1. Basic Information

1.1 CRIS Number: 2004/016-764.08.02
1.2 Title: Interim Evaluation of Transition Facility Projects
1.3 Sector: Public Finance
1.4 Location: Slovak Republic

2. Objectives

2.1 Overall Objective

The overall objective of the project is to contribute to sound and accountable management of Transition Facility by providing an independent view to the implementing authorities of Transition Facility assistance in the Slovak Republic.

2.2 Project purpose

Effectiveness and efficiency of Transition Facility projects' management, including achievement of projects objectives, is improved by means of application of best practice, lessons to be learnt and implementation of corrective measures proposed by interim evaluation.

The results of the independent interim evaluation together with the information provided through the monitoring reports shall enable the implementing authorities and the European Commission, Sectoral Monitoring Sub-committees (SMSC) and Joint Monitoring Committee (JMC) in particular, to judge progress of Transition Facility projects in the Slovak Republic.

2.3 Justification

Chapter 28 (Financial Control), the Co-ordination Regulation, the EDIS guidelines and Chapter 21 (Regional Policy/ Structural Funds) set the framework of requirements for developing local monitoring and evaluation capacities.

As to Chapter 28, the financial Control acquis for pre-accession funding and future structural actions requires sufficient ability in the correct use, control, monitoring and evaluation of public funds irrespective of source. As to Chapter 21, the preparatory capacity of the Slovak Republic has to comply with specific monitoring and evaluation requirements.

Regarding Co-ordination regulation (1266/99) and EDIS guidelines, they require that the programme/project management capacity of institutions involved in the management of projects must have in place sufficient capacity in effective operational and financial monitoring as well as evaluation and reporting. Specifically EDIS internal controls on monitoring and evaluation require regular monitoring and evaluation activities, appropriate, true and fair level of monitoring and evaluation information.

Under the Phare programme there has been a concerted effort to help in developing good practices of monitoring and evaluation. The interim evaluation model adopted by the European Commission (EC/DG Enlargement) has shown to be a very useful tool of helping to foster sound financial management in general as well as quality management, accountability, and resource allocation of programme implementation in particular. That is also why the interim evaluation is explicitly required by the Programming and Implementation Guide on Transitional Facility, as well as the Accession Treaty (Article 34).

3. **Description**

3.1 **Background and justification**

The Office of the Government, as National Aid Co-ordinator (NAC), is the Slovak authority responsible for the co-ordination of programming, implementation, monitoring and evaluation of Transition Facility Community assistance to Slovakia. The Aid Co-ordination Unit (ACU), as the executive body of NAC, is responsible for the day-to-day co-ordination of Transition Facility programme in Slovakia, supporting line ministries with the drafting of programme/project proposals and negotiations with the European Commission (EC) and with programme/project implementation, monitoring and evaluation.

The Ministry of Finance, as National Authorising Officer (NAO), is the Slovak authority responsible for the functioning of the National Fund (NF), which administers financial flows of Community assistance in the Slovak Republic and co-financing from public finances. Transition Facility projects are procured, contracted and paid by the Central Finance and Contracting Unit (CFCU).

A Joint Monitoring Committee (JMC) has been established (composed by NAC, NAO and the EC) assisted by Sectoral Monitoring Sub-Committees (SMSC) (meeting twice a year).

All recipients of Transition Facility assistance are responsible for the preparation of project monitoring reports (currently three times a year). The ACU at the Office of Government is responsible for the preparation of the sectoral monitoring reports for the SMSC and JMC meetings. These reports are the basis for interim evaluation.

The increased level of assistance together with the constant efforts to maximise the efficiency of the Community funds (and co-financing state funds) brings the need to put more emphasis on evaluation of the design and implementation of projects and apply lessons learned.

3.2 **Linked activities**

From 1996 to July 2003 the Commission contracted a consortium of consulting companies to undertake the independent interim evaluation of Phare programmes and projects. The consortium established its regional office in Slovakia staffed with local and international evaluation specialists and conducted a few series of interim evaluation.

