ACSE/URBACT II operational programme (2007-2013)

CONTRACT NO. 2010 URB 09 28

MID-TERM EVALUATION OF THE URBACT II PROGRAMME

SCHEDULE OF SPECIAL CLAUSES (S.S.C.)

AWARDING AUTHORITY:

Agence Nationale pour la Cohésion Sociale et l'Égalité des Chances (Acsé).
Etablissement Public National à Caractère Administratif
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REPRESENTED BY MR. FRENTZ, DIRECTOR-GENERAL OF THE ACSÉ

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FOREWORD: OVERALL CONTEXT

I. PRESENTATION OF THE URBACT PROGRAMME'S PLAYERS

I.1 THE STEERING BODIES

- The European Commission defines and coordinates all activities involving structural funds in the European regions. Seventy-eight percent of the budget of the URBACT programme and its projects, which are an integral part of those activities, comes from the Commission through the European Regional Development Fund (ERDF). The Commission also advises the URBACT II Monitoring Committee, where it is represented by the Policy Development Department.
It supports some URBACT projects with the [FastTrack label](#).

-The Monitoring Committee sets URBACT's strategic orientations and ensures the quality and effectiveness of its work. For example, it approves URBACT projects, decides to issue new calls for projects, oversees the projects' progress and budgets, takes all the necessary decisions to implement the programme, etc.

- In compliance with the European Union's action principles, the Monitoring Committee's activities are completely transparent. It sets up thorough validation processes with checks at various levels and times during the programme.
- Its members are two representatives from each State involved in URBACT. They meet thrice a year. The committee chairperson is elected every year. The current chairperson is Mercedes CABALLERO FERNANDEZ (Spain).

-The managing authority: the SG-CIV
The General Secretariat of the Interministerial Committee on Urban Policy (SG-CIV) is under the responsibility of the French ministry in charge of urban policy.

It is in charge of implementing the programme and ensuring that it complies with the law and European financial procedures.

For example, it sets up an information system that records and stores accounting information about each URBACT project, produces an annual and a final report, etc.

I.2 The ACSÉ- URBACT Secretariat

The URBACT Secretariat implements and monitors URBACT's main activities:
-Leading: it coordinates and manages project follow-up, capitalisation processes and dissemination of knowledge on the programme's scale.
-Communicating: it disseminates research findings and project results to urban players in Europe.
-Managing: it manages the programme's administrative and financial aspects.
The Secretariat also prepares the work of the programme's Monitoring Committee and assists it in its operations.

The URBACT Secretariat is part of ACSE (the National Agency for Social Cohesion and Equal Opportunity) and its organisation chart, appearing under the name ACSÉ-URBACT Secretariat.

ACSÉ in brief:

ACSÉ was set up by the **31 March 2006 equal opportunity law** to strengthen the government's action to help people in 2,213 disadvantaged urban neighbourhoods, promote diversity and foster equal opportunity. ACSÉ, which comes under the authority of the ministry responsible for urban policy, manages most of the government funding for those priorities.

