1. Basic information

1.1. Désirée Number: SI0205.05

1.2. Title: Ex ante evaluation Single Programming Document (SPD) Slovenia

1.3. Sector: Economic and Social Cohesion

1.4. Location: Republic of Slovenia

2. Objectives

2.1. Overall objective:

The execution of an ex ante evaluation of the Single Programming Document (SPD) of Slovenia in conformity with the rules of the relevant EU Structural Funds regulations and taking into account the proposed methodologies and guidelines as presented in the Commissions’ working paper No. 2 on the ex-ante evaluation of the Structural Funds interventions.

2.2. Project purpose:

This ex ante evaluation aims, in conformity with the Articles 40 – 43 of the EU Regulation 1260/1999 to provide a basis for preparation and assessing of the plans, assistance schemes and the Programme Complement.

The ex-ante constitutes a key element for the understanding of the strategy and the allocation of the financial resources and is performed in parallel with the preparation of the Single Programming Document and will form an integral part of the SPD.

2.3. Accession partnership and NPAA priority

The project is in line with the AP and the NPAA.

The priorities and intermediate objectives for Regional policy and co-ordination of structural instruments as defined in the AP are among others:

1. Prepare a coherent development plan as required by the Structural Funds Regulations and define the implementation structures of the final plan;
2. Set up the coherent monitoring and evaluation system for Structural Funds, in particular for ex-ante evaluation and for the collection and processing of the relevant statistical information and indicators;
3. Align with the specific financial management and control provisions for future Structural and Cohesion Fund(s) under the relevant EC regulations;
4. Develop the technical preparation of projects eligible to the Structural and Cohesion Funds assistance.


According to the roadmap, Slovenia completed the NDP preparations and submitted proposal on structures for Structural Funds implementation in December 2001. In the second phase that will last from January 2002 until the end of accession negotiation Slovenia will prepare Single Programming Document to be transmitted to the European Commission. With this project further development of the NDP and preparation of the SPD will be supported and will contribute to the successful realisation of the roadmap defined.
2.5. Cross Border Impact

Not applicable

3. Description

3.1. Background and justification

In the framework of the preparation of the National Development Plan (NDP), ex-ante evaluation of the document was carried out by a non-governmental independent institution. The ex-ante evaluation is presented in Appendix III Chapter 7.3 of the National Development Plan - available on the Internet page of NARD (http://www.sigov.si/arr/aindex.html).

In accordance with the provisions of Articles 40 to 43 of the Regulation (EC) 1260/1999, the structural assistance of the European Union shall be the subject of ex-ante, mid-term and ex-post evaluations. The ex-ante evaluation is performed at the time when public authorities are involved in discussions and negotiations on the future programmes; in this case the Single Programming Document (SPD). This evaluation is therefore subjected to strong constraint: pressure of deadlines, vague formulation of the proposed programme to be evaluated, amendments to this proposal while the work is underway.

At the end of the interactive process, the ex ante evaluation constitutes a key element for the understanding of the strategy and the allocation of financial resources, stating clearly the rationale and the scope of the choices made. This evaluation will form therefore an integral part of the programme even if, for reasons of transparency, it would be desirable if the experts’ work is included in a separate consolidated document.

3.2. Linked activities

- **Phare SL-9804 “Special Preparatory Programme for Structural Funds in Slovenia”**
  - *Twinning*: This project was aimed to provide initial training on the European Structural Funds and initial and advanced training on the ERDF for the staff of Slovene national administration. The project has supported the preparation of the NDP in Slovenia
  - *TA/Services*: The Project provided analyses on Absorption capacity for Structural Funds in the regions of Slovenia.
- In the framework of the preparation of the National Development Plan (NDP 2001 – 2006) an ex-ante evaluation of the document was carried out by a non-governmental independent institution;
- Within the NARD a Monitoring and Evaluation Department was established to perform the tasks of monitoring and evaluation of the NDP;
- The Regional Development Agencies (RDA) in 12 NUTS III regions were established on the basis of the local partnership. They have been supported by the NARD in programming of the regional development plans;
- Setting up a coherent system for the Structural and Cohesion Funds in Slovenia for the Managing Authority (MA) and the ERDF measures Implementation;
- Setting up a coherent system for the Structural and Cohesion Funds in Slovenia for the Managing Authority (MA) and the ERDF measures implementation, and for the Managing Authority functions in relation to the Cohesion Fund implementation;
- Development of programming and management capacities for European Social Fund (ESF) implementation;
- Establishment of the Management and Control System designed for the effective and sound Implementation of EU Structural and Cohesion Funds within the future Paying Authority at the Ministry of Finance of the Republic of Slovenia.

