@dgreports/@integration/@stat/documents/normativeinstrument/wcms_087562.pdf
LFS	<u>Basic concepts and definitions</u> , http://circa.europa.eu/irc/dsis/employment/info/data/eu_lfs/lfs_main/lfs/lfs_concepts_and_definitions.htm
LMP	Labour market policy database - Methodology - Revision of June 2006, http://epp.eurostat.ec.europa.eu/cache/ITY_OFFPUB/KS-BF-06-003/EN/KS-BF-06-003-EN.PDF
Eurostat, ISCED	Youth education, lifelong learning, early school leavers - Annual data - Reference Metadata in Euro SDMX Metadata Structure (ESMS), http://epp.eurostat.ec.europa.eu/cache/ITY_SDDS/EN/lfsi_edu_a_esms.htm

E-mail on review of indicators sent to participants in advance of the 4th workshop

Dear all

Following on from Wednesday's email on the proposed common indicators for the next ESF programming period, please find below some further information on reviewing the proposed indicators.

We would be grateful if you could comment on the proposed common output and result indicators, keeping in mind the following specific questions in particular:

1. Is the definition of the indicator clear? If not, how can the definition be improved?
2. Is the indicator relevant for your regional and / or national context and Europe 2020?
3. Are any important indicators missing from the proposed list (e.g. how coherent is the list)?

The attached excel file includes two worksheets: one with the proposed indicators (including definitions), a second with definitions and sources. Both worksheets contain space for you to add your comments.

Your comments will be valuable input to support European Commission work on finalising the proposed indicator set, and your thoughts will be much appreciated.

We would also like to use your comments to inform the final design of the 4th workshop on March 17th (including specific tasks and composition of the small group work), and would therefore be grateful if you could return the attached spreadsheet with your comments to me and Jeannette Monier by the evening of Friday 11th of March.

Please do not hesitate to contact me should you have any questions or concerns.

Best wishes,

Josina Moltesen

Researcher/Consultant, M.Sc. Political Science
Tavistock Institute of Human Relations

ANNEX 2: MEMBER STATES' WRITTEN COMMENTS ON THE COMMON INDICATORS

Table 32: Comments on output and result indicators

No	Indicator	Definitions	Comments by working group members
1	Unemployed, including LTU	Total number of unemployed. "Persons usually without work, available for work and actively seeking work. Persons considered as registered unemployed according to national definitions are always included here even if they do not fulfil all three of these criteria" (LMP).	<p>The definition does not precise if it refers solely to registered unemployed or to the group which is not in the registers but fulfil all three conditions. The question is - shall we refer to the LFS definition or registered unemployed. The LFS definition seems to be more relevant (fulfilling the 3 conditions).</p> <p>"The definitions of employment, unemployment, inactive and so on shall follow the definitions in the labour force survey.</p> <p>The indicator is relevant."</p> <p>We could agree to all Output-Indicators as far as (a) no cross tables are concerned (instead m/f) and (b) no "individual profiles per participant" are required (to costly + data protection law esp. regarding indicators like Migrants, disabled or disadvantages people), e.g. same system of data collection like in the recent period of Annex XXIII.</p> <p>Definition of indicator is clear and it is relevant for (...) context.</p> <p>We have already this indicator which is relevant (annexe XXIII)</p> <p>In (...) LTU are a really important category, we think we will keep it, as we work specifically with them relevant for regional/national context</p> <p>The definition is clear for the part that persons registered unemployed according to national definitions are included (registered at PES, unemployment and social benefit schemes) Indicator is relevant</p> <p>In (...) this group does not include 14-19yr olds who are not in education, employment or training</p> <p>Why not just stick with registered unemployed?</p> <p>It is a pity to delete the LTU category because it is a good indicator on the disadvantage degree of the participants.</p>

No	Indicator	Definitions	Comments by working group members
2	Inactive	<p><i>"Persons currently not part of the labour force (in the sense that they are not employed or unemployed) but who would like to enter the labour market and are disadvantaged [in the national labour market] in some way" (LMP). Self-employment is considered as "employed".</i></p>	<p>In (...) there is a current debate on the so called "nor-nor", that is people, mainly young people, who are not looking for a job (they do not want enter the labour market), nor participating in education or training. This is quite a new phenomenon that policy makers have to cope with.</p> <p>The phrase in some way is too vague. There is a need to harmonise the definition of persons who are considered disadvantaged or remove this phrase.</p> <p>"The definitions of employment, unemployment, inactive and so on shall follow the definitions in the labour force survey.</p> <p>The indicator is relevant."</p> <p>We could agree to all Output-Indicators as far as (a) no cross tables are concerned (instead m/f) and (b) no "individual profiles per participant" are required (to costly + data protection law esp. regarding indicators like Migrants, disabled or disadvantages people), e.g. same system of data collection like in the recent period of Annex XXIII.</p> <p>Indicator relevant for (...) context, but indicator needs more detailed definition</p> <p>We have already this indicator which is relevant (annexe XXIII)</p> <p>We prefer the definition from Eurostat, it fits with our definition of inactive</p> <p>not relevant within regional / national context</p> <p>The definition is not clear. What is the difference with unemployed. The inactives are disadvantaged and the unemployed not? The inactives wanted to enter the labour market and the unemployed are actively seeking. There is and has worked for some years and seeks for help to enter the labour market, are they unemployed or inactive? An indicator for the inactives is relevant</p> <p>"In (...) this group does not include 14-19yr olds who are not in education, employment or training. Also the definition of inactive requires the individual to be disadvantaged, but not all inactive people are disadvantaged: suggest removing ""and are disadvantaged"" - unless you define it (precisely)"</p> <p>If they would like to enter the labour market, that looks very much like they are available and seeking work, hence they would become registered unemployed? What is "disadvantaged"?</p> <p>Not part of the target group of our regional OP, on the basis of our competencies.</p>

No	Indicator	Definitions	Comments by working group members
3	Inactive, not in education or training	<p><i>"Persons currently not part of the labour force (in the sense that they are not employed or unemployed) but who would like to enter the labour market and are disadvantaged [in the national labour market] in some way" (LMP), and are not in training or education. Self-employment is considered as "employed".</i></p>	<p>In (...) there is a current debate on the so called "nor-nor", that is people, mainly young people, who are not looking for a job (they do not want enter the labour market), nor participating in education or training. This is quite a new phenomenon that policy makers have to cope with.</p> <p>The phrase in some way is too vague. There is a need to harmonise the definition of persons who are considered disadvantaged.</p> <p>"The definitions of employment, unemployment, inactive and so on shall follow the definitions in the labour force survey.</p> <p>The indicator is relevant but the reference to disadvantaged in some ways makes it's very vague. "</p> <p>We could agree to all Output-Indicators as far as (a) no cross tables are concerned (instead m/f) and (b) no "individual profiles per participant" are required (to costly + data protection law esp. regarding indicators like Migrants, disabled or disadvantages people), e.g. same system of data collection like in the recent period of Annex XXIII.</p> <p>Indicator relevant for (...) context, but indicator needs more detailed definition</p> <p>We have already this indicator which is relevant (annexe XXIII)</p> <p>We prefer the definition from Eurostat, it fits with our definition of inactive</p> <p>not relevant within regional / national context</p> <p>our statistics includes education not training. Training is difficult to register (training on the job, 1 say course or heavy course) For the moment we have only information but persons in public education, not in private education. An indicator for the group inactive not in education is relevant.</p> <p>Is this group mutually exclusive to group 2? In (...) this group is 14-19 yr olds who are not in education, employment or training. Also the definition here requires the individual to be disadvantaged, but not all these people are disadvantaged: suggest removing "and are disadvantaged".</p> <p>Not part of the target group of our regional OP, on the basis of our competencies.</p> <p>"Plutôt que des inactifs ni en formation ni en emploi, ne faut-il pas plutôt indiquer les inactifs en formation ?</p>
4	Employed, including self-	<p>- Employed: <i>"A job is classified with respect to the type of explicit or implicit contract of employment of the person with other persons or organizations.</i></p>	<p>"Employed - the LFS definition seems to be more adequate, e.g. persons, who perform any kind of profitable work or income providing work, as an employee, self-employed or contributing family worker (including those who have work but did not perform it due to sickness maternity leave or vacation, or due to</p>

No	Indicator	Definitions	Comments by working group members
	employed	<p><i>The basic criteria used to define the groups of the classification are the type of economic risk, an element of which is the strength of the attachment between the person and the job, and the type of authority over establishments and other workers which the job incumbents have or will have" (ICSE).</i></p> <p>-Self-employed: <i>"Different types of self-employment jobs are distinguished according to the type of authority they will have over the productive unit which they represent or for which they work: Own-account workers have the same authority over the economic unit as the 'employers', but do not engage 'employees' on a continuous basis. Members of producer cooperatives take part on equal footing with other members in determining the organization of production etc." (ICSE).</i></p>	<p>other reasons, but the break in employment did not exceed e.g. 3 months.</p> <p>The question (to be discussed) where the copartners / associates / co-owners should belong - are they employed or self-employed. Similar question for discussions - volunteers not receiving remuneration - are they inactive / employed or unemployed."</p> <p>"The definitions of employment, unemployment, inactive and so on shall follow the definitions in the labour force survey.</p> <p>The indicator is relevant.</p> <p>We could agree to all Output-Indicators as far as (a) no cross tables are concerned (instead m/f) and (b) no "individual profiles per participant" are required (to costly + data protection law esp. regarding indicators like Migrants, disabled or disadvantages people), e.g. same system of data collection like in the recent period of Annex XXIII.</p> <p>Indicator relevant for (...) context, but indicator needs more detailed definition</p> <p>We have already this indicator which is relevant (annexe XXIII)</p> <p>We think that the definition of Eurostat is better, more simple, and it covers this definition from ICSE relevant for regional/national context</p> <p>What to do with persons who combine employment and self employment?</p> <p>Definition based on tax authority thinking: should we tax someone as a freelancer or as an employee. Not very useful for our purposes.</p> <p>Not part of the target group of our regional OP, on the basis of our competencies.</p>
5	Below 25 years	<p><i>"The age of the participant is calculated from the year of birth. For persons born in the same year, those whose birthdays fall between 1 January and the end of the reference period are, for the purposes of results analysis, regarded as being one year older than those whose birthdays fall after the end of the reference period" (LFS).</i></p>	<p>"The definition is rather unclear. Does it mean that the age of the person is calculated only on the basis of the year he or she was born. It is worth to harmonise the definitions for statistical analysis and eligibility assessment and to rely on the date of birthday.</p> <p>The group seems to be too wide - perhaps it should refer to persons aged 15/18-24.</p> <p>Definition OK and the indicator is relevant.</p> <p>We could agree to all Output-Indicators as far as (a) no cross tables are concerned (instead m/f) and (b) no "individual profiles per participant" are required (to costly + data protection law esp. regarding indicators like</p>