ACSÉ also manages the interministerial fund for the prevention of delinquency and supports volunteer service programmes. ACSÉ is a national public service institution with an approximately €467-million intervention budget for 2010. It funds some 15,000 public and private organisations to carry out government-ordained missions. The prefects represent ACSÉ in the departments and regions, carry out the new measures of the "Espoir Banlieues" programmes in 2,213 disadvantaged urban neighbourhoods, develop actions to prevent discrimination and promote equality, and implement orientations set by the interministerial committee for the prevention of delinquency.
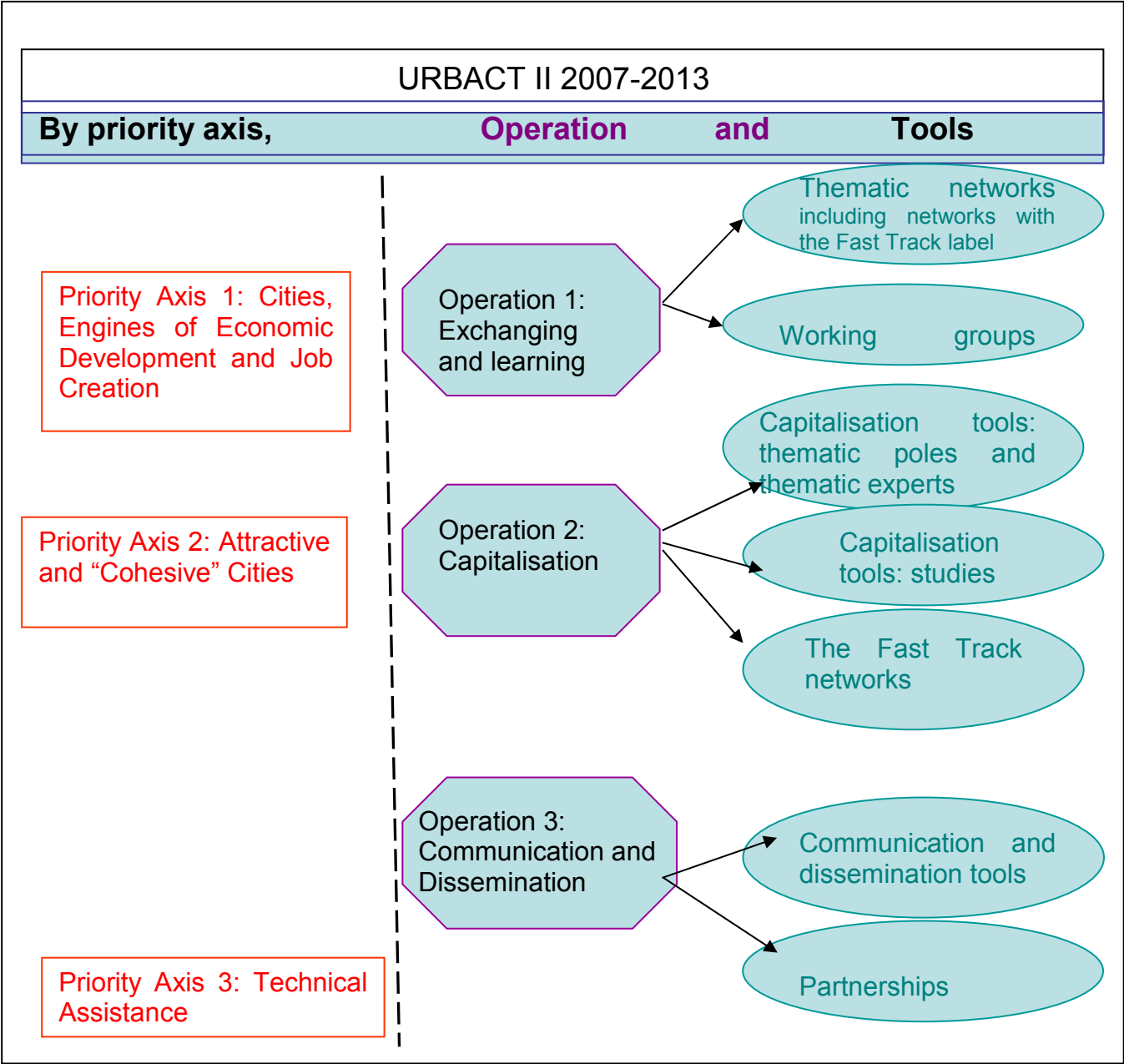
II. PRESENTATION OF THE URBACT II PROGRAMME

On 2 October 2007 the European Commission approved the URBACT II programme (decision E/2007/2063-C (2007) 4454). The goals of URBACT II (2007-2013), which continues URBACT 2000-2006, are to foster the exchange of experiences between big European cities, promote the capitalisation and dissemination of knowledge about sustainable urban development issues and boost the effectiveness of integrated, sustainable urban development policies in Europe while implementing the Lisbon-Göteborg strategy. Its missions are to:
- facilitate the exchange of experiences and learning between urban planners and policymakers;
- widely disseminate the good practices and lessons learned from those exchanges and see to it that that knowledge is transferred;
- help elected officials, professionals and operational programme managers define action plans to achieve the Convergence and Competitiveness goals.

The exchange and learning operations are carried out through the theme networks and working groups involved in the projects. The programme emphasises the quality of the exchanges' results and the broad dissemination of the lessons learned and the good practices identified, in particular in the policies developed by the partner cities.

URBACT II strengthens the capitalisation pillar by integrating knowledge based on the exchange of experiences between the URBACT partners and those developed in other programmes or similar networks.

The URBACT II programme is organised around three Priority Axes, including two that are thematic and consist of three types of operations:

URBACT II 2007-2013		
By priority axis,	**Operation and**	**Tools**

Priority Axis 1: Cities, Engines of Economic Development and Job Creation

Operation 1: Exchanging and learning

Thematic networks including networks with the Fast Track label

Working groups

Priority Axis 2: Attractive and "Cohesive" Cities

Operation 2: Capitalisation

Capitalisation tools: thematic poles and thematic experts

Capitalisation tools: studies

The Fast Track networks

Operation 3: Communication and Dissemination

Communication and dissemination tools

Partnerships

Priority Axis 3: Technical Assistance

III. THE EVALUATION'S REGULATORY FRAMEWORK

Articles 47, 48 and 49 of community regulation no. 1083/2006 of 11 July 2006 set up the evaluation's legal framework. In particular, article 48.3 defines the present programme's evaluation framework: "During the programming period, Member States shall carry out evaluations linked to the monitoring of operational programmes in particular where that monitoring reveals a significant departure from the goals initially set or where proposals are made for the revision of operational programmes, as referred to in Article 33. The results shall be sent to the monitoring committee for the operational programme and to the Commission."

ARTICLE 1 : PURPOSE OF THE CONTRACT

1.1. Mid-term evaluation of the URBACT II programme

The purpose of the present contract is to carry out a mid-term evaluation of the URBACT II programme in the framework defined by Community regulations. This external evaluation supplements the "quality control" actions carried out by the programme's Managing Authority and the URBACT Secretariat as well as the monitoring tools the URBACT Secretariat has set up to manage the programme.

1.2. The evaluation's objectives

The mid-term evaluation is a vital part of the URBACT II programme's life cycle. For the programme's Managing Authority, Monitoring Committee and Secretariat, it is a source of recommendations for the programme's potential evolution in the future (during and after the present programming period).

