Standard Summary Project Fiche

1. Basic Information
   1.1 **CRIS Number:** 2003-004-995-03-14
   1.2 **Title:** Preparing for ESF Project Management
   1.3 **Sector:** Regional policy and co-ordination of structural instruments
   1.4 **Location:** Regional and district level of Slovak Republic

2. Objectives
   2.1 **Overall Objective(s)**
   Prompt absorption and maximum impact of the European Social Fund (ESF) in the Slovak Republic upon Accession.
   2.2 **Project purpose**
   • Slovak administration, intermediaries at regional and district level, and potential beneficiaries prepared for the participation in ESF programme operations
   2.3 **Accession Partnership (AP) and NPAA priority :**
   AP 2001 – Regional policy and co-ordination of structural instruments
   • Define the bodies in charge of the implementation of Structural Funds and the Cohesion Fund, (…) and improve the administrative capacity, in particular in terms of recruitment and training; ensure effective inter-ministerial co-ordination.
   • To set up the required monitoring and evaluation systems for Structural Funds, in particular for ex-ante evaluation and for the collection and processing of the relevant statistical information and indicators
   • Align with the specific financial management and control procedures for future Structural and Cohesion Funds under the relevant EC Regulations
   • Develop the technical preparation of projects eligible to Structural and Cohesion Funds assistance (project pipeline)
   NPAA (2001) - Chapter 13: Social Policy and Employment
   **Short-term priorities**
   • Create and operate a managerial unit for the ESF at the Ministry of Labour, Social Affairs and Family (drafting and co-ordination of measures to implement the respective regulations of the EU for the ESF in the Slovak Republic; proposing the establishment of necessary institutional structures, preparation of human resources for drafting and implementing pilot projects).
Medium-term priorities

- Manage (at the Ministry of Labour, Social Affairs and Family) the preparation for EU integration and the preparation of projects within the EU structural funds, including the European Social Fund (ESF)
- Promote the development of the National Training Institute for the ESF (+ 4 staff) with the National Labour Office and support the implementation of the National Training Plan for the ESF at the national and regional levels.

NPAA Chapter 21: Regional Policy and Cohesion

Medium-term priorities

- Prepare the SR for using the EU structural funds (completion of the legislative framework and accomplishment of institutional and administrative structures): (...) creation of conditions for the programming and preparation of successful projects in the area of economic and social cohesion, including grant schemes

Action Plan

Chapter 3.13 on Social policy and employment (priority 5)

- Further develop and implement a national employment strategy in line with the European Employment Strategy.

Chapter 3.21 on Regional policy and co-ordination of structural instruments (priority 5)

- Develop the technical preparation of projects eligible for Structural and Cohesion Funds assistance (project pipeline).

2.4 Contribution to National Development Plan (and/or Structural Funds Development Plan/SDP)

The project will complement the Slovak National Development Plan (NDP) and the Structural Funds Development Plan, inter alia, by creating management structures and an adequate pipeline of project proposals to convert the Plans’ strategic orientations into concrete action. This will greatly facilitate the implementation of the Plans and the related Operational Programmes at both the central level and the levels of the regions.

2.5 Cross Border Impact: N/A

3. Description

3.1 Background and justification

The Ministry of Labour, Social Affairs and Family is in charge of preparing and implementing the Slovak National Employment Action Plan. It is furthermore responsible for the Sector Operational Programme Human Resources Development (SOP HR) and the Single Programming Document Objective 3 for Bratislava region (SPD Objective 3 BA). A special unit of the Ministry, the European Social Fund Managing Unit (ESF Unit) is charged with the management of the programming and implementation work related to the ESF.
The Slovak Republic will participate in the EU Structural Policies from May 2004. For a prompt absorption and maximum impact of the expected ESF support, a major upgrading of administrative capacities and project management skills must be undertaken. Encouragingly, in Slovakia there is an abundance of ideas for ESF-type projects. Yet, the absorption of ESF assistance is likely to be constrained by a lack of high-quality project proposals that could be taken up for rapid implementation.

The quality of an ESF project proposal can be judged from two perspectives:

- To what extent does the proposed project reflect the agreed strategic orientations of the Community Support Framework or the relevant Sector Operational Programme? - A project will qualify for ESF funding only if it is in line with these orientations.