No	Indicator	Definitions	Comments by working group members
			<p>Migrants, disabled or disadvantages people), e.g. same system of data collection like in the recent period of Annex XXIII.</p> <p>Definition of indicator is clear and it is relevant for (...) context.</p> <p>We have already this indicator which is relevant</p> <p>it could be relevant for regional/national context; however today monitoring includes a limit "below 24 years" at national/regional level</p> <p>Definition is clear and relevant</p> <p>OK to open this category under 18.</p> <p>"« Below 25 » pour prendre en compte la pauvreté des enfants. Il convient de rappeler les finalités du FSE, définies dans le traité. Elles s'adaptent difficilement à l'idée de combattre la pauvreté des enfants et comment avec du FSE, ou alors de manière très indirecte ? Article 162 (ex - article 146 TCE) Afin d'améliorer les possibilités d'emploi des travailleurs dans le marché intérieur et de contribuer ainsi au relèvement du niveau de vie, il est institué, dans le cadre des dispositions ci-après, un Fonds social européen, qui vise à promouvoir à l'intérieur de l'Union les facilités d'emploi et la mobilité géographique et professionnelle des travailleurs, ainsi qu'à faciliter l'adaptation aux mutations industrielles et à l'évolution des systèmes de production, notamment par la formation et la reconversion professionnelles.</p>
6	55 to 64 years	<p><i>"The age of the participant is calculated from the year of birth. For persons born in the same year, those whose birthdays fall between 1 January and the end of the reference period are, for the purposes of results analysis, regarded as being one year older than those whose birthdays fall after the end of the reference period" (LFS).</i></p>	<p>The definition is rather unclear. Does it mean that the age of the person is calculated only on the basis of the year he or she was born. It is worth to harmonise the definitions for statistical analysis and eligibility assessment and to rely on the date of birthday.</p> <p>Definition OK and the indicator is relevant.</p> <p>We could agree to all Output-Indicators as far as (a) no cross tables are concerned (instead m/f) and (b) no "individual profiles per participant" are required (to costly + data protection law esp. regarding indicators like Migrants, disabled or disadvantages people), e.g. same system of data collection like in the recent period of Annex XXIII.</p> <p>Definition of indicator is clear and it is relevant for (...) context.</p> <p>We have already this indicator which is relevant (annexe XXIII)</p> <p>relevant for regional/national context</p>

No	Indicator	Definitions	Comments by working group members
			<p>Definition is clear and relevant. May be de group could be enlarged tot 65 years. In most countries the age when people get retired will be augmented.</p> <p>OK</p>
7	With primary and lower secondary education	<p>ISCED 1 and 2. "<i>Highest level of education successfully completed. The expression 'level successfully completed' is associated with obtaining a certificate or a diploma, when there is a certification. In cases where there is no certification, successful completion must be associated with full attendance. When determining the highest level, both general and vocational education/training is taken into consideration (LFS, Basic concepts and definitions)". "All national education systems are different, but they can be compared fairly accurately on the basis of the common classification system ISCED"</i> (Eurostat, ISCED).</p>	<p>Definition OK and the indicator is relevant.</p> <p>We could agree to all Output-Indicators as far as (a) no cross tables are concerned (instead m/f) and (b) no "individual profiles per participant" are required (to costly + data protection law esp. regarding indicators like Migrants, disabled or disadvantages people), e.g. same system of data collection like in the recent period of Annex XXIII.</p> <p>Definition of indicator is clear and it is relevant for (...) context.</p> <p>We have already this indicator which is relevant (annexe XXIII and ISCED) relevant for regional/national context</p> <p>The common classification system ISCED is no problem. Collecting the data for younger people is no problem because since a few years all schools are obliged to register on individual bases the level of education of there pupils. Finding the highest level of education for more elderly people must be done with surveys. ISCED classification is relevant.</p> <p>OK</p>
8	With upper secondary and post-secondary education	<p>ISCED 3 and 4. "<i>Highest level of education successfully completed. The expression 'level successfully completed' is associated with obtaining a certificate or a diploma, when there is a certification. In cases where there is no certification, successful completion must be associated with full attendance. When determining the highest level, both general and vocational education/training is taken into consideration (LFS, Basic concepts and definitions)". "All national education systems are different, but they can be compared fairly accurately on the basis of the common classification system</i></p>	<p>We could agree to all Output-Indicators as far as (a) no cross tables are concerned (instead m/f) and (b) no "individual profiles per participant" are required (to costly + data protection law esp. regarding indicators like Migrants, disabled or disadvantages people), e.g. same system of data collection like in the recent period of Annex XXIII.</p> <p>Definition of indicator is clear and it is relevant for (...) context.</p> <p>We have already this indicator which is relevant (annexe XXIII and ISCED) relevant for regional/national context</p> <p>same as 7</p> <p>OK, we agree with the idea to gather the ISCED 3 and 4 in the same category, unlike during the current</p>

No	Indicator	Definitions	Comments by working group members
		ISCED" (Eurostat, ISCED).	programming period.
9	With tertiary education	ISCED 5 and 6. <i>"Highest level of education successfully completed. The expression 'level successfully completed' is associated with obtaining a certificate or a diploma, when there is a certification. In cases where there is no certification, successful completion must be associated with full attendance. When determining the highest level, both general and vocational education/training is taken into consideration (LFS, Basic concepts and definitions)". "All national education systems are different, but they can be compared fairly accurately on the basis of the common classification system ISCED" (Eurostat, ISCED).</i>	<p>Definition OK and the indicator is relevant.</p> <p>We could agree to all Output-Indicators as far as (a) no cross tables are concerned (instead m/f) and (b) no "individual profiles per participant" are required (to costly + data protection law esp. regarding indicators like Migrants, disabled or disadvantages people), e.g. same system of data collection like in the recent period of Annex XXIII.</p> <p>Definition of indicator is clear and it is relevant for (...) context.</p> <p>We have already this indicator which is relevant (annexe XXIII and ISCED)</p> <p>relevant for regional/national context</p> <p>same as 7</p> <p>OK</p>
10	Migrants, people with a foreign background, minorities, Romas	<i>"Non-national permanent residents in a country, nationals with foreign background or nationals from a minority, who need special help in the labour market because of language or other cultural difficulties" (LMP). "Persons may cumulate several vulnerabilities "(ESF guidance). It is advised to record the dominant characteristic.</i>	<p>No comment</p> <p>"It is advised to record the dominant characteristic". What does it mean? Will we have a possibility to monitor persons from one specific group that has a dominant position in the country? Or will we be obliged to monitor every specific group (migrants, Romas,...)?</p> <p>relevant for regional/national context</p> <p>Indicator is relevant and clear</p> <p>In (...) we record 'participants from an ethnic minority'. We don't record migrants. In this case do 'migrants' mean people from outside the EU/European Economic Area? If not then might need separate defn for migrants as they would probably face different challenges.</p> <p>Make clear how many generations back you need to go for foreign background. Minorities may be sensitive. And who decides if there is a minority and if they have language or cultural difficulties?</p> <p>OK, we agree with the idea to gather migrants, minorities (Roma or national) and people with a foreign background in the same category as some data (minorities and foreign background, namely) are</p>

No	Indicator	Definitions	Comments by working group members
			<p>unavailable in our Region. Moreover, it should be interesting to split the EU participants (non-national permanent residents but EU-citizens) and non-EU participants (non-national permanent residents but NOT EU-citizens).</p> <p>Les Roms ne constituent-ils pas une minorité ? Peut-on identifier des statistiques à leur sujet sans les discriminer ?</p>
11	Disabled	<i>"Persons who are registered disabled according to national definitions"</i> (LMP definitions).	<p>According to the draft table these data are to be collected only for unemployed persons. This kind of data should be collected on employed persons as well.</p> <p>There are some difficulties in quantifying this kind of indicators due to privacy constraints. Is there any possibility to overcome this problem?</p> <p>There is a conflict with the (...) law to register data on health.</p> <p>We could agree to all Output-Indicators as far as (a) no cross tables are concerned (instead m/f) and (b) no "individual profiles per participant" are required (to costly + data protection law esp. regarding indicators like Migrants, disabled or disadvantages people), e.g. same system of data collection like in the recent period of Annex XXIII.</p> <p>Definition of indicator is clear and it is relevant for (...) context.</p> <p>We have already this indicator which is relevant (annexe XXIII)</p> <p>No comment</p> <p>- relevant for regional/national context</p> <p>Indicator is relevant and clear</p> <p>This type of data is unavailable in our monitoring system.</p>
12	Other disadvantaged	Disadvantaged people [in the national labour market] which are neither migrants, people with a foreign background, minorities (incl. Roma) nor disabled.	<p>According to the draft table these data are to be collected only for unemployed persons. This kind of data should be collected on employed persons as well.</p> <p>This group might be incomparable between Member States which questions the need to aggregate such data (it will not be a "common" indicator for all Member States).</p> <p>The indicator is not possible to define.</p> <p>We could agree to all Output-Indicators as far as (a) no cross tables are concerned (instead m/f) and (b) no</p>

No	Indicator	Definitions	Comments by working group members
			<p>"individual profiles per participant" are required (to costly + data protection law esp. regarding indicators like Migrants, disabled or disadvantages people), e.g. same system of data collection like in the recent period of Annex XXIII.</p> <p>Indicator relevant for (...) context, but indicator needs more detailed definition</p> <p>Perhaps would it be better to have a detailed list of vulnerable people</p> <p>- relevant for regional/national context</p> <p>Will be very divers. What is the purpose for EU for this indicator?</p> <p>"How is disadvantaged defined here? This is far too wide and vague - and a bit of a catch all. Any Member States might be tempted to place everybody else into that category to show that ESF was helping the disadvantaged.</p> <p>That is quite an open definition.</p> <p>OK, we agree with the mutually exclusive proposal.</p>
13	Systems and structures	<p><i>"ESF interventions that - do not target directly the ultimate beneficiaries; - do not belong to the framework of the technical assistance measures; - address organisations, networks, partnerships, rules or standards that play a key role in the delivery of policies".</i> (Evaluation of the ESF contribution to employment, inclusion and education & training policies through the support to systems and structures, Contract reference No: VC/2005/0040, Final report, p. 10)</p>	<p>Unclear definition - is it an indicator? Shall we calculate the no of systems / structures created / improved / developed / implemented?</p> <p>It would be very difficult to transfer this indicator into a data collecting system. It is hard to see the relevance.</p> <p>We could agree to all Output-Indicators as far as (a) no cross tables are concerned (instead m/f) and (b) no "individual profiles per participant" are required (to costly + data protection law esp. regarding indicators like Migrants, disabled or disadvantages people), e.g. same system of data collection like in the recent period of Annex XXIII.</p> <p>Indicator relevant for (...) context, but indicator needs more detailed definition</p> <p>Easy to count but it would be better to have a list of different kind of systems and structures interventions</p> <p>Examples like "Establishment and / or modernisation of institutions, standardization and quality assurance and networking and cooperation" should be included.</p> <p>We don't understand why all the technical assistance measure would be out</p>

No	Indicator	Definitions	Comments by working group members
			<p>- monitored just organisations up today (within national context)</p> <p>Is not an indicator. Is not measurable.</p> <p>For systems and structures there can also be participants eg civil servants also getting a training and on that basis some competences. Is there really a need for very different indicators for these measures? Does ESF ever finance sth without participants?</p> <p>See comment on the "entities" definition</p>
14	Participants newly in job searching upon leaving	<p>Persons receiving ESF support and who are newly engaged in job searching activities upon leaving the ESF intervention. This comprises - registered jobseekers which "refers to all persons who are currently registered as jobseekers with the PES." (LMP) and - Other registered jobseekers which "refers to all persons registered with the PES who are not considered as registered unemployed and who have (1) contacted the PES for assistance in jobsearch, (2) whose personal details and circumstances have been recorded by the PES and (3) who have had personal contact with the PES within the current year, or as otherwise defined for PES operational purposes. All 3 conditions should be fulfilled at the same time." (LMP)</p>	<p>General comment: searching for a job is not a result of an activity and should not be considered as result indicator (if IR refers to result).</p> <p>The definition is vague and we can foresee big difficulties in collecting this type of data.</p> <p>We could agree to this set of "Result Indicators" as far as (a) this indicators can be collected via the monitoring systems and (b) no "individual profiles per participant" are required.</p> <p>Definition of indicator is clear and it is relevant for Lithuania context.</p> <p>We have no problem to implement this because we have just to change our actual list of the situation of participant upon leaving the project.</p> <p>Change "Persons receiving ESF" to "Persons that have received ESF" We need to search a single definition of PES in order to homogenize</p> <p>- relevant for regional/national context</p> <p>An indicator is relevant. There is a problem with gathering the data on the moment of leaving. We receive data and the moment of ending the project.</p> <p>In (...) this is the proportion of inactive participants in job searching upon leaving (measured by survey)</p> <p>Not too sure about this. Looks like we should just use registered jobseekers again without anything else added? What do you do if they started looking for a job already DURING the action and when they got a job before ending their action. These are fast adopters of new behaviour. That is a positive outcome as well, no?</p> <p>OK, this category seems interesting but it would be difficult to assess this new search compared to before the support. We wonder if this indicator is realistic and if there is a danger to assess the will to find a job of</p>

