

**EXPERT EVALUATION NETWORK  
DELIVERING POLICY ANALYSIS ON THE  
PERFORMANCE OF COHESION POLICY 2007–2013  
YEAR 1 – 2011**

**TASK 2: COUNTRY REPORT ON ACHIEVEMENTS OF  
COHESION POLICY**

**GERMANY**

**VERSION: FINAL**

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**A report to the European Commission  
Directorate–General Regional Policy**

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## LIST OF ABBREVIATIONS

- BB Land of Brandenburg
- BE Land of Berlin
- BW Land of Baden–Württemberg
- BY Land of Bayern
- EEN Expert Evaluation Network
- ERDF European Regional Development Fund
- ESF European Social Fund
- EUR Euro
- GDP Gross Domestic Product
- HB Land of Bremen
- HE Land of Hessen
- HH Land of Hamburg
- MV Land of Mecklenburg–Vorpommern
- NI Land of Niedersachsen
- NW Land of Nordrhein–Westfalen
- OP Operational Programme
- RP Land of Rheinland–Pfalz
- R&D Research and Development
- SH Land of Schleswig–Holstein
- SL Land of Saarland
- SN Land of Sachsen
- ST Land of Sachsen–Anhalt
- TH Land of Thüringen

## EXECUTIVE SUMMARY

Germany recovered relatively quickly after the crises. Reductions in GDP have been compensated rapidly and the labour market is showing the lowest unemployment rates for decades. Although action to counteract crisis was expensive, tax revenues increased soon. So the context is neither shaped by economic nor by fiscal crisis currently. A certain influence can be expected from the new debt rule introduced in the Grundgesetz and strictly limiting the amount of new public debt. Mainly the Länder which are the main implementing actors for ERDF will come under a certain pressure for consolidation in the next years.

ERDF is a significant, but not a decisive part of regional development policies at Länder level. Most Länder use a broad set of instruments covering grants for investment, innovative financing instruments, R&D-related instruments, urban development programmes, etc. A typical German programme consists of some 20 or more single instruments. Compared to last year's report, there are no significant changes in strategy or financial planning. Several programmes have been changed or soon will be, but the basic strategic orientation remains the same.

There was significant progress in implementing the programmes. Generally speaking, there is no threat of losing funds due to n+2 in most programmes. The reasons for delay compared to the plan are manifold and most of them are programme and context specific. There is currently a threat of preparing a delayed start of the next period by postponing expenditure from the current one.

Output in terms of project numbers and other output figures is rising. Compared to last year's figures, the progress is considerable. Effects on regional development – at least hard evidence – are hardly visible. On macro-level, the available results are relatively specific e.g. from the HERMIN-calculation in Thüringen.

A number of mid-term evaluations are available and more are underway. Other Länder continue to produce reports from ongoing evaluations. The evaluations focus mostly on implementation analysis and gross-effects. One can hardly learn anything about net-effects, mostly descriptive presentation of implementation progress and output is complemented by general reasoning on expected effects.

The main future challenges are old and new ones: the old ones consist in tackling deficits in economic performance and reducing incoherence. Innovation and ongoing structural adjustment are still on the agenda. New patterns of regional disparities, the consequences of demographic change, renewable energies and green economy are among the new challenges.

## 1. THE SOCIO-ECONOMIC CONTEXT

Main points from the 2010 country report:

- Good overall performance on macro-level: GDP and productivity above EU-average;
- Significant disparities on regional level: GDP on NUTS II between 76% and 192% of EU average;
- A number of development factors are far from being equally distributed (population, accessibility, enterprise structure, etc.): Regional disparities are structural and thus long-lasting;
- For a long time, the dominant pattern of disparities was the divide between East and West Germany. This divide is meanwhile blurred and overlaid by other development trends: Disparities within both East and West Germany are growing;
- Meanwhile those regions with declining population and deficits in accessibility tend to become a new problem – both in the Eastern and Western part.
- Structural change and adjustment is a continuous task for nearly all regions.

The dispersion of GDP per head across NUTS-2 regions gives insights in the development of economic coherence (see Annex Figures 1 and 2). On EU-level, the dispersion of GDP per head in NUTS-2 regions has been constantly declining since 2000 to 2007. In the same period the dispersion in Germany remained more or less on the same level. Only five EU-countries have a lower dispersion of GDP per head than Germany. Of course, dispersion is higher on NUTS-3 level. But again there is a decreasing trend on EU-level whilst Germany remains more or less on the same level.

### Regional patterns of effects of the crisis and recovery

The financial and economic crisis in Germany hit mainly the export-oriented sectors of the economy (for the following see Sachverständigenrat zur Begutachtung der gesamtwirtschaftlichen Entwicklung 2010). Export decreased by 14.4% in 2009 resulting in a reduction of GDP by 4.7%. For Germany both the strong decrease and the speedy comeback can be explained by the strong export orientation and a basically good competitiveness of the German economy. Due to a threatening skills shortage, enterprises tried to keep as many skilled workers as possible in employment during the crisis. Together with support by policy instruments<sup>1</sup> the labour market was not gravely affected by the crisis. In 2010 unemployment rate sank to 7.7% – the lowest level since 1992 (Bundesagentur für Arbeit 2011).

Given this general development, the economic crisis affected regions differently, but it is not simply the lagging regions that have been hit harder. One of the most severe direct effects hit those regions with significant export oriented industries. The highest decrease in GDP in

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<sup>1</sup> Mainly the instrument of short-time working benefits has been used intensively. Normally limited to a 6 months period, the duration has been several times prolonged. This helped to keep people in the job during crisis and allowed a quick start as soon as the demand was rising again.

2009 was in the highly industrialised Länder of Saarland (–6.8%), Baden–Württemberg (–5.7%) and Nordrhein–Westfalen (–4.4%; See Annex Table A). Only one Land (Berlin) had a positive growth rate in 2009 (+2.0%), and Berlin has the lowest share of industry amongst the German Länder. Generally speaking, effects of the crisis can be found where industry is strong.<sup>2</sup>

In Germany the crisis was rather cyclical than structural. Therefore, the regions recovered comparatively quickly. As soon as the export oriented sector recovered, most regions were soon back on the levels they had before the crisis. For instance Baden–Württemberg, which had the strongest decrease in GDP in 2009, already had the highest growth rate again in 2010 (Annex Table A).

### **Effects of macro–economic policy and Fiscal consolidation**

The main political reaction to the crisis consisted of two packages of different measures. The first was launched end of 2008 and the second beginning of 2009. The two packages combine a number of different instruments (see [www.Konjunkturpakete.de](http://www.Konjunkturpakete.de)). Changes in tax rates, investment programmes, infrastructure, changes in regulations for existing programmes, and others aimed at supporting the economy on their way through the crisis.

It is difficult to establish an overall picture of the regional effects of this broad set of policy instruments, as they differ from instrument to instrument. In general, the measures were not consciously regionally differentiated but regions will be affected differentially according to where investment actually took place and their structure of economic activity.

Before the crisis (in 2007), public deficit was very moderate (Sachverständigenrat zur Begutachtung der gesamtwirtschaftlichen Entwicklung 2010). In 2009 and 2010 public spending increased significantly but this contributed to dampen the effects of the crisis. A new debt rule in the constitutional law sets strict limits for public dept. Mainly the Länder have a need for consolidation as they are obliged to present balanced budgets by 2020, so fiscal consolidation will affect regional policy in the long run, but there have hardly been any short-term effects.

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<sup>2</sup> Certainly, it's more complicated: It's not industry as such, but export oriented industry. And not all branches have been hit the same way.

## 2. THE REGIONAL DEVELOPMENT POLICY PURSUED, THE EU CONTRIBUTION TO THIS AND POLICY ACHIEVEMENTS OVER THE PERIOD

### THE REGIONAL DEVELOPMENT POLICY PURSUED

In the country report 2010 regional development policy has been described as follows:

- As a backbone for German regional policy, the so called “Joint Task”<sup>3</sup> which is offering funding opportunities for investment of enterprises and relevant infrastructure.
- Over the time, the scope of the Joint Task which has been founded in 1969 has been expanded and is now also covering a range of “non-investive” activities (networking, cluster, innovation assistants, etc.).
- In the 1990s ERDF has been closely coupled to the Joint Task. But since then, the share of ERDF funds co-financed by the Joint Task has been reduced to some 20% to 30% in most programmes.
- ERDF is often used for complementary instruments under the responsibility of the Länder. But the concrete instruments applied often vary and a number of specific approaches exist in nearly all Länder.
- From the perspective of the Länder, ERDF offers a platform for strategic coordination for the set of instruments applied under the OPs. Often some 20 or even more single instruments are used to deliver ERDF funds.
- Policy Areas: In the ERDF programmes, support to enterprise environment is the most important part with some 50% of the funds. Within this field, Competitiveness regions put a stronger emphasis on R&D than convergence regions. Human Resources development is only relevant in the Competitiveness regions, transport has a much higher share in Convergence regions.
- In Competitiveness regions, the most important instruments are those supporting investment in enterprises, R&D and innovation, infrastructure, and integrated urban development. Nearly two thirds of the OP funds are allocated to these areas.
- In Convergence regions, investment in enterprises, infrastructure, and R&D amounts to more than 60% of the overall available budget.

### The role of ERDF in the national policy

Table A compares financial allocation of the Joint Task and ERDF. As the Joint Task is strongly focused on East Germany, the relation between domestic and European allocation is not the same for the two Objective regions. In the Competitiveness regions, the OP budgets are four times higher than the Joint Task allocation, in Convergence regions only 1.5 times.

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<sup>3</sup> The name emphasises that the instrument is financed, designed and implemented jointly by Bund and Länder. It was created in 1969. This is an exception in German federalism, where normally tasks are strictly separated. See the 2010 country report for more information on the Joint Task.

**Table A – Financial Allocation Joint Task and ERDF in EUR million**

Year	Joint Task – West Germany	ERDF Competitiveness	Joint Task – East Germany	ERDF Convergence
2007	182	639	1,092	1,619
2008	182	651	1,092	1,620
2009	178	664	1,070	1,622
2010	178	678	1,070	1,624
2011	178	691	1,070	1,625
2012	178	705	1,070	1,625
2013		719		1,625

Source: Joint Task (Deutscher Bundestag 2009), ERDF (Bundesministerium für Wirtschaft und Technologie 2007), own calculation Note: For the Joint Task, allocation consists of 50% federal Funds and 50% Länder Funds. Partly ERDF is used to co-finance the Joint Task. Therefore the two budgets are not strictly separated: the same ERDF funds can be part of Joint Task and ERDF budget. West Germany and Competitiveness regions are not exactly the same as on Convergence programme (NI – Niedersachsen) is located in the west.

Besides Joint Task, there is significant spending from the Länder budgets for regional policy. There is no systematic overview available, but a rough estimation for Sachsen, Thüringen, Sachsen-Anhalt – all three are Convergence regions – shows that OP budget is some 20% to 30% of the allocation for relevant grants and assignments under the Land budget.<sup>4</sup> The annual ERDF share compared to all grants and assignments from the Länder budget in general in the three Länder varies between 5% and 6%. For Niedersachsen, which comprises one Convergence and one Competitiveness programme, the shares are much smaller: ERDF only amounts to some 2% of the total budget for grants and 6% of the relevant budgets.<sup>5</sup>

A special feature of European regional policy is support for **cross-border co-operation**. In the long tradition of Interreg, Euroregions or similar bodies for cooperation have been established along the German borders. After unification, the development of cross-border co-operation at the Eastern border started and made quick advance. This report only covers those Cross border co-operation programmes with German managing Authorities: Alpenrhein-Bodensee-Hochrhein, Deutschland-Niederlande, Sachsen-Polen, Sachsen-Tschechien, Bayern-Tschechische Republik and Mecklenburg-Vorpommern/Brandenburg-Polen. These six programmes have ERDF allocation of EUR 723.4 million. In national policy there is no instrument available that has a similar layout. There are some smaller programmes focused on specific areas of cooperation (mostly culture or education), but there is no approach requiring a comprehensive strategic framework similar to the OPs for Interreg.

