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Ex-ante evaluation of Kujawsko-Pomorskie Voivodeship Regional Operational Programme for the years 2014-2020 METHODOLOGICAL REPORT

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List of abbreviations

Abbreviation	Explanation
AGO	Aims, Goals and Objectives
APC	Alternatives, Possibilities or Choices
CAF	Consideration of All Factors
CATI	Computer Assisted Telephone Interview
CAWI	Computer Assisted Web Interview
ERDF	European Regional Development Fund
EAFRD	European Agricultural Fund for Rural Development
ESF	European Social Fund
EMFF	European Maritime and Fisheries Fund
EGTC	European Grouping of Territorial Cooperation
ETC	European Territorial Cooperation
FGI	Focus Group Interviews
FIP	First Important Priorities
CF	Cohesion Fund
GUS	Główny Urząd Statystyczny [<i>Chief Statistical Office</i>]
IDI	Individual In-Depth Interview
EC	European Commission
MRD	Ministry of Regional Development
OPV	Other People's Views
SIA	Strategic Intervention Area
OP HC / OP HC 2007-2013	Operational Programme 'Human Capital'
PMI	Plus, Minus and Interesting
PSM	Price Sensitivity Meter
K-P ROP 2014-2020	Kujawsko-Pomorskie Regional Operational Programme for the years 2014-2020

ROP K-PV 2007-2013	Regional Operational Programme for Kujawsko-Pomorskie Voivodeship for the years 2007-2013
CLLD	Community-led local development
RIS	Regional Innovation Strategy
SMART	Specific, Measurable, Achievable, Realistic, Timebound
TOR	Terms of Reference
SWOT	Strengths, Weaknesses, Opportunities, Threats
NMTDS	National Medium-Term Development Strategy
TFEU	Treaty on the Functioning of the European Union
EU	European Union
MO K-PV / MO	Marshall's Office of Kujawsko-Pomorskie Voivodeship
CSF	Common Strategic Framework
ITO	Integrated Territorial Investments

1 MAIN OBJECTIVE AND JUSTIFICATION OF EX-ANTE EVALUATION

1.1 Justification of the study

The obligation to conduct the ex-ante evaluation of the regional programme results from the provisions of the draft Regulation of the European Parliament and Council establishing common provisions for European Regional Development Fund (ERDF), European Social Fund (ESF), Cohesion Fund, European Agricultural Fund for Rural Development and European Maritime and Fisheries Fund, covered by the scope of common strategic framework and establishing general regulations concerning European Regional Development Fund, European Social Fund and Cohesion Fund and revoking the regulation (CE) no. 1083/2006 (general regulation).

1.2 Object of the study

The object of ex-ante evaluation is the draft Kujawsko-Pomorskie Regional Operational Programme for the years 2014-2020 (K-P ROP 2014-2020). Draft K-P ROP 2014-2020 is understood as documents developed in the period of executing the contract at issue, starting from initial concept / layout of such a document through a preliminary draft and subsequent versions of draft K-P ROP 2014-2020.

1.3 Purpose of the study

According to the European Commission (EC), ex-ante evaluation is an interactive process aiming to present experts' evaluations and recommendations, independent from the institutions of persons involved in the process of planning, programming and creating policies. The main objective of ex-ante evaluation is to assess the intervention logic assumed under draft operational programme. Ex-ante evaluation should provide answers to the questions posed in the two basic research areas:

1. evaluation whether the planned public interventions under the programme are socially and economically viable;
2. evaluation whether these interventions will contribute to achievement of the desired development objectives, satisfaction and solution to the diagnosed needs and social and economic problems.

Ex-ante evaluation is strictly related with the programming process. The main output of the study will be **conclusions and recommendations including proposals of changes in the draft operating programme**. Ex-ante evaluation is mainly to serve improvement of efficiency and effectiveness of the prepared programme. Its basic objective is to analyse the quality of the programme¹ in order to support the recipients in taking decisions² providing information which will affect improvement of future interventions³. The purpose of ex-ante evaluation is to assess to what extent the planned programme is valid from the perspective of the needs of beneficiaries or a given sector and whether the designed intervention is internally coherent within the scope of the planned objectives⁴.

The Contractor's task is to answer the formulated evaluation issues within the specific research modules. On the basis of answers to the research questions, the Contractor will formulate conclusions and recommendations within the scope of changes in the provisions of draft K-P ROP

¹ Paddock S.C., *Evaluation in: International Encyclopedia of Public Policy and Administration*, Westview Press 2005
Davidson E.J., *Evaluation methodology basics, the nuts and bolts of sound evaluation*, Sage Publications, 1998.

² Stufflebeam D.L., *Evaluation Models, New Directions for Evaluation*, No 89, 2001.

³ Weiss C.H., *Theory-Based Evaluation Past, Present, and Future, New Directions for Evaluation*, 1997.

⁴ Polskie Towarzystwo Ewaluacyjne, *Ewaluacja funduszy strukturalnych*, Warsaw 2003.

2014-2020. The evaluation process will be effected according to the modules and logic presented below.

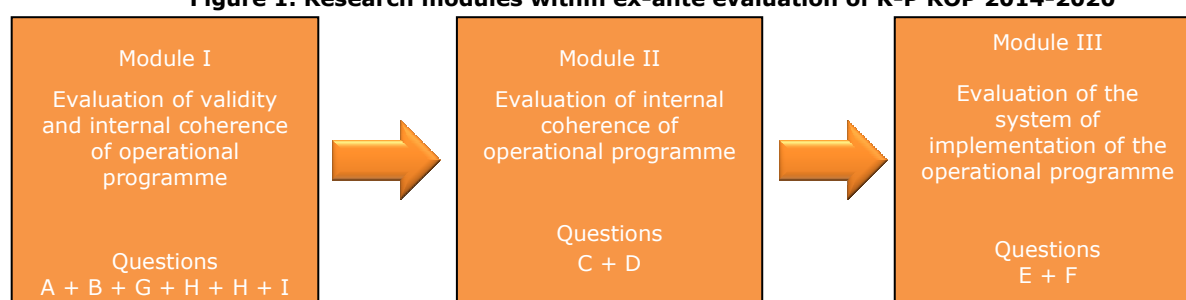
The research areas have been formulated on the basis of the Contracting Authority's expectations presented in TOR and in the document entitled *Recommendations for ex-ante evaluations of operational programmes 2014-2020* (hereinafter referred to as *Recommendations...*). According to the *Recommendations...*, there is not a single, universal manner of organising ex-ante evaluation and its inclusion in the entire programming process. However, the following issues are significant: **K-P ROP 2014-2020 must be structurally linked with Partnership Contract, and ex-ante evaluation must also be structurally linked with K-P ROP 2014-2020.**

Ex-ante evaluation will be conducted on the basis of the following criteria:

- **validity** – the analysis will concern the adequacy of programme objectives to the identified problems or socio-economic challenges,
- **coherence (internal and external)** – the analysis will refer to program and strategic documentation, on the basis of which the program is to operate, and it will be necessary to examine whether there are any contradictions between the program objectives, priorities and actions, and between the entire document and higher ranking or equivalent documents.⁵
- **anticipated efficiency** - the next step following the assessment of program objectives will be whether the actions have been selected correctly in the aspect of achieving the set objectives, and the assumed resources and proposed implementation system render it possible to achieve the quantified intervention objectives.
- **anticipated effectiveness** - it will be assessed whether achievable objectives justify incurring the anticipated expenditure and optimisation of resource allocation will be evaluated so that the allocated resources could be used in the most cost-effective manner,
- **anticipated durability** - which will allow determination whether the assumptions of the programme will guarantee survival of the achieved effects in longer time horizon.

The Contracting Authority has defined three modules of ex-ante evaluation (Figure 1) according to the following intervention logic:

Figure 1. Research modules within ex-ante evaluation of K-P ROP 2014-2020



Source: TOR

Under the evaluation procedure, the Contractor intends to answer the following research questions:

- A.** Does the public intervention in the form of the operational programme address the diagnosed socio-economic challenges and needs?

⁵ Source: Own study on the basis of K. Olejniczak, Monitoring i ewaluacja, [in:] J. Górniak, S. Mazur, Strategiczne zarządzanie rozwojem. Poradnik, MRD, being printed.

- B.** Will the intervention logic proposed under the programme allow implementation of the set development objectives?
- C.** Are the programme assumptions and objectives coherent with the most important policies and strategies at the EU, national and regional level, in particular with the strategy Europe 2020, Common Strategic Framework and Partnership Contract, as well as National Development Strategy 2020?
- D.** If and to what extent the operational programme takes into consideration and contributes to implementation of objectives of horizontal policies (implementation of equal opportunities principle, including men and women, disabled, and non-discriminatory and sustainable development)?
- E.** If and to what extent the existing institutional arrangement, including human resources, are sufficient to implement the assumptions and objectives of the operational programme? What is the extent of the anticipated efficiency of undertakings planned in order to reduce the administration burdens to the beneficiaries?
- F.** Do assumptions of operational programme allow efficient and effective implementation of monitoring and evaluation processes?

Additional research questions:

- G.** What is the potential and threat of other negative and positive effects, such as substitution, infiltration, leaking, complementarity and synergy? Will it be possible to increase and optimise side-effects of the intervention logic?
- H.** What will be the direction of additional and multiplier effects of the designed intervention policy? Is it possible to increase their potential by changes in the designed intervention logic?
- I.** What is the potential of territorially integrated approach within the accepted intervention logic? Has a relevant ITO and CLLD tool been applied? Is it possible to increase the potential of integrating the intervention logic to the main development challenges while using these tools?

2 DETAILED DESCRIPTION OF METHODOLOGY OF EX-ANTE EVALUATION

2.1 Evaluation study diagram

Three main stages of programming process may be identified, in which the persons conducting ex-ante evaluation should participate, and the feedback provided by them and recommendations should be included in the created Programme:

Stage 1: SWOT analysis and evaluation of needs;

Stage 2: Building the Program intervention logic, including the allocation of budget resources, determination of objectives and the framework of implementation evaluation;

Stage 3: Definition of systems of governance, management and implementation

The first stage of programming process is **SWOT analysis and evaluation of needs** - the Managing Authority in cooperation with other entities, agencies and institutes prepare the SWOT

analysis and evaluation of needs for the territory of a specific programme. Within ex-ante evaluation, the evaluator provides feedback concerning those analyses. The evaluator's task will be to analyse the impact ratios, assessment of the coherence and completeness of SWOT analysis and analysis of needs which are to be satisfied by the interventions. The evaluator's role will also involve indicating all identified gaps and providing recommendations in order to complement/correct the description and analysis.

Those works will be performed in Module I within the scope of research question A (Whether the public intervention in the form of K-P ROP 2014-2020 is a valid response to the socio-economic needs diagnosed in valid strategic documents at the regional, national and European level?).

The second stage of the programming process is the build the **programme intervention logic**. The Managing Authority defines objectives, measures and actions which are to be included in the programme. Moreover, it defines the allocation of resources, planned products/services, common and specific for the programme as well as values of intermediate objectives for the implementation.

The most important task of ex-ante evaluation is to verify the logic of the operational programme and what will be completed among others, owing to the first round of workshops, to develop the recommended programme logic (for each priority axis) using the existing scientific and experts' knowledge (including the results of evaluation studies). In other words, it is the process of 'testing' the intervention logic by means of the available evidence. Participation model of evaluation at the same time assumes that verification of the programme logic will not be the evaluator's only task, but he will also participate (among others, through the conducted workshops) in developing the best version of such logic. Ex-ante evaluation based on examining the logic will be effected in the following stages/modules:

1. Setting out operational programme logic

The evaluator, on the basis of examining the programme documentation, supplemented by data obtained during desk research and qualitative methods (in-depth interviews with representatives of the Marshall's Office and experts and institutions participating in creation of the draft programme, expert analyses, expert panels) will set out the logic model on the basis of draft operational programme of specific priority axes, illustrating the cause-effect relations between the identified needs and planned actions and expected effects, according to the diagram recommended by MRD. At this stage, the Contractor will also conduct analyses, evaluation and consultancy for creating the necessary elements of the programme.

2. Creating conceptual framework of research

The evaluator will collect and review the scientific and expert knowledge (review of literature, national and foreign results of scientific and evaluation research, expert opinions and analyses), useful in explaining/verifying the cause-effect mechanisms presented in the set out logic of the operational programme and priority axes. The conceptual frameworks will also comprise the results of local CAWI's conducted among representatives of the key categories of beneficiaries for specific priority axes and the results of Delphi analysis presenting the attitude of regional experts (expert groups) to the dependencies, expected outcomes and outputs presented in the set out logic of the programme. The conceptual framework of the study will also consist in evolving drafts of national and regional operational programmes as well as cross-border and sub-regional programme drafts and on-going guidelines and recommendations of European Commission and Ministry of Regional Development, directed at regional operational programme of the future programming period.

3. Evaluation of operational programme logic

The evaluator will compare the programme assumptions (set out intervention logic) with scientific, empirical and expert knowledge obtained during works on creating the study conceptual frameworks, and subsequently he will evaluate the draft operational programme. The objective is

mainly the evaluation of strength of cause-effect relationships between the intervention and the effects. Nevertheless, the evaluation, apart from answering the question whether the expected effects/changes will occur as a result of implementing the intervention, should also provide answer to the question of how and why (together with detailed description/justification). An element of evaluation in this respect will also be an analysis of alternative manners of achieving the set objectives. An analysis of alternative manners of achieving the set objectives (if justified) will be reflected in the recommendations prepared for them.

At this stage of ex-ante evaluation of the operational programme, the Contractor will use mainly analytical techniques, as well as quantitative and in-depth field research. According to the provisions of TOR, the Contractor will also apply economic modelling as well as matrix techniques and methods for estimating the assumed, real target value of ratios of the output and outcome as well as for estimating the potential of additional effects for the social and economic development of Kujawsko-Pomorskie voivodeship: negative and positive ones in alternative intervention logic.

According to the participation model of evaluation assumed by the Contracting Authority, the Contractor will also perform on-going analytical works, evaluation and consultancy within the scope of developing specific elements of the draft and the programme, if the contradictions or inconsistencies are found, between the intervention logic and theoretical and empirical knowledge, or in the event of determining the failure of objective achievement logic. This phase of ex-ante evaluation will be based on expert analyses and meetings with the participation of the Contracting Authority and ad hoc desk research.

During the evaluation of the operational programme logic, the Contractor will also take into consideration the results of social consultations under K-P ROP 2014-2020. The Contractor will analyse and develop opinions on the remarks to the draft programme during the social consultations.

On the basis of the conducted evaluation, the evaluator will formulate conclusions and recommendations (recommended changes in the programme) and it will present the recommended logic model of the operational programme coherent with the available scientific and expert knowledge (among others, in the form of a diagram along with the description and reference to theory/research results). Conclusions and recommendations formulated by the evaluator should be useful for the Managing Authority during works on detailed description of priorities at the further programming stages.

The ex-ante evaluator will provide feedback on the intervention logic proposed with reference to the identified needs, internal and external coherence, coherence between the expected outputs/services and results, allocation of budget resources, significance and clarity of common and programme-specific ratios as well as whether the target values are realistic. One of the elements of the study will also involve analysing the conditions of using the new tool of EU coherence policy - Integrated Territorial Investment (ITI) as well as evaluation of sub-regional undertaking mechanism application under ROP K-PV along with ex-ante evaluation of sub-regional programmes. The analysis will also involve territorial tools implemented under the name Community-led Local Development (CLLD). Within the scope of setting out the intervention logic and ex-ante evaluation of programme logic, the Contractor is planning to conduct the analysis of **CLLD tool potential** in the specific programme axes.⁶

After accepting the final report on ex-ante evaluation by the Contracting Authority, the Contractor will modify on an on-going basis its provisions as a result of negotiations with the Commission. During the negotiations, the Contractor will prepare ad hoc analyses and develop opinions on the remarks to the draft programme.

⁶ More information can be found in chapter 3.1.1.

The works will be performed in **Module I under research question B** (Will the intervention logic proposed under K-P ROP 2014-2020 allow achievement of the set development objectives?).

The Contractor will also analyse the coherence of provisions of draft K-P ROP with the most important policies and strategies at regional, national and EU level. The evaluator's task will also be to express the opinion on appropriate consideration of horizontal issues in the programme, such as sustainable development, equality of gender and persons with disabilities, as well as prevention of discrimination.