In view of the imminent accession of the new Member States, the Commission decentralised the interim evaluation of Phare to the responsibility of the new Member States as of 31 July 2003.

Technical assistance financed from Phare 2002 Unallocated Institution Building Facility (UIBF) has been delivering the interim evaluation of Phare projects for the ACU since May
Continuation of independent interim evaluation function for Phare programme for the remaining period up to the year 2006 will be financed through the 2003 UIBF.

### 3.3 Results

Within the framework of this project the contractor shall produce reports evaluating the implementation and achievement of the objectives of ongoing Transition Facility projects.

The independent evaluators shall draw conclusions of progress, give recommendations and describe lessons to be learnt with the aim at improving implementation of the Transition Facility assistance.

### 3.4 Activities

Activities under the project will be delivered through one service contract – technical assistance (0.165 mil. €); two evaluators assisted by a few short-term experts.

**Interim evaluations** will be conducted covering ongoing Transition Facility programmes/projects in the years 2005, 2006 and 2007 respecting the sectoral composition effective during the evaluation in the respective year.¹ Moreover, a **Country Summary** that shall focus mainly on horizontal and systemic issues in order to brief the JMC members on management and implementation of Transition Facility in the Slovak Republic will be conducted in 2007.²

The process of evaluation will include:

1. Collection of written information from the ACU, National Fund, CFCU, beneficiaries (line ministries) and, where appropriate, final beneficiaries;
2. Carrying out interviews and investigations in the ACU, National Fund, CFCU and beneficiaries;
3. On-the-spot evaluation if considered as appropriate;
4. Analysis of the information gathered.

In terms of analysis, the contractor shall identify any constraints (both internal to the implementation and external) that are hindering the successful project implementation. The contractor will be expected to draw appropriate conclusions and formulate recommendations on the basis of this analysis. The recommendations will follow the analysis and conclusions but should, inter alia, address how the delivery and implementation of the assistance can be advanced.

### 3.5 Lessons learned

Experience has proofed the usefulness of independent interim evaluation for effective and efficient management of Phare projects.

A Practical Guide to Interim Evaluation was prepared by the EMS Consortium under the auspices of the Evaluation Advisory Group (EAG) in November 2003 summarising the best practice and lessons to be applied. The Practical Guide will be utilised in management of the Interim Evaluation function for Transition Facility in Slovakia.

### 4. Institutional Framework

1. The Slovak National Aid Co-ordinator decides on the composition of monitoring and evaluation sectors.
The National Aid Co-ordinator who bears the responsibility for ensuring independent interim evaluation function will co-ordinate the project at national level by means of the Aid Co-ordination Unit as its executive body.

All Transition Facility implementing authorities (National Fund, Central Finance and Contracting Unit, European Commission and, particularly, the beneficiaries) will actively take part in the project implementation. For distribution of interim evaluation responsibilities between the relevant players see Annex 4.

5. **Detailed Budget (mil. €)**

<table>
<thead>
<tr>
<th>Project Component</th>
<th>Transition Facility Support</th>
<th>National Co-financing*</th>
<th>TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Investment Support</td>
<td>Institution Building</td>
<td>Total TF (I+IB)</td>
</tr>
<tr>
<td>Service Contract (TA)</td>
<td>-</td>
<td>0.15</td>
<td>0.15</td>
</tr>
<tr>
<td>Total</td>
<td>-</td>
<td>0.15</td>
<td>0.15</td>
</tr>
</tbody>
</table>

* Joint co-financing. The beneficiary also co-finances the project by bearing certain logistic and operational costs.

6. **Implementation Arrangements**

6.1 **Implementing Agency**

The Central Finance and Contracting Unit (CFCU) is the Implementing Agency responsible for administrative and financial implementation of the project (tendering, contracting, payments).