### **Changes of programmes – shifts in priorities**

By end-2010 only four programmes have formally been changed (see Table B). A number of additional programme changes are either currently being prepared or already underway.

<sup>4</sup> Own calculation based on the official Länder Budgets and OP financial plans. We take the parts of the budgets for „grants and assignments“ and compare them to ERDF plans. Only budgets of the most relevant ministries in terms ERDF involvement are taken into account (usually the departements for economics, transport, environment).

<sup>5</sup> Most likely, the weight of ERDF compared to the Länder budget will be smaller in competitiveness regions.



**Table B – programme changes approved by End of 2010 – overview**

Competitiveness	Convergence
Changes approved by the Commission end of 2010	
RP – Rheinland-Pfalz: approved in December 2010 NW – Nordrhein-Westfalen: two changes approved in March 2010 and July 2010	SN – Sachsen: approved in August 2010 TH – Thüringen, approved in April 2011
Additional Programme changes – approved after end of 2010, currently underway or planned	
BY – Bayern: Change underway NI – Niedersachsen: Programme change underway SH – Schleswig-Holstein: Programme change planned for winter 2011 BE – Berlin: Programme change underway BW – Baden-Württemberg: Programme change approved in July 2011 SL – Saarland: Programme change underway	SN – Sachsen: a second change has been approved in April 2011. ST – Sachsen-Anhalt: need for programme change is currently being analysed. TH – Thüringen: need for programme change is currently being analysed.

So far, the programme changes had hardly any larger effect on the overall strategic orientation of the programmes. In the case of Sachsen for instance, the change dealt with integration of a couple of new instruments in the programme (e.g. innovation bonus, loan fund) and some minor adjustments of the existing instruments. In Thüringen, only the orientation of a specific instrument has been changed. In Rheinland-Pfalz, there was a minor readjustment of financial allocation due to implementation problems with one specific instrument. In Nordrhein-Westfalen the subject of the programme change was introduction of cross-financing.

All changes approved so far – and most of those that are currently underway in August 2011 – are rather minor and technical adjustments. A major strategic shift is not observable. The main purpose of programme changes so far is to overcome some defined problems in implementation and management and/or to make minor adjustments in the set of instruments available in the programme. Even when the need for changes is directly linked to the crisis or related developments as in Sachsen, the actual change is comparatively small and the main strategic orientation remains untouched. This is in line with last year's finding and most of the interviewees didn't see a need for strategic adjustment in response to the crisis.

### **ERDF effect on budget constraints**

The question in how far ERDF support helped to offset budget constraints and consequences of fiscal consolidation by maintaining public investment levels is not so easy to answer. As a reaction to the economic and financial crisis, there was a temporary increase in public investment which however did not lead to an unmanageable growth of public debt. The effects of the temporary spending have been positive (Sachverständigenrat zur Begutachtung der gesamtwirtschaftlichen Entwicklung 2010). For public budgets, the main challenge is now to reduce the temporary growth of spending and to restructure the budget in a way that it meets the requirements of the new debt rule in the medium-term. The ERDF-budget is of minor relevance in this respect: In 2010, the ERDF budget in Germany

was EUR 2,300 million compared to a total public budget of EUR 1.1 billion – with a share of some 0.2% of the annual national spending ERDF is hardly playing a significant role in off-setting budget constraints.

The mid-term evaluation in Niedersachsen raises the opposite question: in how far can ERDF implementation be affected when simultaneously investment programmes to reduce effects of the crisis need to be implemented (Prognos AG et al. 2010:448ff). Local authorities, but also Länder face currently problems financing their budgets<sup>6</sup>. In this situation, authorities might give preference to using their money as co-financing for the different national programmes to reduce negative effects of the crisis, which have a very tight schedule for implementation. This in turn might lead to a lack of national co-financing in some parts of the ERDF programme.

## POLICY IMPLEMENTATION

Progress in implementing the programmes by end-2009 was as follows:

- Implementation rate (certified expenditure/total allocation) was on average 8.3% for the Competitiveness programmes and 15.5% for the Convergence programmes.
- Main Reasons for delayed implementation are: overlap with the previous period, different patterns of implementation depending on project type (e.g. infrastructure typically leading to delayed expenditure), starting new instruments requires time.
- Opinion on the impact of socio-economic crisis on implementation progress was heterogeneous. Some MAs saw a decline in demand for grants on the side of enterprises, some others report growing demand for R&D. Partly implementation systems suffered from additional burden caused by anti-crisis investments.

The implementation rate at end of 2010 is calculated by comparing the certified eligible expenditure to the total allocation (see Table C, implementation Rate A). The overall implementation rate for the Convergence Programmes is 24.7% at end of 2010, and 20% for the Competitiveness Programmes.<sup>7</sup>

Implementation made significant progress in 2010: the implementation rate for competitiveness programmes grew by 11.7 percentage points, the rate for convergence programmes by 9.2 percentage points. The acceleration is higher for the competitiveness programmes.

The progress in 2010 is very different from programme to programme: in some of the competitiveness regions, only some additional 3 percentage points have been spent. On the other hand one programme made a significant step forward by spending 28.3% of the budg-

<sup>6</sup> At least as the local authorities are concerned, this is not so much a consequence of the crisis, but of structural problems in the financial system.

<sup>7</sup> We calculated these totals the same way as the implementation rate for programmes based on total costs including private. The share of programme elements based on public contribution is comparatively small. So this seems justifiable.

et in one year.<sup>8</sup> The same is true for the Convergence programmes. Here the progress in 2010 is between 3.0 percentage points and 50.4 percentage points.

**Table C – Implementation Rates**

Programme	Based on Public Expenditure	Implementation Rate A (Certified Eligible expenditure) (%)		Implementation Rate B (Expenditure – AIR) (%)	
Competitiveness					
		2010	2009	2010	2009
Baden–Württemberg	N	18.6	11.3	25.5	16.0
	Y	6.8	3.0	14.0	5.6
Bayern	N	12.3	7.1	20.0	8.0
Berlin	N	12.1	6.7	31.1	17.3
	Y	7.3		24.6	16.3
Bremen	N	31.4	19.5	52.0	20.1
	Y	12.1		21.2	7.1
Hamburg	N	4.0	0.8	4.0	0.8
Hessen	N	28.4	8.0	35.0	19.0
Niedersachsen–Ziel2	N	35.7	9.7	57.7	37.7
Nordrhein–Westfalen	N	17.1	6.8	20.6	0.0
Rheinland–Pfalz	N	42.2	13.9	54.6	22.8
Saarland	N	8.7	3.7	11.3	0.0
Schleswig–Holstein	N	23.6	12.2	23.6	7.0
Subtotal	N Sum	20.3		30.1	
Subtotal	Y Sum	7.1		17.4	
<b>Total</b>		<b>20.0</b>	<b>8.3</b>	<b>29.8</b>	
Convergence					
		2010	2009	2010	2009
Brandenburg	N	20.0	11.8	34.5	14.0
Bund	N	17.1	14.1	20.5	14.7
Mecklenburg–Vorpommern	N	34.0	30.7	39.9	34.7
	Y	50.4		56.2	
Niedersachsen–Ziel1	N	33.3	16.9	52.9	37.3
Sachsen	N	18.4	10.4	18.4	10.4
Sachsen–Anhalt	Y	32.5	21.9	32.9	24.2
Thüringen	Y	31.7	9.9	31.7	9.9
Subtotal	N Sum	21.1		29.6	
Subtotal	Y Sum	34.6		35.6	
<b>Total</b>		<b>24.7</b>	<b>15.5</b>	<b>29.8</b>	

We can assess the overall progress from different perspectives. First, we notice that implementation is making significant progress in average. There is currently no general threat of losing funds due to the n+2 rule.

Second we can compare the achievement to the financial plan. According to the NSRF some 57% should be spent by end of 2010. Certainly the plan is not realistic for different reasons

<sup>8</sup> This equals more or less two annual financial tranches.

(delay in the beginning, different processes for different project types). But still expenditure falls significantly short of the plan. The average annual financial tranche is some 15 percentage points of the total budget. Thus, to catch up, expenditure should grow by over 14 percentage points. In average, even the competitiveness programmes did not catch up compared to the annual share of the original financial plan.

Most German programmes are currently on a good way of being completely implemented within the limits set by the n+2 rule. But based on the latest figures, many of the programmes will most likely need significant spending in 2014 and 2015 to achieve this. Overlapping with the last period has been a main reason for delay in the current period.<sup>9</sup> By expanding the spending significant amounts of the funds to the first two years of the next period, we see the risk of producing already now the factors leading to delayed implementation in the next period.

Certified eligible expenditure that forms the basis for the calculation Implementation Rate A stems from the financial tables provided by the core team.<sup>10</sup> In many cases the data relates to the last application for payment sent to the Commission. Often there is a delay of several months between the last application for payment and the date for the annual implementation report. The AIR figures are in average one quarter or so higher.

**Table D – Comparison expenditure data (EUR million)**

	Eligible expenditure	Public contribution
Certified eligible expenditure (in many cases last application for payment)	6,172.6	5,253.5
AIR (certified expenditure, often expenditure declared by beneficiaries to the MA, sometimes certified)	7,867.0	6,495.7
Difference (in% of Certified eligible expenditure )	27.4	23.6

Based on the AIR data, the implementation rates (implementation Rate B) would be 29.8% both for Convergence and Competitiveness regions instead of 20.0% and 24.7% respectively. So nearly one third of the budget is spent by end 2010, although not all of this has already been certified and included in applications for payment sent to the Commission.

We have calculated the figures for implementation rate based on the AIR documents for the first time this year, so cannot compare to last year's figures. What the data tells us is that actual expenditure achieved by end 2010 is significantly higher than Implementation Rate A tells us. Between the last application for payment sent to the Commission and the end of the

<sup>9</sup> See (IfS Institut für Stadtforschung und Strukturpolitik und MR Gesellschaft für Regionalberatung 2010) where the reasons for delay have been analysed. Overlapping is problematic because it means an significant increase of available EU-funds. In many cases the matching national co-financing cannot simply be increased in the same period (due to restrictions by the budgeting procedures). So in fact the MAs need to make a decision and logically the preference is in most cases first to spend the old funds and postpone implementation of the newer programme.

<sup>10</sup> The data stems from the Commission's SFC 2007 system. The reason for the difference to the AIR data is simply that it is not mandatory to enter the actual AIR data to SFC. In cases this data is missing, the SFC system instead reports the latest data available – usually from the late application for payment sent to the Commission by the MA.

year, a significant progress has been achieved. Although we do not know in detail the time span between the last application and the end of the year, the significant growth of expenditure indicates that payments are speeding up.

As far as commitments are concerned, the data available only covers the ERDF<sup>11</sup>. By end-2010, commitments in relation to ERDF allocation amount on average to 57% in both the Convergence and the Competitiveness programmes.

**Table E – Commitment rate**

	ERDF Plan (EUR million)	ERDF Commitment at end 2010 (EUR million)	Commitment rate (%)
Convergence	11,361.1	6,541.0	57.6
Competitiveness	4,746.9	2,714.2	57.2

Some 30% of the total budget has actually been spent to the beneficiaries by end of 2010, some 20% (Competitiveness) to 25% (Convergence) have been certified and/or included in applications for payment. Compared to the financial plan, implementation is delayed but taking into account the figures for the budget spent to the beneficiaries, implementation seems to gain speed. The main problem seems to be the late start of expenditure.

The problem of speeding up implementation and mainly expenditure was tackled by a number of programme adjustments that have been initiated in the meantime. Most MA reacted by combining different initiatives, e.g. minor financial adaptations beyond the threshold of an official programme change or trying to speed administrative processes up.

