1.1. CRIS Number: 2004/016-829.01.01 Twinning number: PL2004/IB/OT/01
1.2. Title: Strengthening of the monitoring and evaluation capacities
1.3. Sector: Administration
1.4. Location: Poland

2. Objectives
2.1. Overall objective
To strengthen sound financial management and control of public funds.

2.2. Project purpose
- Enhancement of the public administration performance in the area of monitoring and evaluation
- Evaluation of the implementation process of Transition Facility projects leading to minimisation of possible shortfalls in implementation and maximising projects impact

2.3. Justification
The Co-ordination Regulation (Council Regulation No. 1266/1999),
- The preamble to this regulation establishing that management of pre-accession assistance should gradually be decentralised to the applicant countries themselves, taking account of their management and financial control capacities

- Article 21 of the IR establishing that all programmes and activities shall be the subject of an interim and/or ex post evaluation in terms of the human and financial resources allocated and the results obtained in order to verify that they were consistent with the objectives set.

The Comprehensive monitoring report on Poland’s preparations for membership
- Chapter 28 Financial Control requiring Poland to accelerate efforts to enhance its administrative capacity to manage the pre-accession funds and future structural funds in order to fully meet the requirements for financial control and internal audit.

3. Description
3.1 Background and justification
Article 34 under Title I, Part 4 of the Accession Treaty provided the legal base for the establishment of the Transition Facility. The purpose of the Transition Facility is to continue to assist the new Member States in their efforts to strengthen their administrative capacity to implement Community legislation and to foster exchange of best practice.

The orientation of the Transition Facility is to continue Institution Building activities according to the same principles as funded by Phare during the pre-accession period. The structures and methods established under Phare for programming and decision making will continue to apply for the Transition Facility. The implementation of the programme will be governed by the Financial Regulation¹, article 53 (1).

Similarly as in Phare programme National Aid Co-ordinator will remain responsible for the overall monitoring as well as the interim evaluation of the Transition Facility.

In 2002 the process of preparation of the Polish administration for implementation of EDIS was initialised. Given the importance of the Accessing Countries to build their capacities in terms of financial management and control over the UE funds, further reinforcement of a monitoring and evaluation function was emphasised during this process.

The transfer of responsibilities for monitoring and evaluation to the national authorities in Poland has been progressing gradually.

First the Joint Monitoring Committee (JMC) and Sectoral Monitoring Sub-committees (SMSC) were established to review and assess technical and financial progress of pre-accession programmes with a view to achieving their objectives as set out in the programming documents and taking into account the provisions laid down in the AP and the NPPM.

Reflecting further decentralisation of monitoring function, NAC has been designated to chair SMSC and co-chair JMC meeting as of 2002. To support NAC in his/her functions, the Secretariat for the JMC and SMSC has been established within the structure of Department for Co-ordination and Monitoring of Foreign Assistance at the Office of the Committee for European Integration (DCMFA OCEI).

In accordance with the new Mandate of the Joint Monitoring Committee (December 2003), as of May 2004, NAC will be chairing and co-ordinating JMC/SMSCs for Phare and Transition Facility programmes.

Moreover, in conformity with the EDIS requirements OCEI was obliged to elaborate the Strategy and Action Plan for monitoring and evaluation of Phare Programme.

As regards the monitoring function the Action Plan for the decentralisation of the monitoring process describes the activities related to various elements that have been taken into account while setting up the improved and strengthened monitoring system e.g.: documentation and procedures, staff, training, targets and indicators, segregation of duties, supervision.

Simultaneously, the interim evaluation function has been encompassed in the EDIS process. Since March 2003 OCEI has become involved in co-ordination of the interim evaluation process in the framework established in 2001. Full responsibility for interim evaluation in Poland was handed over to NAC on 1 August 2003.

During the first phase of the decentralisation of the Interim Evaluation system following tasks were completed between March 2003 and January 2004. Some of the tasks presented below have been executed within the framework of the TA project financed from the CPFs.