3.3. Results

The process of drafting the SPD / Programme Complement and the execution of the ex ante evaluation should elapse more or less in parallel. There should be a continuous interaction between those two activities.
The ex ante evaluation will form an integral part of the SPD but presented as a separate consolidated document. Key components of this evaluation report are:

I. Analysis of experiences during the implementation of the pre-accession activities
II. Analysis of SWOT
III. Assessment of the rational and overall consistency of the strategy
IV. Quantification of the objectives
V. Expected socio-economic impact and justification of policy and allocation financial resources
VI. Quality of the implementation, monitoring and evaluation arrangements

3.4. Activities

The elaboration of key components and required input will be decided in agreement with the services of the Commission.

The experts will prepare Inception, 3 Interim and Final Report in English and Slovene language. The Reports will be submitted to the Steering Committee for approval. The ex ante evaluation report will be annexed to the Final Report.

All activities carried out by the Contractor will be communicated prior to the execution to the Steering Committee.

3.5. Lessons learned

An ex-ante evaluation for the National Development Plan (NDP) was executed from May to November 2001. This project offered the opportunity to build up evaluation practise and experience that can excellently utilised for this evaluation of the SDP.

4. Institutional Framework

The main beneficiary will be the Ministry of the Economy as the institution responsible for setting up the administrative framework for the Structural policy management and implementation, as well as the Ministry of Finance and line ministries involved in the SF implementation.

A single Steering Committee will be organised to supervise this evaluation and will consist of representatives of the National Agency for Regional Development, Ministry of the Economy, the Ministry of Finance, the Ministry of Labour, Family and Social Affairs, the Ministry of Transport, the Ministry of Environment and Spatial Planning, and the Ministry of Agriculture, Forestry and Food. The representatives of other relevant ministries and stakeholders might be invited to the meetings of the SC. The Delegation of the European Commission in the Republic of Slovenia, Central Financing and Contracting Unit at the Ministry of Finance of Slovenia and the Governmental Office for European Affairs will be invited to the meetings as observers. The members of the Steering Committee will be nominated in the Inception Phase.

5. Detailed Budget (in €)

<table>
<thead>
<tr>
<th></th>
<th>Investment</th>
<th>IB</th>
<th>Total Phare (I+IB)</th>
<th>National Co-financing</th>
<th>IFI</th>
<th>TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contract</td>
<td>0</td>
<td>150,000</td>
<td>150,000</td>
<td>15,000</td>
<td>165,000</td>
<td></td>
</tr>
<tr>
<td>Total:</td>
<td>0</td>
<td>150,000</td>
<td>150,000</td>
<td>15,000</td>
<td>165,000</td>
<td></td>
</tr>
</tbody>
</table>
6. Implementation arrangement

6.1. Implementing Agency

Ministry of Finance – CFCU,
Mr. Peter Škofic, PAO
Beethovnova 11, 1502 LJUBLJANA – SI
Tel: +386 1 478 6994, Fax: +386 1 478 6204
E-mail: peter.skofic@mf-rs.si

The Contracting Authority:
The National Agency for Regional Development
Mr. Bojan Dejak, Director
Kotnikova 28, 1000 LJUBLJANA - SI
Tel: +386 1 478 36 70, Fax: +386 1 4313360
E-mail: bojan.dejak@gov.si

6.2. Twinning: Not applicable

6.3. Non standard aspect: Not applicable

6.4. Contracts

1. Technical Assistance – FWC Service contract 150,000 EUR

7. Implementation Schedule

7.1. Start of tendering/call for proposals: March 2002

7.2. Start of project activity: June 2002

7.3. Project Completion: March 2003

7.4 Project Closure: June 2004

8. Equal Opportunity

The project will promote equality between genders since it will contribute to the design of measures under EU Structural Funds to the harmonious, balanced and sustainable development of economic activity and to equality between women and man. By reference to the general commitment attain equal opportunities between women and man the operations of this project can be judged as in general “The project provides equal benefits to men and women.”