No	Indicator	Definitions	Comments by working group members
			<p>the unemployed.</p> <p>"L'objectif de résultat 14 pose la question des résultats au regard de la nouvelle recherche d'emploi. L'inscription dans un service de placement peut il suffire ?</p>
15	Participants in education/training upon leaving	Persons receiving ESF support and who are engaged in continuing education (lifelong learning, formal education) or training activities (off-the-job/in-the-job training, vocational training, etc.) upon leaving the ESF intervention.	<p>Discuss the opportunity of this "immediate result indicator". Is it really useful? See comment on indicator n°17</p> <p>As mentioned above - being in education is not a result of assistance granted under the ESF project. It is rather an element of assistance than its result (output).</p> <p>The definition is vague and we can foresee big difficulties in collecting this type of data.</p> <p>We could agree to this set of "Result Indicators" as far as (a) this indicators can be collected via the monitoring systems and (b) no "individual profiles per participant" are required.</p> <p>Definition of indicator is clear and it is relevant for (...) context.</p> <p>We have no problem to implement this because we have just to change our actual list of the situation of participant upon leaving the project</p> <p>Change "Persons receiving ESF" to "Persons that have received ESF"</p> <p>- not relevant for regional/national context</p> <p>see 14</p> <p>In (...) this is the number and proportion of NEETs in education/training upon leaving</p> <p>I have some problems with this being an objective. It is definitely something that happens. But surely we cannot have as objectives that people do not work or are not looking for work? Definitely not if these follow up actions are also financed by ESF. This keeps people in the system rather than in the labour market. It can be noted but should not be an objective in itself.</p>
16	Participants gaining a qualification upon leaving	Persons receiving ESF support and who gained a qualification upon leaving. <i>"Qualification means a formal outcome of an assessment and validation process which is obtained when a competent body determines that an individual has achieved learning"</i>	<p>Breakdown by EQF levels might not be possible in some Member States, where the NQF does not function yet.</p> <p>The definition can work but it can be very hard to compare different types of qualifications.</p> <p>We could agree to this set of "Result Indicators" as far as (a) this indicators can be collected via the</p>

No	Indicator	Definitions	Comments by working group members
		<p><i>outcomes to given standards.</i>" (EQF). This indicator can be further split by ISCED and EQF levels.</p>	<p>monitoring systems and (b) no "individual profiles per participant" are required.</p> <p>Definition of indicator is clear and it is relevant for (...) context.</p> <p>We have no problem to implement this because we have just to change our actual list of the situation of participant upon leaving the project</p> <p>- not relevant for regional/national context</p> <p>see 14</p> <p>this should be for those who were not in work and those in work before starting on ESF</p> <p>Some of our current activity (childcare services) aim to allow unemployed people to follow a training activity (not our competency). But it is impossible to collect the information on the formal success of this training (like a certificate, for instance) from the training organisations. Nevertheless, we are able to report on the fact that the beneficiary achieved the training/the guidance.</p>
17	<p>Participants in employment or self-employment immediately upon leaving</p>	<p>Persons receiving ESF support, and who are in employment or self-employment immediately upon leaving the intervention</p>	<p>The concept of "immediate result indicator" should be discussed (it is meaningful in the case of gaining a qualification or in job searching): in this case this indicators is not meaningful; we can use indicators n° 18 since the effects in term of employment can be assessed only after a period of time (6 or 12 months)</p> <p>The definition is OK, but the indicator is better suitable for evaluation.</p> <p>We could agree to this set of "Result Indicators" as far as (a) this indicators can be collected via the monitoring systems and (b) no "individual profiles per participant" are required.</p> <p>Definition of indicator is clear and it is relevant for (...) context.</p> <p>We have no problem to implement this because we have just to change our actual list of the situation of participant upon leaving the project</p> <p>- not relevant for regional/national context; however, it could be possible to monitor this indicator via monitoring reports</p> <p>see 14</p> <p>Presumably these are participants who were unemployed/inactive before going on ESF?</p>

No	Indicator	Definitions	Comments by working group members
18	Participants in employment 6 month after leaving	Persons receiving ESF support, and who are working as employees 6 months after the end of the intervention	<p>I have serious concerns that collecting such kind of data would need quite a resource which is not available at this moment.</p> <p>Better 12 months</p> <p>Question to be discussed - 6 months after the end of the intervention or after leaving</p> <p>The definition is OK, but the indicator is better suitable for evaluation.</p> <p>This set of indicators is not acceptable in the sense of a common indicator for all ESF-participants. A collection of this data per participant is too costly (only in the ... OP about 1.9 million participants). Maybe we could agree if this set of indicators has to be collected via surveys for specific instruments or target groups. Concerning a collection of this data via existing IT-systems (e.g. our national labour market service) we have general scrutiny reservation regarding our national data protection law - our national labour market service is allowed to transmit personal data such as the job status of a participant only based on the regulation in the Code of Social Law X which contains no permission to transmit the job status to ESF managing authorities!</p> <p>Definition of indicator is clear and it is relevant for (...) context.</p> <p>We have no problem to implement this relevant indicator when we ask for the last payment demand 6 month after the end of the project. My opinion is that these information must be based on the same categories as the ones at the end of the project.</p> <p>Indicator should be measured at level of impact</p> <p>relevant within regional / national context</p> <p>Indicator is relevant and feasible.</p> <p>Presumably these are participants who were unemployed/inactive before going on ESF?</p> <p>After leaving the intervention?</p>
19	Participants in self-employment 6 month after leaving	Persons receiving ESF support, and who are in self-employed 6 months after the end of the intervention	<p>Persons receiving ESF support, and who are in self-employed 6 months after the end of the intervention</p> <p>I have serious concerns that collecting such kind of data would need quite a resource which is not available at this moment.</p> <p>Better 12 months</p>

No	Indicator	Definitions	Comments by working group members
			<p>Question to be discussed - 6 months after the end of the intervention or after leaving</p> <p>The definition is OK, but the indicator is better suitable for evaluation.</p> <p>This set of indicators is not acceptable in the sense of a common indicator for all ESF-participants. A collection of this data per participant is too costly (only in the (...) -OP about 1.9 million participants). Maybe we could agree if this set of indicators has to be collected via surveys for specific instruments or target groups. Concerning a collection of this data via existing IT-systems (e.g. our national labour market service) we have general scrutiny reservation regarding our national data protection law - our national labour market service is allowed to transmit personal data such as the job status of a participant only based on the regulation in the Code of Social Law X which contains no permission to transmit the job status to ESF managing authorities!</p> <p>Definition of indicator is clear and it is relevant for (...) context.</p> <p>We have no problem to implement this relevant indicator when we ask for the last payment demand 6 month after the end of the project. My opinion is that this information must be based on the same categories as the ones at the end of the project.</p> <p>Indicator should be measured at level of impact. - not relevant within regional / national context at limit of 6 months</p> <p>It is difficult to determine the start of self-employment. Data come with delay.</p> <p>Not sure why you need a separate 'self employment' here?</p> <p>Id</p>
20	Participants with improved labour market situation 6 months after leaving	Persons receiving ESF support, who transited from precarious to stable employment, from underemployment to full employment, and/or have taken up a job requiring EQF competences. <i>"Precarious employment should be understood as the absence of 'permanent employment' and 'work contract of unlimited duration'. Given institutional discrepancies, the the concepts of 'temporary employment' and 'work contract of limited duration'</i>	<p>I have serious concerns that collecting such kind of data would need quite a resource which is not available at this moment.</p> <p>It is necessary to explore the possibility to quantify this indicators through administrative data, otherwise it is necessary to carry out ad hoc survey (non binding indicator?). This kind of survey is not easy to implement. As a general remarks: the effects of a support given to employees depend on: a. the typology of support given and b. the typology of employees involved (in your example you only consider employees with "precarious" contract).</p> <p>The definition is vague and we can foresee big difficulties in collecting this type of data.</p>

No	Indicator	Definitions	Comments by working group members
		<p><i>describe situations which, in different institutional contexts, may be considered similar. Employees with a limited duration job/contract are employees whose main job will terminate either after a period fixed in advance, or after a period not known in advance, but nevertheless defined by objective criteria, such as the completion of an assignment or the period of absence of an employee temporarily replaced.</i> " (LFS) - underemployment should be understood as : <i>"Involuntary part-time employment — This is when respondents declare that they work part-time because they are unable to find full-time work."</i> (LFS, http://epp.eurostat.ec.europa.eu/portal/page/portal/employment_unemployment_lfs/methodology/definitions). In line with Guideline no. 7: <i>"Member States should tackle labour market segmentation with measures addressing precarious employment, underemployment and undeclared work."</i></p>	<p>This set of indicators is not acceptable in the sense of a common indicator for all ESF-participants. A collection of this data per participant is too costly (only in the ...-OP about 1.9 million participants). Maybe we could agree if this set of indicators has to be collected via surveys for specific instruments or target groups. Concerning a collection of this data via existing IT-systems (e.g. our national labour market service) we have general scrutiny reservation regarding our national data protection law - our national labour market service is allowed to transmit personal data such as the job status of a participant only based on the regulation in the Code of Social Law X which contains no permission to transmit the job status to ESF managing authorities!</p> <p>Definition of indicator is clear and it is relevant for (...) context.</p> <p>We have no problem to implement this relevant indicator when we ask for the last payment demand 6 month after the end of the project. My opinion is that this information must be based on the same categories as the ones at the end of the project.</p> <p>Indicator should be measured at level of impact. - not relevant within regional / national context at limit of 6 months</p> <p>We do not consider absence of full employment or permanent employment as precarious employment. Involuntary part-time employment has to be measured in surveys.</p> <p>improved labour market situation' is a pretty subjective term - (...) tried to measure this in different ways using our cohort survey -http://research.dwp.gov.uk/asd/asd5/rports2009-2010/rrep709.pdf - but I don't think this should be one of the core indicators</p> <p>This is not a good measure. Have a look at the Dublin foundation surveys for better indicators (see European working conditions survey).</p> <p>If we are right, this type of longer term result indicator report only on the employed beneficiaries (already at work at the beginning of the support) ?</p> <p>"Il est très subjectif et vague. Quel est le levier d'action du FSE par rapport au passage de la précarité à l'emploi stable le FSE ne peut pas jouer sur la nature des contrats, ni sur les équivalents temps plein ?</p> <p>"</p>