- preparation of the “Strategy for strengthening of monitoring and decentralisation of interim evaluation” and the relevant Action Plan
- analysis of the a.m. Strategy and the Action Plan in order to ensure their coherence and proper implementation
- analysis of the existing methodology for conducting the evaluation process in order improve its effectiveness and elaboration of the “Manual of Interim Evaluation of Phare Programme in Poland”,
- establishing of the institutional structure of the decentralised IE system
- launching a pilot evaluation within the framework of the new system,
- analysis of the institutional needs necessary for the co-ordination of the interim evaluation process by the Polish administration
- preparation of the Phare 2003 project supporting evaluation functions of the NAC

It is planned that the implementation of the Phare project 2003/005-710.01.07 “Strengthening of the evaluation capacities” will support the second phase of the decentralisation. The project will both provide training of the administrative staff and contribute to dissemination of evaluation capacity building among non-evaluators. Carrying out evaluations under TA contract is also foreseen within the framework of the am. project.

All activities in the frame of the proposed Transition Facility project will further assist the public administration, involved in the implementation of this programme to strengthen capacity of the monitoring and evaluation function. For this purpose, on the one hand, best practices and expertise will be delivered to the administrative staff by means of a substantial training component and on the other, technical assistance will be provided while carrying out evaluation of selected Transition Facility measures under this project.

Moreover the consequences of a significant growth of evaluation activity in the public sector requires wider awareness building activities so that the purposes and benefits of evaluation can be better understood. Taking the above into account, the present project, to some extent, will promote evaluation culture among NGOs, research institutes and academic centres by means of information activities.

3.2 Linked activities
Two components of the programme PL9707 European Integration focused on the strengthening of the management capacities of the Department for the Co-ordination and Monitoring of Foreign Assistance the OCEI in the area of foreign assistance.

PL9808 Special Preparatory Programme for Structural Funds - SPP (developed under Phare 1998) offered support for the preparation of legal and administrative basis in Poland to participate in the structural policy of the EU. This programme tackled the issues of programming, monitoring, evaluation and financial control of the pre-accession and structural funds. One of the indirect beneficiary of this programme was the OCEI.

Phare project 2003/005-710.01.07 “Strengthening of the evaluation capacities” – contracting phase foreseen for the 2nd quarter of 2004.

CPF Technical Assistance project “Strengthening of the institutional capacity of the Office of the Committee for European Integration in respect of monitoring and evaluation of the Phare programme. Preparation of decentralisation of the interim evaluation of the Phare programme – stage I – contract expires date on 1st April 2004.

3.3 Results

Results of twinning:
1. Approximately 100 people recruiting from the administrative staff of the line ministries and central offices, CFCU and IA trained and their capacities to manage the monitoring process enhanced,
2. 20 staff members form OCEI trained and their capacities to supervise processes related to the monitoring function strengthened
3. Effectiveness of the operations of the Evaluation Team (DCMFA, OCEI), National Evaluation Cell (Ministry of Economy and Labour) as well as evaluation units within the line ministries) with respect to evaluation function risen.
4. The members of the Quality Assurance Group and Steering Group familiarised with supervising and steering methods as well as managing evaluation of Phare and Transition Facility projects improved.

Results of TA contract
1. Regular and systematic evaluation of Transition Facility programmes carried out,
2. The implementation of Transition Facility projects improved.

3.4 Activities

Twinning
In respect to monitoring function:
1. Training sessions and workshops targeted at the following groups of recipients:
   a) administrative staff with relatively short experience in monitoring activities, recruiting from selected, line ministries, and central offices (beneficiaries of the projects under Transition Facility Instrument) and CFCU.
   It is expected that the group of ca. 40-60 people will be trained in the course of two separated training sessions (for 30 people each). The training will be divided into two modules:
      • introductory session covering general monitoring related issues e.g. definition and key explanations, different types and level of monitoring, linking evaluation and monitoring, project cycle management,
      • advanced training session in the following areas: selecting tools for monitoring, data analysis, identification of programme and project indicators etc.
   b) representatives of the line ministries, central offices and CFCU responsible for day-to-day monitoring activities and producing monitoring reports, members of the Steering Group.