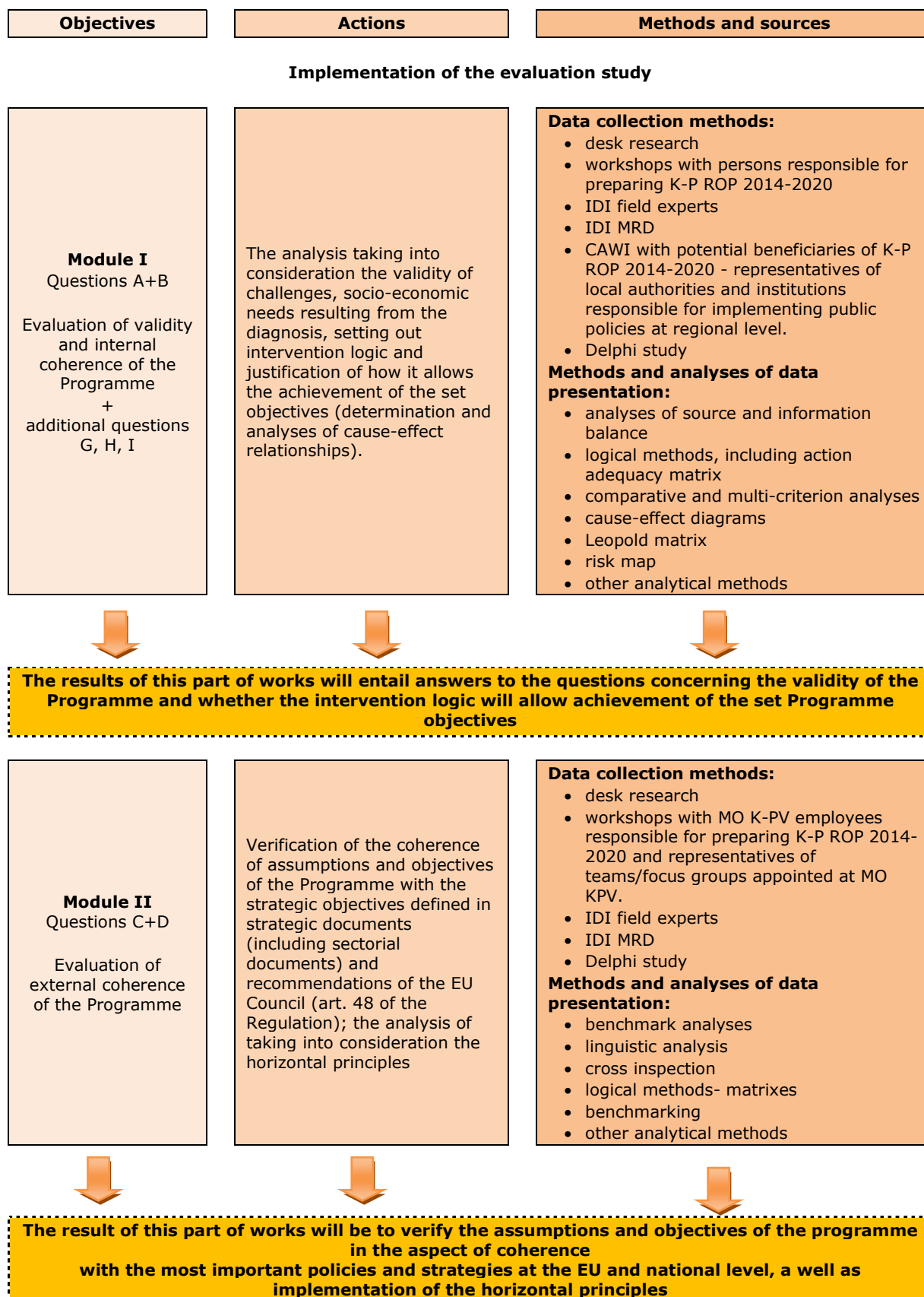
The works will be conducted under **Module II** Evaluation of external cohesion of the operational programme.

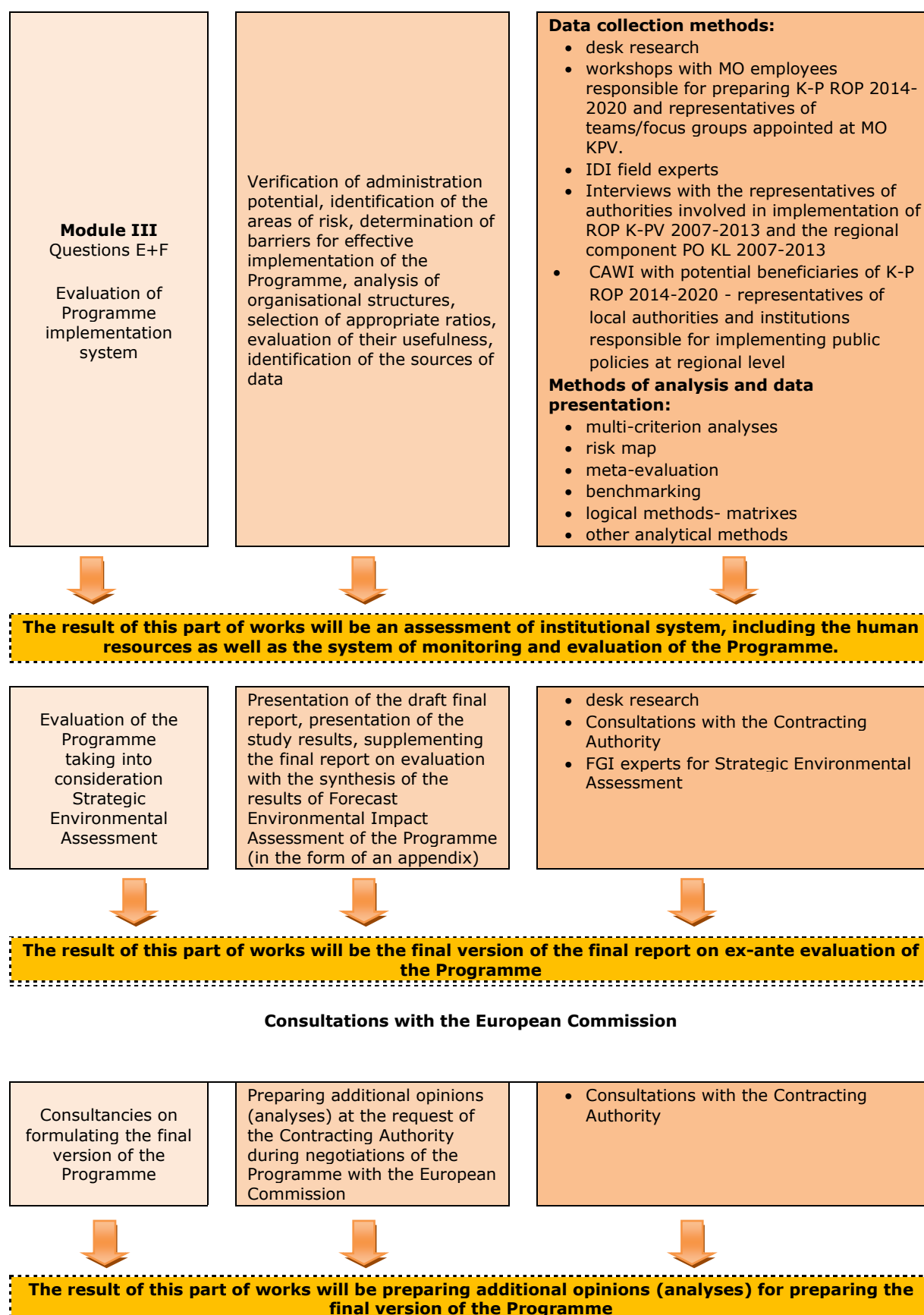
The third stage of the programming process is **to define systems of governance, management and implementation** of the programme. The ex-ante evaluator at this stage will provide feedback on adequacy of the capacity of human resources and administration capacities to manage the programme, as well as the proposed system of monitoring and evaluation. **Module III of the task** will be devoted to those issues.

One of the outputs of ex-ante evaluation will be the **diagrams** prepared by the Contractor, illustrating the cause-effect relationships occurring between the actions planned under the programme and their outputs and the expected results. The diagrams should present the logic models of the programme and priority axes recommended by the Contractor and they will include detailed description of cause-effect relationships along with reference to the results of studies and socio-economic theories. The Contractor will also prepare diagrams illustrating the cause-effect relationships occurring between the expected programme effects and the objectives of the most important strategies at the regional, national and EU level, including in particular the objectives Europe 2020 strategy. All changes or modifications will also be determined during workshop sessions with the Contracting Authority. Changes or recommendations will be presented not only in the form of diagrams, but also in the form of tables allowing descriptive justification of process correlations.

Evaluation study diagram is presented below, taking into consideration obligatory and additional research questions, as well as presenting the correlation between research and analytical methods with the specific study areas. The diagram illustrates stages of the evaluation study including in particular the specific research modules and other actions taken by the Contractor under the evaluation study:

1. **I stage of evaluation study:** Evaluation of the Programme
2. **II stage of evaluation study:** Developing the final report on the evaluation of the Programme, taking into consideration the environmental impact assessment.
3. **III stage of evaluation study:** Preparing additional opinions

Figure 2. Evaluation study diagram



Source: own study

2.2 Detailed description of methods and reference to empirical studies

While selecting data collection methods, the Contractor took the following assumptions:

- Methods and tools should provide full answers to all questions.
- Multiplication of data sources forming grounds for evaluation should be sought. Application of diversified methods will allow verification of answers obtained to the same research questions.

Research works are planned, involving both desk research and raw data analyses (individual interviews, workshops, in-depth interviews, Delphi studies, CAWI). Application of diversified techniques and involvement of various programme stakeholders (enterprises, scientific circles, business environment institutions, poviats and commune authorities), will provide objective and extensive knowledge concerning the evaluation questions defined by the Contracting Authority under TOR. Part of substantive works performed under the project, in particular concerning formulation of conclusions and recommendations will be supported by external experts - persons outside the research team.

Data collection techniques - summary

Number of interviews	Data collection techniques
n/a	Desk research
15	Workshops with persons responsible for preparing K-P ROP 2014-2020 and representatives of teams/focus groups appointed at MO KPV.
5	IDI field experts
10	In-depth interviews (dyads and triads, mini FGI) with the representatives of institutions involved in implementation of ROP K-PV 2007-2013 and the regional component OP KL 2007-2013
3	IDI Ministry of Regional Development
1	CAWI with potential beneficiaries of K-P ROP 2014-2020 - representatives of local authorities and institutions responsible for implementing public policies at the regional level
4	FGI experts for Strategic Environmental Assessment
1	Delphi study

Source: own study

Information on selection and count of respondents has been included in each of the techniques described below.

Desk research

Desk research will be used in the project very broadly - in practice, it will support nearly all stages of the research process. Conclusions from the review of available sources will be used, among others, while correcting the methodology of evaluation study, and they will form the starting point for designing the research tools.

The analysis will cover documents indicated by the Contracting Authority in TOR and other documents defined by the Contractor in subchapter presenting the concept of taking into consideration the scientific and research outline. **List of documents covered by desk research is enclosed as Attachment 4.1 to the Methodological Report.** The Contractor will complement the list of publication on an on-going basis, as significant reports and analyses appear.

Under desk research analysis, the following categories of sources are planned to be analysed:

- research, evaluation studies and analyses applicable in the conducted evaluation and other literature sources;
- strategic community, national and regional documents concerning the current and future financial perspective;
- statistical databases covering the data on socio-economic development of the region along with reference to the situations observed in Poland and Europe;
- web research, i.e. analysis of website contents, in particular the contents devoted to socio-economic development of the voivodeship.

Workshops

**Persons responsible for preparing K-P ROP 2014-2020 and representatives of teams/focus groups appointed at MO KP.V.
(15 workshops)**

15 workshops are planned with participation of evaluation team members and employees of the Marshall's Office of Kujawsko-Pomorskie Voivodeship responsible for preparing K-P ROP 2014-2020 and representatives of teams/focus groups appointed at MO KP.V. The workshops will also be attended by members of focus Teams/Groups appointed at MO K-PV. The number of workshop attendees will not exceed 20 persons.

The first round of workshops will take place during the stage of setting out the logic of the operational programme (8 workshops). Second round - during the ex-ante evaluation (7 workshops).

The list of attendees of the meetings will be prepared by the Contracting Authority on the basis of the list of members of the focus groups appointed at MO K-PV.

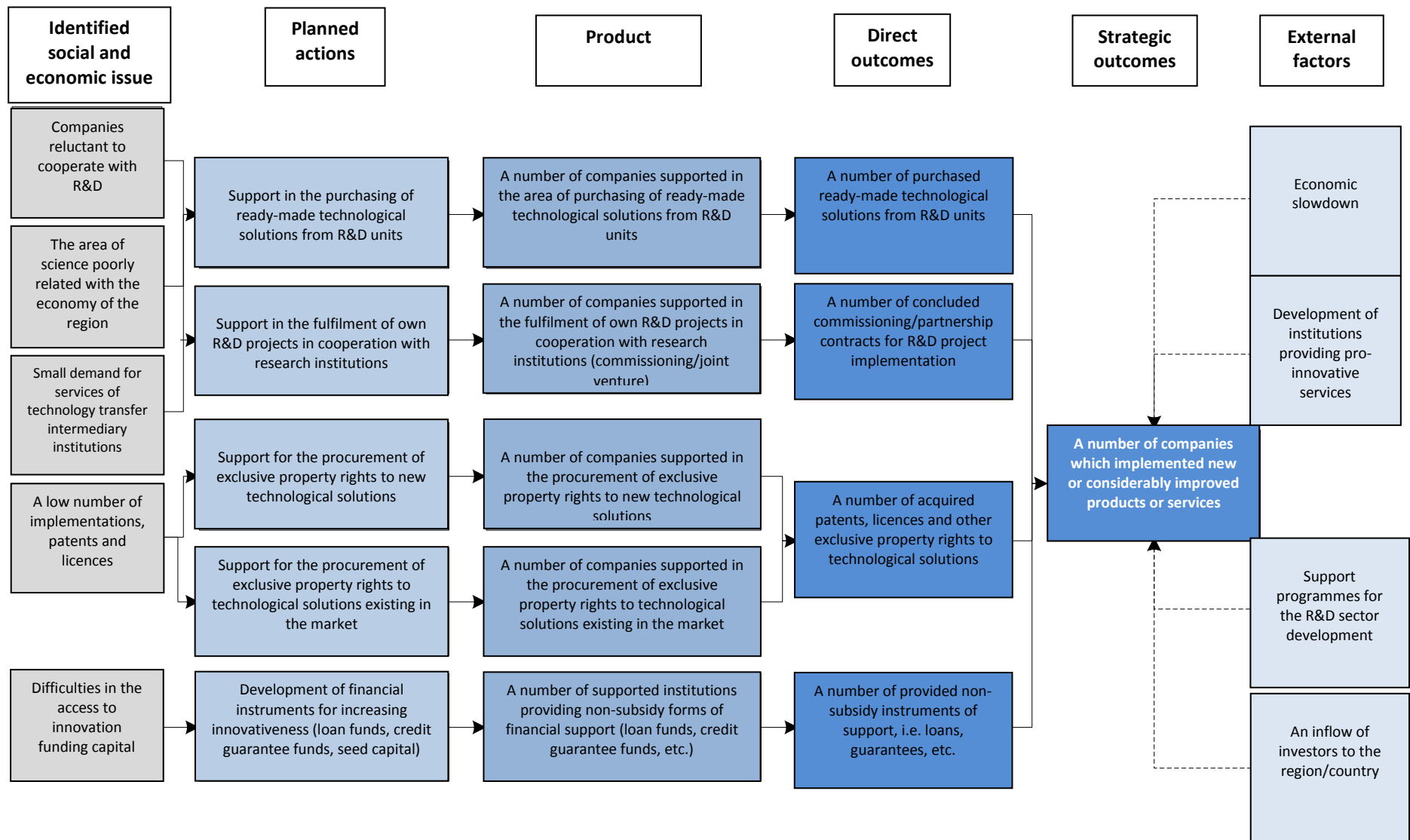
The workshops will be held in MO K-PV appropriately organised premises, i.e. a hall equipped with a multimedia overhead projector, a screen, with distribution of seats allowing on one hand the attendees' discussion, on the other hand, the moderator's supervision of the course of the meeting. The size of the hall and distribution of seats is also important due to the fact that the meetings will be recorded (subject to attendees' consent).

The logic of intervention is created at the level of priority axis.⁷ It is assumed that monitoring will be effected at the priority level and it will focus on target groups inputs and results, as well as direct results. The Contractor will prepare a diagram for each axis of K-P ROP 2014-2020, presenting a recommended logical model of the operational programme along with a detailed description, in order to explain the cause-effect mechanisms.

Diagram-building process will be an element of the first round of workshops with persons responsible for preparing K-P ROP 2014-2020 The discussion will allow development a draft version of diagrams, which will be improved owing to the knowledge gained at subsequent research stages. An example diagram of intervention logic has been presented below for single axis of K-P ROP 2014-2020.

Example Priority Axis 1 Building the region's innovativeness by R&D actions taken by enterprises

⁷ Reference framework VT2010-077



Source: Own study

The starting point for construction of the diagram will be a diagnosis and identification of socio-economic problems concerning the thematic scope of each axis. Another step is to determine the planned actions (type of intervention and/or instruments along with allocation). Proposed actions should refer to the identified needs. Subsequently, **outputs** will be determined, which will be the result of the actions taken (performance ratio along with the target value). The outputs will refer directly to beneficiaries of assistance implemented under specific actions. Another step will involve indicating **direct results** (direct result ratios along with the target value). Direct results are the effect of actions completed by beneficiaries owing to assistance of the programme.

The next step will involve the strategic results (strategic result ratios along with the base and target value). Strategic result will be the effect of implementation of projects undertaken under the granted assistance, which will be present after some time after completing them. The last element of the diagram will be indicating the external factors (other policies, programmes, socio-economic situation) affecting the results.

The diagram constructed in this manner will be accompanied by a description of cause-effect relationships occurring between specific elements of program intervention logic, i.e. the needs, taken actions, outputs and results, taking into consideration external factors. A detailed schedule of the first round of the workshops is presented below:

Table 1. Workshops with MO K-PV employees responsible for programming K-P ROP 2014-2020 and representatives of teams/focus groups appointed at MO KP.V.

	Priority Axis / Area	Date of the meeting	Time of the meeting	Meeting Leader
1.	Priority Axis 2 Strengthening the competitiveness of region's economy Priority Axis 12 Community-led development	25.07.2013	11:00	Michał Marciniak
2.	Priority Axis 5 Adapting to climate change Priority Axis 6 Environment-friendly region	26.07.2013	9:00	Paweł Pijanowski Michał Marciniak
3.	Priority Axis 4 Energy effectiveness and low-emissions regional economy	31.07.2013	11:00	Cezary Gołębiewski
4.	Priority Axis 1 Building the region's innovativeness by R&D actions taken by enterprises Priority Axis 3 Digital Region	01.08.2013	11:00	Marta Mackiewicz
5.	Priority Axis 7 Internal coherence and external accessibility of the region	05.08.2013	11:00	Marta Cichowicz-Major
6.	Priority Axis 9 Social Solidarity - ESF Priority Axis 10 Social Solidarity - ERDF	06.08.2013	9:00	Marta Cichowicz-Major
7.	Priority Axis 8 Education and employment	06.08.2013	13:00	Ewa Dzielnicka
8.	Priority Axis 11 Municipal policy	08.08.2013	11:00	Joanna Sędek

The program of first round workshop is presented below.