Under this general picture there are varying patterns between programmes and often within one and the same programme: The rate of financial absorption and implementation of some priorities is faster than for others (some have already completely spent the funds allocated, others have implementation rates of only 7%). This suggests that the delay has specific reasons and there is a need to analyse the problem within its programme-specific context. General answers beyond some very few points like the late start of the period, the overlapping with the previous period and the slowness of payment flows for certain project types are not very likely to be found.<sup>12</sup>

## ACHIEVEMENTS OF THE PROGRAMMES SO FAR

The main points from the 2010 country report are:

- Data availability and quality limits the informative value of data on achievements: Most data available is on outputs. Information generally refers to selected instru-

<sup>11</sup> Some Annual Implementation reports state that it is not always possible to assign that the committed ERDF to the categories of spending. Therefore the figures underestimate the actual progress in implementation, but we can not assess how much they differ.

<sup>12</sup> See IfS Institut für Stadtforschung und Strukturpolitik und MR Gesellschaft für Regionalberatung 2010 for an exemplary analysis of the interrelation of different reasons for delay.

ments. Information on higher levels is hardly available.<sup>13</sup> Indicator systems are not coherent for different programmes.

- Target achievement rates have been calculated, but are difficult to interpret. They vary widely and more context information is needed to understand the meaning.

A comparison with last year's results is presented in the following wherever it is possible. Last year's report was largely built on the findings of the Strategic Report (TAURUS ECO Consulting Institut an der Universität Trier und Fraunhofer-Institut für System- und Innovationsforschung (ISI) 2009). This year's results are based on the latest figures from Annual Implementation Reports as far as possible. Therefore, comparability is limited.

Physical data is reported in the Annual Implementation Reports in different qualities. Some AIRs are reporting data collected when projects are approved (commitment), some others report data collected when projects are finished. So we have a mix of plan- and actual figures. Some programmes do not give clear information on the data quality. We are presenting the different data qualities separately in the rest of this chapter.<sup>14</sup>

In this chapter, we first discuss two comprehensive aspects – first financial weight and project numbers of the different policy areas and second jobs created as a core indicator at programme level. Then we enter in discussing the achievements in the different policy areas one after the other.

### Overview – Financial key figures and project numbers by policy area

The following Table (Table F) gives an overview of the **financial implementation**. The only financial indicator available on the level of policy areas is ERDF-commitment. The average commitment rate is 57% both for Convergence and Competitiveness programmes. On the level of policy areas, commitment rates vary between 25.6% and 72.2%.

**Table F – ERDF Commitment by Policy Area (EUR million)**

	Convergence		Competitiveness	
	Plan	Commitment	Plan	Commitment
1 Enterprise Environment	5,452.4	3,442.7	2,435.6	1,503.2
2 Human Resources	20.2	9.6	588.4	152.2
3 Transport	3,021.7	1,625.5	127.6	91.5
4 Environment and Energy	1,349.9	609.3	590.6	268.7
5 Territorial Development	1,285.5	716.4	875.9	632.6
6 TA	231.4	137.6	128.7	66.0
Total	11,361.1	6,541.0	4,746.9	2,714.2

Source: AIRs 2010, own calculation

<sup>13</sup> It should be kept in mind that there are serious methodological problems to be solved when data on causal effects on a more abstract level is requested.

<sup>14</sup> The different data qualities prevent aggregation, so the figures are left separated.

**Table G – Commitment by policy area – Cross border co-operation (EUR million)**

	<b>Plan</b>	<b>Commitment</b>
1 Enterprise Environment	148.0	71.6
2 Human Resources	122.1	47.1
3 Transport	106.5	80.8
4 Environment and Energy	101.1	59.6
5 Territorial Development	186.1	138.6
6 TA	59.5	36.3
Total	723.4	434.0

Source: European Commission, own calculation

Cross-border co-operation programmes have a total budget of EUR 723.4 million. The commitment rate is 60% on average which is higher than the average for Convergence and Competitiveness programmes. At the programme level, only the Programme Sachsen-Polen is has a commitment rate below 40%. Achievements of the cross border co-operation programmes are presented separately below, but closely linked to the policy area “Territorial Development”, as cross border co-operation is a specific approach and has – mainly under the former “A”-strand – a strong territorial focus.

Data on actual **expenditure** is not available on the level of policy areas. This makes it difficult to compare financial and physical data, as most programmes are reporting physical data when projects are finalised while commitment data are reported when the project start.

Compared to last year’s figures, **project numbers** made significant progress in most policy areas. Due to differences in counting, the data reported in Table H need to be interpreted with care because in some Länder these refer to the projects approved while in others they refer to finalised projects<sup>15</sup>. (Due to changes in reporting, some figures cannot be directly compared to the figures in last year’s report.)

<sup>15</sup> Out of 11 Competitiveness programmes, 5 are reporting data collected at project application and 5 present information on projects that have already been finished. One programme does not state clearly what data is reported. And we did not manage to find out until now. In Convergence regions 3 programmes are presenting data from the project selection phase, and 3 more from the project finalisation. Again, one programme is not stating what data is used. Hardly ever, we have data available from all relevant programmes.

**Table H – Project numbers in different policy areas**

Number of projects	Competitiveness			Convergence		
	2009	2010	No. Pro-grammes	2009	2010	No. of Pro-grammes
R&D	426	1,685	8	1,214	4,771	5
investment in SME	861	994	4	770	2,091	3
information society	18	17	6	52	72	4
transport	11	17	3	561	687	5
renewable energy	80	176	6	101	(15,417)	4
waste	–	0	1	–	0	1
improvement of air	–	0	1	–	(18,719)	1
prevention of risks	24	38	3	(11,652)	15	2
tourism	72	138	5	211	389	4
education	1	27	1	3	360	6
urban (sustainability)	850	(645)	7	34	182	4
urban (business)	36	98	4	15	475	2
urban (inclusion)	(2,677)	196	3	(14,927)	38	1

Source: Annual Implementation Reports, 2010, own calculation. Figures in brackets are problematic, because they raise concern of implausibility. Huge differences between 2009 and 2010 figures can occur due to changes in reporting (e.g. a programme can shift from reporting figures on projects committed to reporting actual results).

### General Indicator at programme level: Jobs Created

Jobs Created is meant as a core indicator at programme level, i.e. it should cover all jobs created by the interventions of the programme. In Germany, the data often refers to those instruments where jobs can directly be created (investment in enterprises). In many cases, the indicator is even more narrowed down by reporting data from the interventions under the Joint Task only<sup>16</sup>.

In the Competitiveness regions, 1,096 jobs have actually been created by projects that have already been completed (in 3 programmes). 3,976 are to be expected from projects committed under 3 other programmes. In Convergence regions 4,968 jobs have actually already been created (3 programmes) and 18,997 can be expected from the projects still underway (1 programme). Altogether, projects completed by end of 2010 created 6,064 jobs (6 programmes).

**Table I – Core Indicators – Jobs created**

Indicator	Competitiveness			Convergence		
	Commitment	End of Pr.	No information on data quality	Commitment	End of Pr.	No information on data quality
Jobs Created	3,976	1,096	8,270	18,997	4,968	2,849

Progress in target achievement rates certainly depends on the method of measuring: Those programmes which report job creation at the selection stage of projects (commitment) have

<sup>16</sup> In any case, the numbers need to be interpreted with care because of the different ways job creations are monitored and counted.



much higher target achievement rates than those which report the data once the projects are completed simply because the jobs are counted earlier in the former case. The progress compared to last year is naturally slow in the latter cases: Most projects are still underway and only a small share is already finished. On the other hand, two of the programmes counting the figures at project selection already reached over 100% of the end-target.

### **Policy Area: Enterprise Environment**

German Competitiveness programmes allocated EUR 5,452 million to this policy area and the Convergence programmes EUR 2,435 million. This is 49% of the overall ERDF budget. 63.1% of the budget has been committed at end of 2010 under Competitiveness programmes, and 61.7% under Convergence programmes. In the six relevant cross border co-operation programmes, this policy area has a share of 20% which is significantly lower than in the other objectives. Nearly 50% of the budget is already committed.

A total of 2,755 **R&D** projects have been finished at end of 2010, and an additional 1,872 have been committed. Innovation projects are generally carried out in cooperation between different actors. Cooperation projects strengthen contact between enterprises and research institutes. 203 cooperation projects have been finalised, and 296 more committed by end of 2010. These activities created 162 R&D-jobs, 117 in Convergence and 45 in Competitiveness regions. 965 more are planned in relation with committed projects.

As an illustration, we can look at the achievements in Thüringen (Freistaat Thüringen – Ministerium für Wirtschaft, Technologie und Arbeit 2011:29ff.), where 319 R&D projects have been supported. The focus is on developing new technology for production and production process as well as on new materials– each with 22% of the projects. Complementing the R&D projects of enterprises, 14 projects develop R&D infrastructure, by investing in equipment.

Some Länder are also investing in programmes that are not covered by the indicators presented so far. For instance Brandenburg is financing an innovation assistant programme financing young researchers working on R&D-projects in enterprises (Land Brandenburg – Ministerium für Wirtschaft 2011:40)

**Table J – Enterprise Environment – Achievements (core indicators)**

Indicator	Competitiveness			Convergence		
	Commitment	End of Pr.	No information on data quality	Commitment	End of Pr.	No information on data quality
<b>R&amp;D</b>						
4 – Nr. of R&D projects	1,359	217	109	513	2,541	32
5 – Number of cooperation projects	102	130	482	194	73	38
6 – Research jobs created	4	45	183	961	117	49
<b>Investment in SME</b>						
7 – number of investment projects	511	483		305	1,786	
8 – ... of this: start-ups	(5,157)	98	1	211	20	3
9 – Jobs Created	3,368	1,996	7,153	3,089	447	2,418
10 – Investment induced (EUR million)	8.7	79.4	1,420.0	5,876.8	594.7	572.0
<b>Information Society</b>						
11 – Number of Projects	5	7	5	13	57	2
12 – Additional population covered by broadband access		(3)	0			0

Source: Annual Implementation Reports 2010, own Calculation.

**Investment in SMEs** has funded 2,269 projects that have already been finished. 118 of these projects are start-ups. The investment induced is some EUR 80 million and 2,443 jobs have been created by these projects. With the projects committed by end of 2010, more than 6,000 additional jobs can be expected. The investment induced by these additional projects is some EUR 9 million.<sup>17</sup>

Like others, the Annual Implementation Report of Mecklenburg-Vorpommern gives some more information on the funding of investment in SMEs: 61% of the enterprises receiving support are small or medium size (10 to 49 employees), 21% are medium size (50 to 249) (Gemeinsame Verwaltungsbehörde Mecklenburg Vorpommern 2011:27). More than two thirds of the direct investment projects are dealing with enlargement of existing enterprises, nearly one third is about creating new enterprises. More than 40% of the jobs created are for women.

64 projects supporting the development of the **information society** had been completed at end of 2010, 18 more were still underway.

Target achievement rates showed good progress for many projects, although some programmes remained much the same as last year as regards particular indicators.

<sup>17</sup> The ratio between investment induced and jobs created is very different for the finalised projects and the committed projects. Without additional information, we cannot explain or interpret the difference.

**Policy Area: Human Resources**

The total allocation of ERDF funds to this policy area is some EUR 600 million or 3.8% of the German ERDF budget. Convergence programmes only plan to invest EUR 20 million in this field, of which 50% had been committed by end of 2010. Competitiveness regions allocate EUR 588 million and have about one quarter committed. Cross border cooperation programmes allocate a much higher share to this policy area (17%).

There are no core indicators available for this policy area.

The annual Report from Niedersachsen on the only Convergence-programme with funds allocated in this policy area gives an example of the kind of interventions financed in this policy area (Niedersächsisches Ministerium für Wirtschaft, Arbeit und Verkehr 2011:69 f)<sup>18</sup>: A combination of two instruments is used to support start-ups. On the one hand, advisory services are offered, which have been used by 33 clients so far. On the other hand, a Fund is offering start-up finance and has been used in 3 cases.