Central Finance and Contracting Unit  
Ms Silvia Czuczorová  
Director and Programme Authorising Officer  
Ministry of Finance of the SR  
Štefanovičova 5  
813 18 Bratislava  
Slovak Republic  
Tel: 00421 2 5958 2538  
Fax: 00421 2 5958 2559  
E-mail: cfcu.sczuczorova@mfsr.sk  

Responsibility for technical implementation of the project rests with the Aid Co-ordination Unit (ACU) at the Office of the Government of the SR.

Aid Co-ordination Unit  
Mr Ivan Fecenko  
Director  
Office of the Government of the SR  
Námestie slobody 1  
813 70 Bratislava  
Slovak Republic  
Tel: 00421 2 5729 5516  
Fax: 00421 2 5443 0056  
E-mail: phare@government.gov.sk  

6.2 **Twinning**
6.3 Non-standard aspects

N/A

6.4 Contracts

Technical Assistance (0.165 mil. €)

7. Implementation Schedule

7.1 Start of tendering/call for proposals  TA/4Q 2004
7.2 Start of project activity  TA/3Q 2005
7.3 Project Completion  TA/4Q 2007

8. Sustainability

Interim evaluation of Transition Facility shall be financed from Transition Facility 2006 allocation by means of a similar project for the remaining period up to 2009.

9. Conditionality and sequencing

It is assumed that all authorities that will be evaluated under this project will co-operate with the contractor to achieve maximum benefit from the evaluation process.

Follow-up to the interim evaluation recommendations has to be provided in monitoring reports checking their fulfilment and, thus, their actual utilisation for improvement of programme implementation.

The monitoring reports shall have sufficient quality.

After expiry of this project the beneficiary is committed to ensure the continuation of interim evaluation function for Transition Facility up to 2009.

ANNEXES TO PROJECT FICHE

1. Logframe planning matrix
2. Detailed implementation chart
3. Contracting and disbursement schedule
4. Distribution of interim evaluation responsibilities
# LOGFRAME PLANNING MATRIX

## Project title: Interim Evaluation of Transition Facility Projects

<table>
<thead>
<tr>
<th>Overall objective</th>
<th>Objectively verifiable indicators</th>
<th>Sources of verification</th>
<th>Assumptions</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Contribution to sound and accountable management of Transition Facility by providing an independent view to the implementing authorities of Transition Facility assistance in the Slovak Republic.</td>
<td>• Acknowledgement by external authorities (e.g. European Commission, auditors, ex-post evaluators).</td>
<td>• JMC and SMSC meeting minutes, audit reports, ex-post evaluation reports.</td>
<td>• Beneficiaries are committed to make use of the IE reports and their recommendations.</td>
</tr>
</tbody>
</table>

## Project purpose

<table>
<thead>
<tr>
<th>Objectively verifiable indicators</th>
<th>Sources of verification</th>
<th>Assumptions</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Effectiveness and efficiency of Transition Facility projects' management, including achievement of projects objectives, is improved by means of application of best practice, lessons to be learnt and implementation of corrective measures proposed by interim evaluation.</td>
<td>• Agreed recommendations given in the IE reports are implemented.</td>
<td>• Follow-up to the interim evaluation recommendations is provided in monitoring reports checking their fulfilment and, thus, their actual utilisation for improvement of project implementation.</td>
</tr>
<tr>
<td>• The results of the independent interim evaluation together with the information provided through the monitoring reports shall enable the implementing authorities and the European Commission, Sectoral Monitoring Sub-committees and Joint Monitoring Committee to judge progress of Transition Facility projects in the Slovak Republic.</td>
<td>• Lessons from IE reports for Transition Facility programming and implementation are drawn by implementing and managing authorities.</td>
<td></td>
</tr>
</tbody>
</table>

## Results

<table>
<thead>
<tr>
<th>Objectively verifiable indicators</th>
<th>Sources of verification</th>
<th>Assumptions</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Reports evaluating the implementation and achievement of the objectives of ongoing Transition Facility projects are produced.</td>
<td>• IE reports are produced in time and in a sufficient quality (ACU endorses all IE reports).</td>
<td>• ACU applies experience gained from managing the Phare IE process.</td>
</tr>
<tr>
<td>• Conclusions of progress are drawn, recommendations are given and lessons to be learned are described with the aim at improving implementation of the Transition Facility projects.</td>
<td>• Evaluation work plan, IE quality assessment rating grids.</td>
<td>• ACU applies knowledge gained from know-how transfer in evaluation (August – November 2003) – competency to rate IE reports' quality.</td>
</tr>
</tbody>
</table>