The goals of the mid-term evaluation are to:

1) Assess the programme's implementation and overall performance in terms of relevance, effectiveness, impact and results for all the main operations;

2) Issue proposals to improve the programme's implementation, in particular in view of the third call for projects in late 2011;

3) Produce a contribution to the proposals involving the preparation of the next programming period (2013-2020).

Goals 1 and 2 are mandatory. Goal 3 is optional.

ARTICLE 2 : CONTRACT-RELATED DOCUMENTS

The contract is made up of the contractual documents listed below in decreasing order of importance:
- the bid (DC8);
- the present Schedule of Particular Clauses (SPC);
- the schedule of General Administrative Clauses applicable to government procurement of Intellectual Services (GAC/GPIS), approved by the directive of 16/09/2009, option B;

- the successful bidder's bid.

Only original documents, kept in the agency's archives, will be considered valid.

ARTICLE 3 : PROCEDURE, FORM OF THE CONTRACT AND FORM OF NOTIFICATIONS

3.1 Procedure and form of the contract:
The present contract is a service contract based on an adapted procedure in compliance with article 28 of the government procurement code.

It is a single contract at an overall flat price.

The contract includes a firm tranche and a conditional tranche.

The present contract does not provide for compensation if the conditional tranche is not confirmed.

3.2 Form of notifications

The successful bidder will be notified of the awarding authority's decisions or information involving deadlines:
1) either directly or through a duly qualified representative in exchange for a receipt submitted by hand;
2) or by letter (registered mail with acknowledgement of receipt);
3) or by dematerialised exchanges, electronic transmission (fax, e-mail or any other electronic means) or electronic materials (the means of transmission must make it possible to give a certain reception date);
4) or by any other means making it possible to attest the date the decision or information was received.

ARTICLE 4 : TERM OF THE CONTRACT – DEADLINE FOR COMPLETION

The contract will last a total of 12 months from the date of the successful bidder's notification. The deadline for completion of the firm tranche is six months from the date of notification of the awarding of the contract. The deadline for completion of the conditional tranche is three months from the date of confirmation.

However, the successful bidder may request a deadline extension by sending the awarding authority a request in writing, including the reason for the extension request and the new requested deadline, which must be by the <u>end of the contract's term</u>. If the extension request is accepted the successful bidder will be notified in writing.

The conditional tranche, which the ACSÉ-URBACT Secretariat may or may not confirm, starts at the end of the firm tranche. The successful bidder will be notified of the decision at least one month before the end of the firm tranche.

The present contract does not provide for compensation if the conditional tranche is not confirmed.

ARTICLE 5 : SERVICES REQUESTED

The services expected in the framework of the mid-point evaluation are based on the three goals listed in the purpose of the contract (see article 1).

5.1 FIRM TRANCHE

5.1.1 Evaluation of the programme's implementation and overall performance in terms of relevance, effectiveness, impact and results

This goal is the evaluation's core, in the sense that the information and data collected in the objective's framework, as well as the analyses that will be made of them, will provide the material necessary to achieve the other two goals.
The purpose is to review whether or not the programme has achieved its goals and priorities. In particular, the evaluation will examine the relevance of the projects created, the quality of the results obtained at this stage and the impact of the programme's actions. Appendix II of the present SSC lists key issues involving the first objective that must be addressed in the framework of the mid-point evaluation.

For this tranche, the evaluation must cover the programme's five main areas of activity listed below and examine the programme's impact:

    A - Exchanges and learning (Operation 1 of the URBACT Programme)

The evaluation will focus on the application of the framework URBACT II imposes on all the partners in terms of project creation, partnerships (in particular the Convergence/Competitiveness balance), working methods (in particular Local Support Groups and the use of experts), expected products (in particular Local Action Plans), cooperation with the Operational Programmes' Managing Authorities and follow-up and support for the Secretariat and Thematic Pole managers.

The examination of the framework's implementation and effects will include the impact on the partner cities' local policies and practices.

Special attention will be focused on thematic networks that have received the European Commission's Fast Track label (see the Region DG site for more information:

http://ec.europa.eu/regional_policy/cooperation/interregional/ecochange/ftn_en.cfm?nmenu=9).

    B - Capitalisation (Operation 2 of the URBACT programme)

The focus will be the role, activity and impact of the three Thematic Poles (and Pole managers) in improving project management and producing/disseminating knowledge that is useful and transferable to other cities that are not URBACT partners.

C - Communication and dissemination (Operation 3 of the URBACT programme)

The emphasis will be on the communication strategy's implementation and effectiveness. The goals will be to show how accessible the programme is to its defined target publics (whether or not they are URBACT partners) and to ascertain the extent to which the products disseminated meet their expectations.

D - Programme management (Operation 4 of the URBACT programme)

The accent will be on the programme's administrative and financial management by including technical assistance. Special attention will be paid to the consumption of the programme's budget with regard to the initial objectives and to the means available to accomplish the tasks that must be performed with technical assistance.

E - The programme's impact (Operation 5 of the URBACT programme)

The evaluation must show the programme's impact, in particular on local integrated, sustainable urban development policies/practices, in terms of drafting and implementing those policies or, more broadly, in terms of local governance.