Table 2. The program of first round workshop

8.30- 9.00	<i>Registration of attendees, distributing the workshop materials</i>
9.00 – 10.30	<ul style="list-style-type: none"> • Presentation of the ex-ante ROP evaluation objective • Scope and schedule of ex-ante ROP evaluation: evaluator's tasks, MO K-PV tasks • Presentation of the diagnosis and identification of socio-economic problems concerning the thematic scope of a specific axis on the basis of selected report conclusions and studies. • Presentation of diagnosis of socio-economic situation of the region under priority axis with K-P ROP 2014-2020 • Discussion
10.30 – 10.45	<i>Coffee break</i>
10.45 – 13.00	<ul style="list-style-type: none"> • Presentation of the dividing line within the thematic objective / priority axis in draft K-P ROP 2014-2020 • Determination of the planned actions (type of intervention and/or instruments along with allocation). • Determination of outputs which will be the result of taken action (performance ratio along with target value). • Determination of direct results (direct result ratios along with the target value). Direct results are a the effect of actions completed by beneficiaries owing to assistance for the programme. • Determination of the strategic results (strategic result ratios along with the base and target value). Strategic result will be the effect of implementation of projects undertaken under the granted assistance, which will be present after some time from completing them. • Determination of external factors (other policies, programmes, socio-economic situation) affecting the results. • Discussion on cause-effect relationships occurring between specific elements of the programme logic
13.00-13.30	<i>Finishing the workshops</i>

Second round of the workshops (7 meetings) will be held at the end of evaluation process. It will serve the purpose of presenting the main conclusions of the study and recommendations. One of the presentation elements will also involve presenting the study process so that the attendees are aware which elements of K-P ROP have been modified / supplemented in the programming process, and also which changes and supplements resulted from current study results. Determinations as to which priority axes will be discussed at which meetings will be made at a later date.

The second round of workshops is planned after finishing the social consultancies concerning K-P ROP 2014-2020, not earlier that at the beginning of October.

Individual in-depth interviews Field experts (5 interviews)

One of the respondent groups which will participate in the interviews will be field experts from

areas that are convergent with the areas of operational programme intervention. Interview participants will be recruited from among the following entities: scientific institutions, business environment institutions, technology transfer centres, technology parks, economic observatories) and/or research and consulting companies.

Minimum 5 interviews of this kind will be conducted. We reserve the possibility of extending the research group according to the needs of the research team. Information gained during such interviews will be of particular importance in the verification of validity and relevance of socio-economic diagnosis performed for the purposes of the programme.

Proposals of experts for the interviews have been presented below:

Table 3. Individual in-depth interviews with field experts

Focus area	Expert's full name	Professional experience / place of employment
Regional development	Habilitated Doctor Tomasz Grosse	Warsaw University Professor (Faculty of European Studies) <i>Professor Extraordinarius</i> of the Faculty of Political Studies of the Polish Academy of Sciences Member of Focus Team for Regional and Spatial Policy at the Committee for National Spatial Development of the Polish Academy of Sciences Public Affairs Institute / the Kościuszko Institute - Government administration - analyst
Innovativeness and competitiveness	Anna Lis, Ph.D.	Gdansk University of Technology Assistant Professor in the Chair of Operational Management at the Faculty of Management and Economics Specialist in innovative processes, product planning, Innovation Process Management.
Infrastructure	Robert Adamski	Independent expert Among others, former SGS Polska Consultant Director of the Management Office in Community Development Agency Chief Infrastructure Specialist in Polish Agency for Regional Development
Labour market and education	Elżbieta Wojnicka, Ph.D.	Gdańsk University Assistant Professor in Institute of Organisation and Management at the Faculty of Management, former expert/lecturer of the College of Information Technology and Management in Rzeszów, Institute of Research on Market Economy of the Pomorskie College of Social and Economic Policy. Numerous projects involving labour market, employee competencies and economy.
Social integration	Anna Olech,	Ph.D. in Humanities since September 1998, employee of the Institute of Social Services Development, participation in studies / research project in social integration

Draft in-depth interview scenario is enclosed as Attachment 4.5 to the Methodological Report.

In-depth interviews (dyades, triades, mini FGI) with the representatives of institutions involved in implementation of ROP K-PV 2007-2013 and the regional component OP KL 2007-2013 (10 interviews)

A method supplementing the document analysis and expert analyses under the stage of setting out the programme logic and during the ex-ante evaluation phase will be in-depth interviews.

The interviews will be conducted with persons who are significant in terms of programming K-P ROP 2014-2020, whose knowledge or opinion is significant in obtaining answers to the evaluation questions. These will be the employees of Marshall's Office of Kujawsko-Pomorskie Voivodeship responsible for preparing K-P ROP 2014-2020. Also, it will be important to reach the persons involved in implementation of ROP K-PV 2007-2013 and the regional component OP KL 2007-2013:

- The Authority responsible for managing and implementing ROP, i.e. Department of Managing the EU Funds and Projects and Department of Implementing the Regional Operational Programme of the Kujawsko-Pomorskie Voivodeship Marshall's Office,
- Intermediary Authority of OP KL in the regional component of Kujawsko-Pomorskie Voivodeship - Department of Social Affairs, Department of Managing European Social Fund of the Kujawsko-Pomorskie Voivodeship Marshall's Office,
- Level II Intermediary Authority of OP KL in Kujawsko-Pomorskie Voivodeship - Voivodeship Employment Office and Regional Centre of Social Policy.

The Contractor is planning to organise up to 10 IDI's, possibly mini FGI's or dyads/triads will be admitted, depending on the needs.

The list of persons to be interviewed will be delivered to the Contractor by the Contracting Authority. **The planned date of conducting interviews is 12 - 23 August.**

Individual in-depth interviews with the representatives of institutions involved in implementation of ROP K-PV 2007-2013 and the regional component OP KL 2007-2013 will mainly serve to collect information which may form grounds for evaluation of administration potential necessary to implement the programme. The respondents will also be asked about possible barriers and risk which may occur while implementing K-P ROP 2014-2020. In the event of this issue, information from the interviews will be only supplementary in relation to data collected by means of other methods and techniques. The third issue that will be tackled during IDI's will be the effectiveness of the existing monitoring system and solution in the area of collecting the monitoring data.

Including the representatives of institutions involved in implementation of regional component OP KL in the group of respondents will allow comparison of effectiveness of solutions used under OPKL and ROP K-PV. An important issue will also be future division of competencies between the representatives of specific institutions.

Draft scenario of in-depth interviews with the representatives of institutions involved in implementation of ROP K-PV 2007-2013 and the regional component OP KL 2007-2013 is enclosed as Attachment 4.3 of the Methodological Report.

**Individual in-depth interviews
Ministry of Regional Development
(3 interviews)**

Within the scope of the study, 3 interviews will be conducted with representative of **Ministry of Regional Development** (MRD), with persons representing departments relative to planning and implementing the EU programmes. Talks with representatives of MRD will be a significant supplementation of the programme intervention logic. The conducted talks will allow determination of factors which may affect the efficiency and effectiveness of implementing K-P ROP 2014-2020,

mainly related with parallel preparations of national strategic documents for perspective 2014-2020, but also resulting from experiences of the programming period 2007-2013. The interviews will also serve as ex-ante evaluation of other external conditions, which to a large extent cover the evaluation of impact of national regulations.

The interviews will be conducted in **August 2013**.

Table 4. IDI Ministry of Regional Development - potential respondents

	Representative	Authority	Scope of competence
1	Agnieszka Dawydzik Director	Department of structural Policy Coordination, Ministry of Regional Development	Formulating key directions of directions for development policy, executing tasks within coordinating structural policy, regional and spatial development policy, municipal policy
2	Paweł Chorąży Director	Department of European Social Fund Management, Ministry of Regional Development	Efficient and effective utilisation of EU funds dedicated to development of human capital
3	Ewa Wnukowska Director	Department of Coordination of Regional Programmes and Digitalisation	Coordination of management of 16 ROP's, coordination of implementation of voivodeship contract concerning implementation of 16 ROP's, coordination of process of negotiations with voivodeship self-governments and coordination and monitoring of their implementation, and others.

Draft in-depth interview scenario with MRD representatives is enclosed as Attachment 4.4 to the Methodological Report.

**Quantitative CAWI with potential beneficiaries of K-P ROP 2014-2020
- representatives of local authorities and institutions responsible for
implementing public policies at the regional level**

Computer-Assisted Web Interview will be conducted among potential institutional beneficiaries of K-P ROP 2014-2020.

The interview is planned for the period August - September 2013

PROBATIONARY SELECTION -LIST OF ENTITIES TO WHICH E-MAIL INVITATION WILL BE SENT TO TAKE PART IN THE INTERVIEW, WITH THE LINK TO CAWI FORM:

1. All local government units, including municipal governments (144), poviát government (23) and Kujawsko-Pomorskie voivodeship;
2. Organisational units of LCU (local government units) which have a legal status - e-mail invitations to the interview sent to municipal and poviát governments will also include the request for forwarding the link with CAWI form to organisational units of a specific LCU (snowball method will be used), in the case of Kujawsko-Pomorskie voivodeship, the invitation will be sent to the units according to the list on the website.⁸:
http://bip.kujawsko-pomorskie.pl/index.php?option=com_content&task=view&id=251&Itemid=123
3. Scientific units, colleges and universities (the invitation with the link will be sent to 22 colleges and universities (including 5 public and 17 private) and 1 scientific unit (Institute of Polymer Materials and Dyes Engineering) - the selection was made on the basis of integrated system of information on higher education POL-on (<https://polon.nauka.gov.pl/>) - full list of colleges, universities and scientific units which will be covered by CAWI is enclosed in Attachment 4.7;
4. Non-government organisations - in order to create the contact (mailing) database of non-governmental organisations from Kujawsko-Pomorskie voivodeship, the database will be used that is kept by the Office for Cooperation with Non-Government Organisations in the Marshall's Office of Kujawsko-Pomorskie Voivodeship <http://www.ngo.kujawsko-pomorskie.pl/index.php> (containing information on 893 associations, 119 foundations, 19 church organisations and 38 other entities) - e-mail invitation with the link to the study will be sent to all non-government organisations which have an e-mail address available in the aforementioned database;
5. Business environment institutions - the invitation will be sent to 59 BEI⁹ (including loan and guarantee funds, business incubators, industry and technology parks, technology transfer centres, Business Angel Networks, clusters, R&D centres, employer organisations)- the list of BEI's that will be covered by CAWI is included in Attachment 4.8;
6. Cultural institutions - the study will cover 14 cultural institutions managed or jointly managed by Kujawsko-Pomorskie Voivodeship¹⁰ and cultural institution managed or jointly managed by municipal or poviát governments - similarly to LGU's snowball method will be used (representatives of local governments will be asked to forward the invitation with the

⁸ In order to avoid doubling, excluded from the database will be the units which will participate in the study through cultural institutions or healthcare centres.

⁹ A search query of BEI in Kujawsko-Pomorskie voivodeship was conducted for the purposes of the study 'Analysis of Entrepreneurship under Regional Operational Programme of Kujawsko-Pomorskie Voivodeship for the years 2007-2013' by Agrotec Polska.

¹⁰ The list of cultural institutions managed or jointly managed by Kujawsko-Pomorskie Voivodeship is available at: http://www.kujawsko-pomorskie.pl/index.php?option=com_content&task=view&id=21647&Itemid=699

link to the study to the cultural institution); the database of beneficiaries of ROP K-PV 2007-2013 and regional component of OP KL will be used;

7. Healthcare centres - the study will cover all entities performing healthcare activities in the area of Kujawsko-Pomorskie voivodeship¹¹ whose e-mail address is available in the Register of Entities Performing Healthcare Activities¹².
8. Other institutional beneficiaries of ROP K-PV 2007-2013 and selected groups of beneficiaries of assistance under the regional component OP KL.

Mailing data will be used, that is possessed by the Contracting Authority (made available to the Contractor upon its consent) - data of beneficiaries of ROP K-PV 2007-2013 and regional component OP KL. The database will be supplemented with e-mail addresses of the other entities, which meet the criteria of sample selection, have not used funds under ROP K-PV 2007-2013 and the regional component OP KL.

In order to achieve maximum increase in responsiveness rate and in order to achieve high quality of the received information, a letter informing about the study will be sent to all entities (an important element will be a letter signed by the Contracting Authority). The entire research process will be monitored - at any time, information on the advancement of the study will be available. Moreover, the Contractor will be continuously in touch with the respondents in order to monitor the implementation of the study.

Table 5. Factors threatening the completion of research sample and the manners of eliminating them

Factor threatening the completion of the proposed sample size	Measures to minimise/eliminate the factor
Poor quality of contact database (incorrect e-mail addresses, lack of e-mail addresses)	<ul style="list-style-type: none"> • Repair measures in cooperation with the Contracting Authority (use of other databases possessed by the Contracting Authority), • Supplementing the contact database by using the Internet resources, • Reaching the representatives of beneficiaries by means of snowball method, • On-going monitoring of implementation of the assumed sample allowing early risk management.
Low responsiveness of CAWI	<ul style="list-style-type: none"> • Informing the respondents reasonably in advance about the plan to involve them- presenting the letter of recommendation from the Contracting Authority encouraging to cooperate with the evaluator (and making the evaluator credible), • Sufficient time for implementing this element of the study - the Contractor provided for appropriate time buffers, • The respondents will also be ensured about the confidentiality of the forwarded information, and at the stage of developing the results, anonymity of the presented data, • Creating a helpdesk – info-line for respondents who could encounter possible problems (technical, content-based) with completing the questionnaire, • Sending reminders and if necessary telephone contact in order to encourage respondents to participate in CAWI, • On-going monitoring of the level of responsiveness in order to take preventive measures at appropriate time. The entire research process will be monitored - at any time, information

¹¹ According to the status as at 1 July 2013, in the voivodeship there were 657 entities performing healthcare activities, including 62 providing stationary and 24/7 hospital services, 54 providing stationary and 24/7 non-hospital services and 541 providing outpatient healthcare services.

¹² : <http://rpwdl.csioz.gov.pl/rpm/public/filtrKsiag.jsf>

on the advancement of the study will be available.

**Inadequate research tool
(length, topic, scope of
questions, form of questions)**

- Adjusting the length of the questionnaire to the interlocutor's capacities.
- Attractive layout of the platform for conducting CAWI,
- Piloting the research tool prior to commencement of appropriate implementation of CAWI,
- Creation of the research tool by involving team members with extensive knowledge and experience in this area,
- Consultations of the research tool with the Contracting Authority.

Source: Own study

Draft questionnaire for CAWI among potential institutional beneficiaries of K-P ROP 2014-2020.4.2 is enclosed as Attachment no. 4.2 to the Methodological Report.

**Focus interviews
Experts for Strategic Environmental Impact Assessment
(4 interviews)**

Within the study, 4 focus interviews will be conducted with **experts for strategic environmental impact assessment (SEIA Contractor)**. The interviews will involve common discussion of persons participating the meeting and development of common solutions. As an interactive method, focus interviews will allow discovering such aspects of the explored issues which may appear during the individual interviews.

The purpose of the interviews will be to achieve coherence of conclusions and recommendations, at the same time avoiding the situation where contradictory recommendations are presented concerning changes in the operational programme (in the case of any doubts/inconsistencies, the decision on the manner and scope of implementing the recommendation is taken by the Managing Authority). After finishing the SEIA process, summary, i.e. a 'synthesis' of results of strategic environmental impact assessment will be included by the Contractor will in its final report on ex-ante evaluation as an attachment.

The first FGI will be an introduction and determination of mutual working contacts between the contractor of SEIA prognosis, two subsequent FGI during the study and evaluation, and final FGI being the summary and synthesis.

Draft scenario of FGI interview with experts for strategic environmental impact assessment is enclosed as Attachment 4.6 to the Methodological Report.

Delphi study

Delphi study will be a method supplementing the analysis of documents and expert's analyses. With reference to TOR recommendations concerning inclusion of expert groups broader than the evaluator's team, for each of the thematic objectives implemented at the level of regional operational programmes, the Contractor is planning to apply a two-stage Delphi study in which representatives of regional expert circles will participate.

The interviews will be conducted with persons who are significant in terms of programming K-P ROP 2014-2020, whose knowledge or opinion is significant in providing answers to the evaluation questions. In order to achieve reliability and credibility of the results, these will be persons who have not been directly involved in the programming process K-P ROP 2014-2020, The Contractor assumes that the study will be conducted with minimum 3 regional experts for each of the 10

thematic objectives implemented within K-P ROP 2014-2020 (n=min. 30).

The list of experts to participate in the study will be proposed by MO K-PV at a further stage of the study.

Due to the fact that there was a recommendation for creating broader expert groups while conducting ex-ante evaluation and due to the fact that the participation model of evaluation was assumed, participation of regional experts will allow provision of credible grounds for concluding on the specificity of regional operational programme logic, which may also be used in an on-going consultancy while creating specific elements of the programme.

The Delphi study will be conducted using the Internet tools. At the first stage of the study, the experts will be presented with the logic of a given priority axis (thematic objective) in the form of a scenario, and thesis for verification will be posed. The result of the first round of the study will form the source and grounds for another round. Counter-theses and opinions of the experts involved in Delphi study will be collected, in order to be presented to experts during the next stage. At that time, the opinions of study participants will be exchanged, and reference will be made to the remarks of other participants, and so-called meta-opinion will be collected,

At the methodological report stage, the Contractor is not able to present the complete tool used in the Delphi study. The theses for verification will take the form of questions 'Do you agree with the following statement (...)?''. The statements subject to revision will be determined on the basis of materials obtained at stages preceding the Delphi study , i.e. search query of documents and desk research, as well as analysis of draft K-P ROP 2014-2020.