## Activities

<table>
<thead>
<tr>
<th>Means</th>
<th>Assumptions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Technical Assistance (0.165 mil. €)</td>
<td>• All authorities that will be evaluated under this project co-operate with the contractor to achieve maximum benefit from the evaluation process.</td>
</tr>
<tr>
<td>• about 27-month contract;</td>
<td>• The monitoring reports have sufficient quality.</td>
</tr>
<tr>
<td>• a team of 2 experts (evaluators) experienced in evaluation of the EU and/or national funds;</td>
<td></td>
</tr>
<tr>
<td>• a few short-term experts for specialised fields.</td>
<td></td>
</tr>
</tbody>
</table>

## Preconditions:

N/A
DETAILED IMPLEMENTATION TIME CHART

Project Title: Interim Evaluation of Transition Facility Projects
2004/016-764.08.02

<table>
<thead>
<tr>
<th>Year</th>
<th>2004</th>
<th>2005</th>
<th>2006</th>
<th>2007</th>
</tr>
</thead>
<tbody>
<tr>
<td>Month</td>
<td>JFMAMJJASOND</td>
<td>JFMAMJJASOND</td>
<td>JFMAMJJASOND</td>
<td>JFMAMJJASOND</td>
</tr>
<tr>
<td>Service Contract (TA)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tendering and contracting</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Implementation</td>
<td></td>
<td></td>
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<tr>
<td>Project completion</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
# CUMULATIVE CONTRACTING AND DISBURSEMENT SCHEDULE

**CRIS NUMBER: 2004/016-764.08.02**

## Cumulative Quarterly Contracting Schedule (mil. €)

<table>
<thead>
<tr>
<th>Project Title</th>
<th>1Q/05</th>
<th>2Q/05</th>
<th>3Q/05</th>
<th>4Q/05</th>
<th>1Q/06</th>
<th>2Q/06</th>
<th>3Q/06</th>
<th>4Q/06</th>
<th>1Q/07</th>
<th>2Q/07</th>
<th>3Q/07</th>
<th>4Q/07</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Interim Evaluation of TF Projects</td>
<td>0.15</td>
<td></td>
<td></td>
<td></td>
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<td></td>
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<td></td>
<td></td>
<td></td>
<td>0.15</td>
</tr>
</tbody>
</table>

## Cumulative Quarterly Disbursement Schedule (mil. €)

<table>
<thead>
<tr>
<th>Project Title</th>
<th>1Q/05</th>
<th>2Q/05</th>
<th>3Q/05</th>
<th>4Q/05</th>
<th>1Q/06</th>
<th>2Q/06</th>
<th>3Q/06</th>
<th>4Q/06</th>
<th>1Q/07</th>
<th>2Q/07</th>
<th>3Q/07</th>
<th>4Q/07</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Interim Evaluation of TF Projects</td>
<td>0.15</td>
<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
<td>0.15</td>
</tr>
</tbody>
</table>
## Distribution of Interim Evaluation Responsibilities