5.1.2 Issuing proposals to improve the programme's implementation and performance, in particular with a view to the third call for projects in late 2011

After working on those four main areas of activity, the evaluators will focus on the programme's performance in areas such as:

- o The management tools developed to implement the programme (including monitoring tools such as the indicators defined on programme level)
- o Budget allocations between the three Priority Axes (see Foreword - section II)
- o the project creation procedure (call for projects, evaluation, selection of projects)
- o communication and dissemination activities.

The evaluation will have to supply information to improve the programme's overall functioning and impact. Proposals for a possible reprogramming of the URBACT programme may be submitted. Proposals will also focus on the third call for projects by taking account of past experiences.

The evaluator will also assess the programme's initial goals, in particular whether or not they achieve the theme's objectives, taking account of shifts in the programme's context: the impact of the global economic and financial crisis, rising awareness of the effects of climate change and the need to help limit them, etc.

5.2 CONDITIONAL TRANCHE

Producing a contribution to thoughts involving preparation for the 2013-2020 programming period

The URBACT II programme's three years of experience, and the fact that it takes the 2020 European Union strategy priorities into account, could lead to proposing new tools of exchange between European cities. The evaluation might result in new avenues that could be

proposed and explored in the framework of pilot projects launched under URBACT II (in particular with an eye towards testing tools/methodologies developed in the 2013-2020 programming period). Moreover, the successful bidder will be asked to draft a report on the follow-up meetings required by n article 6.1.2 of the present SSC.

ARTICLE 6 : EXECUTION OF THE SERVICES: DETAILS, METHODOLOGY AND DOCUMENTS TO SUBMIT

6.1 Details of executing the services

6.1.1. Place where the services will be carried out:

The successful bidder must be available and mobile enough to travel in the European Union.

6.1.2. Meetings

Launch meeting

A launch meeting will take place between the successful bidder and the ACSÉ-URBACT Secretariat as soon as notification of the contract has been received. A precise work schedule and details of the work closely associating the successful bidder and the ACSÉ-URBACT Secretariat will be established during the meeting.

Meetings and follow-up while the contract is being carried out:

The successful bidder and the ACSÉ-URBACT Secretariat will hold work meetings (in person or by phone) while the contract is being carried out. In particular, meetings with the Secretariat will take place every six weeks, usually at the URBACT Secretariat.

6.1.3. The successful bidder's collaborators

The successful bidder will work closely with the ACSÉ-URBACT Secretariat, its director and the four pole managers:
- Projects and capitalisation
- Communication
- Finances
- Administration and coordination.

With regard to the successful bidder, the project manager is the one named in the bid.

6.2 Expected results and timetable

The URBACT II programme's mid-term evaluation must focus on areas of success, points in need of improvement and lessons to learn from the first implementation period. It might lead to proposed changes to the programme and/or implementation methods. The evaluation timetable, in particular the Monitoring Committee meetings scheduled for January and April 2011, must contribute to the thought and decision-making processes involving the programme's implementation for the 2011-2013 period.

On the basis of the schedule below, the successful bidder is expected to draft an intermediate report and a final report on the contract's firm tranche and a report at the end of the conditional tranche:

FIRM TRANCHE

Launch meeting	As soon as the contract is awarded
Validation of the methodology and schedule	As soon as the contract is awarded
Completion of the first phase (preliminary survey by questionnaires) Submission of the intermediate report specifying the working hypotheses (in particular, the findings of the preliminary survey by questionnaires) for presentation in the Monitoring Committee in late January Validation by the Urbact Secretariat	December 2010 Mid-January 2011
Completion of the second phase (document search, interviews, case studies)	Mid-January – End of March2011
Submission of the draft report on the firm tranche Validation by the Urbact Secretariat	Early April 2011
Presentation of the draft report findings to the Urbact Monitoring Committee	End of April 2011
Submission of the final report on the firm tranche	End of May 2011
IF THE CONDITIONAL TRANCHE IS CONFIRMED	
Completion of the conditional tranche (recommendation for the programme's next generation and changes to the evaluation report)	June-August 2011
Submission of the draft report on the conditional tranche Validation by the Urbact Secretariat	Mid-August 2011
Submission of the final report on both tranches Validation by the Urbact Secretariat	Late August 2011

The successful bidder will submit hard copies of the documents to the ACSÉ-URBACT Secretariat postal address and digital copies to t.picquart@urbact.eu

Reminder: intermediate meetings with the URBACT Secretariat will take place every six weeks to discuss the deliverables, intermediate reports and final reports.

ARTICLE 7 : VERIFICATION OF THE SUBMITTED DOCUMENTS

The ACSÉ-URBACT Secretariat will validate written forms (e-mail, fax or mail) of the documents listed in the previous article within two weeks after receiving them.

Requests for changes may be submitted as needed before the final validation of the documents. The successful bidder agrees to make them within the deadlines set by the ACSÉ-URBACT Secretariat.

The services are considered received only upon final validation of the documents by the ACSÉ-URBACT Secretariat.

ARTICLE 8 : THE SUCCESSFUL BIDDER'S OBLIGATIONS AND RESPONSIBILITIES

The successful bidder appoints a team leader to carry out the service on the ACSÉ's behalf.