Key research issues:

- evaluation of impact of programme implementation on the regional socio-economic situation;
- impact of other policies, strategies and programmes implemented at the EU, national and regional level on the implementation of assumptions and objectives of the programme;
- impact of other external factors related with socio-economic situation on the implementation of assumptions and objectives of the programme;
- coherence of assumptions and objectives of the programme with the most important EU, national and regional strategic objectives and the Commission recommendation.

Table 6. Combining data collection methods with research questions

	Desk research	Workshops Persons responsible for preparing K-P ROP 2014-2020	IDI Field experts	Interviews with the representatives of institutions involved in implementation of ROP K-PV 2007-2013 and the regional component OP KL 2007-2013	IDI Ministry of Regional Development	Quantitative CAWI - potential institutional beneficiaries of K-P ROP 2014-2020.	Delphi study	FGI experts for Strategic Environmental Impact Assessment
Question A	X	X	X	X			X	
Question B	X	X	X	X	X	X	X	
Question C	X	X			X			
Question D	X	X	X					
Question E	X	X		X		X		
Question F	X	X	X	X				
Question G	X	X	X				X	
Question H	X	X	X				X	
Question I	X	X						
Environmental Impact Assessment	X	X						X

We highlighted additional questions proposed by the Contractor / or resulting from additional arrangements between the Contractor and the Contracting Authority.

3 DETAILED ACTION PLAN WITHIN EX-ANTE EVALUATION

3.1 Detailed concept of evaluation procedure within the study modules

The subchapters below present a detailed scope of the research and research approach referring to specific modules and research questions.

3.1.1 MODULE I Evaluation of validity and internal coherence of K-P ROP 2014-2020

Research question A: Is the public intervention in the form of K-P ROP 2014-2020 a valid response to the socio-economic needs diagnosed in valid strategic documents at the regional, national and European level?.

According to TOR, in this part of the study, the Contractor's task, among others, will be to assess whether the identified problems are a premise for undertaking public intervention in a specific area, i.e. whether a given issue is a market failure or a significant social problem, whose solution could not be possible without the state intervention.

The objective of ex-ante evaluation is also to identify areas where the public assistance under the programme should be limited due to the risk of deadweight, ¹³). Identification of unjustified areas of assistance serves, among others, the purpose of implementing the principle of concentrating the resources on the most significant development challenges and needs.

While providing the answer to the aforesaid question, the Contractor will take into consideration the following issues:

- a) justifiability of public assistance under specific priority axes of the programme,
- b) validity of intervention in the context of socio-economic diagnosis,
- c) prioritising the socio-economic challenges and needs identified in the diagnosis,
- d) validity and relevance of analyses of socio-economic trends used in the diagnosis,
- e) validity of the proposed objectives in the context of identified socio-economic challenges and needs:
 - whether the problems (issues) presented in the diagnosis are translated in appropriate portions into the objectives of programme priorities,
 - whether specific issues have been assigned with appropriate weight
 - whether the principle of thematic concentration has been used correctly
 - whether, and if yes then why, the problems identified in the diagnosis have been omitted.

RESEARCH APPROACH

In the first step, the Evaluator will analyse whether the socio-economic diagnosis of K-P ROP has been developed validly i.e. taking into consideration the analysis of the current socio-economic trends, and whether it includes valid data. Subsequently, the Evaluator will assess to what extent the voivodeship diagnosis is complete in terms of sources of information and whether all these factors have been included therein. To this end, the Contractor will conduct a search query of scientific and research papers from the years 2004-2012 concerning ROP areas. **Gap analysis** will be conducted (i.e. whether for any reason, problems identified in the diagnosis were omitted in the programme and if so, which ones) and **balance analysis** for specific priority axes (this is the analytical technique involving the analysis of the contents in terms of: amount of objective information, evaluative expressions (connotations) as well as interpretations and references. This will allow the evaluation of the information balance for the purposes of prioritising it.).


Owing to these analyses, in the subsequent step the Contractor will evaluate whether **prioritising the challenges and needs under socio-economic diagnosis** was constructed correctly in relation to the socio-economic situation of the region. In the first place, the evaluation will focus on whether the existing and assumed socio-economic development determinants (i.e. factors, barriers) were defined clearly and then to what extent the diagnosis covers the analysis of strengthening the stimuli for development and eliminating barriers.

In the subsequent step, the Contractor will evaluate the validity of strategy in relation to the defined needs. The programme strategy comprises its objectives and priorities, through which the objectives will be achieved. At this stage, the evaluator will assess the validity of programme objectives in relation to the aforementioned needs. Application of **matrix methods** will allow an analysis of interrelations between the problems and needs defined in the diagnosis, and the objectives of specific priority axes, including the analysis of the weight of specific problems. **Matrix of adequacy of actions in each of the priorities to the identified problems** (it will be

¹³ i.e. a situation where the undertaking which benefited from assistance could be implemented as well, without the public assistance.

evaluated, in the form of a scale, to what extent the action responds to the problem identified in SWOT).

Table 7. Matrix of adequacy of actions in each of the priorities to the identified problems (template)


	Problem 1	Problem 2	Problem 3	Problem 4	Problem 5
Priority I 					
Action 1	0	0	1	2	2
Action 2	2	2	2	1	1
Action 3	1	1	1	1	0
Action 4	2	1	2	2	1
Action 5	1	1	0	2	2

Scale:

0 – does not address the problem identified in the diagnosis and evaluation of needs

1 – partly addresses the problem identified in the diagnosis and evaluation of needs

2 – addresses to a large extent the problem identified in the diagnosis and evaluation of needs

 - Action addresses the problem **directly**

 - Action addresses the problem **indirectly**

Source: own study

Within the answer to the question of applying the rule of thematic concentration we will analyse whether the thematic concept proposed in the Programme is justified in the context of socio-economic situation. **Thematic concentration** refers here to maintaining the conformity of the proposed objectives, priorities and action of the operational programme with the guidelines of the new EU coherence policy, among others in Europe 2020 strategy.¹⁴ The EU legislation package defines 11 thematic objectives and assigns investment priorities to them among which the future actions are to be focused.¹⁵

Document analysis will be the key research method - analysis of literature, analysis of results of national and foreign scientific and evaluation research, experts' opinions (using various tools, such as matrixes and tree analysis of problems and objectives - involving identification of problems and objectives, including key problems, cause-effect relationships and presentation of the correlations in the diagram). Sectorial approach will be taken within the research question A, i.e. each of the priorities will be analysed independently.

The **problem tree** will be the data analysis technique that will support analytical works at this stage. This tool will enable the team to identify and present clearly the problem areas identified under the diagnosis, which are not reflected in the strategy and vice versa - priority areas which are not directly based on the conducted diagnosis.

At the last stage of preparing the final report, a **summary workshop** will be held with participation of evaluation team members and employees of Marshall's Office of Kujawsko-Pomorskie Voivodeship responsible for preparing K-P ROP 2014-2020.

An additional method will involve in-depth interviews with employees of Marshall's Office of Kujawsko-Pomorskie Voivodeship responsible for preparing K-P ROP 2014-2020, as well as external experts involved in this process. In order to develop conclusions and recommendations, Delphi

¹⁴ European Commission, *Europe 2020 – A strategy of smart, sustainable and inclusive growth*, COM (2010)2020, Brussels, 03.03.2010.

¹⁵ European Commission, *Regulation of the European Parliament and of the Council*, COM(2011) 615, Brussels, 14.03.2012.

method will be used, i.e. structured exchange of information of broader experts' group described in the chapter below.

Research question B: Will the intervention logic proposed under K-P ROP 2014-2020 allow achievement of the development objectives?

This component is essential in ex-ante evaluation. It comprises comprehensive and mutually interrelated issues forming grounds for evaluating the justifiability of the proposed strategy.

According to the provisions of TOR, while providing answer to the aforesaid question, the Contractor will take into consideration the following issues:

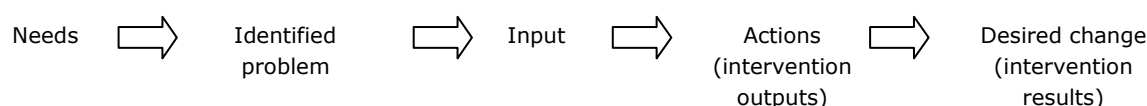
- a. an analysis and evaluation of cause-effect relationships occurring between the actions planned under the programme, their outputs and the expected results.
- b. a general evaluation of the impact of implementation of the operational programme on the socio-economic situation of the region, including probable, but not envisaged in the draft programme, positive and negative effects of the programme;
- c. an analysis of alternative manners of achieving the set objectives;
- d. the manner of applying the principle of thematic concentration (justification and coherence with the intervention logic, in particular with the programme objectives);
- e. adequacy of the size and structure of funds in terms of its coherence with challenges and needs, planned actions and set objectives;
- f. internal coherence of objectives and planned action under priority axes, and between specific priority axes in order to assess the level and scope of their complementarity, including the expected synergy effects;
- g. validity of the manner of considering the territorial dimension of the intervention and the principles of integrated approach to the socio-economic development, including in particular the interventions directed at problem areas;
- h. validity of the application of specific forms of assistance;
- i. anticipated impact of key project on implementation of objectives, priorities and programme;
- j. justification of empirical and theoretical occurrence of cause-effect relationships, on which the program intervention and priority axis logic is built (whether the program intervention logic results from generally accepted socio-economic theories and whether it is based on the empirical evidence cited in the programme, in the form of scientific research, evaluation studies, analyses, studies etc.);
- k. reality of achieving the target value of performance ratios (strategic as well as outputs and results) in the context of the proposed intervention logic, including the allocated funds, taking into consideration external factors;
 - were strategic result ratios (for the programme objectives) as well as the coherent direct result and output ratios selected correctly?
 - were intermediate and target values of the aforesaid ratios selected correctly?;
- l. impact of other policies, strategies and programmes implemented at the EU, national and regional level and other external factors related with current and forecast economic situation on the implementation of assumptions and objectives of the programme;

m. external conditions related to the operational programme, affecting its efficiency and effectiveness, including preliminary conditions (ex-ante conditionality) whose principles of application have been set out in art. 17 of the draft general regulation:

- validity of the preliminary conditions applied for the given operational programme: Will fulfilment of the proposed preliminary conditions contribute to increasing the efficiency and effectiveness of implementation of the operational programme?
- scope and extent of fulfilment of preliminary conditions: If and to what extent the condition proposed for the operational programme have been met? What are the chances of fulfilment of other preliminary conditions to be included at the planned dates (assessment of the planned actions aiming to meet these conditions)?
- other significant external conditions related to the operational programme, not included in the preliminary conditionality principle: Are there any other unfulfilled external conditions which significantly affect the effectiveness and efficiency of the implementation of the operational programme? What are the possibilities and time frames for fulfilment of other significant external conditions?

RESEARCH APPROACH

Analysis and evaluation of cause-effect relationships occurring between the actions planned under the programme, their outputs and the expected results will be based on the intervention logic model, according to which there is a cause-effect chain: identified problem - input - actions (intervention outputs) - desired change (intervention result).



The needs refer to socio-economic requirements or challenges which should be addressed by the programme. The expenditure involves financial and/or administrative resources which generate outputs and which will allow achievement of the set objectives through actions taken under the programme. The result are the most direct effects of the assistance impact, i.e. input of operating objectives in implementation of detailed objectives.

Logical matrix will be used in the analyses, showing the relations between the aforesaid elements. Subsequently, the Contractor will evaluate the validity and completeness of the showed correlations.

General assessment of the Programme's impact on socio-economic situation will involve identification of **potential and threat of occurrence of the following effects of the design interventions:**

- deadweight effect - financing the interventions, to which market gap has not been identified in the SWOT analysis,
- substitution effect,
- infiltration effect,
- leak effect.

On the basis of socio-economic analyses, theory of regional development and thematic experts' knowledge, the Contractor will also determine a possible trend of multiplier effect (additionally - supply and demand) of actions determined by the evaluated intervention logic.

According to the assumptions of ex-ante evaluation, the Contractor will pay special attention to the analysis of **alternative manners of achieving the set objectives**. Reverse Thinking Technology, will be used, which is based on the logic analysis on the basis of various paradigms and techniques allowing acceptance of different points of view from the ones assumed by the author of draft K-P ROP 2014-2020.

- Consider All Factors (CAF) technique aims to extend the perspective of perceiving the problem;
- Plus, Minus and Interesting technique allows determination of the factors or elements of the problems that are favourable, unfavourable and neutral, but worth noticing;
- First Important Priorities technique involves the selection and assessment of priorities;
- Aims, Goals and Objectives technique involves extending the perspective of action by defining objectives and creating a plan;
- Consequences and continuation technique allows an analysis of the plan by planning actions, determination of time frames for its specific stages and their consequences;
- Alternatives, Possibilities, Choices technique involves considering alternative decisions;
- Other Points of View technique aims to consider the problem from different points of view.

In order to evaluate the level of synergy, complementarity and the potential of additional effects, the Contractor will use the Venn Diagram - based on an analysis of common and separate parts of the collections of sets.

Another stage of concluding will be an analysis of the manner of applying the principle of thematic concentration, its justification and coherence with the intervention logic, in particular with the programme objectives.

The key issue under the evaluation of intervention logic will be the analysis of **adequacy of size and structure of expenditure** in relation to challenges and needs underlying the planned objectives and assumed objectives. If the resources are limited, the necessity of setting priorities and concentration is even more important. In the Programme, the allocation of financial resources for actions should be balanced and appropriate to the set objectives. This increases added value of assistance from public funds and facilitates more effective utilisation of the resources. Ex-ante evaluator will examine:

- to what extent the expenditure addresses the needs and challenges specified in the diagnosis;
- to what extent major portion of the budget is also allocated to the achievement of objectives which have a bigger impact and higher strategic importance;
- coherence between unit costs of the anticipated actions and proposed level of cost effectiveness;
- a broader picture, taking into consideration other interventions within the scope of policy and sources and assistance, in particular from other funds covered by the scope of common strategic frameworks.

Optimisation of allocation of funds for specific priorities K-P ROP 2014-2020 will be a significant input in the understanding of foundations of the programme strategy. In order to evaluate the adequacy of financial resources (level and structure of expenditure) in the context of the set objectives (quantified in the form of ratios), the quality of assumptions for system of implementation, in particular the efficiency and effectiveness of the implementation of support instruments assumed in the system and to evaluate estimated effects of the strategy, **financial and economic analyses** will be conducted, as well as external **matrix of risks related to**

achieving the set objectives with the assumed allocation. Verification of adequacy of the proposed sizes of financial allocation in terms of their validity in specific programme priorities will take place during stages. (1) During the first stage, the evaluators will review the assumed target ratio values forming grounds for measuring the efficiency and effectiveness of the programme objectives. (2) If evaluation of ratios shows that they cannot form sufficient grounds for measuring the set objectives (e.g. some ratios do not correspond to the objectives presented in K-P ROP 2014-2020, there is the lack of base and target values for specific ratios), the Contractor will verify the assumed financial allocations in relation to the set objectives in 'softer' manner, i.e. **on the basis of own conclusions, existing publications** (including experiences from the programming period 2007-2013) and the **results of in-depth interviews** with employees of Marshall's Office of Kujawsko-Pomorskie responsible for preparing the draft K-P ROP and interviews with field experts. Owing to the analyses in this respect, we will answer the questions whether the assumptions for financial projection are realistic in the context of the planned objectives and whether the achievement of the planned objectives is realistic in the outlined time limit and with the outlined executive capacities.

Another step under the evaluation will be an analysis of internal coherence of objectives and planned action under priority axes, and between specific priority axes in order to assess the level and scope of their complementarity, including the expected synergy effects (among others, in the aspect of inter-fund complementarity).

This will involve determination of positive and negative correlations in the following categories:

- **Contradictions** - i.e. examination whether the results of one action have a negative impact on the achievement of another action,
- **Competition** - e.g. offering the same group of beneficiaries the action whose use depends, e.g. on the limited resources (own contribution), and using by beneficiaries one intervention prevents them from using another one,
- **Overlapping** of the same interventions within e.g. two different actions (priorities) or within assistance under national and EU funds,
- **Gaps** in the scope of forms of assistance under the programme,
- **Neutrality** – the absence of correlation, interaction between different actions,
- **Complementarity** – i.e. strengthening mutually the implementation of actions,
- **Synergy** – determining the effect of leverage or of achieving a much broader scope of implementation of objectives than expected.

During the evaluation of coherence within the intervention logic, the Contractor will take into consideration the following examples of logic correlations:

- Specific objective (action and output) constitutes/does not constitute an input for achieving the priority objective,
- Priority objectives deliver/do not deliver justification for specific objectives (actions and output).
- Two objectives/results are strengthened.

As a result, the Contractor will conduct a **comparative study** showing the **impact level** (vertical result) allowing the classification of actions and objectives according to the following types:

1. Objectives/actions with significant impact on the achievement of results of other actions (higher than average) and low sensitivity to impact of other objectives. They may form a leverage for the intervention logic.

2. Objectives/actions whose results are strongly dependent on the efficiency/results of other actions.
3. Objectives/actions which both have a big impact on achieving the results of other actions, and they are also very sensitive to the impact of results of other actions - they are strategic objectives 'of particular importance' due to the potential of creating multiplier effects.
4. Neutral objectives/actions, not demonstrating an impact or sensitivity to other actions.

As a result of the above analyses, the Contractor will be able to present recommendations for desired reallocations of resources of changing the hierarchy of objectives and actions.

In order to implement this research area, the following tool will be used - **complementarity and conflict matrix K-P ROP 2014-2020**. It is the technique which allows examination of the mutual relation between the priorities, i.e. to what extent the actions of one priority affect the objective of another priority. Multi-scale point scale of relations between the objectives will be assumed (minus = negative, plus = positive). A negative relation is the one where while implementing objective 1, unfavourable conditions are created, hindering implementation of objective 2. A positive relation is a reverse relation.

Template matrix is presented below.