<table>
<thead>
<tr>
<th>IE Phase</th>
<th>NAC/ ACU</th>
<th>Evaluators</th>
<th>NAO/ NF</th>
<th>SAC/ PIU</th>
<th>PAO/ CFCU</th>
<th>EC</th>
</tr>
</thead>
</table>
| Annual planning    | 1. Prepares project fiche and/or terms of reference for IE.  
2. Comments, approves and issues an annual IE Work Plan presented by the evaluators. | 1. Draws up a consolidated IE Work Plan in accordance with the terms of reference and IE Guide for approval by the NAC.  
2. Comments, approves and issues an annual IE Work Plan presented by the evaluators. | 1. Comments an annual IE Work Plan presented by the evaluators.  
2. Is informed about the annual IE Work Plan.  
3. Comments an annual IE Work Plan presented by the evaluators.  
4. Is informed about the annual IE Work Plan.  
5. Is informed about the annual IE Work Plan.  
6. Comments an annual IE Work Plan presented by the evaluators. | 1. Comments an annual IE Work Plan presented by the evaluators.  
2. Is informed about the annual IE Work Plan.  
3. Comments an annual IE Work Plan presented by the evaluators.  
4. Is informed about the annual IE Work Plan.  
5. Is informed about the annual IE Work Plan.  
6. Comments an annual IE Work Plan presented by the evaluators. | 1. Comments an annual IE Work Plan presented by the evaluators.  
2. Is informed about the annual IE Work Plan.  
3. Comments an annual IE Work Plan presented by the evaluators.  
4. Is informed about the annual IE Work Plan.  
5. Is informed about the annual IE Work Plan.  
6. Comments an annual IE Work Plan presented by the evaluators. | - |
| Kick-off meeting   | 1. Organises and chairs the meeting.  
2. Write up the minutes of the meeting. | 1. Attends the meeting.  
2. Present the exact grid of projects to be evaluated.  
3. Present the timeline schedule for IE.  
4. Explain the IE procedure.  
5. Explain what information and documents are needed to launch the IE.  
6. Inform about the role of short-term technical specialists if any. | 1. Attends the meeting.  
2. Presents the IE Work Plan presented by the evaluators.  
3. Comments an annual IE Work Plan presented by the evaluators.  
4. Is informed about the annual IE Work Plan.  
5. Is informed about the annual IE Work Plan.  
6. Comments an annual IE Work Plan presented by the evaluators. | 1. Attends the meeting.  
2. Presents the IE Work Plan presented by the evaluators.  
3. Comments an annual IE Work Plan presented by the evaluators.  
4. Is informed about the annual IE Work Plan.  
5. Is informed about the annual IE Work Plan.  
6. Comments an annual IE Work Plan presented by the evaluators. | 1. Attends the meeting.  
2. Presents the IE Work Plan presented by the evaluators.  
3. Comments an annual IE Work Plan presented by the evaluators.  
4. Is informed about the annual IE Work Plan.  
5. Is informed about the annual IE Work Plan.  
6. Comments an annual IE Work Plan presented by the evaluators. | - |
| Pre-IE period      | 1. Provides all relevant information and documents and checks that all parties have submitted requested information and documents to the evaluators within two weeks after the kick-off meeting. | 1. Collects the requested information and documents.  
2. Submits all relevant information and documents to the evaluators within two weeks after the kick-off meeting.  
3. Submits all relevant information and documents to the evaluators within two weeks after the kick-off meeting.  
4. Submits all relevant information and documents to the evaluators within two weeks after the kick-off meeting.  
5. Sends an email to the evaluators with requested reports. | 1. Submits all relevant information and documents to the evaluators within two weeks after the kick-off meeting.  
2. Submits all relevant information and documents to the evaluators within two weeks after the kick-off meeting.  
3. Submits all relevant information and documents to the evaluators within two weeks after the kick-off meeting.  
4. Submits all relevant information and documents to the evaluators within two weeks after the kick-off meeting.  
5. Sends an email to the evaluators with requested reports. | 1. Submits all relevant information and documents to the evaluators within two weeks after the kick-off meeting.  
2. Submits all relevant information and documents to the evaluators within two weeks after the kick-off meeting.  
3. Submits all relevant information and documents to the evaluators within two weeks after the kick-off meeting.  
4. Submits all relevant information and documents to the evaluators within two weeks after the kick-off meeting.  