**Policy Area: Transport**

The allocation of ERDF-funds to this policy area in German OPs amounts to EUR 3,148 million, or 19.6% of the ERDF budget in Germany. The bigger part of this money is planned for Convergence regions (EUR 3,021 million). At the end of 2010, EUR 1,625 million had been committed in Convergence regions, and EUR 91 million in Competitiveness regions (commitment rates of 54% and 72% respectively). Transport is also important in the cross border co-operation programmes with a share of 15% of the ERDF budget planned for this policy area.

73 projects have been finalised, but 593 more are still underway. So far the actual achievements are limited: 166.67 kms of roads have been reconstructed. With the projects underway, more than 40,000 additional kms of road will be reconstructed. Compared to reconstruction, the expected achievements of building new roads are limited: only some 44 km can be expected.

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<sup>18</sup> The programme is also financing a very atypical education project at the university of Lüneburg, even exceeding the limit for major projects. We refer here to the more common type of intervention.

**Table K – Transport – Achievements**

Indicator	Competitiveness			Convergence		
	Commitment	End of Pr.	No information on data quality	Commitment	End of Pr.	No information on data quality
<b>Transport</b>						
13 – Nr. of projects	10	3	4	583	70	12
14 – km of new road	18.0			36.5	0.0	10.0
15 – ... of which TEN						
16 – km of reconstructed road				40,990.0	166.7	1.0
17 – km of new railroads						74.0

Source: Annual Implementation Reports 2010, own Calculation.

The Federal Programme to develop transport infrastructure accounts for some 50% of the overall budget of the German Convergence regions in this policy area (EUR 1,505 million of EUR 3,012 million). An important part of the investment in railways is the so-called “German Unity Transport Project 8”, the construction of a high-speed line from Nuremberg to Berlin<sup>19</sup>. More than 40% of the budget available for the railways priority of the programme (EUR 714 million) is spent for this project (Bundesministerium für Verkehr, Bau und Stadtentwicklung 2011:26f.). Both physical and financial implementation show progress. At the end of 2010, 122 kms of new railway lines will had been built, and an annual saving of more than EUR 750 million transport costs is expected. Other projects investing in roads and waterways complement the strategy.

As to target achievement rates, this policy area is especially prone to problems of units of measurement, leading to apparent achievement rates in some cases of some 100,000% because incorrect units have been used Apart from this, the programmes are making good progress in this area with target achievement rates typically increasing by at least 10 to 30 percentage points compared to those at the end of 2009.

### **Policy Area: Environment and Energy**

ERDF contributes EUR 1,940 million to this policy area (12% of the German ERDF budget), the bulk goes to the Convergence programmes (EUR 1,625 million). Commitment rate is 45% for both Convergence and Competitiveness at the end of 2010. This policy has more or less the same weight in the cross border co-operation programmes (14%).

According to the figures available more than 15.000 projects in **renewable energy** have been finished already.<sup>20</sup> The additional capacity for the production of energy from renewable resources already installed is more than 81,000 MW. More than 200 additional projects have been launched with an expected capacity of more than 1,300 MW.

<sup>19</sup> See [http://www.vde8.de/likecms.php?site=site.html&siteid=10026&function=set\\_lang&lang=en&x=6&y=3](http://www.vde8.de/likecms.php?site=site.html&siteid=10026&function=set_lang&lang=en&x=6&y=3) for more information (last visit 12 September 2011)

<sup>20</sup> This figure is very high and needs to be checked.

By the end of 2010, the **environmental** projects had led to 5,065 people profiting from waste water treatment, 18,719 projects had been undertaken to improve air quality and 0.22 kms<sup>2</sup> of area had been rehabilitated.

A reduction in **greenhouse gas emissions** of 78,936 kt had been achieved and an additional reduction of more than 54,700 million kt<sup>21</sup> is to be expected from the projects selected.

19 **risk prevention** projects have been finished, with more than 4,000 people benefiting from flood protection. The projects still underway will lead to flood protection for an additional 45,000 people.

**Table L – Environment and Energy – Achievements**

Indicator	Competitiveness			Convergence		
	Commitment	End of Pr.	No information on data quality	Commitment	End of Pr.	No information on data quality
<b>Renewable Energy</b>						
23 – Number of Projects	54	121		149	(15,268)	
24 – Capacity (MW)	1,346.0	81,272.0		11.0	520.6	
<b>Environment</b>						
26 – Additional population (Waste Water)			35,064	54,369	5,065	1,860
28 – Number of projects to improve air quality					18,719	
29 – Area rehabilitated (km <sup>2</sup> )	(81,509.2)	0.0	33.0	(1,686.0)	0.2	0.0
<b>Climate Change</b>						
30 – Reduction of greenhouse gases	54,666,000.0	78,936.0		136,783.0	0.0	
<b>Prevention of Risks</b>						
31 – Number of projects	34	4			15	
32 – People benefiting from flood prevention	29,855	4,000		15,061	260	

Source: Annual Implementation Reports 2010, own Calculation, Figures in brackets seem implausible.

According to the annual report, the programme for Berlin has modified environmentrelated policies (Senatsverwaltung für Wirtschaft, Technologie und Frauen 2011:40): The focus is now on improving energy efficiency. So far 70.2 MWh per year of energy have been saved. With all projects already underway, this figure is expected to reach 32,360 MWh per year.

### **Policy Area: Territorial development**

The total allocation of ERDF funds in this policy area is more than EUR 2,100 million or 13.4% of ERDF budget in Germany. EUR 875 million falls under the Competitiveness Objective, the rest under Conversion programmes. The commitment rate at end 2010 was 55.7%

<sup>21</sup> This figure needs to be checked as it seems to be very high.

in Convergence regions and 72.2% in competitiveness regions. In the cross border co-operation programmes, 26% of the budget had been allocated to this policy area.

At the end for 2010, 197 **tourist** projects have been finished, 283 are still being implemented. With the projects approved under convergence programmes, 1,611 jobs are planned to be created.

135 **education** projects have been finished, and 245 more selected and underway. 3,126 students are benefitting from the projects already completed, and more than 59,000 will profit from the projects that are still underway.

23 **health** projects had been selected by end of 2010.

More than 1,200 **urban development projects** had already been finished until end of 2010. Most of them (618) are aimed at ensuring sustainability and improving attractiveness. 410 projects addressed issues of economic development, and 189 targeted the development of equal opportunities.

**Table M – Territorial Development – Achievements**

Indicator	Competitiveness			Convergence		
	Commitment	End of Pr.	No information on data quality	Commitment	End of Pr.	No information on data quality
Tourism						
34 – Number of projects	105	4	29	178	193	18
35 – Number of jobs				1,611		
Education						
36 – Number of projects	27			218	135	7
37 – benefiting students	51,174			8,275	3,126	
Health						
38 – Number of projects				23		1
Urban development						
39 – Nr. of projects – sustainability/Attractiveness ...	61	545	39	15	73	94
40 – Nr. of projects business...		11	87		399	76
41 – Nr. of projects – equal opportunities...		189	7			38

Source: Annual Implementation Reports 2010, own Calculation, Figures in brackets seem implausible.

### Cross border cooperation

Commitment rates at programme level have been between 10% and 73% end of 2009. At the end of 2010, they were between 39% and 87%. While by end-2009 only three of the six cross-border programmes achieved commitment rates of more than 50%, only one programme was below this threshold at the end of 2010.

The allocation of funds to the policy areas shows some significant differences compared to Convergence and Competitiveness programmes: The policy areas “Human resources” and “Territorial Development” have significantly larger weight, which is at the cost of “Enterprise Environment”. Often the inherent logic of the programmes is to support cross border co-operation on a broad basis and in many cases, projects are easier to be found in areas like culture, sport or education than in the business sector.

For Cross border-co-operation there has been a set of criteria defined to indicate the extent of co-operation at project level: An ideal joint project is planned and implemented by the all the parties together, it has joint staff and joint financing. Wherever possible, we describe the extent of cooperation using these criteria.

The single programmes show the following progress and achievements:

- In 2010 27 additional projects had been selected under the programme of Mecklenburg-Vorpommern, Brandenburg and Poland. So the total number of projects is now 39. The commitment rate of the programme is 63%. 17 of the 27 projects have been planned and implemented together, have joint staff and joint financing. Priority 1 “Developing infrastructure for cross border co-operation” now has 8 projects, priority 2 “Strengthening co-operation in economy and research” has 7 projects, and priority 3 “Cross border development of human resources and cooperation in respect of health, culture and education” has 11 projects. Among the projects, there are for example several which invest in bilingual schools (Ministerium für Wirtschaft, Arbeit und Tourismus Mecklenburg-Vorpommern 2011)
- In the programme Sachsen – Poland there have been 27 projects selected in 2010, so that the total is now 47 projects. Commitment rate is now 41%. More than 90% of the projects meet three or all four of the criteria for cross-border co-operation. A small project fund complements the implementation. 21 projects are aimed at improving co-operation in public services, 4 projects at improving co-operation in environment related aspects, and 1,706 people participated in training courses financed by the programme (Gemeinsames Technisches Sekretariat 2011b).
- By selecting 47 new projects in 2010, the total number of projects initiated under the programme Sachsen – Czech Republic was 115 at the end of the year. The programme has a commitment rate of 54%. 106 of the 115 projects meet all four of the criteria for co-operation. 70 projects aim at creating infrastructure, 19 at improving co-operation in public services. There are 3 projects dealing with access to transport or IT-networks. Environmental issues are tackled in 23 projects. 3.900 people have participated in training projects (Gemeinsames Technisches Sekretariat 2011a)
- 20 new projects have been selected in 2010 under the programme Bayern – Czech Republic. A total of 159 projects had been selected as at the end of 2010. The commitment rate of the programme is 85%. 48 projects meet all four of the criteria for co-operation, and 56 more meet three of them. Of the 159 projects, 117 fall under

the priority 1 (“Economic development, human resources and networks”), and 42 under priority 2 (“spatial and environmental development”) (O A 2011b).

- For the programme Alpenrhein–Bodensee–Hochrhein, 16 new projects have been selected in 2010. The commitment rate is 86%. On average, the projects involve 6.6 participating partners. Priority 1 “Regional competitiveness and innovation” consists so far of 28 projects, “Quality of location and protection of resources” of 47 projects (O A 2011a).
- In the programme Germany–Netherlands, the commitment rate was 67% at the end of 2010. 30 projects had been selected by then under the priority 1 “Economy, Technology, and Innovation”, with 7 new projects in 2010. Priority 2 “Sustainable regional development” consists of 25 projects, 7 of them new, Priority 3 “Integration and Society” of two new projects in 2010 and a total of 26.

The strategies of the programmes are similar: Cross-border co-operation is on the one hand to be developed by a broad strategic approach combining activities to reduce the separating effect of the border. A typical example of this is transport infrastructure. The other main strategic aim is to intensify co-operation in various policy areas, not only economic.

### 3. EFFECTS OF INTERVENTION

This section summarises the findings on the effects of intervention. We are specifically interested in presenting evidence on the long term effects of the intervention and/or evidence on how the intervention affects the ultimate objective of the policy of strengthening economic, social and territorial cohesion.

The 2010 report cited results of a study based on a macro-economic model for East Germany (GEFRA Gesellschaft für Finanz- und Regionalanalysen et al. 2010) : a gain in GDP of 1.5% for the years up to 2015 and a long term gain of 0.7% in the following years is estimated. Compared to the situation without intervention, employment is estimated to be 1.4% higher up to 2015 and 0.4% in the longer-term.

Since this report, several mid-term evaluations and similar studies have been published (GEFRA Gesellschaft für Finanz- und Regionalanalysen und MR Gesellschaft für Regionalberatung 2011; Ramböll Management und Metis 2010b; Prognos AG et al. 2010) and more are underway.