2 Advisory bodies appointed by NAC, involved in the co-ordination and supervision of the evaluation process (consultations on the evaluation priorities, commenting on the Annual Evaluation Plan, discussing the results of carried out evaluation as well as quality control of the reports and applied methodology) as well as assurance of the evaluation quality and best practices implementation. Steering Group will consist of representatives from NAC Evaluation Unit, NAO services, PAO services, ministries implementing IB projects (indicated by NAC) and Implementing Agencies. Quality Assurance Group will include specialists in the field of evaluation as well as representatives of the evaluation units within the public administration institutions.
Training will be delivered to the group of ca. 30-40 people by means of two training sessions and workshop on the following areas: design and quality control of the monitoring reports, selecting, using and interpreting indicators of achievement, making in-depth analysis etc.

c) OCEI officials recruiting from JMC/SMSC Secretariat (Monitoring Team), NAC Evaluation Unit (Evaluation Team), Institutional Building Team responsible for the monitoring of the Transition Facility. It is foreseen that the group of 20 people will receive training strictly devoted to the issues of quality control checking of the monitoring reports, analytical techniques etc.

2. 1-month workplacement for 2 DCMFA officials recruiting from the JMC/SMSC Secretariat. It is expected that the DCMFA official will be familiarised with practical aspects of monitoring exercise and best practices of the present MS hosting administration.

In respect to evaluation function:
1. Coaching scheme will be introduced during which the staff members of the Evaluation Team within DCMFA (OCEI) will have the opportunity to get advice from the expert in their daily operations within the newly established interim evaluation system.
2. Training sessions and workshops targeted at the staff members of the following institutions:
   • Evaluation Team within DCMFA (OCEI),
   • National Evaluation Cell (Ministry of Economy and Labour)

The training activity will not overlap with the support provided under Priority 1. “Capacity building in management, monitoring, evaluation and control of the Community Support Framework (CSF)” of the Operational Programme Technical Assistance (TAOP).

It is expected that the target group of ca. 40 will receive advanced training on professionally managed evaluation process and other related issues, e.g.: designing and commissioning evaluation, involving partners and stakeholders in the evaluation exercise, optimising the use of evaluation, selecting and improving a methodological proposal, assessing the methodological quality of an evaluation report, getting sound conclusions and recommendations, lessons learnt for future measures.

3. 1-month workplacement for 3 DCMFA officials recruiting from the Evaluation Team. It is expected that the Evaluation Team members will be familiarised with practical aspects of evaluation exercise and best practices of the present MS hosting administration.

4. Seminars and support aimed at familiarisation the members of the Quality Assurance Group and Steering Group with supervising and steering methods in the evaluation process.

Two separated seminars will be organised respectively for Quality Assurance Group and Steering Group members recruiting form the management level of the participating ministries. It is expected that the participants will be familiarised e.g. with the following areas: measuring and managing evaluation performance, analysing the quality of an evaluation report, weighting and integrating several evaluation criteria, using indicators and measurement of an impact, getting sound conclusions and recommendations, optimising the use of evaluation.

5. Organising closing seminar devoted to the activities undertaken in the course of the project. The seminar will be attended by representatives from central and regional administration, NGOs, universities, academic centres and research institutes etc. Materials and documents form the seminar will be published.

For purpose of the training and workshops, the training materials will be produced and printed in Polish as well as CD-ROMs will be issued.

RTA
The successful candidate for RTA should have sufficient experience in the above-mentioned matters, management skills and be fluent in English (also Polish language would be desirable). The RTA assisted by the team of experts will in particular:
- ensure the effective co-ordination and implementation of the twinning project objectives and the delivery of planned results by day to day management of the project;
- develop a training programme for the administrative staff – recipients of the training indicated in point 1 under this section. The content of the training activities foreseen under Phare project 2003/005-710.01.07 “Strengthening off evaluation capacities” will be taken into account while preparing the training program under proposed project in order to avoid overlapping,
- provide training materials for seminar/workshops, prepare and run presentations on the topic detailed in the training programme,
- provide coaching arrangements aimed at supplying hand-on, ad hoc counselling for the staff members of the Evaluation Team within DCMFA (OCEI),
- provide support for the members of the Steering Group and Quality Assurance Group in all matters related to the operations of these bodies.
- prepare a list of useful publications and materials in the field of evaluation to be translated into Polish.