Table 8. Complementarity and conflict matrix K-P ROP 2014-2020 (template)

	Priority 1	Priority 2	Priority 3	Priority 4	Priority 5	Priority 6	Priority xx
Priority 1		+n	+n	+n	+n	+n	0
Priority 2	+n		0	-n	0	+n	0
Priority 3	+n	-n		-n	+n	+n	0
Priority 4	+n	-n	+n		+n	+n	0
Priority 5	+n	+n	-n	0		+n	0
Priority 6	+n	+n	-n	0	+n		0
Priority xx	+n	+n	0	0	+n	+n	

+n – positive impact, strengthening; **0** – no impact; **-n** – negative impact, weakening

Source: own study

This method will assist in the analysis of internal coherence of the document - the structure of the proposed directions, priorities, undertakings and actions. Owing to the matrix, the evaluators will be able to identify potential areas of conflict and complementarity. The occurrence of **semi-conflict** may mean that some types of intervention may exclude each other, or possibly have a negative impact on each other, therefore the final effect may be limited. This information will allow taking possible repair actions, e.g. by modification of the scope of some actions. An added value of the matrix, in turn, will be identification of **semi-complementarity** between specific actions of K-P ROP 2014-2020, which may indicate strengthening and implementation of broader programme assumptions.

Under another stage of the ex-ante evaluation, an analysis of **considering the territorial dimension** (regional, functional and spatial) in the selection of actions and the assumed results. It will be examined whether under the programme, developmental initiatives are planned, which will correspond to the needs observed not only at the scale of the entire macro-region, but also in the specific areas (e.g. diversified actions will be taken, corresponding to different needs occurring in urban and rural areas)¹⁶.

One of the elements of the study will also involve the analysis of conditions of using the new tool of EU coherence policy - Integrated Territorial Investment. These tools serve the purpose of implementing territorial strategies in the integrated manner. ITI allows the member states an implementation of operational programmes in a cross-section manner, and obtaining financing from different priority axis of one or more operational programmes, which will allow implementation of integrated strategy for a specific territory.¹⁷

Ex-ante evaluation will also consider **an analysis of the extent of applying an integrated approach to socio-economic development**, i.e. analysing whether the programme defines actions for development of the regions taken by entities at various management level, allowing precise adjustment of central actions to the local conditions¹⁸.

One of the elements of the study will be the analysis of **expected impact of the key project on implementation of objectives, priorities and programme**. Individual key projects are investment strategic projects in the aspect of executing the operational programme, whose implementation is very important from the perspective of the assumed socio-economic development ratios for the country, specific sector or voivodeship. These projects significantly contribute to implementation of assumptions included in National Development Strategy, sectorial policies/strategies and voivodeship development strategies.

During the analysis of the draft Programme, the contractor will verify the institutional system of the Programme in the aspect of anticipated impact of the project on implementation of objectives, priorities and programme:

- large projects (if applicable),
- key projects (individual).

To this end, the contractor will conduct expert analysis of the Programme compliance with MRD guidelines for strategic projects.

One of the elements of the analysis will be the evaluation of **justification of empirical and theoretical cause-effect relationships, on which the program intervention and priority axis logic is built**, i.e. whether the program intervention logic results from generally accepted socio-economic theories and whether it is based on the empirical evidence cited in the programme, in the form of scientific research, evaluation studies, analyses, studies etc..¹⁹ The works will be based on expert analysis of the draft programme documents.

Another step of evaluation procedure will be **verification and evaluation of realistic achievement of target value of ratios** of the implementation in the context of the proposed intervention logic in the category of risk analysis resulting from external factors which may affect their achievement.

Methodology of evaluating the value of ratios is presented below.

¹⁶ Ministry of Regional Development, *Wymiar terytorialny w dokumentach strategicznych*, Warsaw 2010.

¹⁷ European Commission, Coherence policy for the years 2014-2020: *Integrated Territorial Investments*

¹⁸ Ministry of Regional Development, *Zintegrowane podejście do rozwoju w Polsce*, Warsaw 2011.

¹⁹ including in particular, in the evaluation documents such as Evidence-based Cohesion Policy and its role in achieving Europe 2020 objectives; Conclusions from implementation of Coherence Policy in the light of analytical and evaluation works of the period 2004-2006; ex-post evaluation of the National Development Plan for the years 2004-2006.

METHODOLOGY OF EVALUATING RATIOS

Methodology of evaluating the value of ratios will be conducted during the following stages.

- During the first step, '**achievement**' sensitivity of specific ratios of output and result will be evaluated both in the context of susceptibility to external risks and dependency on the implementation stage of specific types of intervention. These factors are particularly important in the context of the necessity to achieve implementation of milestones planned in the programme document (validity of selection - whether the ratios will provide relevant information on the progress in implementation; actuality of their achievement in the specific time limit, availability of necessary data; external factors which may affect achievement of the performance ratios). Moreover, the evaluator will answer the question whether the ratios selected as the basis for making any possible financial adjustments are representative for actions taken within specific priorities.
- In the subsequent step, **ratio unit cost** will be assessed, on the basis of which the achievable intermediate and target value of output and result ratios will be calculated under the assigned allocation for specific, planned types of intervention.

The methodology of assessing the value of ratios will answer the following detailed questions:

1. Are the target values of the ratios (output and result) achievable in the context of the proposed dates, intervention logic and funds allocated for the Programme? Has their unit cost been estimated correctly?
2. Are the proposed ratio target values credible?
3. Are experiences from the current programming period used in the proposed ratio target values credible?
4. Have the proposed base values of the performance ratios been estimated correctly? On the basis of experience of the regional component OP KL of the current programming period, it may be stated that it was the key factor of low efficiency of achieving the quantified objectives.

Estimating base, intermediate and direct values of ratios monitoring K-P ROP 2014-2020 on the basis of ratio unit cost, will be effected during the following research steps:

1. Analysis of developmental trends in the specific thematic objectives and investment priorities (scenario without intervention of K-P ROP 2014-2020);
2. Analysis of development trends for specific monitoring ratios (prognosis and scenario without intervention of K-P ROP 2014-2020);
3. Evaluation of the forecast base value of monitoring ratios - analysis of time sequences;
4. Analysis of the level of saturation (organisational and external capacities) of achieving a given ratio for one project under the given type of intervention split into time limits set by the milestones;
5. Analysis of the potential for achieving one ratio by another ratio (e.g. possibility of addressing various interventions which achieve various ratios at one beneficiary under the project);
6. Analysis of the gross cost of achieving one ratio on the basis of structural benchmark, i.e. analysis of the gross cost of achieving the ratio in the financial perspective 2007-2013 taking into consideration the current prices from 2012, divided into intervention categories. Within the scope of research triangulation, the gross costs for selected ratios will also be controlled by estimates of specific beneficiaries of K-P ROP 2014-2020 on the basis of CAWI study with potential beneficiaries of local governments and other regional institutions.

7. Analysis of the net cost of implementing one ratio on the basis of participation estimates, i.e. the ratio cost with specific fixed project costs. Analysis of the net cost of achieving one ratio will be conducted separately for each type of intervention. Net cost effectiveness ratio (expenditure/ratio value);
8. The forecast for achieving the set target value of specific monitoring ratios on the basis of estimating the gross cost with a given allocation at the end of each period determined by milestones (intermediate objectives).
9. Analysis of external factors (methodology Hazard and Operability Diagram FTA – Failure Tree Analysis; ETA (Event Tree Analysis) diagram. Assessment of risk by means of reverse transformation model or variation reduction model (depending on the thematic and identified threats).
10. Recommendations concerning the types of intervention and methodologies of achieving the ratios within the specific investment priorities;
11. The forecast for achieving the assumed values of ratios at the Programme level. Assessment of reality of achieving the set value of ratios for specific years of Programme implementation. Evaluation potential of the ratio system with the planned allocation.
12. Ex-ante estimate of the net effect of K-P ROP 2014-2020.

Impact of other policies, strategies and programmes

The issue subject to assessment under ex-ante evaluation of K-P ROP 2014-2020 **will be meeting the ex-ante conditions**. The EU principles,²⁰ provide that if they are not met prior to commencing the implementation of programmes, it will be necessary to include action schedules in the operational programmes, aiming to fulfil them by the end of 2016. If by that time the conditions are not met, the Commission will be entitled to suspend payments for the specific programme until the moment of meeting the conditions or until the moment of shifting funds for these programs, for which all the relevant prerequisites have been met.

In the draft general regulation, general conditions are applicable for all interventions under CSF funds - they aim to promote the application of horizontal EU policies (combating discrimination due to disability, gender or for other reasons), correct observance of horizontal EU regulations within the scope of public assistance, public procurements, environmental impact assessment and ensuring high quality systems of monitoring, collecting and managing statistical data. Thematic conditions are related with 11 thematic areas (objectives) and investment priorities assigned to them.

According to the Assumptions of Partnership Contract,²¹ preliminary assessment whether Poland meets the prerequisites shows that in July 2013, among 40 ex-ante conditions, Poland meets 9 conditions, partly meets 19 and does not meet 14 conditions. There is not a thematic objective, for which Poland would meet all the ex-ante conditions, which, as at the present date, may mean that financing interventions in the years 2014-2020 will be impossible. The extent to which specific conditions are met will be the subject of negotiation with the European Commission, as in many cases, detailed guidelines developed by the Commission do not allow a unequivocal assessment of whether the conditions have been met.

²⁰ according to the partial opinion of the EU Council concerning the legislation package for CSF funds, adopted during the General Council session on 24 April 2012,

²¹ Programming the financial perspective for the years 2014-2020, MRD Partnership Contract (draft), draft of 12 July 2013 p. 118.

ADDITIONAL RESEARCH QUESTIONS

Research question 1: What is the potential of territorially integrated approach under the accepted intervention logic? Have relevant ITO and CLLD tools been applied? Is it possible to increase the potential of integrating the intervention logic towards the key development challenges while using these tools?

Concerning the answer to this research questions, the draft Programme will be analysed according to the provisions of the Partnership Contract²² and general rules for functioning and delegating tasks defined by MRD (MRD guidelines for application of ITO)²³. Within the scope of expert opinion, draft Programme of actions for ITO will be evaluated. The programme must include detailed intentions concerning the thematic areas and issues which will be covered by ITO. The Programme will indicate the manner in which the coherence of intervention under ITO will be guaranteed, integrated nature of projects and coordinating mechanisms ensuring this process will be maintained. An additional source document subject to evaluation will be draft Strategy of developing the functional urban area, which is envisaged in the Concept of National Spatial Management (CNSM) 2030.²⁴.

The analysis in this respect will involve 2 parts, under which the Contractor will prepare 2 written expert opinions, concerning respectively:

- evaluation of applying integrated territorial investment under ROP K-PV,
- evaluation of sub-regional undertaking mechanism application under ROP K-PV along with ex-ante evaluation of sub-regional programmes.

In this part of the study, the Contractor will also evaluate the proposals under K-P ROP 2014-2020 concerning the sub-regional undertakings mechanism. According to the assumptions of the new formula of territorial contract, this instrument will be the result of arrangements between the government and voivodeship governments - indicating the areas of strategic intervention, i.e. thematically and geographically defined fields, in the regional space.

The basis for analyses will be documents forwarded by the Contracting Authority for the purposes of:

- a) expert verification and evaluation of completeness, methodological correctness and coherence with higher level documents,
- b) formulation of conclusions and recommendations for possible modification and/or supplementing the contents of the received documents.

The documents which are necessary to evaluate ITO and application of sub-regional undertakings mechanism are as follows:

- Draft regulations of the Council and Parliament concerning future financial perspective,
- Europe 2020 Strategy,
- National Regional Development Strategy,

²² Programming the financial perspective for the years 2014-2020, MRD Partnership Contract (draft), draft of 12 July 2013

²³ General rules for functioning and delegating tasks will be determined by MRD. MRD will also coordinate and monitor the implementation of ITO at the ITO Subcommittee level, under Partnership Contract Coordinating Committee

²⁴ According to CNSM 2013, this strategy should include systematic solutions concerning the following key issues: integrated public transport system, energy-saving spatial structures (compact city, effective systems of technical infrastructure and communal management networks), revitalisation of degraded urban tissue on the entire metropolitan area, coherent investment system, in particular within the scope of road and communal infrastructure, integrated and coherent management of natural and water resources (including rainwaters), unification with spatial development plans at the meeting point of administration units, cooperation with other metropolitan areas and managing the system of monitoring data combined with the system of monitoring regional development, creating spatial and environmental databases, management of cultural resources combined with inventory of cultural heritage resources.

- Dividing line of new financial perspective,
- Draft Partnership Contract,
- MRD guidelines for application of ITO,
- K-PV Development Strategy,
- Draft K-P ROP 2014-2020
- Draft ITO Action Programmes,
- Draft Sub-regional Programmes,

Within the scope of setting out the intervention logic and ex-ante evaluation of programme logic, the Contractor is planning to conduct the analysis of **CLLD tool potential** in the specific programme axes. The Contractor will estimate the effect of integrated approach under potential operations (project bundle) in specific sub-regional areas and strategic intervention areas (SIA). As a result, recommendation package will be created, concerning the formulation of programme provisions (also at the level of Unification of K-P ROP 2014-2020), facilitating the establishment of inter-institutional partnerships based on Local Development Strategies.

3.1.2 MODULE II Evaluation of external coherence of K-P ROP 2014-2020

Research question C: Are the programme assumptions and objectives coherent with the key policies and strategies at the EU, national and regional level, in particular with the strategy Europe 2020, Common Strategic Framework and Partnership Contract, as well as National Development Strategy 2020?

While providing answer to the aforesaid question, the Contractor will take into consideration the following issues:

- coherence of assumptions and objectives of the operational programme (including the ones defined in the diagnosis of challenges and developmental needs) with the key EU, national and regional strategic objectives (to what extent the expected effects of the operational programme will contribute to the achievement of strategic objectives at different levels, including in particular the achievement of Europe 2020 strategy objectives);
- coherence of operational programme with the EU Council recommendations specified in the draft regulation (art. 48 par. 3 (d)).

Evaluation of the external coherence should refer at least to the following strategic documents:

- Europe 2020 Strategy,
- Common Strategic Framework
- Partnership Contract
- National Long-Term Development Strategy 2030
- National Medium-Term Development Strategy 2020
- National Regional Development Strategy 2010-2020, Regions, cities and rural areas
- Concept of National Spatial Development 2030
- National Reform Programme for implementation of 2020 Europe Strategy
- Kujawsko-Pomorskie Voivodeship Development Strategy - effective and updated
- Kujawsko-Pomorskie Voivodeship Regional Innovation Strategy - effective and updated

- Other strategic documents related with the areas of assistance indicated in the programme, significant for the regional operational programme
- draft EU and national documents concerning the new financial perspective 2014-2020.

RESEARCH APPROACH

The evaluator will assess to what extent the expected **effects of the operational programme will contribute to the achievement of strategic objectives at different levels**. The evaluation of external coherence will be conducted at the level of the entire programme (main objective) and its **specific priorities** (detailed objectives).

At the first stage of works, the Contractor envisages conducting **comparative studies** of the provisions of the strategic and executive documents at the EU and national level with the provisions of drafted documents K-P ROP 2014-2020. In the analyses, the following tool will be used: – **matrixes of compatibility (coherence) of K-P ROP with the community, national and regional policies**. For each external document, a separate matrix will be developed. As a result of the evaluation procedure, the level of harmonisation and coordination of ROP will be determined in relation to general and sectorial policies at the UE, national and regional level.

The techniques of data analysis, which will allow analysing the content of documents in terms of their compatibility with the operational programme will be **cross inspection** and **linguistic analysis**. The result of applying cross inspection technique will be the development of a chart, which will specify the assumptions and objectives from the key intervention areas determined by the operational programme with references to the related objectives and assumptions from other analysed documents. An auxiliary function will be played by linguistic analysis, owing to which the contents of selected documents will be determined in a quantitative manner, among others the analysis of the most frequently occurring words and phrases, as well as analysis of concordance, i.e. what is the meaning of the key words in the document, whether the meaning is the same or it changes in the document, etc. During the second stage, the Contractor will assess the impact (interaction) of the expected effects of K-P ROP 2014-2020 on the implementation of strategic objectives of these policies.

For the purpose of the analysis and evaluation of external coherence of the programme, the Contractor will prepare diagrams illustrating the cause-effect relationships occurring between the expected programme effects and the objectives of the most important strategies at the regional, national and EU level.

Research question D: If and to what extent does the operational programme take into consideration and contribute to implementation of objectives of horizontal policies (implementation of the policies of equal opportunities, including gender equality, disabled equality, non-discrimination and sustainable development)?

While providing answer to the aforesaid question, the Contractor will take into consideration the following issues:

- a. The extent and scope of taking into consideration the horizontal policies in the programming process:
 - whether within the scope of preparing the diagnosis and the entire programme, principles of equality of sexes, non-discrimination and sustainable development were taken into consideration,
 - whether in the programming process, entities participated that are involved in promoting horizontal principles,
- b. The anticipated contribution of the operational programme in the achievement of objectives of horizontal policies:
 - whether within the scope of the programme, specific actions or instruments were envisaged, serving the purpose of implementing the horizontal policies,
 - what will be their expected effectiveness and efficiency,
- c. The manner of taking into consideration the horizontal policies in the process of implementing, monitoring and evaluation of the programme.

Horizontal policies are priority directions of social and economic development of the European Union. Draft K-P ROP 2014-2020 will be evaluated in the context of conformity with the basic policies: the principles of gender equality, disabled equality, non-discrimination and sustainable development.