9. Environment

Separately a qualified Institution will carry out a Strategic Environmental and Health Assessment of the Single Programming Document (SPD).

10. Rates of return: not applicable

11. Investment criteria:

11.1 Catalytic effect
Civil servants, who will assist the team will be on job trained for future ex-ante evaluations of the programmes.

11.2 Co-financing:
The Ministry of Economy will contribute EUR 15,000 in kind (Office space, secretary).

11.3 Additionality:
The Phare intervention does not displace other financial means, neither from the private sector nor of IFIs.

11.4 Project readiness and size
The Request for services (as per FWC) to be prepared endorsed by CFCU and approved by ECD.

11.5 Sustainability
The ME will guarantee the sustainability of results achieved (in financial and institutional terms).

11.6 Compliance with state aids provisions
Not applicable.

11.7 Contribution to National Development Plan:
See point 2.4 for details.

12. Conditionality and sequencing:
The most important condition and milestone for the project implementation is the further development of the Slovene NDP.
ANNEXES:

Annex I: LOGFRAME PLANNING MATRIX FOR PROJECT
Annex II: DETAILED IMPLEMENTATION CHART
Annex III: CONTRACTING AND DISBURSEMENT SCHEDULE
Annex IV: LIST OF RELEVANT LAWS AND REGULATIONS:
Annex V: REFERENCE TO RELEVANT GOVERNMENT STRATEGIC PLANS AND STUDIES:
### Programme name and number
SI0205.05

| Contracting period expires: | 15th December 2002 |
| Disbursement period expires: | 15th December 2003 |
| Total budget: | 165,000 EUR |
| Phare: | 150,000 EUR |

### Overall Objective

The execution of an ex ante evaluation of the Single Programming Document (SPD) of Slovenia in conformity with the rules of the relevant EU Structural Funds regulations and taking the proposed EU methodologies and guidelines into account.

#### Objectively verifiable indicators

- An evaluation report in conformity with EU standards;

#### Sources of Verification

- EU manuals on:
  - evaluation
  - indicators
  - monitoring

### Project Purpose

The ex ante evaluation constitutes a key element for the understanding of the strategy and the allocation of financial resources and it:

- Is performed in parallel with draft SPD;
- Forms an integral part of the SPD.

#### Objectively verifiable indicators

- Meetings with official responsible for drafting SPD;
- People trained for future monitor and evaluation purposes.

#### Sources of Verification

- EU working papers
- Evaluation manuals

#### Assumptions

- Commitment of stakeholders to work in concerted way
- Need for actual implementation of recommendations produced within a project (for instance: the decisions on organisational changes, competencies of institutions)

### Results

Key components of the evaluation report are:

- Analysis of past experiences (pre-accession activities)
- Analysis of SWOT
- Assessment of the rational and coherency of the strategy
- Quantification of the objectives
- Estimation of the socio-economic impact
- Assessment implementation, monitoring and evaluation arrangements

#### Objectively verifiable indicators

- Papers delivered by the team on:
  - Socio-economic analysis;
  - SWOT analysis;
  - Indicators for monitor and evaluation purposes;
  - Bench marks (base-line) to measure future progress and possible effects;
  - Estimation of macro-economic impact of SPD.

#### Sources of Verification

- EU and MS reports on evaluation
- Correspondence files
- Manuals
- Existing monitoring systems

#### Assumptions

- Relevant documents/papers will be made available in time;
- Organisations and officials involved are available if necessary.

### Activities

| I. Analysis of experiences pre-accession activities |
| II. Analysis of the SWOT |
| III. Assessment of the Rationale and the Overall Consistency of Strategy |
| IV. Quantification of Objectives |
| V. Evaluation of Expected socio-economic Impacts and resources allocation |
| VI. Quality of the Implementation and Monitoring Arrangements |

#### Means

- Long term experts
- Short term sectoral experts
- Training

#### Sources of Information

- Regular reports and evaluation papers;
- Mission reports
- Assessment of training activities
- Meetings with steering group

#### Assumptions

- Sufficient number of staff employed and assigned for the tasks
- Cooperation of national and regional institutions

### Preconditions

- Draft Single Programming Document takes place within proposed timeschedule
- nominated staff in designated bodies
Annex II: DETAILED IMPLEMENTATION CHART