The RTA will be placed in the Office of the Committee for European Integration for a 12-month period.

**Technical Assistance**
The TA contract will consist of:

1. involvement of qualified evaluation experts,
2. carrying out evaluation of the Transition Facility projects in accordance with: 1) procedures elaborated in the framework of the EDIS process 2) standards applied for the evaluation of the EU funded projects, 3) the new JMC Mandate and decision taken at the JMC meetings,
3. preparing the annual Evaluation Plan (including standard, thematic and specific sectoral evaluations) and producing Evaluation Reports by pre-agreed timelines and according to prescribed standards,
4. support the process of monitoring the implementation of recommendations (External Evaluation Body will *inter alia*: advise NAC Evaluation Unit, contribute to the preparation of the JMC meeting, including Consolidated Evaluation Report, Implementation Status Report as well as participate in working meetings and debriefing meeting).

The TA contractor will be recruited form high qualified experts in the field. The contractor will closely co-operate with the RTA to ensure proper project implementation. The condition of the TA contracts will be outlined in detail in the subsequent Terms of Reference,

**3.5 Lessons learned**
Lessons learned form the implementation of the above mentioned Phare 2003 project will be taken into account in the course of the present project.
The recent thematic evaluation report on Twinning prepared by EMS under request of DG Enlargement highlighted broad factors for success of twinning projects: 1- the twinning takes place within a strategic context, 2- the CC and the MS have mutual interests, 3- the twinning team has skill as well as knowledge, 4- there is partnership in design and implementation of twinning projects.

In addition to these lessons learned, the Manual on Practice and Management of Interim Evaluation and Monitoring prepared for DG Enlargement will be very helpful in the context of the TF evaluation component of this project, by providing advice and explanations on all aspects of performing and managing interim evaluations.

**4. Institutional framework**
The project will be implemented under the supervision of the Office of the Committee for European Integration that is responsible for the overall co-ordination of management, monitoring and evaluation of Transition Facility instrument.

Other beneficiaries of the project will be the selected units within the public administration sector involved in monitoring and evaluation activities, e.g. members of the Steering Group and Quality Assurance Group responsible for respectively support, co-ordination as well as quality assurance of the interim evaluation process.

**5. Detailed Budget: in MEUR**

<table>
<thead>
<tr>
<th>Transition Facility</th>
<th>Support</th>
<th>Total TF(=I+I)</th>
<th>National Co-financing*</th>
<th>IFI*</th>
<th>TOTAL</th>
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</thead>
<tbody>
<tr>
<td>Investment Support</td>
<td>Institution Building</td>
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<tr>
<td>Contract 1 – twinning</td>
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<td></td>
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<tr>
<td>Contract 2 - TA</td>
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<td>1,3</td>
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<tr>
<td><strong>Total</strong></td>
<td></td>
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<td><strong>2,0</strong></td>
<td><strong>0,16</strong></td>
<td><strong>2,16</strong></td>
</tr>
</tbody>
</table>

Co-financing for project implementation will be available.

**Strengthening of the monitoring and evaluation capacities**
6. Implementation arrangements

6.1. Implementing Agency

PAO: Tadeusz Kozek, Under-secretary of State at the Office of the Committee for European Integration, Aleje Ujazdowskie 9, 00-918 Warszawa; phone +4822 455 52 41, fax: +4822 455 52 43

CFCU: Foundation “Co-operation Fund”, Górnośląska Street, Warsaw; phone: +48 22 622 84 64, fax: +48 22 537 76 99

The CFCU is responsible for handling tendering, contracting and payments of contracts on behalf of the Office of the Committee for European Integration which itself will be in charge of preparing project and managing its technical implementation.

6.2. Twinning

RTA: Office of the Committee for European Integration, Aleje Ujazdowskie 9, 00-918 Warszawa; phone +48 22 455 52 15, fax: +48 22 455 52 14

Contact person: Monika Kusina-Pycińska, Deputy Director of the Department for Co-ordination and Monitoring of Foreign Assistance, Office of the Committee for European Integration, Aleje Ujazdowskie 9, 00-918 Warszawa; phone +48 22 455 52 22, fax: +4822 455 52 14.