The successful bidder agrees to replace any team member in charge of executing the present contract who fails to adequately carry out his or her tasks. The proposed replacement's qualifications must be at least equal to those of the team member he or she replaced and no replacement may result in a change in the services' price.

The Acsé must approve any change of the team leader and members on the successful bidder's initiative beforehand.

ARTICLE 9 : PRICE

The successful bidder agrees to carry out all the services mentioned in the contract for a **flat fee**, which is given including and excluding tax.

The price is firm and final throughout the term of the contract and appears in the bid signed by the successful bidder. It includes the completion of all the services requested in the present SSC and all the costs and expenses relating to carrying it out, in particular reprography, transport, food, lodging, secretarial services, etc.

The evaluation's estimated budget is put at €75,000 including tax and all expenses (fees, mission and travel expenses, other costs) for the firm tranche and €40,000 including tax for the conditional tranche.

ARTICLE 10 : LATE PAYMENT PENALTIES

If the successful bidder fails to meet the deadlines stipulated in the contract and the delays are not attributable to ACSÉ or a force majeure, a late payment penalty of €100 including tax per day of lateness will be charged.

However, the successful bidder may request a deadline extension by sending the awarding authority a request in writing, including the reason for the extension request and the new requested deadline, which must be by the end of the contract's term. If the extension request is accepted the successful bidder will be notified in writing.

ARTICLE 11 : INVOICING AND PAYMENT METHODS

11 .1   Invoicing methods

Payment will be made according to public accounting rules after the ACSÉ verifies the service provided and receives the invoice.

The only payment method is by bank transfer to the bank or postal account corresponding to the bank statement/IBAN provided by the successful bidder.

The government accountant in charge of payments is the ACSÉ accountant located at 209 rue de Bercy, 75585 Paris Cedex 12.

Invoices relating to the payment (one original and two copies) must be drafted in French and bear the following information:
- The contracting parties' names and addresses,
- The reference to the present contract,
- The invoice date and number,
- The services billed,
- The total amount of the service excluding tax,
- The VAT rate and amount and/or, if necessary, the intracommunity VAT number of the successful bidder's country,
- The total amount including tax.

Invoices must be sent to:

L'ACSÉ - Secrétariat URBACT

194, avenue du Président Wilson

93217 Saint-Denis La Plaine Cedex

Reminder: the currency is the euro and the price remains unchanged in the event of exchange fluctuations.

11.2   Overall payment deadline

In compliance with the amended decree of 21 February 2002 on the maximum payment deadline for government contracts and with article 98 of the Government Procurement Code, the public corporation must pay the amounts due within a maximum of 30 days from the date the ACSÉ-URBACT Secretariat receives the request for payment.

If the contract deadline is not met, the applicable deferred interest rate is equal to the main refinancing interest rate the ECB applies to its most recent main refinancing operation prior to the first calendar day of the semester of the calendar year during which the deferred interest started accruing, plus seven points.

11.3   Payment methods

Payment will be made according to the following timetable:

FIRM TRANCHE

- o   A 50% down payment will be paid to the successful bidder upon presentation of an invoice after the ACSÉ-Secretariat URBACT validates the intermediate report.
- o   The balance will be paid to the successful bidder s upon presentation of an invoice after the ACSÉ-Secretariat URBACT validates the final report on the firm tranche.

CONDITIONAL TRANCHE

- o   Payment for the conditional tranche is made in a single instalment upon presentation of an invoice after the ACSÉ-URBACT Secretariat validates the conditional tranche final report.

For accounts outside France, the successful bidder must provide the name and address of his or her bank, bank account number and corresponding IBAN and SWIFT/BIC codes.

11.4 Advance

In compliance with article 87 of the government procurement code, the successful bidder may receive an advance payment. In the bid the successful bidder must specify whether he or she waives the right to that advance. Payment of the advance is made in compliance with the provisions in article 88 of the government procurement code.

ARTICLE 12 : CHANGES AFFECTING THE SUCCESSFUL BIDDER'S STATUS

During the contract's period of validity, the successful bidder is required to inform the ACSÉ-URBACT Secretariat, in writing and without delay, of any changes affecting the company's status, including changes to the name of the account to which payments of the amounts due on the present contract are to be paid.

If the successful bidder neglects to comply with that provision, he or she is informed that the ACSÉ will not be held responsible for late payment of invoices containing an anomaly compared to the instructions in the bid, due to changes occurring in the company or involving the company's status of which the ACSÉ has not been made aware.

ARTICLE 13 : CONFIDENTIALITY – OWNERSHIP OF RESULTS

The successful bidder agrees not to disclose any information he or she may have learned while carrying out the service.

The ACSÉ-URBACT secretariat, owner of all the documents relating to this contract, may use some or all of the results of the service, reproduce the results and release them to third parties.

The ACSÉ-URBACT secretariat reserves the right to publish the service's results. The publication must mention the successful bidder.

The successful bidder may make no free or onerous use of the results of the services without the public corporation's prior written consent. Use of all or part of the publication by the authors (article, bibliographic reference, etc.) must receive prior approval from the ACSÉ-URBACT secretariat. The request must be made by mail sent to the ACSÉ-URBACT Secretariat.

Any authorised publication must mention the funding of the ACSÉ-URBACT secretariat and be sent to it for information.