- Is the proposal sufficiently well researched and is the preparation well documented in a complete project application? - A project can be assessed for funding only if all necessary preparations have been completed and if the resulting documentation is ready for inspection by the funding authorities.

Council Regulation 1784/1999 on the European Social Fund defines five areas of interventions for the ESF -

- Developing and promoting active labour market policies to combat and prevent unemployment, to facilitate the reintegration of the long-term unemployed and young people into the labour market
- Promoting equal opportunities for all in accessing the labour market, with particular emphasis on those exposed to social exclusion
- Promoting and improving training, education, counselling as part of lifelong learning policy
- Promoting a skilled, trained and adaptable workforce, innovation and adaptability in work organisation, developing entrepreneurship and conditions facilitating job creation, and enhancing skills and boosting human potential in research, science and technology
- Improving women's access to and participation in the labour market, including their career development, their access to new job opportunities and to starting up of businesses, and to reduce vertical and horizontal segregation on the basis of sex in the labour market.

The priorities and related measures of the five areas of intervention differ markedly, and this will lead to substantial differences between the projects eligible for ESF assistance in the Slovak Republic. Consequently, the project preparation support that potential beneficiaries will require is far from uniform.

The present project reflects these requirements. It will help introducing appropriate managing and implementing systems for the Sector Operational Programme Human Resources (SOP HR) and the Single Programming Document Objective 3 Bratislava (SPD Objective 3 BA). Simultaneously, it will help developing eligible project ideas into complete project proposals for subsequent funding decisions.
3.2  Linked activities:

- **SPP I (SR 9808.04)** – *Special Preparatory Programme for Structural Funds* provided assistance for programming and institution building, as well as for a limited series of pilot projects designed to complement and test the existing and newly established administrative structures.

- **SR 0107.01** – *Development of the Institutional Framework and Administrative Capacity for Programming and Implementation of Structural Funds* including -
  - Twinning – Guaranteed results: Managing and paying authorities will develop the procedures needed to fulfil all the relevant provisions laid down in Council Regulations (EC) No. 1260/1999 on SF and other relevant EC Regulations;
  - Technical assistance – Development and set-up of monitoring systems for ERDF and ESF

- **SR 0107.02** – *Human Resources Development through Preventive Active Measures for the Unemployed*

- **SR 98 08-04-02 SPP-B Action plan for regional and district employment development**

- **SR 0109** – *Public Internal Financial Control* The project will help strengthening the Central Harmonising Unit at the Ministry of Finance and Internal Audit Unit in the line ministries and spending centres including training of auditors, preparation of manuals etc.


- **SK 01/IB-SPP-01 twinning project. Development of the Administrative Capacity for the management of Structural Funds in the Slovak republic. Project Fiche “Preparing for ESF Project Management” expand at the regional and district level the third component of this twinning program, which contains preparations of administrative capacities at the central level.

From the list which is far from exhaustive it is apparent that considerable work has been done – or is under way – to build up project development capacities for the Structural Funds in the Slovak Republic. The present project is designed in a way that builds on the different precursor projects, and will actively involve potential final beneficiaries identified under preparatory programmes or those emerging from the ongoing Structural Funds programming process.

3.3  **Results:**

1) Regional and district level staff of intermediate bodies responsible for ESF activities vocational trained and 8 pilot Guidance Centres established. Activities provided by Guidance Centres will be

   - searching and contacting potential final recipients
- providing the guidance in the field of project development
- providing the guidance in the field of project adopting rules
- providing the informations about needs of coordination with programming complement measures
- providing informations about ESF

2) ESF project management training scheme and project development schemes fully prepared and ready for duplication. Some 200 future ESF-type project owners (NGOs, self-governent regions, Ministry of Education, National Labour Office, municipalities, institutions fighting with social exclusion, institutions for equal opportunities, social partners at the regional and district level) trained in project development methods

3) Pipeline of high quality projects for possible ESF co-financing ready for implementation

Project Generation
- Inventory of project ideas
- Some 480 project applications with full technical and procurement documentation eligible for ESF funding in the period 2004-2006
- Some 900 quality control reports.