For Thüringen, the mid-term evaluation uses the HERMIN model to estimate the effects of intervention: An effect on GDP of +1.9% decreasing to 1.4% in 2025 is estimated (GEFRA Gesellschaft für Finanz- und Regionalanalysen und MR Gesellschaft für Regionalberatung 2011). The mid-term evaluation of Niedersachsen covers both the Convergence and Competitiveness programme (Prognos AG et al. 2010). Based on a more or less schematic analysis of progress in implementation, the evaluation analyses several selected aspects in depth. Although it is partly based on a broader set of data than only monitoring indicators (addi-



tional interviews and surveys), the evaluation does not arrive at presenting evidence on the effects on macro-level or at identifying net-effects.

In Sachsen, there is no typical mid term-evaluation, but a series of separate studies for selected parts of the programme (PriceWaterhouseCoopers et al. 2011, 2010; PriceWaterhouseCoopers, LUB consulting, et al. 2010; PriceWaterhouseCoopers et al. 2010). Several efforts are made to present evidence on indirect effects. The total employment effect of the innovation priority including indirect effects is estimated to be some 2,500 (2013) to 3,000 (2010) full time equivalents per year (PriceWaterhouseCoopers et al. 2011:103). Based on the same method, the assessment for the priority Axis 3 (Improving competitiveness) leads to 12,000 (2010) full time equivalents and 9,000 in 2013 (PriceWaterhouseCoopers et al. 2010:77). ERDF is estimated to be contributing 11.8% to the gross fixed investment in industry (PriceWaterhouseCoopers et al. 2010:81).

The study for Sachsen-Anhalt under the title of mid-term balance focuses mainly on progress in (financial) implementation and presents no evidence on effects (Ramböll Management und Metis 2010b).

The mid term-evaluation from Thüringen analyses the role of the long-term challenges with a view to the next funding period (GEFRA Gesellschaft für Finanz- und Regionalanalysen und MR Gesellschaft für Regionalberatung 2011:177ff.). The study does not relate evidence on achievements in the current period to the future challenges.

What is clear from the available studies is that a good part of the current strategies is already dealing with the long-term challenges: Improving competitiveness is one of the central aspects of all regional development strategies. Some studies see a regional development strategy aimed at improving competitiveness as automatically counteracting emigration trends. When evaluations are dealing with the issue of the long-term challenges, they identify a need for gradual adjustment and better focus of current strategies rather than for a radical change in approach (GEFRA Gesellschaft für Finanz- und Regionalanalysen und MR Gesellschaft für Regionalberatung 2011:177; Prognos AG et al. 2010:477).

#### 4. EVALUATIONS AND GOOD PRACTICE IN EVALUATION

**Strategies for evaluation** are defined at programme level. The 2010 report presented an overview of the available evaluation plan. The approaches show a broad variation in the following aspects:

In the main, for smaller programmes periodic evaluations on particular issues are planned rather than ongoing ones.

Those undertaking ongoing evaluations often combine evaluation and monitoring tasks and even IT-issues, whereas Länder not undertaking continuous evaluation focus mostly on evaluation as such.

Ongoing evaluations are often linked closely to monitoring and the development of monitoring systems. In addition, support from external expert often includes services like producing annual reports and similar tasks closely linked to the monitoring data.

The Länder are in general following the strategies they have planned. In some cases there is a delay compared to the schedule that was originally planned, but there is no general tendency of not implementing evaluation plans.

There is currently no indication that there is a lack of **capacity for carrying out evaluations**. In last funding period, when mid-term evaluations and their updates were put out to tender more or less simultaneously there were more bottlenecks. The variation of approaches on the one hand spreads calls for tender over a longer period of time, on the other hand, the longer period of time enables changes in evaluators to be made.<sup>22</sup>

The **integration of evaluations into the policy-making process** is hard to assess.<sup>23</sup> Ongoing evaluations should allow for a better and closer communication with the officials responsible for commissioning them. There is no reliable evidence, however, on whether and how far evaluation results are used in policy making or to modify and develop existing policies.

In our view, the diversity of evaluation systems in the current funding period could be exploited more systematically. The different systems and timings of evaluations potentially provide a rich set of evidence. There are ongoing and ad hoc-evaluations. There is some variation on how monitoring and evaluation are linked. There are different choice made as to the evaluations administrations undertake internally and those that are carried out by external experts. But two elements are missing in our perception:

First, there is no systematic exchange of experience, neither on the side of the administrations nor on the side of evaluators. An exchange could help to identify the strengths and weaknesses of different approaches and so contribute to developing an evaluation culture.

Second, beyond the actors immediately involved, there is no monitoring of developments. The evaluation systems and practices are not documented systematically. The evaluation plans differ widely in content and style. And there is no accompanying research analysing the development of the evaluation systems as a whole.

An overview of recent **evaluations** since the 2010 report is given in Annex Table C. There are two types. First, for Länder with ongoing evaluations, a number of new studies have been published. Second, a number of mid-term evaluations or similar summary studies have been completed since last year.

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<sup>22</sup> It needs to be seen how far the changes in the evaluation system lead to changes in the design and methods of evaluation. So far, the large number of studies based on rather simple evaluation methods is noticeable.

<sup>23</sup> From research in evaluation use, we know that use of evaluations in complex organisations like ministries and other political bureaucracies is hard to identify. Carol Weiss has repeatedly shown that a good part of the influence is indirect. Even officials in the ministries systematically underestimate the influence as they have only partial knowledge of how their own organisation processes and uses information.

Although, the different studies vary, the profile of a typical evaluation relating to the ERDF in Germany can be summarised as follows:

- The scope varies. Typically, evaluations either analyse single priorities of a programme or the whole programme (as it is the case in recent mid-term-evaluations).
- The typical questions raised are: is the strategy still adequate? Is implementation progress in line with the plan? How can implementation and output be assessed in relation the quantified targets?
- Methodologically, the studies rely on analysis of socio-economic and monitoring data. A significant number of studies leave it at that and do not even undertake additional surveys or case studies to extend and improve the data used.
- So far, there is no study available which attempts to estimate net effects with micro-economic methods (usually from the family of comparison group approaches, e.g. difference in difference). The only studies of net-effects are macro-economic in scale (HERMIN).
- Very few studies try to analyse aspects which are important for net effects from gross effects: assessment of dead-weight (PriceWaterhouseCoopers et al. 2010, 2011) or analysis of indirect employment effects based on input-output tables (PriceWaterhouseCoopers et al. 2010).
- In some cases studies refer to evidence from other research to deduce general statements on the expected effects.

These types of evaluation tend to arrive at the following common types of results and recommendations: basically, the development strategies are adequate, but need to be adjusted as regards a few minor points (mainly when Europe 2020 is taken into account), results are most likely to be in line with what can be expected.

It is clear that this is stylized profile of typical German evaluation studies which may not be valid for all of them. But in our view, it gives a valid description of the kinds of evaluation currently being produced in relation to the Structural Funds. Evaluations often are more focused on monitoring and assessing progress in implementation of the programme instead of trying to identify the (net) results of intervention. The most common information is monitoring data – complemented by surveys and case studies, but there has been little effort to apply more demanding comparison group-like methods at the micro level so far. Except for the macro-economic HERMIN-calculations, there are no methods used that can claim to identify net effects of the intervention.

Without analysing the evaluation system that has developed around the ERDF in more detail, we can only give some first, tentative and subjective speculation to explain the current status of ERDF-evaluation in Germany. Several factors can be seen to contribute to it:

- The dominant rationale both of policy making in general and of regional policy in particular still tends to be a fiscal one: Spending money is what counts. Critical ex-

amination of the actual results – and learning from failures – is not very widespread so far.

- More advanced methods for carrying out evaluations require thorough planning and long-term design. To collect data from a suitable comparison group needs to be planned at the beginning of the funding period. Evaluation plans need to contain much more than a time-table of different studies to be launched if they are to allow for more in depth-analysis: A careful design of data collection systems in line with the methods required to identify net effects is needed.
- There is hardly any public debate on the quality of evaluations. Each Land undertakes its own evaluation independently. There is no systematic overview and debate on common problems or standards. Exchange and learning is sporadic and does not lead to systematic learning, and coordination is lacking (e.g. concerning common core indicators).<sup>24</sup>

As to the **plans for carrying out evaluations**, a number of Länder with ongoing evaluation systems will continue to produce evaluation reports mostly covering particular parts of programmes. Currently, there is a number of mid-term-evaluations underway that will be finished this year or in 2012. An additional issue on the agenda is the preparation of the strategies for the next funding period. Evaluations to support this might be launched – or the studies prepared in ongoing evaluations might be targeted at this.

We refrain from proposing one of the recent mid-term evaluations as an example of **best practice**. All studies have specific strengths and weaknesses, but the general point is that they do not apply any advanced methods to identify net-effects and hardly go beyond counting gross-figures mostly in terms of the output produced. Often this is complemented by rather general reasoning typically based on a more or less broad body of literature. A few methodological exceptions can be found:

- The HERMIN-model is used for a macro-economic assessment of effects in Thüringen (GEFRA Gesellschaft für Finanz- und Regionalanalysen und MR Gesellschaft für Regionalberatung 2011). Although the method is in principle well known, the study brings some innovations like for instance an assessment of effects by economic sector.
- A careful effort to assess net effects is undertaken in the study on the programme of Sachsen (PriceWaterhouseCoopers et al. 2010), where input-output model based calculations of indirect employment effects are presented. The same evaluation team presents an estimation of deadweights effects based on surveys of beneficiaries.
- The evaluation of Niedersachsen (Prognos AG et al. 2010) adds some analytical potential by analysing data relating to major cross-cutting issues.

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<sup>24</sup> Several core elements are part of a number of different ERDF-programmes: Joint-Taske (investment in enterprises and infrastructure), R&D projects in enterprises, network and cluster approaches. Why not develop a cross-Länder evaluation design for these types of instruments? This would allow for different dimensions of comparison that can be used in analysing net effects.

But all in all, there are no ERDF related studies that could be suggested as best practice. Next year's country report will analyse in more depth the studies available for the Joint Task and national R&D programmes. For the evaluation of the Joint Task some more advanced control group methods have been tested. Similar approaches are adopted in respect of some R&D programmes.

## 5. CONCLUDING REMARKS – FUTURE CHALLENGES

The 2010 country Report contained the following concluding remarks which remain valid:

- It is important to analyse the underlying structural reasons for regional disparities and not only GDP, which is an outcome rather than a driver of differential development trends.
- The perspective chosen in the EEN-approach to break down analysis by policy areas has the advantage to make issues more manageable and to a certain degree comparable. But it comes at the expense of losing sight of the programme level, which reflects the regional strategies being pursued. How can we identify successful strategies – and not only successful instruments?
- At Länder level in Germany, the programme approach offers the potential of achieving a certain level of co-ordination between different policies.
- Data quality restricts analysis. Not only physical indicators but also financial data are inconsistent across programmes.

Based on the reasoning in the present report and our personal reflections, we would like to suggest the following points for consideration:

- Financial implementation is – although not problematic from a n+2-perspective – delayed compared to the financial plan. With the delay in the current period we are already preparing the way for the delays in the next period: By shifting the funds to the edge of the n+2-rule, implementation is de facto extended until 2015. The next period, like the present one, will already start with a delay.
- We would like to ask whether many of the German programmes are too complex. The management of programmes with more than 20 different funding instruments is already demanding. In a setting where normally different ministries are involved and a number of external service providers also need to be coordinated, the whole implementation system becomes very complex and hard to coordinate. In day-to-day business, financial management together with the task to handle the different requests and tasks and communication with all the actors involved often absorbs so much energy that there is hardly any scope for a serious performance management of the programmes.
- In terms of content, the R&D related measures seem to produce overall good results. They are already part of most programmes and should also be a backbone for the programmes of the next period.