The point of reference for evaluating the coherence of the programme with the horizontal policies will be the provisions of the draft general regulation concerning horizontal policies and the manner of considering them in the operational programme. According to art. 7 of the regulation, while preparing and implementing the programme, Member states and the Commission take relevant steps in order to prevent any discrimination due to gender, race, ethnic origin, religion or beliefs, disability, age or sexual orientation.²⁵

Principle of equality and non-discrimination

The Treaty on the Functioning of the European Union expressly stipulates that the principle of equal opportunities is one of the supreme rules determining the legal framework of EU functioning. According to art. 10 of the Treaty, EU in its undertakings will be aiming to prevent any signs of discrimination due to gender, race, ethnic origin, religion or beliefs, **disability**, age or sexual orientation. Moreover, art. 8 TFEU obliges all member states to make all efforts to eliminate inequalities and support gender equality.

The principles of equal opportunities, including gender equality, disabled equality, and non-discrimination, were considered to be mandatory at all stages of implementing structural funds. This is stated in art. 16 of the Regulation of the Council (EC) no. 1083/2006 and art. 6 of the

²⁵ The European Commission, *Regulation of the European Parliament and of the Council laying down common provisions on the European Regional Development Fund, the European Social Fund, the Cohesion Fund, the European Agricultural Fund for Rural Development and the European Maritime and Fisheries Fund covered by the Common Strategic Framework and laying down general provisions on the European Regional Development Fund, the European Social Fund and the Cohesion Fund and repealing Council Regulation (EC) No 1083/2006*, Brussels 14.02.2012.

Regulation (EC) no. 1081/2006 of the European Parliament and Council dated 5 July 2006 on the European Social Fund and revoking regulation (EC) no. 1784/1999. The EU Communication no. 2008/2171 stipulates four manners of actual implementation of the principle of equal opportunities, such as:

- Increasing awareness (in the area of discrimination, provisions on equal treatment etc.);
- Equality mainstreaming;
- Collecting and analysing data (concerning actual position of groups exposed to discrimination, aiming to estimate the scale of the discrimination and evaluation of progress);
- Applying specific positive actions.

Sustainable development

While undertaking the analysis of conformity of programmes and projects co-financed under the EU coherence policy with the principles of environment protection, two aspects of this issue should be considered. The first one involves supporting the sustainable development by means of the funds. Directly, by implementing projects aiming to reduce the negative impact of human activity on the environment and indirectly, by projects supporting development - increasing awareness and ecological attitude. Another aspect is compliance of the implemented projects with legislation in the area of environment protection. This results, among others, from art. 11 of the Treaty on the Functioning of the European Union (EU Journal of Laws C 115 9.05.2008), which stipulates that while determining the implementation of policies and actions of the EU, in particular in order to support sustainable development, environmental requirements must be considered, and then from art. 17 of the Council Regulation (EC) no. 1083/2006 stipulating that the objectives of funds are achieved under sustainable development and promoting at the Community level the objective of protection and improvement of the natural environment, as specified in art. 6 of the Treaty.

The basic classification of the principle of equal opportunities and non-discrimination concerns the following issues:

1. presence – diagnosing the needs of social categories, enumerated in the Regulation, taking them into consideration during consultations, planning, implementation and monitoring of programme and project activities;
2. access – both to financing and designing, and utilising the outputs and results of specific actions;
3. distribution/redistribution of resources - participation of social categories enumerated in the Regulation, in the programme effects;
4. security of physical and mental participation – both in designing and utilising the outputs and results of specific project interventions;
5. non-discrimination – absence of stereotypes, prejudice and project, institutional and programme practices which would discriminate the said social categories.

RESEARCH APPROACH

According to TOR, the research works will be conducted in three areas related with the main research question D:

1. The extent and scope of taking into consideration the horizontal policies in the programming process

Within this area, the Contractor is intending:

- to analyse the programming process and the scope, in which the objectives related with promoting equality and non-discrimination were taken into consideration while preparing the programme, and also whether entities involved in promoting horizontal principles participated in the programming process,
- to analyse the documents concerning programming and verify whether the above principles were correctly included in various subsections of the programme.

Within this area, the Contractor is intending to evaluate whether the principles of horizontal policies were planned at all stages of programming K-P ROP 2014-2020, i.e.:

- At the diagnosis stage - whether within the diagnosis, the most important problems and challenges were identified for sustainable development, gender equality and non-discrimination, as well as multi-level system of management, including whether the description of gender impact assessment was included and whether it was indicated how the Programme will contribute to implementation of these policies. As a result of the study, validity will be determined of SWOT analysis and diagnosis of gaps, deficits and threats/opportunities of K-P ROP 2014-2020 in the context of compliance with the provisions of horizontal policies;
- At the stage of defining objectives, priorities and actions - whether under the Programme, objectives for equal gender opportunities, non-discrimination and sustainable development and partnership, as well as multi-level management system have been planned;
- At the stage of defining the types of project interventions designated for co-financing, an analysis of cost categories will be conducted, in the aspect of their importance in the implementation of the principles of horizontal policies (an additional criterion of usability) along with indicating the gaps and deficits for building the spill over effect and increased efficiency of K-P ROP 2014-2020 in implementing their provisions. Evaluation of cost categories will be conducted in the aspect of positive, neutral or negative impact of the objectives of the policies at issue;
- At the financial planning stage - whether the amount of funds for promoting sustainable development, gender equality and non-discrimination will allow effective implementation of these horizontal policies;
- At the consulting stage - whether the Programme has been or will be consulted with other entities acting for the promotion of gender equality, non-discrimination and sustainable development.

The basic research method will be **an analysis of documents received from the Contracting Authority**. A supplementary source of data will be in-depth interviews with representatives of the Marshall's Office of Kujawsko-Pomorskie Voivodeship and external experts involved in preparing the programme in the aspect of horizontal policies.

The research works will be focused on the analysis of the contents of draft operation programme in the aspect of identification of the extent and scope of including the horizontal policies in the programme, among others by specification of actions aiming to eliminate or minimise the identified discrimination-related social problems. During the analysis of programme contents, the team will use cross inspection method, under which a table study will be prepared, taking into consideration the horizontal policies along with references to the corresponding fragments of the programme.

2. The anticipated contribution of the operational programme in achieving the objectives of horizontal policies:

Within this area, the Contractor is intending:

- During the first step, to conduct an analysis and evaluation of coherence, conformity and complementarity of programme documents of K-P ROP 2014-2020 with Community provisions on the horizontal policies at issue, analysis of structure of K-P ROP 2014-2020 whether within the scope of the programme, specific actions or instruments were envisaged, serving the purpose of implementing the horizontal policies, The following tool will be used - **matrix of conformity with horizontal policies**.
- During the next step, to evaluate the extent of K-P ROP 2014-2020 impact on achievement of objectives of horizontal policies.

Thematic areas of the analysed impact of programme actions under K-P ROP 2014-2020 on achieving the objectives of horizontal policy of equality and non-discrimination concern:

- a) labour market (establishment and termination of employment relationship, conditions of employment, promotion, trainings improving professional qualifications, remuneration),
- b) social security system,
- c) goods and services market,
- d) education,
- e) professional career,
- f) joining family and professional roles,
- g) taking economic decisions.

In turn, the thematic areas of the analysed impact of programme actions under K-P ROP 2014-2020 on achievement of objectives of horizontal policy of sustainable development will concern:

- a) sustainable utilisation of resources,
- b) stimulating pro-ecological patterns of consumption and production,
- c) sustainable energy management,
- d) reduction of emissions to the environment,
- e) reduction of ecological health risk.

In the case of infrastructural projects, related with construction and assembly works, the evaluation will comprise the implementation of the policy of preservation and protection of natural and social environment in the aspect of its impact on:

- a) the air,
- b) acoustic environment,
- c) surface waters,
- d) water and land environment,
- e) local fauna,
- f) purely natural areas,
- g) protected areas, including Natura 2000 habitats,
- h) topography and landscape,

- i) health risk
- j) material goods and cultural assets.

3. The manner of taking into consideration the horizontal policies in the process of implementing, monitoring and evaluation of the programme.

Within this area, the Contractor is intending to evaluate whether the principles of equal gender opportunities, non-discrimination and sustainable development were planned at all stages of programming K-P ROP 2014-2020, i.e.:

- At the implementation stage - whether while determining the system of selecting and evaluating the projects, policies of equal opportunities, sustainable development and partnership were taken into consideration as well as whether the composition of the Monitoring Committee assumes the participation of organisations acting for the promotion of gender equality non-discrimination and sustainable development, and also whether the selection of its members is in compliance with the principle of partnership and it reflects the multi-level system of management. The basis of analysis in this item will be the expert analysis of the provisions of the programme document.
- At the monitoring stage - whether the monitoring system ensures monitoring the ratios of horizontal policies. The following tool will be used - **ratio matrix with quasi-aggregate model for potential ratios of horizontal policy ratios**. The Contractor will indicate whether it is justified to introduce and if yes, what quality ratios should be introduced, allowing the measurement of progress of implementing the principles of equal gender opportunities, sustainable development and partnership in the Programme.
- At the evaluation stage - if the ratios measuring the ROP impact on implementation of horizontal policies cannot be obtained from monitoring system - whether obtaining such data under evaluation studies has been envisaged.

3.1.3 MODULE III – Evaluation of implementation system of K-P ROP 2014-2020

Research question E: If and to what extent the existing institutional arrangement, including human resources, are sufficient to implement the assumptions and objectives of the operational programme? What is the extent of the anticipated efficiency of undertakings planned in order to reduce the administration burdens to the beneficiaries?

The Contractor will take into consideration the following issues:

- administration potential, including human resources of the institutions involved in management and implementation of the operational programme;
- areas of risk and barriers for efficient and effective implementation of the programme;
- structures and organisational solutions within and between implementation system institutions, among others, division of competencies, coordination of actions, mechanisms of coordination and monitoring the complementarity and synergy of the effects of taken actions, internal and external communication, electronic data exchange systems, staff resources, knowledge and experience of employees (including the system of training), recruitment and selection system, incentive system, staff fluctuation, working conditions, material resources;

- evaluation of the extent of the anticipated efficiency of undertakings planned in order to reduce the administration burdens to the beneficiaries;
- analysis allowing identification of the main administration burdens in the period 2007-2013 and evaluation of the existing action aimed at reducing them.

Implementation and execution of the programme will be at risk without relevant resources, organisation and capacities related with management and administration. Similarly, if information concerning the programme is not appropriately disseminated, its availability and usefulness for the beneficiaries may be at risk, and the assistance may not reach the places which require and which are addressed by the programme - at the same time the programme results will be below optimal.

Ensuring appropriate human resources and administrative potentials necessary to manage the programme, including the anticipated cooperation between the key authorities (such as the managing authority, payment agency and monitoring committee) during the implementation of the programme and monitoring its progress, is the key and integral part of the strategy of an efficient programme and it should be subject to ex-ante evaluation.

The paradigm *New Public Management* is based on the premise that public administration must increasingly apply patterns of business organisation operation, with one reservation, that the criterion of maximising profits is replaced by cost minimising criterion, with the set level of achieving the defined objectives. According to these assumptions, new public management puts an emphasis on correct setting of objectives and monitoring the results management of finance (effectiveness), setting the standards of service, using benchmarking solutions (possibility to make comparisons on the sample of good, verified solutions) and modern management of human resources. Technical assistance measures should allow introducing positive changes in administration in accordance with the assumptions of new public management. They should also allow responding to potential areas of risk of implementing the Programme, with special consideration to fulfilment of the conditions of so-called milestones.

The main task of the evaluator in this part of the study will be evaluation of administration potential, including human resources of the institutions involved in management and implementation of the operational programme. The analysis will be conducted in particular in the aspect of areas of risk and barriers for efficient and effective implementation of the programme.

Within this scope, the analysis will cover evaluation of the concept of implementation system included in the draft K-P ROP 2014-2020, including:

- evaluation of the human resources,
- evaluation of structures and organisational and procedural solutions within the between institutions operating in the implementation system,
- determining the areas of risk and barriers for efficient and effective implementation of the programme.

RESEARCH APPROACH

Research works within the scope of **evaluation of the concept of implementation system included in the draft K-P ROP 2014-2020**, will be performed in the following steps:

- 1. Preparation of graphic diagram of programme management** – on the basis of information from in-depth interviews and analysis of programme documents, the Contractor will prepare the diagram of managing K-P ROP 2014-2020 taking into consideration the actions related with promotion, implementation, monitoring and evaluation.
- 2. Comparative study** - on the basis of information collected in the first part and analysis of the programme document, the Contractor will develop the **similarity matrix** tool which will allow identification of potential similarities in the processes of implementing ROP in the current and

future programming period. This will allow determination of the extent to which the experiences from the financial perspective 2007 - 2014 are applicable in the new K-P ROP 2014-2020. All areas of programme implementation will be considered: planning process, application and recruitment of projects, management, control, effecting payments and certification, monitoring, evaluation, promotion and information.

- 3. Evaluation of the concept of implementation system** - after developing the management diagram of K-P ROP 2014-2020, and conducting the initial evaluation of functionality of ROP management system, the Contractor will conduct evaluation of the concept of the implementation system included in draft K-P ROP 2014-2020, including the evaluation of human resources, evaluation of structures and organisational and procedural solutions within the between institutions operating in the implementation system, as well as the Contractor will determine the areas of risk and barrier for efficient and effective implementation of the programme.

To this end, data pertaining to the experiences in implementing ROP K-PV 2007-2013 and regional component OP KL will be used. The following will be conducted:

Desk research of the actual status - the basic document which will provide data on the status of employment, education of employees, remuneration, trainings etc. will be the report 'Administration potential of institutional system of National Strategic Reference Framework for the years 2007 - 2013' MRD. The report includes information on the selected aspects of administrative capacity of the entities involved in implementation of operational programmes in the years 2007-2013. Owing to systematic collection of data, the document describes changes observed in the potential of institutions. We assume that additional data will be obtained from documents received from the Contracting Authority or obtained independently by the Contractor from persons involved in implementation of ROP K-PV 2007-2013 and the regional component OP KL 2007-2013.

The Contractor will analyse the available reports and studies concerning administration restrictions for beneficiaries of ROP programme and other documents co-financed by the EU funds. The process of evaluation within this scope will be preceded by a detailed analysis allowing identification of the main administration burdens in the period 2007-2013 and evaluation of the existing action aimed at reducing them. In order to identify the areas of risk and barriers for efficient and effective implementation of the programme and collect data on the evaluation of the existing actions directed at reduction of administrative burdens, the Contractor will conduct CAWI with potential beneficiaries of K-P ROP 2014-2020 - representatives of local authorities and institutions responsible for implementing public policies at regional level

Reports will also be used as well as results of the existing evaluation studies, where we will identify barriers for efficient implementation of K-P ROP related with the system of implementation and potential of institutions. In order to classify data, it will be gathered in the prepared matrixes. The **meta-evaluation** method will also be used, involving the review of the existing evaluations (ex-ante, mid-term, ex-post) under which the administration potential of these institutions has already been assessed.

Collecting supplementary data - not all information will be available through document analysis, e.g. evaluation of working conditions, incentive systems etc. Therefore, it will be necessary to collect the employees' opinions. In-depth interviews will be conducted with key persons in institutions, who have knowledge on the quality of management and implementation system, institutional potential and the occurring barriers.²⁶

²⁶ The units covered by the study are mentioned in chapter 2.2.

4. **Determining the areas of risk and barriers** - another step will be determining the areas of risk and barriers for efficient and effective implementation of the programme.
5. **Formulating recommendations** – on the basis of results of works in the first and second part, it will be necessary to formulate guidelines for supplementing and modifying the description of the programme in the part concerning the implementation structures; where possible, the Contractor will propose specific provisions which should be included in this part.
6. **Workshops** - presentation of results of analyses, conclusions and recommendations will take place during the workshops with participation of evaluation team members and employees of Marshall's Office of Kujawsko-Pomorskie Voivodeship responsible for preparing K-P ROP 2014-2020 and representatives of teams/focus groups appointed at MO KPV. As a result of discussions, provisions of the Final Report will be adjusted.

Research question F: Do assumptions of operational programme allow efficient and effective implementation of monitoring and evaluation processes?

While providing answer to the aforesaid question, the Contractor will take into consideration at least the following issues:

- validity, transparency, statistical credibility, aggregation, availability, reliability of performance (output and result) ratios;
- selection of ratios (and their value) for the evaluation of implementation of milestones (validity of selection - whether the ratios will provide relevant information on the progress in implementation; whether their achievement is realistic in the specific time limits; evaluation of availability of necessary data; external factors which may affect implementation of the result ratios; whether the ratios selected as the basis for making possible financial adjustments are representative of actions taken under specific priorities);
- methods allowing timely delivery of relevant scope of data, among others, for the purpose of annual statements;
- sources and methods of generating data and methods serving the purpose of ensuring high quality of obtaining data;
- the needs in the area of access to data necessary for efficient implementation of the evaluation process, in particular for the ethologically advanced evaluation studies conducted among others by means of counteract methods (identification of information gaps within this scope and suggestions for the manner of obtaining necessary data);
- human resources and institutional potential, system of monitoring and evaluation (areas of risk and barriers for efficient and effective implementation of monitoring and evaluation processes).

Efficient system of monitoring and evaluation is the basis condition for implementing the principle of **result-oriented coherence policy** and as such, it should be the object of special interest within the process of ex-ante evaluation of operational programmes.

In the programming period 2014-2020, a significant shift of emphasis occurs from the report on spending funds to providing information on the effects of implementing public interventions under the coherence policy. This is reflected in the provisions of draft general regulation and guidelines of European Commission for monitoring and evaluation, including among others the scope of reports, which should comprise reliable results of evaluation studies.

In this context, of particular importance is evaluation of methods allowing timely delivery of relevant scope of data, among others, for the purpose of annual statements. The analysis should

also cover the sources and methods of generating data and methods serving the purpose of ensuring high quality of obtaining data.

Demonstrating and increasing the efficiency of the policy depend on appropriate monitoring and evaluation. Therefore, within the scope of the Programme, analysis of the needs related with monitoring and evaluation and the prepared description of the system of monitoring and collecting data, as well as the evaluation plan.