The CFCU will be in charge of the financial management.

6.3 Non-standard aspects

Provisions of the Twinning Manual will be followed.

6.4. Contracts

Twinning covenant 0.7 MEUR. Co-financing 0.06 MEUR. Co-financing covers direct and indirect cost of the beneficiary administration in compliance with Twinning Manual,

TA: 1.4 MEUR (gross value) = 1.3 MEUR (TF) + 0.1 MEUR (joint co-financing).

7 Implementation schedule

7.1 Covenant signing: 2Q 2005
7.2 Start of project activity: 2Q 2005
7.3 Completing the project: 3Q 2007

8. Equal opportunities:

Male and female participation in the project will be based on the relevant standards of the European Union and will be assured by official announcements published in order to recruit the personnel needed for carrying out the project; the main criterion for staff recruitment will be appropriate qualifications and experience. Both women and men will have equal opportunities and salaries.

9. Environmental impact: N/A.

10. Rates of return: N/A

11. Investment criteria: N/A

12. Conditionally and sequencing

• The covenant is planned to be signed in the 2Q 2005,
• Activities are planned to be realised between 2Q 2005 and 3Q 2007,
• The projects will be co-financed from the budgets of beneficiaries,
• The Steering Committee will meet quarterly to monitor the implementation of the project,
• Close co-operation between RTA and TA experts
**Annex 1: LOGFRAME PLANNING MATRIX FOR PROJECT**

**End contracting 30/09/2006 - End disbursement 30/09/2007**

| Project Number | Project Title | Strengthen monitoring and evaluation capacities | Total Budget | Date | 24 May 2004
|----------------|---------------|-----------------------------------------------|--------------|------|--------------
|                |               |                                               | Transition   | Period | 2005-2007    | Facility   | 2,17 MEUR  |
|                |               |                                               | 2,0 MEUR     |        |              |

<table>
<thead>
<tr>
<th>Overall Objective</th>
<th>Objectively Verifiable Indicators of Achievement</th>
<th>Sources of Verification</th>
<th>Assumptions</th>
</tr>
</thead>
</table>
| To strengthen sound financial management and control of public funds | • During the implementation of the project, a debriefing meeting will be organised within a month after the issue of every IE report and all recommendations of all IE reports will be implemented by the deadlines set out in the recommendation tables  
• C.a. 6 line ministries set up an internal evaluation function of their activities by the end of the project | EC documents, Audit reports. |            |

<table>
<thead>
<tr>
<th>Project Purpose</th>
<th>Objectively Verifiable indicators of Achievement</th>
<th>Sources of Information</th>
<th>Assumptions</th>
</tr>
</thead>
</table>
| 1. Enhancement of the public administration performance in the area of monitoring and evaluation  
2. Evaluation of the implementation process of Transition Facility projects leading to minimisation of possible shortfalls in implementation and maximising projects impact | • Approx. 100-130 of qualified administrative staff operating in monitoring and evaluation structures by the end of the project,  
• Approx. 90% of Transition Facility projects completed and the project objectives reached by the end of the project, | EC documents, Audit reports, Ex-post evaluation reports Questionnaires and inquiries |            |

<table>
<thead>
<tr>
<th>Results</th>
<th>Objectively Verifiable indicators of Achievement</th>
<th>Sources of Information</th>
<th>Assumptions</th>
</tr>
</thead>
</table>
| Twinning:  
1. People recruiting from the administrative staff of the line ministries and central offices, CFCU and IA trained and their capacities to manage the monitoring process enhanced,  
2. The staff members form OCEI trained and their capacities to supervise processes related to the monitoring function strengthened  
3. Effectiveness of the operations of the Evaluation Team (DCMFA, OCEI), National Evaluation Cell (Ministry of Economy, as well as evaluation units within the line ministries) with respect to evaluation function risen.  
4. The members of the Quality Assurance Group and Steering Group familiarised with supervising and steering methods and the managing evaluation of the Phare and TF projects improved, | Twinning:  
• Approx. 100 people from administrative staff of the line ministries and central offices and IAs trained in a field of managing of the monitoring process by the end of the project,  
• Approx. 20 people from OCEI trained in a field of monitoring process by the end of the project,  
• Evaluation tasks performed properly in accordance with the Evaluation Plan, well functioning system for the follow-up of corrective actions by the end of the project,  
• Approx. 40 people from OCEI, Ministry of Economy and line ministries trained in field of management of evaluation process and related issues by the end of the project,  
• Evaluation tasks managed in accordance with the Evaluation Plan and procedures of the IE by the end of the project, | EC documents, Audit reports, Programme and project monitoring reports, Beneficiaries reports, Evaluation reports, Training assessment sheets |            |