The successful bidder's name, contract's name and name of the ACSÉ-URBACT secretariat must appear in all the documents that have a connection with the present contract's services (reports, etc.).

ARTICLE 14 : TERMS OF CANCELLATION

The ACSÉ may cancel the contract in compliance with the provisions of chapter VII of the GAC/GPIS as well as in the following conditions:

14.1 Cancellation due to the successful bidder's fault

If the ACSÉ establishes that the successful bidder has poorly carried out the services or not at all, it will send him or her a registered letter with acknowledgement of receipt listing the defaults and asking him or her to present his or her observations and, if necessary, meet the obligations described in the letter, within 15 days of the notification date.
If the ACSÉ receives no reply or the services remain unsatisfactory by the end of the 15-day period, the ACSÉ may cancel the contract due to the successful bidder's fault without warning by registered letter with acknowledgement of receipt. In the event of cancellation for breach of contract, the successful bidder will not receive compensation for services performed.

In addition, and in application of article 47 of the government procurement code, in the event that the information required by articles 44 and 46 is inaccurate, the awarding authority, after prior warning, may decide to cancel the contract due to the contracting party's fault without compensation.

14.2   Unilateral cancellation by the public corporation

The public corporation may at any time end the execution of the services required by the contract before the term of the latter for on grounds of the public interest. The successful bidder will be notified of the decision to cancel by registered letter with acknowledgement of receipt.
Compensation for the cancellation will be calculated in compliance with chapter VII of the GAC/GPIS.

ARTICLE 15 : SETTLEMENT OF DISPUTES RELATING TO THE CONTRACT

In no case can the successful bidder invoke disputes with the ACSÉ as a reason to permanently or momentarily stop providing the services called for in the contract.

The present contract is governed under French law. Only French courts are competent. Failing an out-of-court settlement, any dispute stemming from the application of the present contract will be submitted for referral to the Paris administrative court.

In compliance with article 127 of the Government Procurement Code, any dispute may be brought before the consultative committee of friendly settlements of disputes relating to government contracts.

ARTICLE 16 : EXCEPTIONS TO THE GAC

Article 7, "Verification of documents", is an exception to chapter VI of the GAC/GPIS, "establishment that the services have been carried out". Article 11, "Late Fees", is an exception to article 14 of the GAC/GPIS.

ANNEX I – AVAILABLE RESOURCES

Available on the URBACT website www.urbact.eu
(documents & ressources/URBACT II Programme documents/Technical documents)

- URBACT II 2007-2013 Operational Programme
- URBACT II Programme Manual

On request to the URBACT Secretariat t.picquart@urbact.eu
- URBACT II programme ex-ante Evaluation
- 2007-2008-2009Annual reports
- 2007-2013 Communication Strategy

All the URBACT II projects have a mini-website on the URBACT website.

ANNEX II – LIST OF KEY-QUESTIONS FOR CHAPTER 5.1.

« EVALUATION OF THE IMPLEMENTATION AND THE GENERAL PERFORMANCE OF THE PROGRAMME (RELEVANCE, EFFICIENCY, IMPACT AND RESULTS) »

1. Transversal approach Relevance – Efficiency – Impact and results

Relevance
- Are the activities and outputs of the programme consistent with the overall goal and the attainment of its objectives?
- Are the activities and outputs of the programme consistent with the intended impacts and effects?
- To what extent are the activities logical and in compliance with the EU and programme framework? To what extent is the internal coherence of the programme maintained?
- To what extent are the activities of the programme complementary, not overlapping and contributing to the objectives of the programme?

Efficiency
- How well are the programme's resources managed?
- Has the programme been efficient in using for example auditors, meetings, travel costs, transactions, reporting?
- Is the programme well managed and delivered in an efficient and legitimate way within the regulatory settings?
- Are the procedures of evaluation and selection of projects ensuring a sufficient transparency and feedback to potential beneficiaries in relation to EU standards?
- Have cultural obstacles and different accounting and management systems been dealt with efficiently? What procedures could be simplified to avoid obstacles or inefficient cooperation?
- Could better effects be obtained for the same cost?

Impact and results
- What has been the actual effect of the programme so far?
- What is the impact of the programme on local policies/ practices?
- What is the programme's progress towards achievement of the objectives? In what way has the programme contributed to the territorial cohesion of the programme's territory and its policy?

- Are the actions taken appropriate to produce the desired and foreseen effect?
- Could more or better effects be obtained by using different instruments or actions?
- Are the outputs, results and impacts well defined to achieve the objectives of the programme? Have there been (un)successful actions with a significant effect?
- Are the results and impacts lasting? How durable are they over time? Will the impacts continue if there is no more public funding? Will the cooperation continue, and in what form?
- Does the programme have an impact on the target groups or populations in relation to their needs?

2. Approach by main fields of programme activities

1. Exchange and learning
2. Capitalisation
3. Dissemination/ Communication
4. Programme management and Technical Assistance
5. Impact

For each domain, it is required to address issues relating to the activities implemented and to the related results and outputs.

1. Exchange and learning

1.a. Implementation of the operation

With regard to the Operation Exchange and Learning, the evaluation should address a first series of questions related to the **implementation of the operation**, that is focus on thematic networks and working groups (creation and implementation of these projects).