Table 33: Comments on the whole indicator set

	Comment
1	Two general remarks on result indicators: 1. surveys on beneficiaries are always time-consuming and expensive (this does not mean that they are not necessary!) and 2. one should also think in terms of net effects, that means that a counterfactual situation must be created when implementing the survey on beneficiaries.
2	The proposed set does not define where it refers to numbers and where to percentage / share. The typology of indicators should be explained - what O, IR, LTR stand for ? output, result indicators and long-term results? IF so, what is the reason behind dividing result indicators (still the impact indicators are missing). Perhaps the table should also comprise possible source of data - eg. monitoring reports, evaluation studies. The set lacks indicators relating to social inclusion (EU 2020 inclusive objective) and focuses solely on adaptability and employability measures. Therefore, it should also refer to persons at risk of poverty or social exclusion (EUROSTAT definitions).
3	The weakness of this set of indicators is the one on structures and systems. For the detailed breakdown of situations upon leaving the project or 6 month after the project, it must be conceived by thinking to the status in the labour market not to forget any situation (employed, self employed, unemployed, long term unemployed, inactive persons, inactive persons in education or training : Annexe XXIII). It is not an advantage to mix categories like migrants and minorities or to include LTU in unemployed. Generally speaking to have an aggregate we need a detailed list with a good definition, so better to have a complete list. My impression is that these common indicators are reduced to the minimum. Nothing is asked on the offer of activities in number of hours and in nature of offer. The link with the priorities like they are defined suppose that we don't take into account our own priorities or specific objectives, because it is corresponding to categories of participants and we can have in the same project active and inactive people. For P3 institutional capacity and governance this means that all systems and structures operations are institutional capacity or governance. The consequence is that we are abandoning the coherence with the contribution of expenses according to a link with specific objectives. The consequence is also that all expenses can't be considered even if all specific objectives are in relation with Europe 2020.
4	Indicator for number of campaigns of awareness, information and similar For each indicator we propose to give a practical example
5	The most activity reporting of ESF interventions in Slovakia present also results and impact indicators such as support of new jobs created, support of sustained jobs, number of successfully placed persons.. We would like to propose to take into account these three indicators within designing common indicators for programming period post 2013. Definitions could be done as follows: Support of new jobs created (total number of supported people within created jobs that lasted at least one year after leaving ESF intervention) Number of successfully placed persons (number of persons placed on the labor market after leaving ESF support) Number of sustained jobs (number of persons who remained employed as a result of the ESF intervention)
6	there needs to be some element of flexibility to adapt the definitions to take account of Member States' systems. For example, in England one of the main CFOs may struggle with some of this in terms of its match; but another CFO should have fewer issues as it's very geared to public employment services
7	overall comment: I can handle as many output indicators as you want (completed actions by type of participant). But stay light on the outcomes. For outcomes I would set up a harmonisation process as the OPs are running with the aim of more common outcome indicators next time. In general, we consider that the immediate result indicators could every type of activity as too many actions cannot have any immediate result (help for writing a CV, a letter, preparation for a test or for an appointment,...). Currently, the result of this type of action is only assessed 6 months after the end of the action. Consequently, we would propose to assess the immediate result for a limited number/type of activities. We consider that the longer term result indicator should report on the sustainability of the results of these actions and the possible results of the one-off actions. So, the 2 types of result indicators would not report on the same type of actions : immediate result indicator would report only on the direct efficiency of SOME actions and longer term result indicators would report on ALL the actions.
8	It would be better to fill the numbers of women participating, of men participating and the total of participants of each indicator because some characteristics could be unavailable (as the gender) for some indicator and this could avoid any misunderstanding: For example: total 1000, women 400 --> Men 600, but the gender may be undetermined for 100 participants and only 500 participants are men for sure; We consider that the total of participants (Indicator n° 0) should not be the automatic aggregation of several other indicators (sum of 1, 2, 3 and 4), as some characteristics (as the position on the labour market) could be unavailable. This could also avoid any misunderstanding too. In general, we should avoid any automatic calculation by the Commission or by SFC, in order to avoid gaps between the available data at different levels.
9	Le tableau qui reprend la synthèse par priorités prévoit de distinguer les participants en total et femmes. Il serait plus correct de distinguer : H, F, TOTAL. Les « outputs indicators » reprennent une annexe XXIII améliorée, quelle conditionnalité pourrait-on imaginer par rapport aux caractéristiques des publics ?

Table 34: Comments on outputs definitions

Definitions to be used for outputs		Comments by working group members
Entries	"Entry: total number of participants that join or start on the intervention during the year - e.g. the inflow or new starts. Persons who are already participating on the intervention at the start of the year are considered to be a carry-over from the previous year and not new starts and should not be counted as entrants. The data required refer to the total number of new starts in the year and not to the number of different individuals who join the intervention during the year. Thus, the same person may be counted as an entrant more than once in a year (LMP)".	<p>needs more detailed</p> <p>To avoid counting several entries of a participant in a year, the best way is considering that he is leaving only once at the date of the last participation in the project. The way of counting you choose is surevaluating the number of participants and advantaging projects with numerous small training.</p> <p>We need to make a single definition of Intervention. In our opinion, this should fit with our definition of operation: project or group of projects executed and paid by the beneficiary, linked to an OP by a formal legal act. For example, the intervention should be a group of courses, and not each course by itself.</p> <p>not understandable. Sentences seem to be contradicting each other.</p> <p>Agree</p>
Stock	"Stock: Number of persons participating in an intervention at a given moment (annual average stock), usually calculated as an average of the stock at the end of each month. Two different observations of stocks are requested: Stock (total) = annual average stock; Stock (FTE) = annual average stock adjusted to take account of part-time participation - e.g. Stock (total) converted to full-time equivalents (FTE). When converting stocks to full-time equivalents, national definitions of full-time should be applied. Full-time hours per week may be different for training than for employment" (LMP).	<p>LMP-definition in the context of ESF is not acceptable. Because the permanent data-collection of the ESF-Stock at the end of each month is too costly. In addition to that you need detailed information about part-time-participation of each participant. Therefore a (...) individual profile of each participant) would be required with joining-date and leaving-date. Because of the huge number of ESF-participants the costs for IT, staff and monitoring for (this profile) would be enormous. Data collection and monitoring is an important aspect among others (esp. very expensive Management and Control Systems in general) why we are concerned about running out of Technical Assistance. Instead of "Stock" we would suggest to collect the "Entries" and "Exits" by the end of each year (like in the period 2007-2013).</p> <p>needs more detailed</p> <p>We will adapt, but it would be easier to count once people present in a year. This system seems to be very coherent in terms of information.</p> <p>We need to define Full-time and part-time.</p>

		<p>Not sure whether you really need this - also can only measure this if you have MI (ie not through survey)</p> <p>The annual average stock would be possible to collect, but NOT the Stock (FTE) because some actions only last one hour (help for writing of a CV or preparation for an appointment) and several can vary a lot. Moreover, an accompaniment can be splitted in several appointments through months. Thus, it would be impossible to assess the FTE of participants. Currently, this concept is already problematic in the framework of the LMP database.</p>
Entities	Organisations, networks, partnerships.	<p>Clear</p> <p>Too large a definition : what is a network, which kind of partnership or organisation</p> <p>No comment</p> <p>We consider it would be useful to split this category into several different (under-)indicators as we cannot aggregate organisations directly targeted by the implemented actions (passive), the organisations participating to networks and partnerships (active), and networks/partnerships created/implemented.</p>

ANNEX 3: COMPARISON OF KEY MESSAGES AND POLICY THEMES IN ESF, SOCIAL OMC, EUROPE 2020 AND THE INTEGRATED EMPLOYMENT GUIDELINES

ESF Regulations	Social OMC	Europe 2020	Guidelines for the employment policies of the Member States Part II of the Europe 2020 Integrated Guidelines
Increasing labour market participation of women and men, reducing structural unemployment and promoting job quality			
High Coherence			
Enhancing access to employment	Increasing access to labour market	identify ways to better manage economic transitions facilitate and promote intra-EU labour mobility	75 % of the population aged 20-64 should be employed
Increase participation in the labour market	Reduce people in jobless households	Fight unemployment and raise activity rates	Measures addressing precarious employment, underemployment and undeclared work remove barriers to labour market entry for newcomers
Encouraging active ageing and longer working lives	Employment of older workers	Promote active ageing policies	Promote active ageing
Medium coherence			
Preventing youth unemployment		Reducing youth unemployment rates Promote young people's entry into the labour market	integration in the labour market of young people
		increase gender equality	Promote gender equality Work-life balance policies with the provision of affordable care
increase the participation of migrants in employment	Employment gap of immigrants		Integration of legal immigrants in labour market
Low coherence			
		implement the second phase of the flexicurity agenda	integrate the flexicurity principles
Developing specific services for employment, training and support in connection with restructuring of sectors and firms Training and services for employees to step up their adaptability to change		promote the restructuring of sectors in difficulty towards future oriented activities	
			step up social dialogue and tackle labour market segmentation
			review tax and benefit system
Promoting entrepreneurship and innovation			promote self-employment, entrepreneurship and job creation
			strengthen employment

ESF Regulations	Social OMC	Europe 2020	Guidelines for the employment policies of the Member States Part II of the Europe 2020 Integrated Guidelines
			services
			Integration of people with disabilities in labour market
Promoting social inclusion and combating poverty			
High Coherence			
Sustainable integration of disadvantaged people in employment	Support social cohesion for all	Design and implement programmes to promote social innovation for the most vulnerable	Extend employment opportunities
Combating all forms of discrimination in the labour market	Supporting equality between men and women and equal opportunities for all	Fight discrimination	Ensure equal opportunities Put in place effective anti-discrimination measures
Medium coherence			
	At risk of poverty		Reduction of poverty
	In-work poverty risk		Prevent in-work poverty
Low coherence			
		develop a new agenda for migrants' integration to enable them to take full advantage of their potential	
		define and implement measures addressing the specific circumstances of groups at particular risk (one-parent families, elderly women, minorities, Roma, people with a disability and the homeless)	
Strengthening Institutional Capacity and Governance			
Medium coherence			
Reforms, better regulation and good governance	Good governance, transparency and the involvement of stakeholders in the design, implementation and monitoring of policy		
modernisation and strengthening of labour market institutions, in particular employment services		Promote strengthened cooperation between labour market institutions including the public employment services of the Member States	
Low coherence			
improving good policy and programme design, monitoring and evaluation at national, regional and local level, capacity building in the delivery of policies and programmes		improve framework conditions for business to innovate	
		promote knowledge partnerships and strengthen links between	

ESF Regulations	Social OMC	Europe 2020	Guidelines for the employment policies of the Member States Part II of the Europe 2020 Integrated Guidelines
		education, business, research and innovation	
		develop a horizontal approach to industrial policy combining different policy instruments	
		introduction of medium- to longer-term reforms that promote the sustainability of public finances	

ANNEX 4: THEORY OF CHANGE MODEL TO SUPPORT INDICATOR REVIEW

The Table below shows the theory of change model developed to inform the policy review of output and result indicators. This is based on Weiss' (1995) definition of "Theory of Change" as a way to describe the set of assumptions that explain both the mini-steps that lead to the long term goal of interest and the connections between program activities and outcomes that occur at each step of the way. Anderson (2006) provides an operationalization of this concept in terms of the construction of a desired main goal and set of sub-goals each of which needs to be met before the desired goal can be realised. Indicators need to be defined to enable a check on whether the pre-conditions associated with each sub-goal are met. The difference between the indicators used in a conventional logic model and a 'theory of change' logic model is that the theory of change indicators need to specify how well the pre-conditions have been met before moving on to the next goal, e.g. whether a sub-goal has 'caused' another sub-goal. This also reflects the extent to which the indicator makes a contribution to showing distance travelled to the desired change associated with the strategic objectives. On this basis, the table below shows a hypothetical theory of change model for the key strategic objectives of the three policy areas covered by the study. In practice, the theory of change model would be developed through working with key stakeholders. This has been applied in the review of output and result indicators (see Chapter 5 of this report).