The monitoring and evaluation system should provide valid information on the progress in implementation of the programme and its achievements, as well as allow assessment of impact, effectiveness, efficiency and importance of the implemented interventions. In order to achieve these objectives, information on the implementation should be recorded, stored and grouped in accordance with various needs for information. In the monitoring and evaluation system, the list of common and programme-specific ratios is determined, referring both to the starting point and the financial implementation, outputs, results and impacts of the programme.

RESEARCH APPROACH

One of the elements of the study within Module III will be evaluation of the ratio system. Methodological approach is presented below, which will be used in this area. The scope of analyses is strictly related with works performed under Module I (methodology of evaluation of ratio values).

METHODOLOGY OF EVALUATION OF RATIO SYSTEM

A holistic analysis of the ratio system will be conducted in the following steps, and with the application of the following criteria:

1. **Completeness** - verification of completeness of ratios, determining possible deficiencies and proposals of supplementing them (relations: output ratios for priorities -> base and target values for all objective ratios -> output ratios for priority axes -> ratios for detailed objectives -> impact ratio for the main objective);
2. **Assignment** - evaluation of impact and output ratios from the perspective of their correct assignment, i.e. differentiation between the direct effect (result) at the beneficiary and indirect effects for the region (impact);
3. **Formal justification** - evaluation of ratios from the perspective of their formal justification, i.e. verifying whether there is a scientific relationship between the measured value of a phenomenon and the condition of a given system and whether there is a cause-effect relationship between outputs, results and impacts;
4. **Internal coherence** - evaluation of the ratio from the perspective of their internal coherence, i.e. verification of possibility of synthetic evaluation of effects of K-P ROP owing to the completeness, interdependency and similar ratio detail level;
5. **External coherence** - evaluation of ratios from the perspective of their conformity with the ratios used in prevailing programmes and correlative programmes;
6. **Realistic target values** - evaluation whether the proposed ratio target values are realistic. Due to long programming period and absence of reliable forecasts for economic situation of the country, EU and world, most of the impact ratios should be of dynamic nature.

Analysis of specific ratios will be conducted using SMART method, which means that each ratio will be analysed in terms of the following criteria:

1. **Specific** it should be considered whether a given ratio is specific, i.e. accurately described and correlated with specific problems, and constructed in a simple manner.

2. **Measurable** it should be considered whether a given ratio is measurable using relevant tools
3. **Available** it should be considered whether a given ratio is available, i.e. the information necessary to measure the ratio will be available during the implementation of the project at acceptable costs.
4. **Realistic** it should be considered whether a given ratio is realistic, i.e. feasible using the available resources,
5. **Timebound** it should be considered whether a given ratio is timebound, i.e. time limit should be determined, in which the set value of the ratio will be achieved, as well as frequency of its measurement.

Within the scope of the first ex-ante analysis, adequacy of output ratios will be evaluated in relation to specific types of intervention and objectives of priorities and specific actions. The adequacy will be assessed in terms of aggregation of ratios at the level of actions and priorities to the programme ratios and impact ratios. The level extent of capacity of output and result ratios will be assessed for monitoring the progress of achieving objective. The level of completeness of measurement of objectives will be evaluated, by the selected ratios i.e. their monitoring and evaluation potential. The experiences of the current and previous programming period of the structural funds indicate the lack of full quantification of objectives by monitoring ratios in specific regional operational programmes.

Apart from applying SMART methodology, the Contractor will conduct a logical analysis in the objective and problem tree in order to obtain information on the scope of measurement of the specific objectives and the main objective of the regional operational programme by the used ratio system. Taking the assumption that the selection of ratios should correspond to the assumed intervention logic, the Contractor, apart from developing the ratio aggregation matrix will also analyse their scope and mutual impact within one type of ratio in three categories of: coherence, contradiction, neutrality and complementarity or synergy of specific ratios.

In the next research step, the Contractor will evaluate correlations between the output and result ratios in the categories of coherence, competitiveness, contradictions, neutrality, complementarity, or synergy of specific ratios. Potential of obtaining result ratio within specific output ratios will be evaluated.

In order to evaluate the system of ratio and the evaluation of reality of achieving their target values, the following analytical techniques will be used:

- Ratio **aggregation matrix** will be used to evaluate the impact and result ratios from the perspective of their correct assignment, i.e. differentiation between the direct effect (result) at the beneficiary and indirect effects for the region (impact), and also to evaluate their conformity with the ratios used in high-rank programmes and correlative programmes;
- **Ratio coherence matrix (SMART model)** – evaluators will assess single output, result and impact ratios of specific priorities according to SMART methodology. Expert opinion will involve assigning appropriate number of points to each ratio according to 5 SMART criteria. After verification of all ratios for the priorities, the Contractor will conduct a comprehensive evaluation of ratio system.

One of the effects of the analyses will be indicating useless or inadequate ratios. As a result of the developed recommendations, the managing authority will be able to make necessary corrections in the proposed ratio sets. This will be important, among others, for the future mid-term and ex-post evaluation of the programme.

Works in this research area will be based mainly on expert analysis. Desk research will be used and document, among others monitoring and reporting documents from the current reporting period, evaluation reports and other ROP K-PV 2007-2013. The supplementing method will involve in-depth interviews with persons responsible for preparing K-P ROP 2014-2020

The evaluators will consolidate the conclusions referring to the evaluation of single ratios and the entire system, and subsequently they will develop appropriate recommendations. Conclusions and recommendations will be discussed during the workshop with the participation of evaluation team members and employees of Marshall's Office of Kujawsko-Pomorskie Voivodeship responsible for preparing K-P ROP 2014-2020, including the members of Management of Kujawsko-Pomorskie Voivodeship.

OTHER ELEMENTS OF THE STUDY UNDER QUESTION F

The object of the analyses under ex-ante evaluation will be the following elements:

- **Usefulness of ratios of the system of monitoring and reporting and evaluation**

Ex-ante evaluation should guarantee that there is a relevant system in place, allowing registration, storing and reporting statistical information on implementation of the programme, necessary for monitoring purposes. Therefore, the object of the analysis under the study will be:

- Methods allowing timely delivery of relevant scope of data, among others, for the purpose of annual statements,
- Sources and methods of generating data and methods serving the purpose of ensuring high quality of obtaining data,
- The needs in the area of access to data necessary for efficient implementation of the evaluation process, in particular for the methodologically advanced evaluation studies conducted among others by means of counter fact methods (identification of information gaps within this scope and suggestions for the manner of obtaining necessary data);

- **Quality of monitoring system**

The object of the analysis will be assessment whether the monitoring system is reliable, allowing efficient management, compatible with other monitoring systems at the national level and with data processing systems at the EU level, as well as sufficiently flexible to satisfy different demand for information (which is not fully known at the stage of ex-ante evaluation). The evaluator's task will be to assess the usefulness of the programme monitoring procedures and gathering data necessary to conduct evaluations, as well as the contents of evaluation plan and to assess whether relevant resources have been assigned to satisfy the identified needs. Under ex-ante evaluation, a question will be asked whether there is an appropriate programme which allows registering, storing and reporting information necessary for the purposes of monitoring, as well as whether there are appropriate procedures and the data is gathered in order to collect and store key information for the purposes of evaluation (e.g. ratios that are common and programme-specific), according to the evaluation plan.

- **Human resources and institutional potential, system of monitoring and evaluation**

The monitoring and evaluation system will be analysed in terms of quality of human resources and institutional potential. The analysis will be conducted in particular in the aspect of identifying the areas of risk and barriers for efficient and effective implementation of the monitoring and evaluation processes.

- **Implementation of evidence based policy**

Moreover, the evaluator will assess whether the assumptions of the operational programme allow implementation of evidence based policy (among others, whether within the programme, actions

were envisaged, involving conducting analyses, evaluations, studies, expert opinions for the purposes related with implementation and evaluation of the operational programme).

Works on the report within this thematic scope will be conducted on the basis of available documents and experts' knowledge.

During the first step, the Contractor will conduct a comparative analysis (using the similarities matrix) of the monitoring and reporting system of the existing and future ROP (within the scope allowed by the provisions in the draft documents). This will allow determination of the extent to which the experiences from the financial perspective 2007 - 2014 may be applicable in K-P ROP 2014-2020.

The basis for evaluation will be the desktop analysis (among others, conclusions from the existing evaluations of ROP K-PV 2007-2013) and in-depth interviews with persons responsible for monitoring, reporting and evaluation system of ROP K-PV 2007-2013. Requirements will be considered, which will have to be met by these systems in the operational programmes in the new perspective 2014-2020.

As a result of the analysis, strengths and weaknesses of the planned system of monitoring and evaluation will be described, as well as the plan of Programme evaluation and threats and opportunities for its correct operation. The analysis will be the starting point for formulating conclusions and recommendations for the system.

Within the scope of module III of ex-ante evaluation, the Contractor will also **prepare an initial concept of evaluation process of the operational programme**, which will be used by the Managing Authority to prepare the Evaluation Plan of K-P ROP 2014-2020.

According to the guidelines of the European Commission, the evaluation plan should include:

- ☐ list of topics of evaluation studies along with their justification,
- ☐ methods to be used along with determination of the needs for data,
- ☐ methods of ensuring the delivery of relevant scope of data for the purposes of evaluation,
- ☐ schedule of evaluation process,
- ☐ methods of communicating the evaluation results,
- ☐ human resources,
- ☐ budget,
- ☐ plan of trainings.

RESEARCH APPROACH

Works under Module III will involve **an expert analysis** and they will be based on the **conclusions from the previous three modules** of the study, in particular analyses concerning the programme performance ratios and evaluation of assumptions of K-P ROP 2014-2020 in the aspect of monitoring and evaluation processes.

The initial concept of evaluation process will be strictly related with the programme intervention logic and it will include, inter alia:

- thematic scope of the evaluation,
- schedule of evaluation implementation,
- justification of the evaluation,

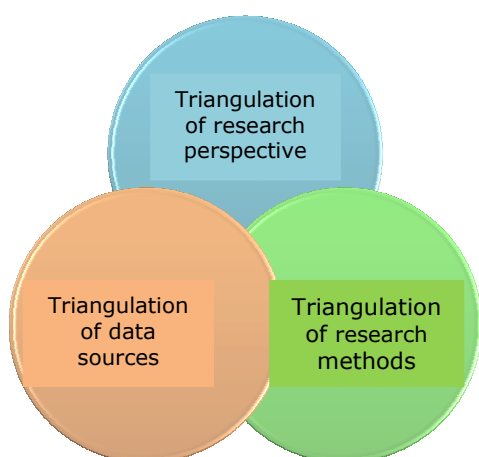
- methodological proposals for specific studies along with determination of the needs for data,
- indicating the barriers in obtaining data and manners of overcoming them (in particular for the needs of implementation of evaluation studies using counter fact methods).

The ex-ante evaluator will also verify whether the evaluation plan is complete and in relevant cases, the evaluator will present proposals for improving its quality. The evaluation plan should meet the minimum requirements and be sufficiently precise and comprehensive, in order to determine actions concerning the evaluation.

3.2 Description of the manner of ensuring the standards of reliability and controlling the quality of actions conducted under the study - with reference to the data collection, analysis and interpretation process.

Triangulation

A reliable analysis will be guaranteed by using a multi-dimensional triangulation. In this study, the triangulation has been used at the level of:



- **methods** a set of research methods in this study is comprehensive and mutually supplementing, owing to which both qualitative and expert information will be obtained. Various techniques of gathering information and its analysis will allow better understanding of the object of the study, and they will create an opportunity to make references and comparisons. At the same time, information gathered at specific stages of the study will allow improvement and specification of the research tools;

- **data sources** - the study covers groups of respondents indicated by the Contracting Authority in TOR and the ones proposed by the Contractor.

- experiences and viewpoints of the research team members - the team is composed of persons who have experience in implementation of qualitative studies and evaluations whose scope overlaps the study at issue.

A triangulation model is presented above, as a graphic diagram, and it will be used in the evaluation.

Taking into consideration the scientific knowledge

Document analysis will be the key method applied in this study. Therefore, at all stages of implementation, the Contractor will refer to the existing scientific knowledge concerning the object of the study. To this end, at the stage of preparations, the Contractor will become acquainted with the context of the study (list of the used literature is presented in the bibliography, in appendix no. 4.1), in order to adjust the methodology to the identified needs in the best possible manner. The

due analysis will use available publications (both scientific works and reports, expert opinions etc.) and valid data concerning the region.

The manner of recording qualitative data

Prior to commencement of the interviews, the evaluators will request that the respondents express their consent to the interview being recorded by means of a voice recorder. If such a consent is given, the interview will be recorded, and the recordings will be stored by the Contractor.

However, previous Contractor's experience shows that recording the interview is uncomfortable for majority of the respondents, therefore taking notes is envisaged, and subsequently preparing the report which summarises the interview. Notes from the interviews will be gathered by the Contractor.

The collected qualitative data will be subject to analysis conducted on a multi-level basis, and it will be used as an element for developing conclusions and recommendations in the final report. It will also form grounds for subsequent stages of the study.

Sequence of the study

The care about due quality of research tools and works will be reflected in the schedule of evaluation. The following order of the study is planned:

1. Prior to commencement of field studies, data bases and documentation will be obtained, necessary to conduct the evaluation in a reliable manner.
2. The team will be acquainted with the available documentation concerning the object of the study, which will allow developing research tools - qualitative study scenarios.
3. Field studies (qualitative studies and expert panels) will be supplemented on an on-going basis with conclusions from the on-going analysis of documents.
4. In the subsequent step, analyses were planned, whose results will allow development of an initial version of the Final Report.

The sequence of works presented above excellently matches the practice of our completed studies, where team members make thorough preparations for specific elements of evaluation so as to ensure high quality of results and adequacy of recommendations.

Evaluation standards

The entire study will be conducted in accordance with 'Evaluation Standards'.²⁷ of the Polish Evaluation Society, where there are also provisions obliging the evaluators to care about maintaining the reliability of research tools and works.

3.3 Organization of cooperation with the Contracting Authority and execution of the study

The method of cooperation with the Managing Authority

The process of conducting the programme evaluation will require a lot of flexibility on the part of the Contracting Authority and Contractor as well as their constant readiness for partner cooperation. The research team will assist the Managing Authority at all key stages of the programme preparation.

The evaluation will comprise not only one document - draft programme, but also subsequently

²⁷ Evaluation standards are available at www.pte.org.pl

developed fragments of the programme. The process of creating K-P ROP 2014-2020 will be affected by various factors, which are within and beyond the control of the Contracting Authority. Occurrence of such factors will also affect the schedule of evaluation and consulting schedule. Factors beyond the control of the Contracting Authority comprise implementation of guidelines and regulation of MRD (including national operational programmes for the years 2014-2020) and European Commission **1**. Occurrence of these new elements will have impact on the Programme. Moreover, determination of the financial framework **2** will cause that it will be possible to include in the programme the provisions on allocation and indicative financial plan.

The schedule of new elements is difficult to predict, therefore it is important to maintain flexibility on the part of the service Consultant - we are aware that K-P ROP will be supplemented by new provisions and the current contents will be modified or supplemented, which will be subject of an on-going consulting and evaluation process.

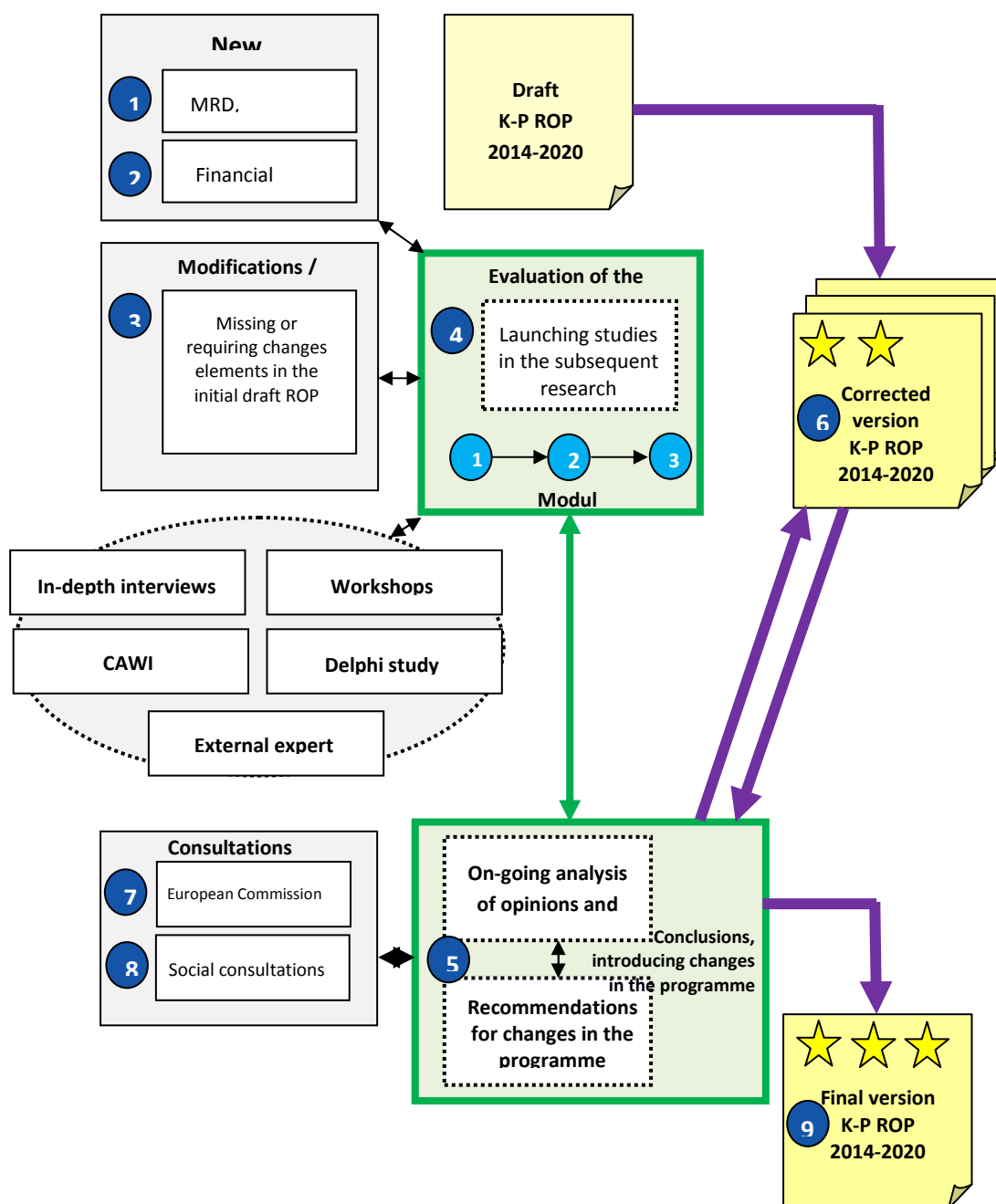
Another issue affecting the necessity of changes and supplements in the programme will be missing/required changes, elements in the initial draft K-P ROP 2014-2020, identified and verified together with the Contracting Authority at the first stage of the study **3**. Identification and subsequently developing these elements will be effected under evaluation in specific modules of the study **4**. At this stage, field studies will be conducted, planned under the evaluation, comprising, among others: IDI, focus interviews, CAWI, Delphi study etc. Opinions and other information obtained under these studies will be subsequently subject to a detailed analysis, which will allow developing recommendations concerning new contents of ROP **5**, which the Contracting Authority will be able to introduce to the Programme **6**.