| TA | Number of evaluations completed in accordance with evaluation plan, prescribed standards and procedures  
• 70-80% of evaluated projects assessed by the External |            |            |

**Strengthening of the monitoring and evaluation capacities**
2. The implementation of Transition Facility projects improved. Evaluation Body at least as ‘satisfactory’

<table>
<thead>
<tr>
<th>Activities</th>
<th>Means</th>
<th>Sources of Information</th>
<th>Assumptions</th>
</tr>
</thead>
</table>
| **Twinning**<br>In respect to monitoring function:<br>- Introductory and advance training sessions and workshops targeted at the administrative staff, with relatively short experience in monitoring function, recruiting form ministries, central offices, CFCU and IAs,<br>- Training sessions and workshop targeted at the members of the administrative staff responsible for day-to-day monitoring activities recruiting form ministries, central offices, CFCU, IAs as well as the members of the steering Group,<br>- Training session targeted at the OCEI officials form JMC/SMSC Secretariat (Monitoring Team), NAC Evaluation Unit (Evaluation Team), Institutional Building Team responsible for quality control checks of the monitoring reports,<br>- 1-month workplacement in the present MS administration for 2 DCMFA officials recruiting from the JMC/SMSC Secretariat<br><br>In respect to evaluation function:<br>- Coaching scheme targeted at the staff members of the Evaluation Team within DCMFA (OCEI) supporting its daily operations within the newly established interim evaluation system,<br>- Training sessions and workshops targeted at the staff members of Evaluation Team within DCMFA (OCEI), National Evaluation Cell (Ministry of Economy and Labour) and evaluation units within the line ministries<br>- 1-month workplacement in the present MS administration for 3 DCMFA officials recruiting from the Evaluation Team,<br>- Seminars and support aimed at familiarisation the members of the Quality Assurance Group and Steering Group with supervising and steering methods in the evaluation process,<br>- Organising closing seminar devoted to the activities undertook in the course of the project as well as prospects for future evaluation activities under Structural Funds. Publishing seminar materials<br><br>**Technical Assistance**<br>- carrying out evaluation of the Transition Facility projects<br>- preparation of the Evaluation Plan<br>- producing Evaluation Reports in accordance with the Evaluation Plan<br>- support the process of monitoring the implementation of recommendations<br><br>**Technical Assistance**<br>- Twinning<br>- TA<br>- Inception reports,<br>- Beneficiaries reports<br><br>**Assumptions**<br>- Twinning covenant agreed and signed in accordance with the schedule;<br>- Selection of high qualified experts in the field,<br>- RTA in place<br>- Training target group properly identified, training and workshop carried out,<br>- Timely preparation of ToR and TA contract signed.<br><br>**Preconditions**<br>None
Annex 2-3: Cumulative implementation, contracting and disbursement schedule

| Date of Drafting | 24.05.2004 |
| Planning Period  | 2005-2006  |

<table>
<thead>
<tr>
<th></th>
<th>PLANOWANE (PLANNED)</th>
<th>Budget Allocation Cost Estimate (in MEUR)</th>
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<tr>
<td></td>
<td>I</td>
<td>II</td>
</tr>
<tr>
<td>D</td>
<td>D</td>
<td>D/C</td>
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<tr>
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<tr>
<td>Disbursement schedule</td>
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<td>1,38</td>
</tr>
</tbody>
</table>

Legend: D = design of project / C = tendering and contracting / I = contact implementation and payment