Phare funds: 150,000 EUR
National co financing: 15,000 EUR
TOTAL: 165,000 EUR

Start of tendering/call for proposals: March 2002
Start of project activity: June 2002
Project Completion: April 2003
Project Closure: June 2003

<table>
<thead>
<tr>
<th>COMPONENT</th>
<th>2002</th>
<th>2003</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>J</td>
<td>F</td>
</tr>
<tr>
<td>Design</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tendering</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Implementation</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Activity of the Contractor

<table>
<thead>
<tr>
<th>Activity of the Contractor</th>
<th>2002</th>
<th>2003</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>6</td>
<td>7</td>
</tr>
<tr>
<td>Analysis of pre-accession activities</td>
<td></td>
<td></td>
</tr>
<tr>
<td>SWOT of State, Regions, Sectors</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Assessment of the Rationale</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Quantification of Objectives</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Evaluation of expected socio-economic Impacts and Justification for Policy for financial resources Allocation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Quality of the implementation and Monitoring Arrangements</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Monitoring</td>
<td>2002</td>
<td>2003</td>
</tr>
<tr>
<td>----------------------</td>
<td>------</td>
<td>------</td>
</tr>
<tr>
<td></td>
<td>6</td>
<td>7</td>
</tr>
<tr>
<td>Steering Committee</td>
<td>8</td>
<td>9</td>
</tr>
<tr>
<td>Meetings</td>
<td>10</td>
<td>11</td>
</tr>
<tr>
<td></td>
<td>12</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>Inception Report</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Interim Reports</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Final Report</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Annex III: CONTRACTING AND DISBURSEMENT SCHEDULE (by quarter for full duration of the programme)

Phare funds: 150,000 EUR

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Contracting</td>
<td>150.000</td>
<td>150.000</td>
<td>150.000</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Disbursement</td>
<td>120.000</td>
<td>120.000</td>
<td>120.000</td>
<td>150.000</td>
<td></td>
</tr>
</tbody>
</table>
Annex IV

List of relevant Laws and Regulations:

1. Balanced Regional Development Act (Official Journal of the Republic of Slovenia, 60/99)
   - Minister of Economy’s decree on Rules on the organisation and conditions for performing the tasks of regional development agencies (Official Gazette of the RS, No. 44/01, June 6, 2001)
   - Minister of Economy’s decree on Rules on the organisation and conditions for performing the tasks of regional development agencies (Official Gazette of the RS, No. 44/01, June 6, 2001)
   - Minister of Economy’s decree on Instructions on the priority areas for allocating incentives relevant for balanced regional development (Official Gazette of the RS, No. 44/01, June 6, 2001)
   - Minister of Economy’s decree on Instructions on the minimum obligatory structure and methodology for the preparation of Regional Development Programmes, and the Method of their monitoring and evaluation (Official Gazette of the RS, No. 44/01, June 1, 2001)
   - Minister of Economy’s decree on Rules on the regional aid map used in implementing the regional state aid policy in the Republic of Slovenia (Official Gazette of the RS, No. 58/01, July 13, 2001)
   - Minister of Economy’s decree on the detailed terms and criteria for allocating incentives relevant for balanced regional development (Official Gazette of the RS, No. 60/01, July 20, 2001)
   - Minister of Economy’s decree on Rules on the allocation of regional state aids and regional incentives to local communities and to the regional development agencies (Official Gazette of the RS, No. 62/01, July 27, 2001)

2. Law on research activities (Official Journal of the Republic of Slovenia, 8/91)
3. Law on small business development (Official Journal of the Republic of Slovenia, 18/91)
4. Law on the protection of the competition (Official Journal of the Republic of Slovenia, 18/93)
5. Law on foreign trade procedures (Official Journal of the Republic of Slovenia, 13/93)
8. COUNCIL REGULATION (EC) No 1257/1999 of 17 May 1999 on support for rural development from the European Agricultural Guidance and Guarantee Fund (EAGGF) and amending and repealing certain Regulations
11. COMMISSION REGULATION (EC)No 1159/2000 of 30 May 2000 on information and publicity measures to be carried out by the Member States concerning assistance from the Structural Funds
13. COUNCIL REGULATION (EC) No 1260/1999 of 21 June 1999 laying down general provisions on the Structural Funds
Annex V

Reference to relevant Government Strategic plans and studies:

10. The Strategy for the Economic Development of Slovenia was the largest project carried out by IMAD in 1994/1996.