3.4 Activities:
The project will be implemented through five contracts as follows:

1. Medium-term twinning light for managing the Slovak ESF programme

   Aims:
   - Transfer of Member States experience concerning ESF programme organisation and management structures to prepare the regional and district administration for similar tasks,
   - Upgrading the skills of future specialists of the regional and district ESF administration for directing the ESF programme activities of intermediaries and beneficiaries
   - Development manuals (project preparation, providing informations, etc.) for Guidance Centres management according to Slovak ESF requirements.
   - establishing of Guidance Centres

   Background:
   As ESF will become operational a very short term after accession, it is necessary to complete all professional and institutional preparations by mid-2004. To be successful in this complex task, relevant experience of Member States is to be employed.

   Description:
   The twinning component will cover approximately 240 work/days of two experts from Member States for a maximum assignment period of nine calendar months. The experts will work first month at the Managing authority for SOP HR and SPD Bratislava Obj.3 acquainting
current situation. Next 8 months they will be working in other district around Slovakia. One month per district. The experts will render management advice, provide training at regional and district level, and position papers regarding the different strands of the ESF programme. They should have practical experience with ESF management tasks.

The twinning partners must co-operate with the network of Slovak local and regional labour offices. Involvement of all relevant local and regional actors into the programming and quality assurance process has to be realised through local workshops – according to a working plan to be worked out jointly by the twinning partners. Twinning partners will provide information about implementation of programming documents financed by ESF and experiences in the field of activities of final beneficiaries, selection and adopting process of projects, eligibility, managing system, monitoring.

The activities of the twinning team shall be harmonised with the other technical assistance components provided by this project, and other ongoing or planned Phare projects in Slovakia.

**Output:**
- Design of administrative and management procedures at regional level focused on programming and quality assurance tasks
- Draft background documents, work plans, and evaluation material at regional level

**Budget:** 0.25 MEUR

2. Technical assistance and training programme aimed at improving local ESF project management capacities

**Aims:**
Inform and train local and regional institutions, and potential beneficiaries of the different ESF strands in matters of ESF project identification, project development and successful implementation of ESF projects by final beneficiaries.

**Background:**
Local capacities to develop and implement ESF projects are to be strengthened with a special focus on preparing regional/local institutions dealing with ESF project development. In addition, it is necessary to inform a wide range of self-governments regions, municipalities, NGOs, micro-regions, and other local and regional institutions about the possibilities and conditions of the ESF covering each potential programme strand.

Project activities will build on experiences gained with past Phare-supported Special Preparatory Programmes and will be closely coordinated with ongoing activities. The training work and the dissemination of information will focus on the special characteristics of ESF projects.
Description:
The two main activities of the technical assistance component are:

- Carry out training programmes for the local/regional ESF development institutions (workshops in all Slovak counties)
- Provide general information to a wide range of potential beneficiaries from the non-profit sector. In the Terms of Reference the range of the potential beneficiaries will be defined and the way of selecting them will be indicated.

About 10 experts with special ESF experience will carry out the tasks in around 420 work/day.

Output:

- Two-day workshops in all Slovak counties with the participation of 15 local/regional experts and members of the ESF target groups
- Eight open one-day information seminars with 50-250 participants providing general information to a wider range of potential beneficiaries
- Manual for developing ESF projects in the Slovak Republic (which includes the special conditions of ESF projects, techniques for the development of a network of project-partnership, technical requirements of project development, budget planning, project management techniques etc.)

Budget: 0.55 MEUR

3. Project Generation Facility/Project Quality Assurance for the Slovak ESF programme (Two Service Contracts)

Aims:
Within the future Slovak ESF programming structure, a pipeline of high quality projects for possible ESF co-financing ready for implementation.

Background:
The project will assist potential final beneficiaries of Structural Funds support in drawing up projects that qualify for funding through one of the strands of the SOP HR implementing the Community Support Framework.

Description:
Project generation will be achieved through three phases as follows:

- Project idea identification
- Project preparation
- Project quality control.

During the first phase all available project ideas are recorded for screening and further elaboration during subsequent project phases.
Project ideas should be in accordance to measures of SOP HR and SPD Obj. 3. Project identification work will be largely financed from Slovak sources.