Table 35: Theory of Change model

Main goal	Sub-goals/levels
Increasing labour market participation of women and men, reducing structural unemployment and promoting job quality	<ol style="list-style-type: none"> 1. Provision of initiatives supporting access, participation and job quality 2. Participation in initiatives 3. Acquisition of assets, benefits and skills to further access, participation and job quality 4. Access to further opportunity to acquire or increase assets and benefits already gained 5. Change in employment seeking behaviour 6. Acquisition of new or better employment position 7. Retention of new or better employment position
Promoting social inclusion and combating poverty	<ol style="list-style-type: none"> 1. Provision of initiatives supporting social inclusion and poverty reduction 2. Participation in initiatives 3. Acquisition of assets, benefits and skills to further social inclusion and poverty reduction 4. Access to further opportunity to acquire or increase assets and benefits already gained 5. Change in behaviour 6. Acquisition of new or better socio-economic situation 7. Retention of new or better socio-economic situation
Strengthening Institutional Capacity and Governance	<ol style="list-style-type: none"> 1. Provision of initiatives supporting Institutional Capacity and Governance 2. Participation in initiatives 3. Acquisition of assets, benefits and skills to strengthen Institutional Capacity and Governance 4. Access to further opportunity to acquire or increase assets and benefits already gained 5. Change in behaviour (individual and institutional)

	6. Acquisition of new or better capacity/governance situation
	7. Retention of new or better capacity/governance situation

ANNEX 5: ANNEX XXIII OF COMMISSION REGULATION 1828/2006 OF 8TH DECEMBER 2006

ANNEX XXIII

DATA ON PARTICIPANTS IN ESF OPERATIONS BY PRIORITY

NUMBER OF PARTICIPANTS PER YEAR

(people entering, those leaving, carry-over from one year to the next)

BREAKDOWN OF PARTICIPANTS BY GENDER

BREAKDOWN OF PARTICIPANTS ACCORDING TO STATUS IN THE LABOUR MARKET

- Employed (total number of employed, including self-employed)
- Self-employed
- Unemployed (total number of unemployed including long-term unemployed)
- Long-term unemployed
- Inactive persons (total number of inactive persons, including those in education, training or retirement, those having given up business, the permanently disabled, those fulfilling domestic tasks or other)
- Inactive persons in education or training

BREAKDOWN OF PARTICIPANTS BY AGE

- Young people (15-24 years)
- Older workers (55-64 years)

BREAKDOWN OF PARTICIPANTS BY VULNERABLE GROUPS, IN ACCORDANCE WITH NATIONAL RULES

- Minorities
- Migrants
- Disabled
- Other disadvantaged people

BREAKDOWN OF PARTICIPANTS BY EDUCATIONAL ATTAINMENT

- Primary or lower secondary education (ISCED 1 and 2)
- Upper secondary education (ISCED 3)
- Post-secondary non-tertiary education (ISCED 4)
- Tertiary education (ISCED 5 and 6)

ANNEX 6: TERMS OF REFERENCE FOR VT/2010/077/029

Request for services in the framework of the Multiple Framework Contract
"Developing logics of intervention and related common indicators for the next European Social Fund operational programmes"

Lot N°4

VT/2010/077

Identification N°029

1. Title

Developing logics of intervention and related common indicators for the next European Social Fund operational programmes

2. Background

2.1. *The European Social Fund*

The European Social Fund (ESF) was established by the Treaty of Rome and is the eldest Fund within the structural funds. It is the main financial tool through which the EU translates its strategic labour market, human resources development and social inclusion policy aims into action.

The Europe 2020 strategy for smart, sustainable and inclusive growth lays down clear objectives in the areas of employment and social inclusion. The ESF is a key element to support the Europe 2020 strategy targeted at improving the lives of EU citizens by giving them better skills and better job prospects.²⁰¹

The European Social Fund is an expression of European solidarity. On average, the ESF finances the training of some 10 million persons yearly. The ESF also invests, amongst other, in domains such as the improvement of institutional capacity, education systems and labour market institutions. The ESF has an annual budget of approximately € 11 billion, 70% of which is allocated to convergence regions.

In the programming period 2007-2013 the ESF is governed by the following Regulations:

- Council Regulation 1083/2006 laying down general provisions on the ERDF, ESF and the Cohesion Fund
- Regulation 1081/2006 on the European Social Fund
- Commission Regulation 1828/2006 setting out rules for the implementation of Council Regulation 1083/2006
- Council Regulation (EC, Euratom) No 1605/2002 of 25 June 2002 on the Financial Regulation applicable to the general budget of the European Communities

Within the framework of the Convergence and Regional competitiveness and employment objectives the main ESF priorities for 2007-2013 are:

- a) increasing adaptability of workers, enterprises and entrepreneurs with a view to improving the anticipation and positive management of economic change;

²⁰¹ COM(2010) 2020, Communication from the Commission, EUROPE 2020 A strategy for smart, sustainable and inclusive growth, <http://ec.europa.eu/eu2020/pdf/COMPLET%20EN%20BARROSO%20%20%20007%20-%20Europe%202020%20-%20EN%20version.pdf>

- b) enhancing access to employment and the sustainable inclusion in the labour market of job seekers and inactive people, preventing unemployment, in particular long-term and youth unemployment, encouraging active ageing and longer working lives, and increasing participation in the labour market;
- c) reinforcing the social inclusion of disadvantaged people with a view to their sustainable integration in employment, and combating all forms of discrimination in the labour market;
- d) promoting partnerships, pacts and initiatives through networking of relevant stakeholders, such as the social partners and non-governmental organisations, at the transnational, national, regional and local levels in order to mobilise for reforms in the field of employment and labour market inclusiveness;

Within the framework of the Convergence objective priorities for 2007-2013 are:

- e) expanding and improving human capital;
- f) strengthening institutional capacity and the efficiency of public administrations and public services at national, regional and local level and, where relevant, of the social partners and non-governmental organisations, with a view to reforms, better regulation and good governance especially in the economic, employment, education, social, environmental and judicial fields.

The structural funds and ESF regulations are adopted following the ordinary legislative procedure, as set in article 164 and 177 of Treaty on the Functioning of the EU. On this basis, seven-year Operational Programmes (OPs) are planned by Member States (Member States) at national or regional level and adopted by the European Commission. These Operational Programmes are then implemented through a wide range of organisations in the Member States, both in the public and private sector.

The European Social Fund is based on the principles of co-financing and shared management:

- *Co-financing*: EU financial support always runs alongside national public or private financing. The level of EU intervention is linked with the situation on the ground. Depending on a number of socio-economic factors, the co-financing may vary between 50% and 85% of the total cost of interventions.
- *Shared management*: the legislative basis and guidelines for ESF actions are designed at European level, whereas implementation on the ground is managed by the relevant national or regional authorities in each Member State. These authorities prepare the Operational Programmes and select and monitor the projects. However, the Commission retains the overall responsibility for the execution of the EU budget.

2.2 The policy background

The Europe 2020 strategy has set the future priorities of the European Union²⁰². It sets out a vision for Europe's social market economy over the next decade, and rests on three interlocking and mutually reinforcing priority areas: Smart growth, developing an economy based on knowledge and innovation; Sustainable growth, promoting a low-carbon, resource-efficient and competitive economy; and Inclusive growth, fostering a high-employment economy delivering social and territorial cohesion. At EU level, the Commission will work to implement the strategy, notably through its seven 'flagship initiatives'. "An agenda to create new skills and jobs" aims to modernise labour markets and ensure people can do the jobs the economy requires. Building a "European Platform Against Poverty" is a flagship initiative that aims to improve territorial and social cohesion by ensuring that poor and socially excluded people can live in dignity and play an active role in society. An important issue in the debate on the future ESF will be the objectives and priorities to be supported by the ESF. Within this strategic

²⁰² http://ec.europa.eu/eu2020/index_en.htm

framework and given the double Treaty base of the ESF²⁰³, different options will be explored in the impact assessment for the next ESF Regulation.

In autumn 2010, the Commission will present the conclusions of the 5th Cohesion Report. The revision of the financial regulation will also impact on the instrument under shared management. Legislative proposals covering the structural funds and notably the ESF will be tabled between mid and end 2011. This study will contribute, together with other studies commissioned or to be commissioned by DG EMPL Unit A1 (such as administrative burden, stakeholder analysis, performance measurement) to the development of these proposals. Ultimately negotiations between the Commission, the Council and the European Parliament will determine the design of the next European Social Fund.

A number of simplifications were implemented with the current programming period, including abolishing measures describing in detail interventions. Managing Authorities (MA) now propose priority axes with indicative interventions, referring to the scope of assistance as defined in article 3 of Regulation 1081/2006. For each priority axis, Member States are required to set specific output and result indicators and targets. It is important to note that unlike for the ERDF, no core indicators were defined. The Commission Implementing Regulation contains a list of output indicators (Annex XXIII). Member States are requested to provide data for these output indicators. The 117 ESF OPs which were adopted for the period 2007-2013 contain over 7,000 output and result indicators. They are entered in the common database, SFC 2007, in addition to participant's data (according to annex XXIII of Regulation 1828/2006). Member States are also required to report financial expenditure on priority themes as defined in appendix II of the same regulation. Policy areas defined in article 3 and priority themes address **final target groups** (e.g. unemployed), **types of activities** (e.g. training, job search support) and **means** used to reach target groups be they individuals or enterprises (directly or through support to systems and structures, partnerships, capacity building).

The Commission has summarised the domains and sub-domains programmed by Member States at the beginning of the programming period in an overview²⁰⁴. It has also summarised data from annex XXIII²⁰⁵. Finally, a contract is ongoing to propose a list of common indicators for support to individuals, to structures and systems, and to enterprises. These common indicators, might be used to provide aggregate information at EU level on the implementation of the 2007-2013 ESF OPs without replacing the existing OP indicators nor assessing their quality.

The Commission has noted that the OPs do not always sufficiently demonstrate in a synthetic manner the intervention logic of the chosen priority axes or sub-levels: the link between needs, final target groups, types of activities, means used and performance indicators is not always straightforward.

2.3 Exploring a possible option for the next programming period

The Commission would like to propose for the next programming period a methodology allowing Member States to clearly demonstrate the intervention logics of policy areas chosen, and the relevance of the related performance indicators.

The Commission expects to use this option in three ways: firstly, it is expected to help the Commission in the preparation of its impact assessment for the next regulations. Secondly, it might also contribute to the programme negotiation with Member States although the ex-ante evaluation of programmes and the preparation of programmes are likely to remain the responsibility of the Member States. Thirdly, the Commission might use this option to propose a limited set of common output and

²⁰³ According to Art. 162 TFEU the ESF aims to improve employment opportunities for workers in the internal market by rendering the employment of workers easier, increasing their geographical and occupational mobility within the Union and facilitating their adaptation to industrial changes and to changes in production systems. Art. 175 TFEU states that the ESF, as all structural funds, shall support actions leading to the strengthening of economic, social and territorial cohesion within the Union.

²⁰⁴ <https://webgate.ec.europa.eu/sfc2007/frontoffice/programmingOverviewOutside/listOutside.go>

²⁰⁵ http://ec.europa.eu/employment_social/esf/discover/statistics_en.htm

result indicators to be used by Member States in their programmes, along with any other additional indicators they consider relevant for measuring performance.

This option should build on the indicators used during the current programming period and on participants data provided under annex XXIII, as well as on the common indicators proposed in the framework of the above mentioned ongoing contract.

Although at this stage, the future areas of ESF intervention have not been defined yet, it is likely that the ESF will continue providing a broad range of support, such as: support to systems and structures in active labour policy reform, supporting vulnerable groups such as young, low skilled, unemployed and inactive, older people; women in finding employment or bringing them closer to the labour market and support to entrepreneurship.

At present the Commission considers that the intervention logics and the indicators should be set at the level of the priority axes, but this may have to be adapted in the course of this service order.

3. Purpose of the request for services

The purpose of this request is to:

- (1) develop methodologies for establishing logics of interventions at the most suitable level for the ESF (at this stage the level of the priority axis),
- (2) develop logics of intervention by way of example for three selected policy areas and
- (3) develop related common output and result indicators linked to the above three policy areas.