- Exchange and discussion on the quality of monitoring and evaluation systems is needed. A lot of knowledge is being accumulated but not shared and developed. The overall impression from what is going on in this area – including our own work – is that a forum supporting continuous development and learning is missing – as is the accompanying research.
- For regional development policy, the main challenges are to adopt new sources of energy, to reduce greenhouse gases and to develop a greener economy. Innovation and ongoing management of structural change remain on the agenda. Demographic change and the need for skilled workers become more and more important. In some parts of the country, the vision of growth becomes more and more unrealistic. This leads to a shift of problems: Besides economic development, the adjustment of public service provision (from health to education and public transport) requires new and innovative solutions. But also economic development strategies need readjustment in these regions. Besides of simply supporting investment and R&D a strengthening of network structures and development endogenous impulses and development of local economies gain importance.

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## TABLES

See Excel file for Tables 1–4:

Table 1 – Regional disparities and trends

Table 2 – Macro-economic developments

Table 3 – Financial allocation by main policy area

Table 3 CBC – Financial allocation by main policy area

Table 4 – Commitments by main policy area (by end-2010)

Table 4 CBC – Commitments by main policy area (by end-2010)

### Annex Table A: Annual GDP growth rates

	2005	2006	2007	2008	2009	2010
Baden-Württemberg	0.8	5.8	5.1	1.0	-5.7	6.0
Bayern	1.8	4	4.6	0.8	-3.2	4.4
Berlin	2.2	3.9	4.4	4.6	2.0	3.1
Brandenburg	1.8	4.2	3.8	2.5	-0.6	2.9
Bremen	2.4	4.1	3.5	2.1	-2.1	3.8
Hamburg	1.9	1.4	2.5	2.9	-2.1	4.5
Hessen	1.7	2.8	3.3	2.4	-2.2	4.5
Mecklenburg-Vorpommern	1.2	2.7	5.3	3.0	-1.5	1.1
Nieder-sachsen	2.9	3.8	4.0	2.6	-3.5	4.0
Nordrhein-Westfalen	1.1	3.0	5.7	2.9	-4.4	3.8
Rheinland-Pfalz	0.2	3.5	3.9	1.4	-3.4	5.4
Saarland	4.8	3.6	4.1	1.5	-6.8	5.6
Sachsen	0.2	4.6	4.5	1.1	-2.0	2.4
Sachsen-Anhalt	0.6	4.0	4.8	1.9	-4.2	3.4
Schleswig-Holstein	0.6	3.2	2.5	3.0	-0.7	2.9
Thüringen	0.8	4.1	5.0	0.6	-2.7	3.7
Deutschland	1.4	3.8	4.6	2.0	-3.4	4.2
old Bundesländer including Berlin	1.5	3.7	4.5	2.1	-3.5	4.4
old Bundesländer without Berlin	1.5	3.7	4.6	1.9	-3.8	4.5
new Bundesländer including Berlin	1.1	4	4.5	2.4	-1.2	2.8
new Bundesländer without Berlin	0.8	4.1	4.6	1.7	-2.2	2.7
Germany	1.4	3.8	4.6	2.0	-3.4	4.2

Source: Volkswirtschaftliche Gesamtrechnung der Länder, [www.vgrdl.de](http://www.vgrdl.de)

## Annex Table B –Broad policy areas and correspondence with fields of intervention (FOI)

The following tables shows the “Policy Areas” that have been used to structure the presentation of achievements in Chapter 2. The table identifies which priority themes belong to the single Policy Areas. The system of Policy Areas has been developed by the core team of the Expert Evaluation Network (Applica/Ismeri) to provide a common structure for the presentation of achievements.

Policy area		Code	Priority themes
1. Enterprise environment	11 RTDI and linked activities	01	R&TD activities in research centres
		02	R&TD infrastructure and centres of competence in a specific technology
		05	Advanced support services for firms and groups of firms
		07	Investment in firms directly linked to research and innovation (...)
		74	Developing human potential in the field of research and innovation, in particular through post-graduate studies ...
	12 Innovation support for SMEs	03	Technology transfer and improvement of cooperation networks ...
		04	Assistance to R&TD, particularly in SMEs (including access to R&TD services in research centres)
		06	Assistance to SMEs for the promotion of environmentally-friendly products and production processes (...)
		09	Other measures to stimulate research and innovation and entrepreneurship in SMEs
		14	Services and applications for SMEs (e-commerce, education and training, networking, etc.)
		15	Other measures for improving access to and efficient use of ICT by SMEs
	13 ICT and related services	11	Information and communication technologies (...)
		12	Information and communication technologies (TEN-ICT)
		13	Services and applications for citizens (e-health, e-government, e-learning, e-inclusion, etc.)
	14 Other investment in firms	08	Other investment in firms
2. Human resources	21 Education and training	62	Development of life-long learning systems and strategies in firms; training and services for employees ...
		63	Design and dissemination of innovative and more productive ways of organising work
		64	Development of special services for employment, training and support in connection with restructuring of sectors ...
		72	Design, introduction and implementing of reforms in education and training systems ...
		73	Measures to increase participation in education and training throughout the life-cycle ...

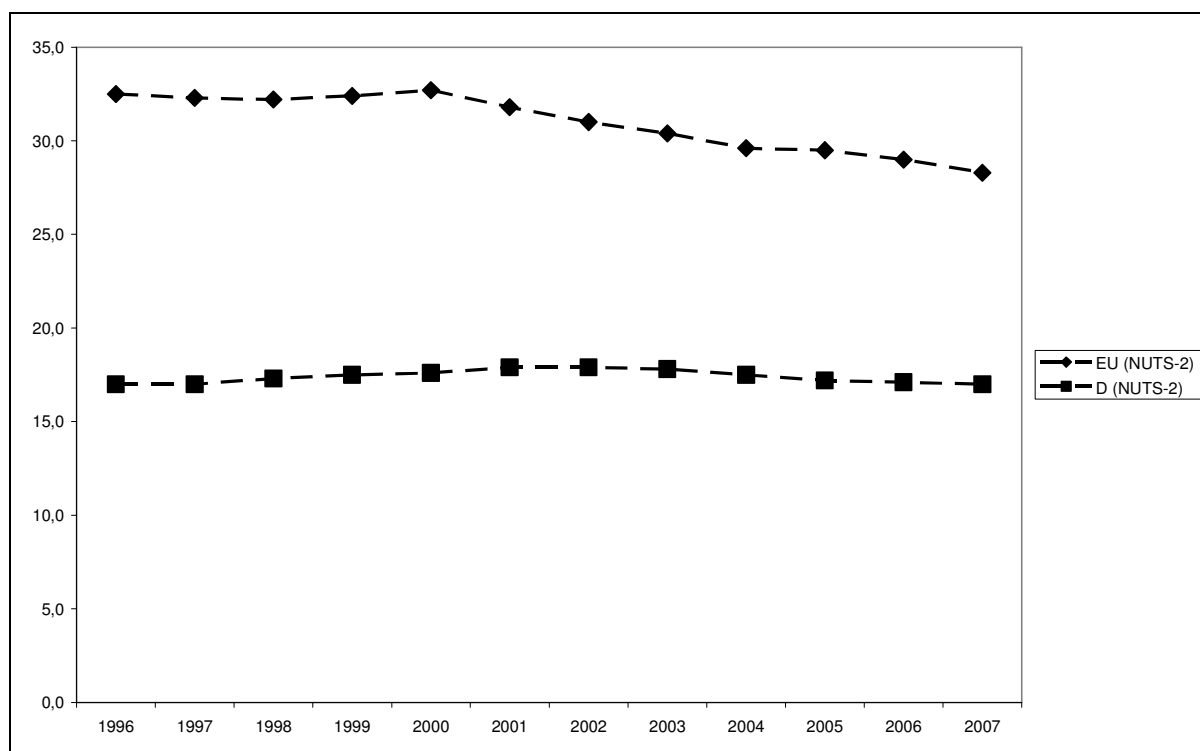
Policy area		Code	Priority themes
2. Human re-sources (Cont.)	22 Labour market policies	65	Modernisation and strengthening labour market institutions
		66	Implementing active and preventive measures on the labour market
		67	Measures encouraging active ageing and prolonging working lives
		68	Support for self-employment and business start-up
	23 Labour market policies (Cont.)	69	Measures to improve access to employment and increase sustainable participation and progress of women ...
		70	Specific action to increase migrants' participation in employment ...
		71	Pathways to integration and re-entry into employment for disadvantaged people ...
		80	Promoting the partnerships, pacts and initiatives through the networking of relevant stakeholders
3. Transport	31 Rail	16	Railways
		17	Railways (TEN-T)
		18	Mobile rail assets
		19	Mobile rail assets (TEN-T)
	32 Road	20	Motorways
		21	Motorways (TEN-T)
		22	National roads
		23	Regional/local roads
	33 Other transport	24	Cycle tracks
		25	Urban transport
		26	Multimodal transport
		27	Multimodal transport (TEN-T)
		28	Intelligent transport systems
		29	Airports
		30	Ports
		31	Inland waterways (regional and local)
		32	Inland waterways (TEN-T)
4. Environment and energy	41 Energy infrastructure	33	Electricity
		34	Electricity (TEN-E)
		35	Natural gas
		36	Natural gas (TEN-E)
		37	Petroleum products
		38	Petroleum products (TEN-E)
		39	Renewable energy: wind
		40	Renewable energy: solar
		41	Renewable energy: biomass
		42	Renewable energy: hydroelectric, geothermal and other
		43	Energy efficiency, co-generation, energy management
	42 Environment and risk prevention	44	Management of household and industrial waste
		45	Management and distribution of water (drink water)

Policy area		Code	Priority themes
		46	Water treatment (waste water)
		47	Air quality
		48	Integrated prevention and pollution control
		49	Mitigation and adaption to climate change
		50	Rehabilitation of industrial sites and contaminated land
		51	Promotion of biodiversity and nature protection (including Natura 2000)
		52	Promotion of clean urban transport
		53	Risk prevention (...)
		54	Other measures to preserve the environment and prevent risks
5. Territorial development	51 Social Infra-structure	10	Telephone infrastructure (including broadband networks)
		75	Education infrastructure
		77	Childcare infrastructure
		78	Housing infrastructure
	52 Tourism and culture	79	Other social infrastructure
		55	Promotion of natural assets
		56	Protection and development of natural heritage
		57	Other assistance to improve tourist services
		58	Protection and preservation of the cultural heritage
		59	Development of cultural infrastructure
	53 Planning and rehabilitation	60	Other assistance to improve cultural services
	54 Other	61	Integrated projects for urban and rural regeneration
		82	Compensation of any additional costs due to accessibility deficit and territorial fragmentation
		83	Specific action addressed to compensate additional costs due to size market factors
6. Technical assistance		84	Support to compensate additional costs due to climate conditions and relief difficulties
		81	Mechanisms for improving good policy and programme design, monitoring and evaluation ...
		85	Preparation, implementation, monitoring and inspection
		86	Evaluation and studies; information and communication