The project preparation phase is assisted by the present project through a first service contract. The contractors will provide all required services for developing complete project documentations for previously screened project ideas. Special emphasis will be placed on assisting project proposals of municipalities, associations of municipalities and NGOs, where the lack of funding and project preparation experience is most acute. The quality control phase is financed from the present project in the form of a second service contracts. Project documents written during the project preparation phase will undergo a quality check. Payment of the services provided under the second phase will be conditional upon a positive decision of the relevant Slovak authority on the basis of the quality check.

Keeping absorption capacity in focus, it is essential to have a register of potential final beneficiaries and project proposals for the SOP HR. Thus, project proposals will be registered in an appropriate database that will be harmonised with the data processing tools to be developed in the framework of Phare Project No. 2002/000.610-11 Consolidating the Institutional Framework and Enhancing Administrative Capacity for Programming, Implementation and Monitoring of Structural Funds. Some 100 to 200 experts will carry out the project preparation contract. Another 50 will carry out the quality assurance contract

Output:

- First service contract: Inventory of project ideas; some 480 complete project dossiers ready for ESF support
- Second service contract: Quality assurance and quality control reports for some 900 ESF project dossiers

Budget:

- First service contract: 0.6 MEUR
- Second service contract: 0.1 MEUR

Costs of the first service contract are based on market research of project development price in conditions of Slovak republic. Costs of one ESF project are round about 1100 €.

480 planned projects – 528,000 € = 600,000 €.

Costs of the second service contract are based on market research of project quality assurance and quality control price.

One project – round about 150 €

900 planned project – 135,000 € = 100,000 €
3.5 Lessons learned

The 1998 Phare Special Preparatory Programme, completed in June of 2002, attempted to provide, among others, a comprehensive package of assistance for establishing the institutional framework and the administrative capacity building for the implementation of the EU regional and structural policies. The Programme included the so-called SPP Diploma project, which trained some 420 civil servants in EU related issues. They received general information on EU structural policies and financial instruments, strategic planning, and financial management. After the training, it was found that graduates still needed hands-on technical assistance and guidance to transfer their abstract knowledge into practise. A lesson learned is that the present project will have to place more emphasis on practical procedures. Some training material produced under the 1998 project may, however, be used if they are suitable for this project.

4. Institutional Framework

The Ministry of Labour, Social Affairs and Family of the SR will be the recipient institution for proposed project. The Department of ESF and other Foreign Assistance of the Ministry will have the operational responsibility for implementing the project.

5. Detailed Budget (€ Million)

<table>
<thead>
<tr>
<th>Component</th>
<th>Phare Support</th>
<th>National Co-financing*</th>
<th>TOTAL</th>
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<tbody>
<tr>
<td></td>
<td>Investment Support</td>
<td>Institution Building</td>
<td>Phare (=I+IB)</td>
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<td>Twinning Light</td>
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<td>0.25</td>
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</tr>
<tr>
<td>Service Contract ESF project management capacities</td>
<td>0.55</td>
<td>0.55</td>
<td>0.55</td>
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<tr>
<td>Service Contracts: Project generation, of which</td>
<td></td>
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<td></td>
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<tr>
<td>• Project idea identification/project preparation</td>
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<tr>
<td>• Quality assurance</td>
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<tr>
<td>Total</td>
<td>1.5</td>
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</table>

* National co-financing will cover the cost of providing adequately equipped office space for the twinning expert(s) - including telephone, fax, and computer- and miscellaneous other costs including licences, travel costs of the liaison institution’s employee during their study visits, and publication of the training material.

6. Implementation Arrangements

6.1 Implementing Agency

| PAO: | Director of CFCU - Mrs. Silvia Czuczorova |
| Address: | Radlinského 32 Telephone: +421 2 57262707 |
| | 813 18 Bratislava Fax: +421 2 57262727 |
| Slovak Republic | e-mail: cfcu@cfcu.sk |
Twinning
The Slovak twinning partner will be the Ministry of Labour, Social Affairs and Family of the Slovak Republic.