In the evaluation process, consultations were also taken into consideration, in the form of group interviews with the contractor of strategic environmental impact assessment. Their objective will be to unify the conclusions and recommendations concerning changes in the operational programme. The results of this analysis will be presented in the final report, in the form of an appendix.

One of the elements of the study will be including in the recommendations for changes in ROP, conclusions from negotiations between the MA with the Commission **7** and social consultations **8**. In both types of consultation meetings, at the request of the Contracting Authority, representatives of the evaluation team may be present.

On-going cooperation between the team and the Contracting Authority:

- Throughout the period of evaluation study, on-going cooperation will be maintained, as well as evaluation and counselling concerning development of specific elements of the programme. The contact with the Contracting Authority will be maintained under meetings organised as necessary, telephone and/or via e-mail).
- The Contractor will inform the Contracting Authority on an on-going basis of the status of works, occurring problems and other issues which are significant in the aspect of conducting the study. The team will also prepare a weekly work progress report, which will be sent to the Contracting Authority via e-mail.
- Moreover, the Contractor undertakes to maintain continuous cooperation with persons responsible for preparing the programme within the scope of dedicated workshops. Representatives of the research team will also, as necessary, participate in meetings of the group supporting works on the new K-P ROP 2014-2020.

Figure 3. Consulting and evaluation service provision diagram

Source: own study

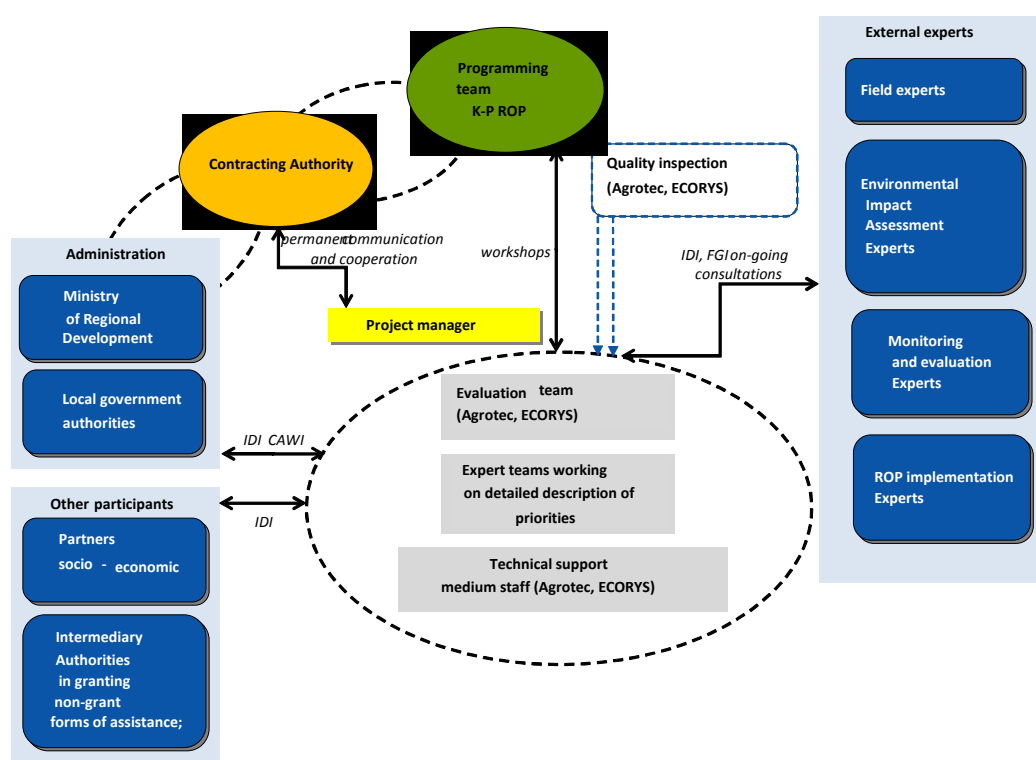
In the final evaluation report, final recommendations will be formulated, referring to draft ROP (version after supplementations as a result of consultations). We assume that most of the recommendations developed by our experts will be taken into consideration in draft ROP already during the counselling service, but additional hints may appear in the final report on ex-ante evaluation. They will be a point of reference in developing the final version of ROP **9** by the Contracting Authority. Along with the final report on the study (in the Polish and English version) evidenced primary data will be delivered to the Contracting Authority (transcripts/notes from interviews, completed questionnaires etc.) received in the research process, presentation with the

study results.

According to the guidelines and good practices, ex-ante evaluation should be an interactive process, in which the experts implement specific evaluation components as the program preparations are progressing. In order to implement this difficult and complex process correctly, a broad group of persons involved in the study (coordinators, experts) is necessary. Appropriate selection of **human resources** (profile, competences, education, skills, experience, psychosocial features) necessary to conduct a given evaluation should result from its **scope** (thematic, organisational).

While implementing this assumption, on the basis of the accepted research concept and evaluation scope, the Contractor divided the tasks. The structure of research team is shown in the diagram below.

Figure 4. Structure of research team



Source: own study

The main person responsible for communication and cooperation with the Contracting Authority will be the project manager. The manager's tasks will also involve management of the team and coordinating actions related with rendering consultancy service and ex-ante evaluation (research works, analyses, distribution of tasks among the thematic area coordinators). The manager's role was assigned to the person with profound knowledge and experience in managing the teams implementing research projects.

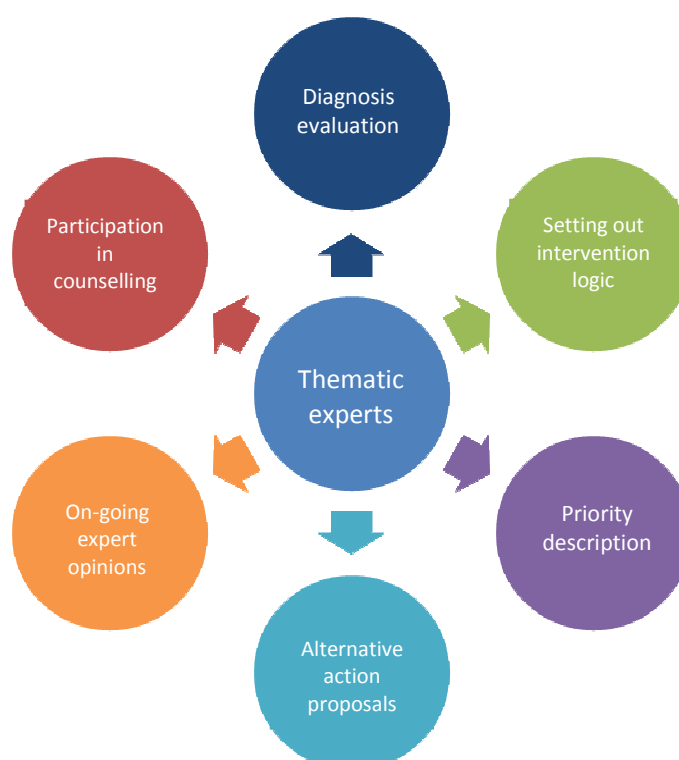
Due to complex scope of the service, multitude of research topic, members of the research Team will be working in teams. The following groups will be formed:

Evaluation team - will be composed of persons with experience in implementation of evaluation studies, including ex-ante evaluations. Their role will be conducting studies under the service (in-depth interviews, Delphi study, problem tree etc.), preparing conclusions from consultations, recommendations and the final report on evaluation. Their role will also involve supporting the

thematic experts and leading the works in such a manner that specialist knowledge of thematic experts could be translated into creation of useful outputs from the Contracting Authority's perspective. The evaluation team, throughout the programming process will be cooperating with the programme team of K-P ROP 2014-2020 (the contact may be direct between the Contractor and representatives of the programme team, or direct through the study manager).

Expert teams working on detailed description of priorities composed of experts with profound knowledge and experience in a given area resulting from ROP scope. Bearing in mind that the consultation process will be dynamic and it will be a response to current Contracting Authority's needs, thematic experts will be able to work individually (elements of expert opinion) or in other subgroups, as necessary. Each team will have a team leader responsible for overall works. Participation and cooperation with thematic experts is presented in the figure:

Figure 5. Participation and cooperation with thematic experts



Source: Own study

Every time the Contracting Authority turns to the Contractor concerning the expert opinion or consultancy, the Contractor will conduct an analysis of a specific issue in order to determine which evaluation and expert team is necessary to provide exhaustive answer to the issue at question. In the next step, a person responsible for supervision of processing a specific issue will be appointed, and work flow diagram will be prepared, manner of cooperation and expectations concerning the work input of all the persons involved in a specific issue. At the same time, throughout the period of evaluation, the Contractor will be using the expert team every time when the topic will be evaluated, covering the scope of specialist knowledge of a given expert.

In the structure of the Team rendering the service, there will also be persons responsible for **technical assistance** of the evaluators' team, i.e. organising meeting, arranging interviews etc..

The supporting function will be played by the **quality controller**. The controller's role will be cooperation with the evaluation manager, reviewing the reports and other outputs, analysing them in terms of coherence and completeness. The team will also comprise coordinator of actions related with the conducted environmental impact assessment, i.e. a person responsible for cooperation and

exchange of information with the contractor of strategic environmental impact assessment, supervision over taking into consideration current results of strategic environmental impact assessment in ex-ante evaluation.

Schedule and division of tasks

Ex-ante evaluation will involve mainly analysis of the contents of strategic documents at regional, national and EU level, being currently in the phase of preparations. The schedule of new elements (e.g. final versions of national operational programmes) is difficult to predict, therefore it is important to maintain flexibility on the part of the service Consultant - we are aware that K-P ROP will be supplemented by new provisions and the current contents will be modified or supplemented, which will be subject of an on-going consulting and evaluation process. An important element of the study is also the process of collecting and on-going analysis of **opinions of experts and other study participants, whose completion date is strongly related with mobilisation and time limits set by respective respondents.** At this stage of preparations, both of the above elements significantly hinder determination of detailed schedule of completing of the planned tasks.

Persons constituting the research team are presented below, along with the role assigned in the project. The table includes symbols which will be used within the scope of developing the schedule of works and distribution of works in the project.

Table 9. Research team - list of persons and their roles in the project

Full name	Role in the project	Symbols
Agnieszka Rudolf	Evaluation Manager	AR
Marta Cichowicz-Major	Evaluation and Research Methodology Expert	MCM
Prof. nadz. dr hab. Edward Stawasz	Entrepreneurship and Innovation Expert	ES
Prof. dr hab. Jerzy Wronka	Transport Infrastructure Expert	JW
Dr Hanna Polewska-Dorozik	Transport Infrastructure Expert	HPD
Andrzej Peszel	Transport Infrastructure Assisting Expert	AP
Dr Mariusz Luterek	Computerisation Expert	ML
Dr hab. inż. Tadeusz Siwiec prof. SGGW	Environment Protection Expert	TS
Eugeniusz Koda	Environment Protection Expert	EK
Dr Halina Sobocka Szczapa	Labour Market Expert	HSSZ
Dr Agnieszka Skowrońska	Social Policy Expert	AS
Dr Dorota Mantey	Urban Policy Expert	DM
Michał Marciniak	Research Team Member - evaluator	MMAR
Paweł Pijanowski	Research Team Member - evaluator , coordinator of actions related with the conducted environmental impact assessment	PP
Marta Mackiewicz	Research Team Member - evaluator	MMAC
Cezary Gołębiewski	Research Team Member - evaluator	CG
Katarzyna Kaim	Research Team Member - evaluator	KK
Joanna Sędek	Research Team Member - evaluator, quality controller	JS
Agata Niedolisteck	Research Team Member - evaluator	AN
Ewa Dzielnicka	Expert conducting workshops with employees responsible for preparing K-P ROP 2014-2020 and representatives of teams/theme groups appointed at MO KP.V.	ED

Source: own study

Project milestones are presented below (marked with letters A-G). The deadlines of specific tasks were defined in accordance with the Contracting Authority's requirements included in TOR.

Table 10. Project milestones - date of the event and description

Milestone	Weeks from signing the contract with the Contracting Authority (date)	Description of the event
	10.06.2013	Signing the contract.
A	1 (14.06.2013)	organisation of the meeting between the Contractor and the Contracting Authority in order to determine a detailed schedule and manner of cooperation within the coordination of the evaluation and programming process.
B	2 (24.06.2013)	providing the Contracting Authority with the draft methodological report taking into consideration the proposal of the manner of cooperation within the coordination of the evaluation and programming process. <i>(in an electronic form)</i>
C	4 (08.07.2013)	providing the Contracting Authority with the final methodological report (in Polish and English) taking into consideration the proposal of the manner of cooperation within the coordination of the evaluation and programming process, as well as schedule of works) <i>(in electronic form)</i>
D	16 (30.09.2013)	Finishing field research
E	21 (04.11.2013)	providing the Contracting Authority with the draft final report on evaluation study <i>(in electronic form)</i>
F	24 (25.11.2013)	providing the Contracting Authority with the final report on evaluation study <i>(in electronic form - 10 counterparts)</i>
G	From 25 to 63 week from the moment of the decision on accepting the programme (25.11.2013-25.08.2014)	Participation in negotiations of the operational programme with the European Commission

The first task implemented within the scope of evaluation study will be developing, in cooperation with the Contracting Authority the final methodological report taking into consideration the proposal of the manner of cooperation within the coordination of the evaluation and programming process, as well as schedule of works. The task will be completed within 4 week from signing the contract with the Contracting Authority (date).

Subsequent step will be implementation of the evaluation study and preparing the final report on the evaluation. The evaluator's tasks will be based on the current cooperation, evaluation and counselling of the evaluation team within the scope of preparing specific elements of the programme. At this stage, meetings will also be held with various stakeholders of the operational programme.

Another stage of the study will be the process of cooperation with the Managing Authority concerning negotiations of the operational programme with the European Commission within 63 weeks from the date of signing the contract (until the moment of obtaining the Commission's decision on acceptance of the programme).

HARMONOGRAM W EXCELU DO WSTAWIENIA W WERSJI PAPIEROWEJ

3.4 Final report

The final output of the process of ex-ante evaluation of K-P ROP 2014-2020 will be the final report on ex-ante evaluation. The Contractor will provide the final report in an electronic form (CD-ROM) and hard copy, in 10 counterparts (max. 100 pages excluding annexes). The report should be prepared in Polish (and the final version in English) and it should have the following structure:

- (1) report summary – not more than 5 pages A4;
- (2) list of contents
- (3) introduction;
- (4) synthetic description of the used research methods;
- (5) description of the study results, among other, as separate parts:
 - (a) general evaluation of the draft programme;
 - (b) evaluation conducted under each of the modules, mentioned in part. III of TOR
- (6) conclusions and recommendations;
- (7) annexes, including, but not limited to:
 - (a) description of the scope and manner of including conclusions and recommendations (changes/improvements in the operational programme)
 - (b) methodological report,
 - (c) concept of the process of operational programme evaluation,
 - (d) synthesis of results of Strategic Environmental Assessment,
 - (e) index of references to the requirements of the European Commission.

Conclusions and recommendations will be introduced on an on-going basis throughout the entire process of evaluation in parallel with the programming process. Items (5) and (6) should be included the report in the form of a description of evaluation process (description presenting a logical sequence of conducting and the result of the study, conclusions and recommendations and the manner of considering them in the operational programme).

The final version of the report will include a separate appendix (7a), i.e. 'description of the scope and manner of including conclusions and recommendations (changes/improvements in the operational programme)'. One of the appendixes to the report will be an index of references to the requirements of the European Commission concerning the scope of ex-ante evaluation indicated in art. 48 of the draft general regulation. For each of the issues required pursuant to the draft general regulation (item (a)-(n) under art. 48] a chapter and pages will be indicated, on which the given issued is subject to an analysis and evaluation.

4 APPENDIXES

- 4.1 List of documents covered by the study**
- 4.2 Draft questionnaire for CAWI among potential institutional beneficiaries of K-P ROP 2014-202072**
- 4.3 Draft scenario for in-depth interviews with the representatives of institutions involved in implementation of ROP K-PV 2007-2013 and the regional component OP KL 2007-2013**
- 4.4 Draft scenario for in-depth interviews with representatives of MRD**
- 4.5 Draft scenario for in-depth interviews with field experts**
- 4.6 Draft scenario with experts in strategic environmental impact assessment**
- 4.7 List of universities, colleges and research units which will be covered by CAWI**
- 4.8 List of business environment institutions which will be covered by CAWI**