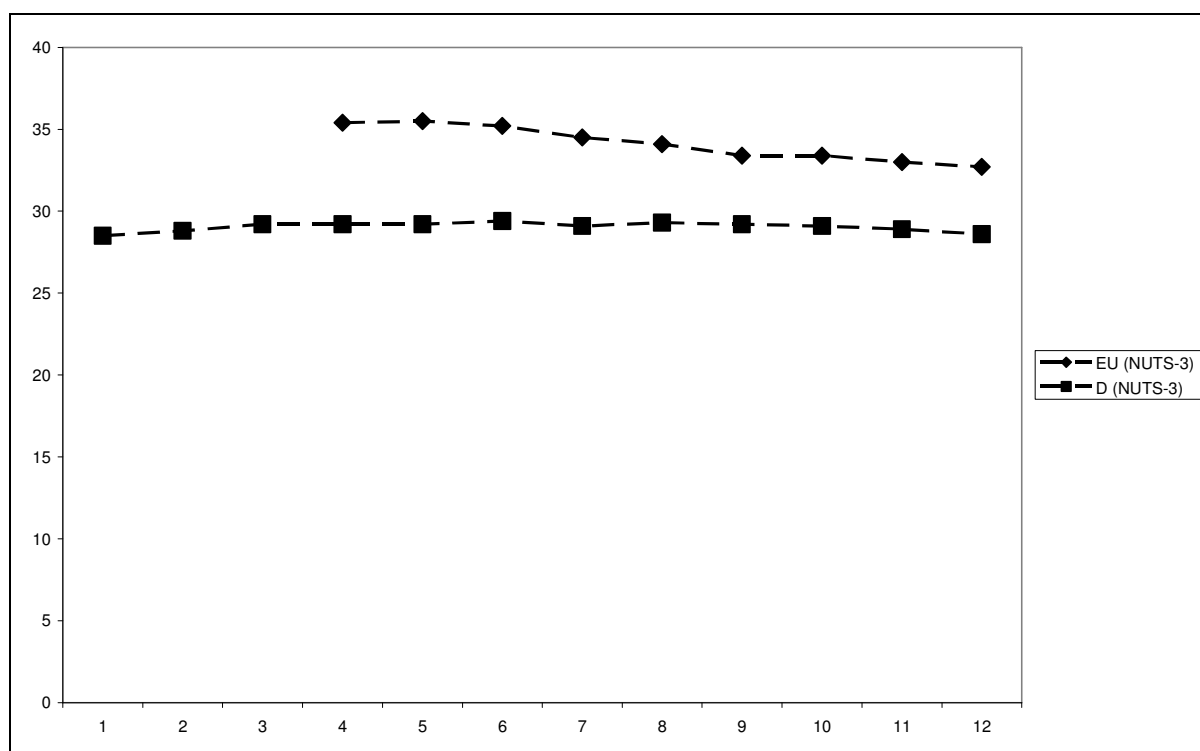


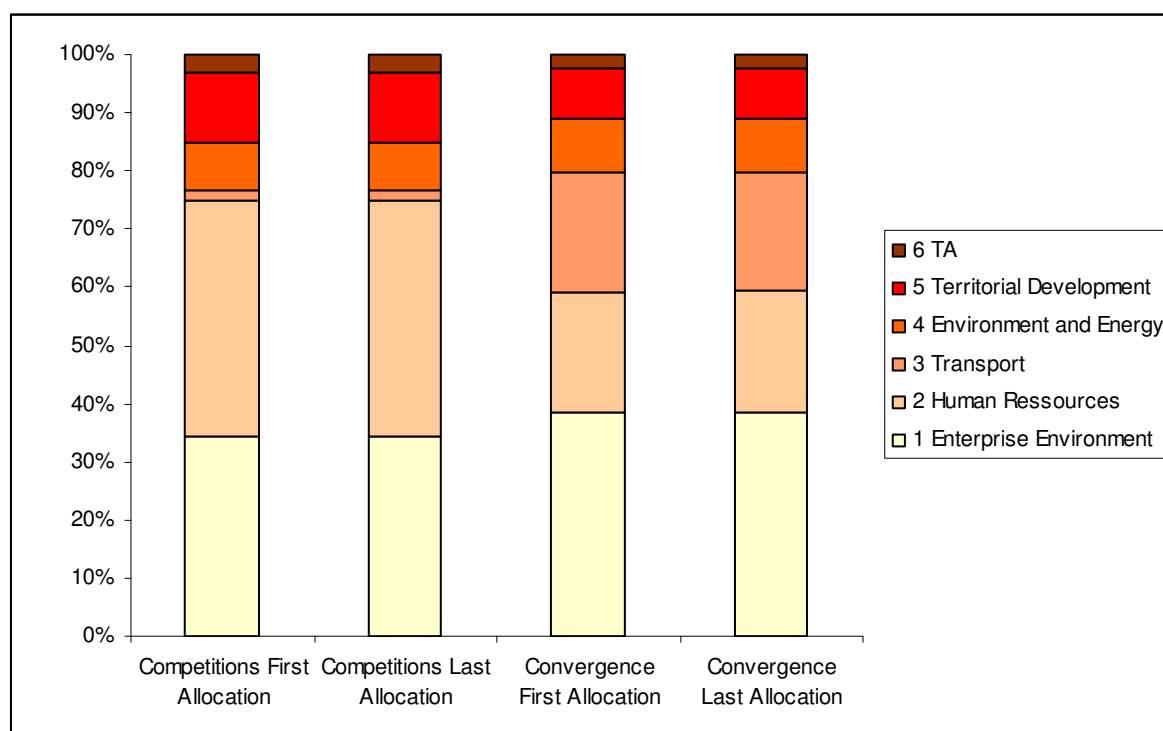
## ANNEX

**Annex Figure 1 – Dispersion of GDP per head on NUTS-2-level – EU and D**



**Annex Figure 2 – Dispersion of GDP per head on NUTS-3-Level – EU and D**



**Annex Figure 3 – Financial allocation (ERDF) initial and last version**

## Evaluations

Ex ante-evaluations are not included. The evaluations mentioned in last years report are also ignored here (PriceWaterhouseCoopers und GISA Gender-Institut Sachsen-Anhalt 2009; PriceWaterhouseCoopers 2009; Prognos AG 2010; Prognos AG, NIW – Niedersächsisches Institut für Wirtschaftsforschung, steria mummert consulting, et al. 2009; Prognos AG, NIW – Niedersächsisches Institut für Wirtschaftsforschung, und steria mummert consulting 2009; Prognos AG und NIW – Niedersächsisches Institut für Wirtschaftsforschung 2009; Ramböll Management 2009a; Ramböll Management und Metis 2010a; Ramböll Management 2009b; IfS Institut für Stadtforschung und Strukturpolitik und MR Gesellschaft für Regionalberatung 2010; GEFRA Gesellschaft für Finanz- und Regionalanalysen und MR Gesellschaft für Regionalberatung 2008).

The following studies related to structural Funds are not included in the table:

(TAURUS ECO Consulting 2010): On behalf of World Wildlife Fund, the study analyses the role ERDF can play in strengthening environment related innovation. Methodologically, it is not an evaluation in the strict sense, but rather kind of a strategic ex-ante study.

(PriceWaterhouseCoopers 2010): This is a short study accompanying the second application for programme change from Saxony which analyses the socio-economic situation and assesses the change of programme strategy.

In Berlin there are mid term-evaluations studies underway, but the final reports are not yet available.

Since last year's report, the following evaluation studies have been published.

**Annex Table C – Evaluation Studies since 2010**

<b>Title Date of Completion</b>	<b>Policy Area Scope</b>	<b>Main Objectives</b>	<b>Main findings</b>	<b>Reference and link</b>
Niedersachsen Halbzeitbewertung der Interventionen des Europäischen Fonds für regionale Entwicklung (EFRE) 2010	Covering all two Pro- grammes of Niedersachsen	Contribute to strategy development Support implementation Identify first results	The overall assessment of programme imple- mentation and deliver is very positive. Some specific amend- ments to the strategy are recommended in the light of Europa 2020.	(Prognos AG et al. 2010)
Nordrhein-Westfalen Evaluation NRW/EU.Mikrodarlehe n 2010				(MR Gesellschaft für Regionalbera- tung 2010)
Sachsen Bewertung der Prioritätsachse 5 – Ausbau und Verbesserung der Infrastruktur für ein nachhaltiges Wirtschaftswachstum 2010	Focused on priority 5 of the OP (infrastruc- ture for sus- tainable eco- nomic growth).	To contribute to im- proving Strategy and implementation. Analysis of progress in implementation Assessment of strategic approach Analysis of target achievement	Strategy is meeting the needs In single measures, the financial plan has been adjusted and will now be implemented with an ERDF budget of 289 Million Euro. Expected effects will be mostly achieved	(PriceWater- houseCoopers et al. 2010)
Sachsen Bewertung der Prioritätsachse 1 "Stärkung von Innovation, Wissenschaft und Forschung" 2011	Focused on priority 1 of the OP (Innovation, Science and Research)	To contribute to im- proving Strategy and implementation. Monitoring of imple- mentation Monitoring of context development To "understand output, result and impact" (PriceWaterhouseCoop- ers et al. 2011:21)	Weaknesses in the monitoring system raised problems during evaluation Positive effects on em- ployment and innova- tion can be expected. Efficient use of funds can be assumed. Implementation struc- ture are working effec- tively.	(PriceWater- houseCoopers et al. 2011)
Sachsen Bewertung der Prioritätsachse 4 "Verbesserung der Verkehrsinfrastruktur" 2010	Focused on priority 4 (Transport In- frastructure)	To contribute to im- proving Strategy and implementation.	No need for change in the light of updated socio-economic analy- sis. Transport infrastruc- ture generally supports development. Implementation is in line with plan.	(PriceWater- houseCoopers, LUB consulting, et al. 2010)

Title Date of Completion	Policy Area Scope	Main Objectives	Main findings	Reference and link
			Project selection is transparent.	
Sachsen Bewertung der Prioritätsachse 3 "Steigerung der Wettbewerbsfähigkeit der gewerblichen Wirtschaft" 2010	Focused on priority 3 (im- proving com- petitiveness of industry)	To contribute to im- proving Strategy and implementation. Monitoring of imple- mentation Monitoring of context development	Basic strategic orienta- tion should be main- tained. Several proposals for improvement relate to procedural aspects of implementation.	(PriceWater- houseCoopers et al. 2010)
Sachsen-Anhalt Strategiebericht 2010 – Fondsübergreifende Halbzeitbilanz der EU- Fonds in Sachsen- Anhalt 2010	Summary of findings for ERDF, ESF and EAFRD.	What is the contribution of the funds to Implement the main objectives of the Land's strategy implement the compre- hensive strategic focus (Innovation, education, investment) implement transversal objectives	Implementation is de- layed (compared to the previous period). No general need to adjust strategy. Varying progress of implementation in the different parts of ERDF-programme.	(Ramböll Management und Metis 2010b)
Thüringen Halbzeitbewertung zum Operationellen Programm des Freistaates Thüringen für den Europäischen Fonds für Regionale Entwicklung (EFRE) 2011	Mid-term- evaluation of the whole pro- gramme	No clear, specific objec- tives for the mid-term- evaluation in the report. General reference to evaluation plan. In fact: developing stra- tegic perspectives for the rest of this period and the next one, based on experience of the current period	Positive assessment of strategic orientation and progress in im- plementation (171). Only minor need for adjustment in the cur- rent period. For the next period, the basic orientation of the strategy should be maintained, but ad- justed in some aspects (mainly by shifting weights in reaction to the Europe 2020 strat- egy).	(GEFRA Gesellschaft für Finanz- und Regionalanalysen und MR Gesellschaft für Regionalberatung 2011)
Schleswig-Holstein Evaluierung des Operationellen Programms EFRE Schleswig-Holstein bzw. des Zukunftsprogramms Wirtschaft (ZPW)	Mid-term eval- uation of the whole Pro- gramme	Analysis of results and effects, orientation of the intervention for the rest of the current peri- od and the next period (11).	Basically, the policy mix and the instru- ments chosen fit with the strategic objec- tives. Some minor fi- nancial adjustment could be required. The role of ERDF for the regional policy is to support innovation.	(Prognos AG 2011)