4. Scope of the study

As this study is of prospective nature, it should not repeat the tasks carried out by the contractors for the studies mentioned in section 2. However, the results of those studies should serve as a reference basis, in particular the proposed common indicators and conclusions as regards proposed improvements to the current system. Also, the consultants will have to consult the contractors responsible for the other planned or ongoing studies within DG EMPL/Unit A1 contributing to the impact assessments of the next structural funds regulations and the ESF in particular, to avoid overlaps, but also to progress in a consistent manner.

5. Study deliverables

- **Deliverable 1:** Taking into account current policy areas of the ESF and of priority themes and targets of Europe 2020, propose several methodologies (at least three) to develop intervention logics at the priority level. Discuss the pros and cons and provide suitable criteria to allow the Commission to select the most suitable methodology.
- **Deliverable 2:** Develop full logics of intervention based on the selected methodology for the three policy areas: enhancing access to employment, social inclusion and administrative capacity. These logics of interventions should be presented in a table format, allowing a systematic linkage to the Europe 2020 strategy and address needs, final target groups, types of activities, means used and performance indicators. The contractor should be aware that in practice Member States may merge given policy areas or sub-divide them.
- **Deliverable 3:** For each policy area separately, develop common output and result indicators coherent with the intervention logic, including their definition, the methodology used to construct them and the possible data sources for these indicators as well as the appropriate frequency and method of data collection and reporting. These indicators should be of a reasonable number

(maximum 10 per policy area broken down by gender). The contractor should also explain how these common indicators can be aggregated at Member States and EU level.

All deliverables should allow to:

- demonstrate the added value of the ESF (see attached DG EMPL note of European Added Value);
- outline the causal link between the indicators and the short-term, medium and long-term effects on the policy areas and objective concerned and ensure a relevant contribution to achieving the EU strategic objectives (Europe 2020, EES, social OMC, ...);
- ensure coverage of target groups defined in annex XXIII, enterprises in particular SMEs, systems and structures in labour market policy, education and training and health;
- be relatively easy to collect at OP level;
- as far as result indicators are concerned reflect the distance travelled to work (e.g. starting from gaining basic skills, gaining qualification, allowing for reconciliation of family and work, being closer to the labour market, moving to finding a job, securing a job, gaining a better job or a promotion...);
- facilitate the programming of OPs and the monitoring and evaluation of their implementation.

6. Study methods

The contractor should develop a detailed outline of the proposed work methodology in its offer. This methodology should be based on commonly accepted methods related to the logic of intervention of programmes and performance indicators, not only at EU level, but also in other international organisations such as the UN, the World Bank as well as national Development Agencies.

It is anticipated that the methodology will rely on the studies mentioned above, on Eurostat data and on data extracted from SFC 2007, and also on relevant documents related to the future of the ESF (Europe 2020, results from relevant evaluations...).

Interviews with EC officials and Managing Authority (MAs) officials will be required for all deliverables.

As the common indicators and related logics of intervention will have to be used by MAs, the Commission intends to set up a specific working group composed of several MAs (up to 10) and Commission officials. This group will provide feed-back and advice on the logic of interventions and common indicators. The contractor will organise several workshops with this working group at all stages of the contract (up to six workshops).

7. Tasks to be carried out by the contractor

Task 1: Preparation of the inception report

The contractor shall:

- Refine the work methodology and further develop the study deliverables;
- Carry out the literature review, and carry out interviews
- Organize a workshop with the working group of MAs.
- Provide deliverable 1
- Propose annotated outlines for the interim and final reports;
- Describe the organisation of the work in terms of distinct work packages and their expected duration, the team members responsible for each work package and their contact details;

This task requires a kick-off meeting with Commission services, desk work and methodological inputs by the contractor, interviews, at least one workshop with the specific group of MAs, an inception meeting at which the draft inception report will be discussed and the organisation of the subsequent work agreed.

Task 2: Implementation task - interim report

The implementation task involves carrying out all deliverables agreed in the accepted inception report with a view to provide final answers to deliverable 2.

This task involves at least one meeting with Commission services, desk research, methodological input by the contractor and the delivery of an interim report. It will require contacts with a number of stakeholders and workshops with the specific working group of MAs.

Task 3: Finalisation Task - Final report

The finalisation task involves providing all remaining deliverables agreed in the accepted inception report (deliverable 3), as listed under par. 5, in line with the criteria set in Annex 1.

This task involves at least one meeting with Commission services, contacts and workshops with the working group of MAs, desk work, methodological input by the contractor and the delivery of a final report.

DG EMPL will provide access to the documentation of the ESF programmes (programmes, annual reports, evaluations etc.) and to any other relevant documentation where possible. This also includes the provision of draft final or intermediate reports of evaluations and studies– whenever suitable and if the timing of the project should require that.

8. Expertise required

The Commission wishes this study to be carried out by a limited number of senior experts of category I and II. Only the work related to organising workshops may be entrusted to junior experts, but not the above deliverables nor the moderation of the events. The team of a limited number of senior experts as a whole must have proven expertise in project cycle management, in monitoring systems and in particular in the development of indicators related to public expenditure programmes. Sound background in structural funds and cohesion policy implementation, notably the ESF, is a must for key staff.

All possible staff related issues will be clarified during the kick-off meeting.

9. Time schedule

The duration of the service order is fixed at 6 months.

The indicative time schedule for the project is scheduled below. The final timing will be agreed upon by the steering committee during the kick-off meeting.

Week 1: Beginning of the service order	A kick-off meeting will be held as soon as possible after the signature of the service order. During this meeting all outstanding doubts should be clarified and intermediary timing for delivery the study agreed.
Week 7: Inception report	The inception report will be submitted by the Contractor within 7 weeks after signing the service order. The steering committee meeting will be held within the two following weeks.
Week 13: Interim report	The interim report will be submitted by the Contractor within 13 weeks after the signature of the service order. The steering committee meeting will be held within the two following weeks.
Week 21:	The draft final report will be submitted by the Contractor within 21 weeks after the signature of the service order.

Draft final report	The steering committee meeting will be held within the two following weeks.
End of month 6: Final report	The final report will be submitted by the Contractor within 24 weeks after the signature of the service order.

The Contractor shall deliver the reports listed above. The drafting of the reports should be clear, simple, concise and unambiguous. Unnecessary abbreviations, 'Community jargon' and excessively long sentences should be avoided. All reports will be written in English and proof read by a native speaker. The executive summary of the final report will be in English, French and German.

10. Reporting

Inception report

The inception report aims at describing the organisation of the work, adapting and substantiating the methodology and the work plan outlined in the proposal. This inception report will include as a minimum:

- preliminary results of the literature review and interviews;
- methodology to be used for subsequent steps;
- deliverable 1
- information on staff members responsible for each task foreseen in the work plan, indicating their contact details;
- the annotated outlines of the interim and final reports;

The inception report will be submitted to the European Commission within 7 weeks of signing the service order. It will be validated by the Steering Committee.

Interim report

This document will follow the structure agreed on during the inception phase. It will consist of the finalised deliverable 2.

The interim report will be submitted to the European Commission within 13 weeks of the signature of the service order. It will be validated by the Steering Committee.

The Commission attaches the greatest importance to the timely delivery of the high quality final interim report in view of using its results in the debate on the future of the ESF.

Draft final report

The draft final report should be presented to the Commission within 21 weeks after the signature of the service order. It will be validated by the Steering Committee.

Final report

The final report should contain the revised version of the draft final report, taking into account the observations and comments of the European Commission on the draft final report.

The final report will have approximately 50 pages of text (exclusive of annexes and depending on results) and will be drafted in English. It will be accompanied by an executive summary in English,

French and German of maximum 10 pages. It will be provided both in electronic format (Word and PDF) and in 10 hard copies.

The final report will be submitted to the European Commission within 24 weeks after the signature of the service order.

The quality of the report will be assessed by the Commission services on the basis of the "Quality Assessment of the evaluation report" (Attached as Annex 1).

The rights relating to the outputs of the contract and those pertaining to their duplication and publication will remain the property of the European Commission. Any document based, in full or in part, on the work completed under this contract, may only be transmitted or published with the European Commission's permission.

11. Organisation

The service order will be managed by the evaluation and impact assessment unit of the Commission's Employment, Social Affairs & Equal Opportunities DG (DG EMPL). It will be launched by a kick-off meeting between the Contractor and DG EMPL.

DG EMPL will establish a Steering Committee within the Commission. The contractor will provide documentation and attend at least 4 meetings of the steering group. It is anticipated that the meetings will take place in order to discuss the beginning of the contract and the drafts/outlines of the inception, interim and final reports. As many additional technical meetings as required should be foreseen.

In addition there will be a number of workshops with the specific working group of MA (up to six workshops) organised by the contractor. All meetings will take place in Brussels.

The organisation of the workshops should be the sole responsibility of the contractor: this includes but is not limited to: meeting facilities outside the Commission's premises, including conference room, refreshments and lunch for all participants, computers, interpretation in up to 4 languages, sending invitations, preparing the meeting and the minutes.

Costs of attendance of contractor's experts must be included in their fees and do not constitute a part of the lump-sum for the seminar (p.30 MFC Terms of Reference). Travel and accommodation costs of MAs will be met by MAs themselves.

12. Payments

Payments under the contract shall be made in accordance with Article II.4 of the contract. Payments shall be executed only if the contractor has fulfilled all his contractual obligations by the date on which the invoice is submitted. Payment requests may not be made if payments for previous periods have not been executed as a result of default or negligence on the part of the contractor.

The payment will be made in two instalments:

Interim payment

Requests for interim payment by the contractor shall be admissible if accompanied by:

- an interim report,*
- the relevant invoices, indicating the reference number of the contract and of the order to which they refer,*

provided the report has been approved by the Commission.

The Commission shall have 60 days from receipt to approve or reject the report, and the Contractor shall have 30 days in which to submit additional information or a new report. Within 30 days of the

date on which the report is approved by the Commission, an interim payment equal to 50% of the subtotal fees and direct costs referred to in the relevant Order shall be made.

Payment of the balance

The request for payment of the balance by the Contractor shall be admissible if accompanied by:

- the final technical report,
- the relevant invoices indicating the reference number of the Contract and of the Order to which they refer,

provided the report has been approved by the Commission.

The Commission shall have 60 days from receipt to approve or reject the report, and the Contractor shall have 30 days in which to submit additional information or a new report. Within 30 days of the date on which the report is approved by the Commission, payment of the balance corresponding to the relevant invoice shall be made.

13. Price

The total amount of the service order will not exceed the amount of € 225.000. Any bid exceeding this amount will not be considered. The implementation of the task will require approximately 200 working days.

Under the terms of article 3 and 4 of the Protocol on the Privileges and Immunities of the European Communities, the latter are exempt from all charges, taxes and duties, including value added tax; such charges may not therefore be included in the calculation of the price quoted. The amount of VAT is to be indicated separately.

The price must be stated in EUR (€), net of VAT (using, where appropriate, the conversion rates published in the C series of the Official Journal of the European Union on the day when the invitation to tender was issued) on the basis of the established unit costs in the Framework Contract and broken down by categories of experts and travel and mission costs in order to include:

Professional fees and direct costs:

- Fees, expressed as the number of person-days multiplied by the unit price per working day for each expert proposed;
- Travel and subsistence expenses;
- Seminar;
- Translation costs.

14. Award criteria

The service order will be awarded to the bid representing the best price/quality ratio, taking into account the following criteria:

- | | |
|--|--|
| <i>Award criteria 1</i>
(25 points) | Understanding of the services and general approach to the work to be performed: <ul style="list-style-type: none">○ Understanding of the issues regarding current and prospective ESF programming, monitoring and accounting of the ESF (max 10 points).○ General understanding of the assignment and the tasks to be performed (max 15 points). |
|--|--|

Award criteria 2

Proposed methodology and tools:

(50 points)

- Clarity and feasibility of the proposed methods and tools (max 20 points).
- Field work and activities proposed (max 15 points).
- Appropriateness of methods proposed (max 15 points).