Contact person:
Mrs. Jarmila Tomšova, Director, Department of ESF and other Foreign Assistance
Špitálska 4-6, SK – 816 43 Bratislava
Tel.: 0042 - 2 – 5975 2915

6.2 Non-standard aspects
PRAG rules and the Twinning Guide will be strictly applied.

6.3 Contracts:
- One Twinning Light arrangement: € 0.25 Million
- One Service Contract (ESF programme management) € 0.55 Million
- One Service Contract (Project ideas/project preparation) € 0.6 Million
- One Service Contract (Quality assurance) € 0.1 Million

7. Implementation Schedule
7.1 Start of tendering/call for proposals: 2nd quarter of 2003
7.2 Start of project activity: 1st quarter 2004
7.3 Project completion: 4th quarter of 2005

8. Equal Opportunity
Equal opportunity principles and practices in ensuring equitable gender participation in the project will be guaranteed.

9. Environment: N/A

10. Rates of return: N/A

11. Investment criteria N/A

12. Conditionality and sequencing
The start of the project is conditional upon the adoption of the SOP HR programme complement by the Slovak Government. The Ministry of Labour, Social Affairs and Family of the SR is preparing the complement. Its adoption is expected in or before the 4th quarter 2003.

ANNEXES TO PROJECT FICHE
1. Logical framework matrix in standard format (compulsory)
2. Detailed implementation chart (compulsory)
3. Contracting and disbursement schedule by quarter for full duration of programme (including disbursement period) (compulsory)
<table>
<thead>
<tr>
<th>LOGFRAME PLANNING MATRIX FOR PROJECT</th>
</tr>
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<tr>
<td>Preparing for ESF Project Management</td>
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</table>

**Programme name and number:**
2003-004-995-03-14

**Contracting period expires:**
30.11.2005

**Disbursement period expires:**
30.11.2006

**Total budget:** € 1.5 Million

**Phare budget:** € 1.5 Million

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**Overall objective**
Prompt absorption and maximum impact of the European Social Fund (ESF) in the Slovak Republic upon Accession

<table>
<thead>
<tr>
<th>Objectively verifiable indicators</th>
<th>Sources of Verification</th>
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<tr>
<td>• ESF fully absorbed in the Slovak Republic</td>
<td>Annual and final implementation reports in accordance with article 37 of General Regulation</td>
</tr>
<tr>
<td>• ESF project aims accomplished</td>
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</tbody>
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**Project purpose**

<table>
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<tr>
<th>Objectively verifiable indicators</th>
<th>Sources of Verification</th>
<th>Assumptions</th>
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</thead>
<tbody>
<tr>
<td>• Targets stated in the development plan of the Managing Authority achieved by 05/2004</td>
<td>• Annual report Managing Authority</td>
<td></td>
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<tr>
<td>• Annual report Managing Authority</td>
<td>• Accession of SR to EU as planned</td>
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<tr>
<td>• Accession of SR to EU as planned</td>
<td>• ESF programming documents are accepted by EC</td>
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**Results**

<table>
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<th>Objectively verifiable indicators</th>
<th>Sources of Verification</th>
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<tr>
<td>• number of potential final recipients</td>
<td>• Annual report Managing Authority</td>
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<tr>
<td>• number of up-coming projects</td>
<td>• Quality controls reports</td>
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<tr>
<td>• number of accredited projects</td>
<td>• Trained officers will be retained in intended positions</td>
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<tr>
<td>• Some 200 future ESF-type project owners trained in project development methods</td>
<td>• Budget resources for ESF operations when required.</td>
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<tr>
<td>• Some 480 full project applications eligible for ESF funding/Some 2000 quality control reports- from 09/2004</td>
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**Activities**

<table>
<thead>
<tr>
<th>Means</th>
<th>Assumptions</th>
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<tbody>
<tr>
<td>• Twinning light (2 mid-term experts)</td>
<td>• Interest of final recipients in educational and training activities</td>
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<tr>
<td>• Three service contracts</td>
<td>• Effective co-operation between all organisations involved</td>
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**Preconditions**

- set up of SOP HR programme complement
## Detailed Implementation Chart

### Preparing for ESF Project Management

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<th>Project component</th>
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<td>1st Q</td>
<td>2nd Q</td>
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<td>Twinning light</td>
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## Contracting and disbursement schedule by quarter for full duration of programme

### Preparing for ESF Project Management

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ANNEX 3