## Annex Table D – Evaluations undertaken under the current programming period – Complete overview

Ex ante–Evaluations are not included

Study	Content, Method and Findings
<p>Bremen, 2010</p> <p>Analyse zu den Wirkungen der EFRE-Förderung auf das regionale Innovationssystem im Land Bremen und daraus abgeleitete Handlungsoptionen für die Fortführung des RWB-Ziels nach 2013</p> <p>(Bornemann, Rautenberg, und Breuer 2010)</p>	<p>Evaluation Questions</p> <p>The study analyses in how far ERDF contributes to the development of regional innovations systems, and specific competence areas. The aim is to identify the role of ERDF and the interplay of different types of intervention.</p> <p>Method</p> <p>The method is based on case-studies in three selected competence fields. In each case, a description of ERDF-projects is combined by information collected in interviews and socio-economic data describing the overall development.</p> <p>Findings</p> <p>The core statement is that a combination of different instruments is needed in order to develop competence fields. The case studies show how R&amp;D-projects, support for research organisations, transfer and networks, as well as infrastructure and urban development tools interact. Success factors are being deduced, amongst others: integrated multiannual approach, focus on selected issues, flexible development of funding, orientation to SME, support for transfer (as catalyst for development), etc.</p>
<p>Berlin, 2010</p> <p>Die n+2-Problematik im Berliner EFRE-Programm – Ursachen und Ansätze zur Abhilfe</p> <p>(Schwab et al. 2010)</p>	<p>Evaluation Questions</p> <p>The study analyses the factors contributing to delay in the implementation of ERDF leading to a risk of losing money according to the n+2-rule.</p> <p>Method</p> <p>Based on a model of process-chains, the study carries out several case-studies to analyse the financial management of different ERDF-financed programmes. A number of risk factors are being identified.</p> <p>Findings</p> <p>There is no single factor being responsible for delay in implementation. The concrete mix varies between instruments. But there are a number of factors leading to a higher risk: mainly the overlapping of funding periods and the discrepancy between the official financial plan and the actual planning on instrument level.</p>
<p>Niedersachsen, 2009</p> <p>Abschätzung der ökonomischen Effekte der EFRE-Programme zur Verbesserung der Rahmenbedingungen für KMU in Niedersachsen 2007–2013</p> <p>(Prognos AG und Niedersächsisches Institut für Wirtschaftsforschung 2009)</p>	<p>Evaluation Questions</p> <p>The study tries to assess the economic effects of ERDF intervention (both Competitiveness and Convergence) on enterprises taking into account all relevant instruments (grants, funds, network, consultancy).</p> <p>Method</p> <p>Based on logic models and indicators, the level of output is analysed. To discuss result and impact, results of other studies and statistical data have been used. Furthermore, case studies were undertaken to analyse selected instruments. Results are presented as index values for jobs created per million EUR public investment, differentiated per instrument.</p> <p>Findings</p> <p>As a result, the single instruments are grouped according to their temporary and durable job creation. In addition the direct employment effects for the whole programme have been calculated: This leads to an expected creation of 44.780 new jobs (Convergence + Competitiveness).</p>
<p>Niedersachsen, 2009</p> <p>Sonderuntersuchung Scoringverfahren. Evaluation</p>	<p>Evaluation Questions</p> <p>To improve the quality of selected projects, a scoring procedure has been introduced for both ERDF and ESF. The purpose of the study is to analyse in how far the</p>

Study	Content, Method and Findings
<p>der Projektauswahl für EFRE- und ESF-Projekte in Niedersachsen mithilfe von Scoring-Modellen (Niedersächsisches Institut für Wirtschaftsforschung et al. 2009)</p>	<p>expected effects have been achieved.</p> <p>Method</p> <p>Analysis of the documents and tools used for selection, analysis of the scoring results, interviews.</p> <p>Findings</p> <p>Firstly, Scoring improves transparency of the selection. Secondly, the scoring can identify projects of good quality. It needs to be analysed in how far the selection of good proposal leads to good effects.</p>
<p>Niedersachsen, 2010 Sonderuntersuchung zu den Regionalisierten Teilbudgets (Prognos AG et al. 2010)</p>	<p>Evaluation Questions</p> <p>The evaluation is mainly focused on the implementation of the regionalised budgets in Niedersachsen. An assessment of the expected results complements the analysis.</p> <p>Method</p> <p>Analysis of documents, Financial data. Interviews, Case Studies.</p> <p>Findings</p> <p>The regional strategies in terms of allocation of funds show significant variations. The involvement of local actors helps to address actors (enterprises, etc.) that have so far not been intensively involved in grant policies. All in all there is a high administrative effort required. Direct employment effects of 3,000 jobs created have been counted. The target group of this support doesn't overlap with those reached by other instruments (Joint Task): both in terms of sector and size the recipients differ.</p>
<p>Nordrhein-Westfalen 2010 Zukunft der Europäischen Strukturfonds in Nordrhein-Westfalen (GEFRA Gesellschaft für Finanz- und Regionalanalysen und MR Gesellschaft für Regionalberatung 2010)</p>	<p>Evaluation Questions</p> <p>Analyse the effects of Structural Funds intervention in Nordrhein-Westfalen in a long-term perspective.</p> <p>Method</p> <p>General overview of Structural Funds intervention in Nordrhein-Westfalen, Case Studies, analytical discussion of the value added.</p> <p>Findings</p> <p>ERDF was contributing significantly to structural adjustment by improving infrastructure and environmental situation, they allowed for an active contribution to structural change and helped to develop a place-based innovation policy.</p>
<p>Sachsen, 2009 Bewertung des Querschnittszieles Chancengleichheit und Nichtdiskriminierung von Menschen mit Behinderungen (Gisa – Gender-Institut Sachsen-Anhalt und PriceWaterhouseCoopers 2009)</p>	<p>Evaluation Questions</p> <p>Analysis of the role of equal opportunities in ERDF implementation.</p> <p>Method</p> <p>Model based process analysis, Interviews</p> <p>Findings</p> <p>The rather general findings of the evaluation suggest a potential to intensify the implementation of equal opportunities.</p>
<p>Sachsen, 2009 Ad-Hoc-Bewertung zum Änderungsantrag des Freistaates Sachsen für den Europäischen Fonds für Regionale Entwicklung (EFRE) im Ziel „Konvergenz“ in der Förderperiode 2007 bis 2013</p>	<p>Evaluation Questions</p> <p>Evaluation accompanying an adjustment of the programme, Analysis of significant change in socioeconomic context, update of the SWOT-analysis, short analysis of implementation so far, strategic evaluation of the planned programme change</p> <p>Method</p> <p>Socioeconomic analysis, SWOT-analysis, iterative interactive evaluation, expert assessment</p> <p>Findings</p> <p>The evaluation assesses the planned adjustment as relevant and consistent. It con-</p>

Study	Content, Method and Findings
(PriceWaterhouseCoopers 2009)	firms the need for adaptation of the programme
Sachsen-Anhalt, 2009 Stand und Umsetzung des Demografie-TÜV (Ramböll Management Consulting 2009)	<p>Evaluation Questions Sachsen-Anhalt introduced the so called "Demografie-TÜV" to improve the alignment of ERDF interventions to the demographic development. The study analyses implementation and makes suggestions for further development.</p> <p>Method In a mixture of process-analysis and case studies, the study analyses the implementation of the "Demografie-TÜV" in several instruments.</p> <p>Findings Not all implementing units and agencies take the new procedure really serious. Different understandings and interpretations exist. But the procedure is being applied and can be developed.</p>
Sachsen-Anhalt, 2010 Evaluierung der einzelbetrieblichen, kapitalorientierten Förderinstrumente: GRW gewerblich, KMU-Darlehensfonds, Risikokapitalfonds IBG II (Ramböll Management Consulting 2010)	<p>Evaluation Questions The evaluation of selected instruments targeting enterprises is focused on implementation and output: can the targets be achieved? What characteristics have the enterprises funded so far? What are the first results?</p> <p>Method Data and document analysis, interviews, survey (516) enterprises</p> <p>Findings The instruments are suitable to achieve the targets set. The enterprises funded are larger, more innovative and modern than the average – showing the potential for development. The results visible so far are slightly below the target values.</p>
Sachsen-Anhalt, 2009 Evaluation Städtische Dimension – Interim Report (Ramböll Management Consulting 2009)	<p>Evaluation Questions Analysis of the role of cities in Structural Funds delivery and strategy</p> <p>Method Data and document analysis, interviews</p> <p>Findings Interim report, no findings and conclusions.</p>
Niedersachsen Halbzeitbewertung der Interventionen des Europäischen Fonds für regionale Entwicklung (EFRE) 2010	See table above
Nordrhein-Westfalen Evaluation NRW/EU.Mikrodarlehen 2010	See table above
Sachsen Bewertung der Prioritätsachse 5 – Ausbau und Verbesserung der Infrastruktur für ein nachhaltiges Wirtschaftswachstum 2010	See table above
Sachsen Bewertung der Prioritätsachse 1 "Stärkung	See table above

Study	Content, Method and Findings
von Innovation, Wissenschaft und Forschung” 2011	
Sachsen Bewertung der Prioritätsachse 4 “Verbesserung der Verkehrsinfrastruktur” 2010	See table above
Sachsen Bewertung der Prioritätsachse 3 “Steigerung der Wettbewerbsfähigkeit der gewerblichen Wirtschaft” 2010	See table above
Sachsen-Anhalt Strategiebericht 2010 – Fondsübergreifende Halbzeitbilanz der EU-Fonds in Sachsen-Anhalt 2010	See table above
Thüringen Halbzeitbewertung zum Operationellen Programm des Freistaates Thüringen für den Europäischen Fonds für Regionale Entwicklung (EFRE) 2011	See table above

### Cooperation with MAs

Based on the analysis of the 2010 Annual implementation reports and the data, we sent specific short questions to most of the MAs to clarify data quality and collect information on programme changes and evaluations. The following Länder have been adressed: Thüringen, Brandenburg, Mecklenburg-Vorpommern, Sachsen, Sachsen-Anhalt, Nordrhein-Westfalen, Bayern, Niedersachsen, Schleswig-Holstein and Rheinland-Pfalz.

After sending the questions, written answers were received in most cases and complemented by phone interviews.



**Annex Table D – Evaluation grid for examples of good practice in evaluation**

BASIC INFORMATION		
<b>Country</b>		
<b>Policy area</b> (Enterprise support, RTDI, Transport, etc.)		
<b>Title of evaluation and full reference</b>		
<b>Intervention period covered (2000–2006; 2007–2013; specific years)</b>		
<b>Timing of the evaluation</b> (when it was carried out)		
Budget (if known): EUR		
<b>Evaluator</b> (External evaluator, internal evaluator, EC)		
<b>Method</b> (counterfactual analysis, process analysis, case study, econometric model, analysis of indicators, etc.)		
<b>Main objectives and main findings</b> (very short description – 3–4 lines)		
<b>Appraisal</b> (Why you consider the evaluation an example of good practice: – 2–3 lines)		
CHECK LIST	YES	NO
<b>UTILITY</b>		
<b>Report Clarity and Balance</b>		
Are the objectives, methods and findings of the evaluation clearly described?		
Are the conclusions and recommendations clearly supported by the analysis?		
Are the strengths and weaknesses of the intervention being evaluated fairly assessed and reported?		
Is the outcome of the intervention clearly reported?		
<b>RELIABILITY OF FINDINGS</b>		
<b>Evaluation design</b>		
Is the approach adopted by the evaluation and method used clearly set out?		
Is the approach and methods suitable given the objectives of the valuation and the intervention being assessed?		
Are the details of the operation of the intervention clearly described?		
Are the mechanisms through which the intervention is intended to achieve its objectives clearly identified?		
<b>Context</b>		
Is the socio-economic and policy context clearly set out?		
Are the effects of the economic and/or policy context on the outcome of the intervention clearly described?		
<b>Information Sources</b>		
Are the quantitative and/or qualitative data used suitable for the purpose for which they are used?		
Is the reliability of the data fairly assessed and described?		
<b>Analysis</b>		
Are appropriate procedures/techniques used to analyse the data and/or qualitative information?		
Are suitable procedures used to check the validity of findings?		
Is the validity of the findings reached clearly demonstrated?		
Do the policy recommendations follow clearly from the findings of the analysis?		