Award criteria 3

Approach proposed for the organisation and the management of the work:

(25 points)

- General management approach, including organisation of work and work plan, milestones, deadlines and critical path analysis (max 12 points).
- Resource allocation - broken down by category of experts - for the different tasks to be performed (max 8 points).
- The approach for quality assurance (max 5 points).

Please note that the tenderers which do not obtain at least 50% of the maximum score for each award criterion and at least 60 % of the overall score criteria, will not be admitted to the next stage of the evaluation of the offers.

Financial criteria

Each offer will be assessed in terms of the total price for the proposal on the basis of the specific unit prices set in the Framework contract, broken down by categories of experts and travel and mission expenses.

The contract will be awarded to the most economically advantageous tender. This will be determined on the basis of the price and the quality of the tender.

15. Content and presentation of bids

Content

Tenders must include:

- all information and document necessary to enable Commission to appraise the bid on the basis of the award criteria (the proposal)
- the CVs of the proposed experts and list of experts assigned (annex 2 and 3);
- the financial offer (annex 4);
- the name and function of the contractor's legal representative (e.g. the person authorized to act on behalf of the contractor in any legal dealings with third parties);

Presentation

- Bids must be submitted by post to the Contracting service address in quintet (e.g. one original and 4 copies).
- They must be clear and concise.
- They must be signed by the legal representative.
- They must be submitted in accordance with the specific requirements of the request for services within the deadlines laid down.

ANNEX 1 - QUALITY ASSESSMENT OF THE EVALUATION REPORT

	Poor	Satisfactor y	Goo d	Very good	Excellen t
<p>1) Relevance</p> <p>Does the evaluation respond to the information needs, in particular as expressed in the terms of reference?</p>					
<p>2) Appropriate design</p> <p>Is the design of the evaluation adequate for obtaining the results needed to answer the evaluation questions?</p>					
<p>3) Reliable data</p> <p>Are the data collected adequate for their intended use and has their reliability been ascertained?</p>					
<p>4) Sound analysis</p> <p>Are data systematically analysed to answer the evaluation questions and to cover other information needs in a valid manner?</p>					
<p>5) Credible findings</p> <p>Do findings follow logically from and are justified by, the data/information analysis and interpretations based on pre-established criteria and rational?</p>					
<p>6) Valid conclusions</p> <p>Are conclusions non-biased and fully based on findings?</p>					
<p>7) Helpful recommendations</p> <p>Are the areas which need improvements identified in coherence with the conclusions? Are the suggested options realistic and impartial?</p>					
<p>8) Clarity</p> <p>Is the report well structured, balanced and written in an understandable manner?</p>					

ANNEX 2 - MODEL CV FOR THE PRESENTATION OF EXPERTS

Personal information

Surname(s) / First name(s) **Surname(s) First name(s)**

Nationality (remove if not relevant)

Date of birth (remove if not relevant)

Gender (remove if not relevant)

Relevant professional experience

Add separate entries for each relevant professional experience (specify dates, number of months spent in the project of professional activity, description of tasks and employer/commissioner, starting by the most recent)

Education and training

Dates Add separate entries for each relevant training you have completed, starting from the most recent. (remove if not relevant)

Title of qualification awarded

Principal subjects/occupational skills covered

Name and type of organisation providing education and training

Personal skills and competences

Mother tongue **Specify mother tongue** (if relevant add other mother tongue(s))

Other language(s)

Self-assessment

Language
Language

Understanding		Speaking		Writing
Listening	Reading	Spoken interaction	Spoken production	

Other relevant skills and competences

Replace this text by a description of these competences and indicate where they were acquired. (Remove if not relevant)

Additional information

Include here any other information that may be relevant. (Remove heading if not relevant)

ANNEX 3 – SUMMARY TABLE FOR THE PRESENTATION OF THE TEAM

Name of expert	Category of expert	Organisation	Work Task	No. days	Languages
X	II	Y	(indicate exactly which tasks the expert will be involved in and <u>how exactly</u>)	(on each task)	SI, SK,CZ

ANNEX 4 – FINANCIAL OFFER

Expert Fees	Persons	Days	Unit Price	Total
Category I				
Category II				
Category III				
Category IV				
Subtotal				
Other direct cost (if required)				
Missions	Travel Expenses	Days	Daily subsistence allowance	Total
Country 1				
Country 2				
Subtotal				
	Number	Unit price	Total	
Seminar				
Translations				
Total				

Annex 5



EUROPEAN COMMISSION
Employment, Social Affairs and Equal Opportunities DG

Evaluation and Impact Assessment Unit

Brussels, 29/11/08

Possible aspects of 'Community Added Value' for Employment and Social Policy

1 Introduction

While regularly referred to by decision makers to justify Community action, there is no clear agreed definition or usage of Community Added Value. It is often used in a colloquial manner and it is left to others to provide evidence, for example in the form of evaluations.

EMPL evaluation practice has tended to revolve around the terms **effectiveness** (*were intentions realized?*) and **results** (*what are the personal and wider effects generated by participation in EMPL action?*). In some cases **'impact'** has also been considered (*broader significant downstream effects generated by EMPL action*). If the analysis of CAV is to be supported via evaluation it will be necessary to distinguish CAV from other evaluation terms, and develop some practical ideas about how to recognize it.

This note was originally developed in relation to ESF achievements. It now seeks to extend the discussion of CAV to the other areas of responsibility of DG EMPL.

2 Two fundamental aspects of EMPL CAV

In practice CAV appears to consist of two complementary aspects of EU achievements: first an 'intrinsic' view which is concerned with how EU action contributes to achieving EU policy goals; and second, a 'comparative' view which tries to 'benchmark' EU action against those of others.

(a) 'Intrinsic' CAV: the contribution of employment and social policy actions to achieving broad policy goals

It can be said that any action that contributes to achieving Treaty objectives has CAV: even a 'lowly' pilot project. This is because the Treaty is the starting point for EU action: it commits the Union and its parts to achieving goals, some of them general, some specific. The Union is given means to act towards these goals, including institutions and a budget.

At higher levels of action (types of instruments, programmes, policies, initiatives, priorities, individual pieces of legislation, action plans etc. etc.) the contribution of the EU to achieving Treaty objectives is more significant.

This aspect of CAV requires observing and analysing how action contributes to the achievement of 'high level' objectives found in the Treaty or derived from it. From the point of view of evaluation this means demonstrating a 'chain of causality' by which action contributes to achieving a particular Treaty objective. If it is not possible to show how action is contributing achieving a Treaty objective, such action cannot have CAV.

Examples of articles in the area of employment and social policy are: (a) 2^{TEU} on high level of employment/social protection, and equality between men and women and social cohesion; (b) 13^{TEC} on non-discrimination (c) 118b^{TEC} on the improvement in the health and safety of workers (d) 125/127^{TEC} on employment policy and the workforce.

(b) 'Comparative' CAV: comparing EMPL action to action by others

This aspect of CAV considers to what extent EU actions/interventions add something to national actions/interventions to achieve EU objectives. In some policy areas Member States (or other bodies) are already taking action. In others situations only the EU is taking action. This leads to two types of comparison: one concerns comparison with real activities, the other concerns the development of a hypothetical comparison point.

(i) *comparing action to national action*: This type of comparison would consist of juxtaposing 'comparable' actions and analysing both. Ideally this requires the use of similar approaches or methodologies and access to common and comparable data sources on the inputs, outputs and results of actions.

(ii) *comparing action to no action (counterfactual)*: This type of comparison would be fairly close to evaluation attempts to examine 'net effects'. A 'counterfactual' would be established. Unforeseen, deadweight, and substitution effects of EU action would be examined. Whilst such an analysis may appear interesting at an operational level, at very high levels it becomes extremely difficult, if not unfeasible, as too many external factors influence final outcomes/effects.

(c) Practical consequences for building an evaluation approach on CAV

The above suggests that CAV in relation to European Employment and Social policy actions is 'multi-faceted'. It includes consideration of both how an action may contribute to achieving a set of given objectives, and comparing that action to 'benchmarks'.

In order to build more systematic evaluation evidence in relation to CAV, two evaluation questions can be proposed for inclusion in future evaluations:

- In what ways does action contribute to the achieving Community policy objectives?
- What are the broad effects generated by actions?

Analysis of CAV may provide information on policy design and instrument choice issues that were addressed at the outset of action. Since one aspect of CAV is to show how Treaty goals are supported by EMPL action in the employment and social fields, CAV is related to the principle of subsidiarity.

To begin with, this requires demonstrating at the time that a proposal is made that:

- (i) the aims of an action cannot be sufficiently achieved by the Member States; and,
- (ii) the aims by reason of the scale or effects of the action, can be better achieved by action by the Community.

The implication is that there is a 'transnational' issue which requires action, and that action at EU level is an appropriate response to an issue which transcends national boundaries.

The principle of proportionality is coupled to that of subsidiarity: Community action shall not go beyond what is necessary to achieve the Treaty objective. This implies consideration of appropriate means to act: e.g. how EMPL acts, once the decision to proceed has been taken. This suggests that evaluation would 'after the event' also consider the choice of instrument and how it has contributed to achieving results.

3 What types of effects are generated by action?

Past experience and evaluation reports point to the fact that the different types of actions developed by DG EMPL (policy, legislative, financial) lead to significant and lasting effects for:

- people (individuals, groups of beneficiaries, entire populations)
- territories (locale, area, sub-national region, countries, supra-national 'region', EU)
- organisations (public authorities, NGOs, companies, service providers)
- systems (employment services, social security, training,...)
- values within organisations associated with action ('long-termism', evaluation culture)

Such achievements can be placed in four analytical categories of effects related to 'making a difference':

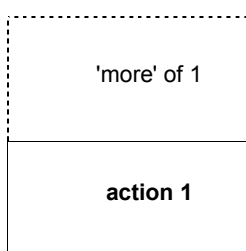
- **Volume effects:** 'adds' to existing action or directly produces beneficial effects that can be expressed in terms of volume;
- **Scope effects:** action 'broadens' existing action by addressing groups or policy areas that would not otherwise be addressed;
- **Agenda setting, Innovation and learning (role) effects:** action deliberately supports innovations and the transfer of ideas that are subsequently 'rolled out' in different contexts;

- **Process effects:** Member States administrations and participating organisations derive benefits from being involved in action.

This section proposes a preliminary attempt to identify **examples** of broad achievements across the different policy areas of DG EMPL. It should be clear that EMPL actions generate a broad spectrum of different types of effects, and as such have different 'CAV profiles'.

(a) Volume effects

The underlying argument in relation to CAV is that action **boosts or amplifies actions taken by others or directly contributes to an improvement in relation to a Community policy objective** that can be expressed in terms of a volume.



For example, ESF evaluation has generated much material on volume aspects: increases in budgets, persons or institutions reached (Box 1). The comparison of financial volumes (profiling) provides us with an intuitive estimation of the significance of ESF. However, in Member States with relatively small ESF allocations volume effects are probably be limited.

Box 1. Examples of volumes effects achieved by different types of instruments

Policy instrument

- social dialogue OR international cooperation (examples to be provided after reviewing studies/reports....)

Legal instrument

- The evaluation of the Health and Safety framework Directive found that it had without any doubt had a positive influence on national standards for occupational safety and health.
- other examples to be provided after reviewing studies/reports....

Financial instrument

- In Italy the ESF turns out to be most important in boosting public interventions in professional training (84% of the total expenses in 2000-2004); the public employment services (44,5% of the total) and continuous training (49,1%).
- The evaluators of the Greek CSF, reported that the ESF widened the circle of eligible people and made it possible to support approximately 17 % more unemployed people than would have been possible otherwise.
- Progress example (no evaluation yet....)