Programme coverage
- Do the projects approved under the 1st and 2nd call ensure a good thematic coverage (both in terms of the 2 Priority Axes and of the 7 URBACT II themes – should include a specific focus on the integrated approach)?
- How to explain the predominance of Priority Axe I in the submitted and approved proposals? What could be done to improve the balance between the 2 axes?
- What is the level of geographical coverage reached with projects approved under the 2 first calls for proposals (possible focus: participation of partners from the New Member States, comparison with URBACT I, types of partners –including the issue of size)?

Exchange and learning activities implemented
The evaluation shall address questions relating to exchange and learning activities implemented through the thematic networks and working groups with regard to the objectives of the programme.

- Do the projects approved so far allow for a fruitful exchange and learning experience in line with the programme objectives (with regard to themes/ issues addressed, methods used, status of delegates taking part to the seminars, etc.)?

The evaluation shall also focus on a series of tools/ features that are characteristic of URBACT II (in the sense that they were introduced in the URBACT II programme building on lessons learnt from the URBACT I programme). Among these new tools, features, requirements, the evaluation shall examine the following:

- Phasing of projects: in URBACT II, the creation of projects is a two-staged procedure, including a Development phase and an Implementation phase, both of which require the submission of a proposal and the approval of the Monitoring Committee. Does this staged approach allow for better quality of projects implemented?
- Lead expert: URBACT II requires that each project be supported, from the very beginning until the end of their work programme, by a Lead expert in charge of providing both methodological and thematic input to the partnership. What is the role of the Lead expert (especially allocation of roles between Lead partner and Lead expert)? What is the added-value of his/ her contribution, etc.?
- URBACT Local Support Groups: URBACT II requires that each partner set up and run a Local Support Group. How is this requirement implemented at partner level (composition, organisation, animation, etc.)? What relationship between the ULSG and its activities, and the network/working group and its activities?
- Involvement of Managing Authorities: partners are strongly encouraged to associate Managing Authorities of Operational Programmes to their project activities. How is this recommendation implemented? What participation to project activities and why? What effects?
- Some TN were labelled Fast Track by the European Commission. What is the added value of this specific support ?
- The JTS provides important support (by its staff and by the Thematic Poles) to the TN and WG. What is the efficiency of this support?

1.b. Outputs of the Operation

A second series of questions focus on the **results and outputs of the Exchange and learning operation**. The evaluation shall consider tangible and intangible outputs as outlined in the table below (lists provided are not exhaustive):

Tangible outputs	Intangible outputs
- Thematic networks/ Working groups created - Partners involved - Local Support Groups - Transnational exchange seminars/ conferences	Learning on integrated and sustainable urban development (both individual learning, i.e. for city delegates participating in the exchange and collective learning, i.e. local authorities involved modifying practices,

• Thematic reports/ papers • Case studies • Local Action Plans • *Others*	etc.) • Community of work • Improved intercultural understanding/ knowledge • *Others*

The evaluation shall pay a specific attention to the Local Action Plans:
Each partner in an URBACT II project is requested to produce a Local Action Plan as the result of the exchange and learning process.

- How does this requirement impact the projects' work programmes, activities, etc.?
- What is the quality of the LAPs produced so far (more especially in the 2 Pilot Fast Track Networks that have completed their activities in June 2009 and in the 6 working groups that finish in June 2010)?
- Have they benefited from the transnational exchange and learning activities?
- Do they build on the transfer/ re-use of good practice/ ideas identified through the networking activities?
- Are they designed to foster integrated and sustainable urban policies?

Beyond the Local Action Plans, the evaluation shall also consider the other types of outputs emerging from the projects:

- What kind of outputs?
- Do they allow to disseminate lessons learnt out of the exchange and learning process?

2. Capitalisation

A significant part of the Programme budget is dedicated to Operation 2 – Capitalisation, which includes tools for the definition, coordination, animation and implementation of activities dedicated to:

- Build up practical knowledge from the exchange and learning of experience implemented among partners (through thematic networks and working groups)
- Foster the dissemination of this knowledge and the transfer/ re-use of good practices identified by partners at project level

Three different tools have been foreseen by the Operational programme and implemented so far:

1) Expert support (both to project and to programme)
2) Thematic poles
3) Studies

The evaluation to be achieved in 2011 shall focus on the implementation of the Thematic Poles, because:

- one study only has been launched so far and is currently ongoing, so the evaluation would not be relevant at this stage when it comes to Programme implementation
- expert support provided to the projects shall be addressed under Chapter I of the evaluation, Exchange and Learning, focussing on thematic networks and working groups
- expert support provided to programme level activities is implemented within/ through the Thematic Pole activities

2.a. Implementation of the operation

General framework
- Are the Thematic Poles set up so far relevant in terms of thematic coverage (both of the programme as defined in the Operational programme, and of the projects, taking into account the projects approved so far)?
- Are the stakeholders involved in the Thematic Poles (Lead experts and Lead partners) contributing to achieving the objectives set to the Thematic Poles (% profiles, understanding of their role in the capitalisation framework, capacity to contribute, actual contribution, etc.)?