5. Sends an email to the evaluators with requested reports. | 1. Submits all relevant information and documents to the evaluators within two weeks after the kick-off meeting.  
2. Submits all relevant information and documents to the evaluators within two weeks after the kick-off meeting.  
3. Submits all relevant information and documents to the evaluators within two weeks after the kick-off meeting.  
4. Submits all relevant information and documents to the evaluators within two weeks after the kick-off meeting.  
5. Sends an email to the evaluators with requested reports. | - |
| Interim Evaluation | 1. Co-operates with the evaluators. | 1. Evaluate according to the terms of reference and IE Guide.  
2. Comments on the report prepared by the evaluators. | 1. Co-operates with the evaluators.  
2. Comments on the report prepared by the evaluators. | 1. Co-operates with the evaluators.  
2. Comments on the report prepared by the evaluators. | 1. Co-operates with the evaluators.  
2. Comments on the report prepared by the evaluators. | - |
| First Draft of IE Report | 1. Checks conformity of the first Draft with the template and comments on facts presented in the first Draft within a maximum of 10 working days after the receipt of the report. | 1. Write the first Draft and issue it to all parties for comments.  
2. Comments on the report prepared by the evaluators. | 1. Comments on facts presented in the first Draft within a maximum of 10 working days after the receipt of the report.  
2. Comments on the report prepared by the evaluators. | 1. Comments on facts presented in the first Draft within a maximum of 10 working days after the receipt of the report.  
2. Comments on the report prepared by the evaluators. | 1. Comments on facts presented in the first Draft within a maximum of 10 working days after the receipt of the report.  
2. Comments on the report prepared by the evaluators. | - |
| Final Draft of IE Report | 1. Endorses (authorises) Final Draft for the Final Version after providing a Quality Assessment according to the Rating Grid. | 1. Collect all comments on the first draft and incorporate these into the report where appropriate and submit it with dissenting views as Final Draft to the NAC/ACU. | - | - | - | - |
| Final Version      | 1. Receives Final Version of the IE Report from the evaluators. | 1. Issue and distribute endorsed Final Version to all relevant stakeholders of the IE.  
2. Receives Final Version of the IE Report from the evaluators. | - |
<p>| Debriefing         | 1. Organises and chairs the meeting within a month from the issue of the Final IE Report. | 1. Participate at the meeting to explain the recommendations | 1. Participates actively in the meeting. | 1. Participates actively in the meeting. | 1. Participates actively in the meeting. | - |</p>
<table>
<thead>
<tr>
<th>meeting</th>
<th>Follow-up</th>
</tr>
</thead>
<tbody>
<tr>
<td>2. Participates actively in the meeting.</td>
<td>1. Fulfils approved recommendations addressed to NAC/ACU.</td>
</tr>
<tr>
<td>3. Write up the minutes of the meeting and follow-up table.</td>
<td>2. Checks fulfilment of all approved recommendations.</td>
</tr>
<tr>
<td>4. Signs the follow-up table with agreed recommendations and their implementation.</td>
<td>3. Provides information concerning the follow-up actions on all recommendations in the sectoral MR.</td>
</tr>
</tbody>
</table>
| 5. Provides the EC with the follow-up tables signed by all relevant stakeholders of the IE. | 1. Fulfils agreed recommendations.  
2. Provides the information concerning the follow-up actions on the recommendations addressed to her/ him. |
| and answer relevant questions.                                         | 1. Fulfils agreed recommendations.  
2. Provides the information concerning the follow-up actions on the recommendations addressed to her/ him in the project MR. |
| 2. Signs the follow-up table with agreed recommendations and their implementation and forwards it to the NAC/ACU. | 1. Fulfils agreed recommendations.  
2. Provides the information concerning the follow-up actions on the recommendations addressed to her/ him in the project MR. |
| 2. Signs the follow-up table with agreed recommendations and their implementation and forwards it to the NAC/ACU. | 1. Fulfils agreed recommendations.  
2. Provides the information concerning the follow-up actions on the recommendations addressed to her/ him in the project MR. |
| 2. Signs the follow-up table with agreed recommendations and their implementation and forwards it to the NAC/ACU. | 1. Fulfils agreed recommendations.  
2. Provides the information concerning the follow-up actions on the recommendations addressed to her/ him in the project MR. |