Where ESF funding is important in relation to the overall funding directed to employment and social policies related to the EES, volume aspects of CAV might be estimated by modelling (including using econometric tools). This could present a picture of the ESF contribution to EES targets (e.g. in terms of employment rate) and be used to address questions about achievement of Lisbon objectives. It might also estimate effects under different scenarios (e.g. 'no ESF funding'). Box.2 gives a first assessment based on modelling for the entire EU.

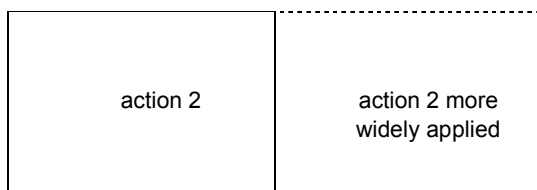
Box 2. 'Macro' assessment²⁰⁶

The fourth report on economic and social cohesion describes results from 3 econometric models that assess cohesion policy impact. The HERMIN and Ecomod²⁰⁷ models suggest that **cohesion policy creates by 2015, in comparison to a baseline scenario, approximately 2 million jobs**. The models show a significantly positive income growth effect, with absolute GDP estimated to be 5 to 10% higher by 2015 than in the absence of intervention (in analyzed countries). The QUEST model estimates similar GDP impacts, but with a smaller labour market impact occurring later.

A simple assessment applied to HERMIN model suggests that the overall ESF contribution **accounts for 433,000 created net jobs (by 2015)²⁰⁸**. This suggests a cost per net created job of €110k-115k. A UK evaluation estimated a cost per created job of about half the above. The jobs are assumed to be sustainable and positive effects in terms of growth and job creation are assumed to continue after 2015 including more jobs as a result of the interventions.

(b) Scope effects

This refers to cases where the EU 'broadens' action by addressing groups or policy areas that would not otherwise be addressed. The underlying reasoning in relation to CAV is the fact the action makes it possible to **extend the coverage of action**.



Box 3. Examples of scope effects achieved by different types of instruments

Policy instrument

- omc examples to be provided after reviewing studies/reports....
- social dialogue OR international cooperation examples to be provided after reviewing studies/

²⁰⁶ Taken from an information note produced by DG EMPL units A1 and I4.

²⁰⁷ The HERMIN model covers BU, CZ, EST, IRE, EL, ESP, CY, LV, LT, HU, MT, PL, PT, RO, SK, SL, East-DE, IT Mezzogiorno. The Ecomod model covers the same group with the following differences: IT and DE are fully included whilst MT and CY are excluded.

²⁰⁸ An important technical factor (co-)determining the outcome of the different models is output elasticity. This indicator determines the impact of additional public spending in a sector (such as education) on total output. Together with the division of structural funds budget this indicator has been used to weigh the impact, and by doing so *questimate* the net employment creation contribution of ESF. The calculation assumes a global ESF share of 22%.

reports....

Legal instrument

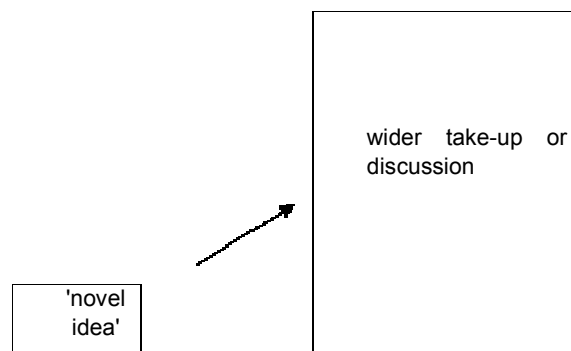
- Since 2003 new social security legislation has led to third-country nationals and their family members and survivors being covered by rules on the coordination of social security rights.
- The Council Recommendation for an EU parking card (1998) standardizes parking cards for people with disabilities. Due to Member State recognition, this facilitates freedom of movement and independent living for a particular population group.
- Labour law and health and safety (health and safety framework directive?)

Financial instrument

- In Austria, (ESF 2000-6) in-company training would not have been publicly funded without the ESF. Furthermore, at a time of increasing unemployment, funding of social economy enterprises for the disadvantaged was secured and sustained.
- In Sweden, ESF measures under for "Competence development analysis for employees" and "Local development" were the only actions of this kind. Also, the evaluators found that activities such as projects and activities within priority 1 "Competence development analysis for employees" were not financed by national authorities.
- In Greece, Ireland, United Kingdom the ESF has extended action to specific, highly vulnerable, female groups (e.g. minority groups, low education levels).
- Progress example (no evaluation)

(c) Agenda setting, Innovation, and learning (role) effects.

This concerns cases where relating to agenda setting, innovation, learning and "multiplier" effects. The underlying argument in relation to CAV is that the EU action has generated **novelty**.



The identification of these effects related to EMPL actions would require two steps. First, the actions considered must be shown to have an effect. Second, the substance of the 'multiplier effect' should be documented.

Box 4. Examples of agenda setting, innovation and learning (role) effects achieved by different types of instruments

Agenda Setting

- There are numerous instances where new issues have been raised by the Commission and gone on to shape the policy debate in Member States. In some cases these effects may relate to launching ideas in well established policy areas, for example the report on specific policy area (Child Poverty, http://ec.europa.eu/employment_social/spsi/docs/social_inclusion/2008/child_poverty_en.pdf). Other cases may be in an area where policy competences are as yet evolving,

for example Demography and the Communication *Promoting Solidarity between the Generations* (COM(2007)244).

Policy instrument

- In general, peer review in all of the open methods of coordination lead to learning effects as they explicitly transfer ideas from one national context to another. Furthermore, there is a collective learning effect too.
- The reform of the Estonian lifelong learning system is associated with Commission comments emphasizing the need to increase life long learning at the NRP preparation meeting in Tallinn of 2005. Estonia also participated in the Education Committee work group on the Education and Training 2010 Programme, where it learned about the Irish practice of using structural funds to foster lifelong learning.²⁰⁹

Legal instrument

- examples to be provided after reviewing studies/reports....

Financial instrument

- The EQUAL programme provides a very good example of a large scale programme that explicitly targets learning effects through the mechanism of transnational exchange of ideas and experience.
 - In Greece, evaluators felt that the Greek education system adopted a lifelong learning strategy as a result of the ESF. Also, the development and promotion of entrepreneurship and adaptability of youth was an innovation in the field of education through the OP Education and Initial Vocational Training.
 - The OP Health supported new institutions for disabled and new types of structures for psychological patients.
- In Finland, under ESF 2000-6 new entrepreneurial models and entrepreneurship for special groups were tested and introduced.
- Progress example (no evaluation)

(d) Process effects

Process effects happen when Member States or organisations involved in EU action benefit indirectly from 'taking part'. The underlying argument in relation to CAV is that **participating in EU action makes things work better**. Some of the effects most often cited refer to governance issues (the role of evaluation, partnership, long term planning, learning by doing, etc.) (see Box 5). Many of the effects are likely to materialise early on as a Member State or participating organisations adopt new ways of 'doing things'.

action

In the case of the ESF, evaluation reports regularly include reference to the process effects of ESF action attesting thereby their sustainability. This concerns how involvement in ESF programmes influences Member States and actors within them or increases the visibility or prominence of Community policy objectives. They are also likely to be more significant where the ESF is a major source of funding for social and employment policies. It might be expected that CAV in this area would reside in

²⁰⁹ Evaluation of the Integrated Guideline Package for Growth and Jobs, February 2008, p. 27

increased efficiency. However, none of the examples found actually quantified it. Furthermore, while in theory it should be possible to compare operational processes, we are not aware of any such cases of comparison.

Box 5. Examples of process effects achieved by different types of instruments

Policy instrument

- OMC typically generate process effects, for instance in Portugal it contributed to the process of reform of the Portuguese pension system by acting as "an element of pressure to raise the main problems, and to make efforts to overcome them". The key factors explaining the reforms have however been the change of government, the fact that the social partners and public opinion were aware of the need for urgent action with regard to the social system, and the Growth and Stability pact.²¹⁰

- In a number of Member States the establishment of specialised structures or institutions on gender equality, is perceived as a clear legal and institutional impact of participation in EMPL action.

Legal instrument

- examples to be provided after reviewing studies/reports....

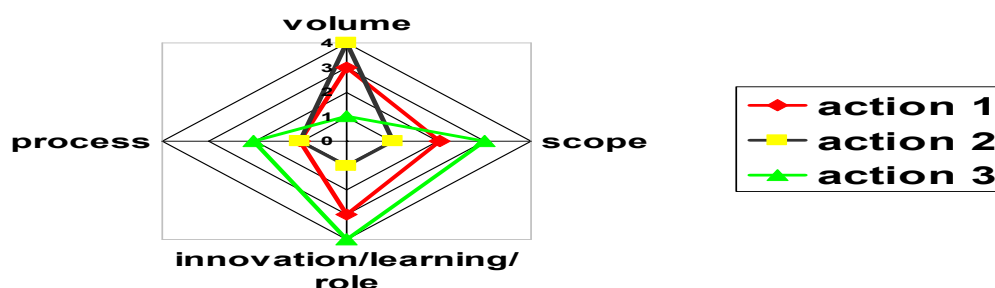
Financial instrument

- The German, Spanish and Irish ESF evaluators found that participation in programmes had introduced and promoted a culture of monitoring and/or evaluation (even if in Ireland widespread dissatisfaction with reporting and monitoring was reported). The ESF is reported to have contributed to increased efficiency in active labour market policy in Austria through its stronger emphasis on information, monitoring and quality management.

- Progress example (no evaluation yet...)

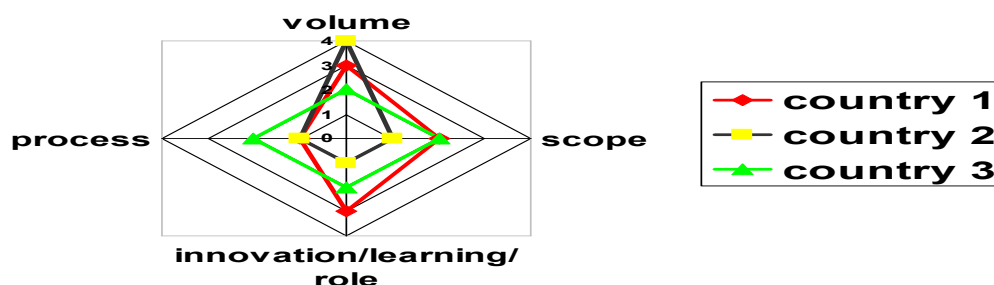
(e) CAV 'profiles'

Given that different actions and policies generate different types of 'effects', it is possible to develop 'profiles' that give an indication of how their achievements are spread across the four CAV categories. For the sake of illustration examples is given here.



²¹⁰ Evaluation of the Integrated Guideline Package for Growth and Jobs, February 2008, p. 27

It is also possible to envisage the creation of profiles for packages of action in specific countries.



Evidently, such radar charts should be used with care and are probably for the purpose of discussion between informed users.

4 Conclusion and recommendations

This note is a first attempt to discuss DG EMPL CAV. It can be summarised as follows:

- 1 CAV comprises intrinsic and comparative aspects.
- 2 CAV could be classified into four categories where typical effects happen:
 - (i) volume
 - (ii) scope
 - (iii) innovation and learning
 - (iv) process.
- 3 It is possible to establish a "CAV profile" for each action/policy comprising a mix of quantitative and qualitative assessments including: an examination of how actions/interventions/policies contribute to achieving Community policy objectives (causality chain) a discussion of the four categories of CAV effects produced.
- 4 "CAV profiles" can be compared in a qualitative sense but not aggregated.
- 5 DG EMPL could use this note as a basis for developing a more systematic approach to the evaluation of CAV for all its actions.

ANNEX 7: BIBLIOGRAPHY AND KEY REFERENCES

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