Specific activities

- Do the Thematic Poles' activities (work programmes, meetings, guidance/ support provided to the projects, etc.) contribute to the implementation of the Programme objectives?
- What are the effective roles and contributions of the TP managers in this process?
- How efficient is the support of the JTS in terms of coordination, animation, etc.?

2. b.   Results and outputs

A second series of questions should be addressed by the evaluation, focussing on the **results and outputs of the operation 2 - Capitalisation**. The evaluation shall consider tangible and intangible outputs as outlined in the table below (lists provided are not exhaustive):

Tangible outputs	Intangible outputs
- Thematic poles created - Actors involved - Thematic Pole meetings - Thematic papers - Case studies - Methodological Guidance *Others*	- Learning on integrated and sustainable urban development (both individual learning, i.e. for city delegates participating in the exchange and collective learning, i.e. local authorities involved modifying practices, etc.) - Community of work *Others*

- What kind of outputs result from the TP activities?
- Do they correspond to what was expected from the TP?
- Do they allow to build up knowledge at programme level and to disseminate lessons learnt coming from the URBACT II projects?

3. Dissemination/ Communication

The evaluation should focus on the tools defined under the related operation, among which:
- the Website (including the blog)
- the Newsletters
- the National Dissemination Points
- the Annual conferences
- the City Labs and Open events

The main objective of the evaluation with regard this operation is to assess the implementation of the Strategy of Communication, especially with regard to the main target groups that have been identified:
a. urban practitioners and decision-makers involved in the URBACT II programme (our partners, experts, etc.)
b. URBACT II sponsors
c. Urban practitioners and decision-makers beyond URBACT

The central question to be addressed is: are the different target groups actually "reached"?

Other questions to consider are:
- How appropriate is the awareness and knowledge of cities in Europe about the existence and functioning of the URBACT Programme?
- Are the URBACT resources allocated to communication and dissemination activities sufficient to make the cities in Europe aware of its possibilities and opportunities and to inform a wider audience about URBACT results?
- Are the human resources involved in communication and dissemination activities adequate with regard to the work programme and to the results expected?
- Are the results of the NDP sufficient regarding the allocated budget?
- How can URBACT improve its impact on its target groups in terms of dissemination regarding the available resources?
- Can the communication activities carried out up until now be considered 'successful' or 'useful" in terms of impact?
- How would any recommendation on the further use of funds impact on the communication plan in terms of target groups and messages?
- Is the website content and structure and the AGORA platform adequate in terms of relevancy, coherency, readability?
- Is the expertise of TN and WG's Communication Officers' in the field of communication sufficient to allow them to fulfil their various tasks and if not which capacity should be provided?

4. Programme management and Technical assistance

Programme Management and Technical Assistance

With regard to the general management of the Programme, the evaluation will focus on aspects relating to technical assistance and the use made thereof, the general functioning of the URBACT Secretariat, the decision-making process and the programme level indicators:

a) *Technical Assistance*
- Is the Technical Assistance budget (set at 6% of ERDF) sufficient to ensure an efficient management of the programme? Is the budget sufficient to ensure efficient management until the end of the Programme period?
- If not which specific activities would require additional resources?
- What is the impact of the increased importance of audit activity on the technical assistance budget? Is it feasible to maintain current activity over the long term?

b) *Programme Management and Procedures*
- What is the situation in terms of implementation of the budget regarding the initial objectives?
- Is the procedure for assessing project applications satisfactory? Are improvements possible?
- Are the procedures set up by the URBACT Secretariat for monitoring approved operations satisfactory? Is it possible to simplify?

c) *Decision-Making Process and Stakeholders*
- Is the current decision-making procedure efficient?
- How can the balance between Programme Management and debate on the content be optimised during the Monitoring Committee meetings?
- How to improve the involvement of National authorities in the programme implementation?

d) *Programme Indicators*
- Are the indicators outlined in the Operational Programme still relevant and realistic?
- Should some indicators be deleted ? others added?
- Is the monitoring system sufficient to assess the project outcomes?

5. Impact of the Programme

The evaluation shall allow to assess the impact of the programme as a whole, that is resulting from the combination of activities implemented under the different operations: Exchange & Learning, Capitalisation and Dissemination/ Communication.

Here also, the distinction between tangible and intangible outputs could be relevant:

Tangible impacts	Intangible impacts
• Evolution in practices in terms of policy-making (documented changes) • Evolution in local policies for urban development (towards integrated and sustainable?) • Links between LAPs and OPs (funds available, procedure for funds allocation, etc.) • *others*	• Evolution in local governance (sustainability of ULSG beyond the existence of the project) • Development of a common and shared understanding of integrated and sustainable urban policies • URBACT identified as a platform where urban practitioners may find resources (docs and people) and solutions to the problems they face • *others*

As far as the evaluation of the programme impact through the implementation of Local Action Plans is concerned, it will be particularly important to focus on the 2 Pilot Fast Track Networks, which have ended their activities in 2009, as well as the 6 working groups which have ended their activities in Spring 2010.

Would also be considered Local Action Plans agreed in the frame of the netwoks which got the Fast Track label.
- Have the LAPs been implemented ? If yes, what kind of fundings were available ?
- Do the LAPS in connexion with the idea of urban development integrated approach ?
- What is the link between the LAPs and the Regional Operational Programme ?