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# **Evaluation of the general trend at 31.12.2018 of the OP ESF Basilicata 2014-2020**

## **abstract**

*Nucleo Regionale di Valutazione e Verifica Investimenti Pubblici –Basilicata Region*

**Valutazione dell'andamento generale al 31.12.2018 del PO FSE Basilicata 2014-2020**

Regione Basilicata Dipartimento Programmazione e Finanze

Nucleo Regionale di Valutazione e Verifica Investimenti Pubblici

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## 1. INTRODUCTION

The evaluation action on the state of implementation of the ESF OP is foreseen by the "ESF OP Evaluation Plan - 2014-2020" and contributes to the verification of the achievement of the expected results for the PO, according to art. 50 of EU Reg. 1303/2013, a particularly important element in 2019 in which it is necessary to evaluate the achievement of the performance framework objectives to 2018.

The assessment also guarantees the MA a tool for measuring the overall implementation status of the Operational Programme.

### 1.1 OP description

P.O.R. ESF Basilicata 2014-2020 was approved with Decision of adoption of n. (2014) 9882 of 17.12.2014 and subsequently amended with Decisions n. C (2018) 2456 of 04.04.2018 and n. C (2018) 8167 of 11.29.2018.

The OP has a total budget of € 289,624,168.00, of which 50% co-financed by the ESF Fund and the remaining 50% by regional and national funds. This amount includes the performance reserve referred to art. 20 of EU Reg. 1303/2013, equal to 6% (€ 17,377,450.00) of the main budget, equal to € 272.246.718,00.

The program is divided into the following 4 Axes, in addition to the "Technical Assistance" Axis:

- Axis 1- Create and maintain employment
- Axis 2 - Strengthen and innovate active inclusion in society
- Axis 3 - Developing rights and quality of learning
- Axis 4- strengthen institutional and administrative capacity

## 2. RATIONALE OF THE EVALUATION

### 2.1 Purpose

The assessment of the implementation status as at 31.12.2018, as an implementation assessment, aims to:

- take and systematize information to understand how the decision makers' intentions have turned into activities and services;
- verify the correlation between the activities carried out, the aims of the OP and the objectives of the European strategy in the framework of the 2014-2020 programming;
- capture any critical issues that emerged during the implementation phase and provide indications on the possibility of undertaking amendment actions;
- facilitate the MA in the acquisition of cognitive elements reproducible within the Annual Implementation Report.

The evaluation action is integrated with the activity of verifying the achievement of the targets correlated to the attribution of the implementation effectiveness reserve pursuant to art. 21 of Reg. N. 1303/2013.

## 2.2 Object of the evaluation

The evaluation focuses on:

- state of financial progress of the OP, verifying both the level of certified expenditure and the framework of the action planned on the basis of the individual investment priorities;
- state of procedural progress, analyzing the procedural procedures activated and the level of execution;
- level of achievement of the targets set for the output and result indicators on a single intervention priority scale;
- employment levels achieved for those investment priorities where this is relevant;
- consistency between the actions carried out, the programmatic forecasts and the Europe 2020 strategy;
- correlation between implementation status and transversal principles foreseen by the OP.

The evaluation action also specifically concerned the measurement of the result indicators envisaged by the OP: this action was functional to the completeness of the Annual Implementation Report envisaged by art. 50 of EU Reg. No. 1303/2013.

## 2.3 Methodology

The activity involved the following phases:

- dialogue with the office of the Managing Authority of the OP aimed at:
  - circumscribing the field of intervention to which the evaluation analysis is based;
  - take information elements of a quantitative and qualitative nature on the state of implementation of the OP and on future policy options;
  - acquire functional documentation for the evaluation analysis.
- desk analysis which involved:
  - the acquisition of documents concerning the procedures for implementing the OP;
  - the processing of data from Sirfo, the ISTAT database and other accredited sources;
  - the study of informative material from third party sources, also with comparative value.
- processing of the information that resulted:
  - the drafting of an evaluation form for each investment priority able to summarize the work carried out in the previous phases;
  - the development of correspondence tables between the interventions carried out and the transversal principles of the OP;
  - a comparison of the presentation of the evaluation hypotheses with the office of the Managing Authority of the OP in the framework of potential update with respect to the evolution of the OP.

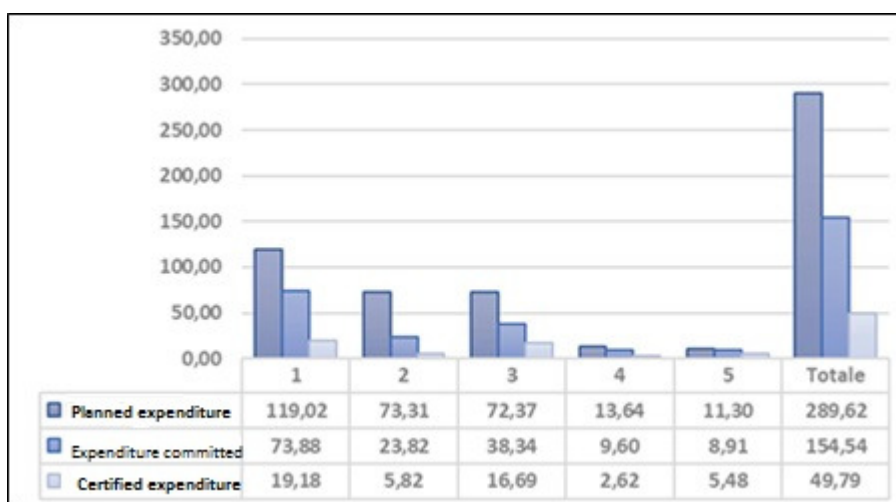
The evaluation action was carried out for each Investment Priority within the individual Axes of the OP, developing a form for each of them, showing the states of physical, financial, procedural and result at 31.12.2018.

### 3. SUMMARY OF THE ASSESSMENT FRAMEWORK

#### 3.1 Financial progress

The program had a financial progress that allowed it to be in line with the expenditure forecasts functional to the achievement of the n + 3 target. At 31.12.2018 the level of expenditure committed was equal to 53.3% of the total amount.

**Figure 1.** Financial progress at 31.12.2018 (absolute values in Meuro)



There is a good spending performance for all the Axes, with the exception of Axis 2, for which there is a delay in certification (especially due to the complexity of the intervention sectors that have lengthened the time required to carry out the operations) . There are 4 priorities for which there was no certification of expenditure, but only for one, the 8v, there is a problem of activation.

AXIS 1			
Investment priority	Planned expenditure	Certified expenditure	%
8i)	48.707.544,00	17.635.324,85	36,21%
8ii)	36.182.748,00	0	0%
8iv)	11.584.966,00	0	0%
8v)	11.133.154,00	0	0%
8vii)	11.411.482,00	1.438.241,28	12,60%
<b>TOTAL ASSE 1</b>	<b>119.019.894,00</b>	<b>19.073.566,13</b>	<b>16,03%</b>
AXIS 2			

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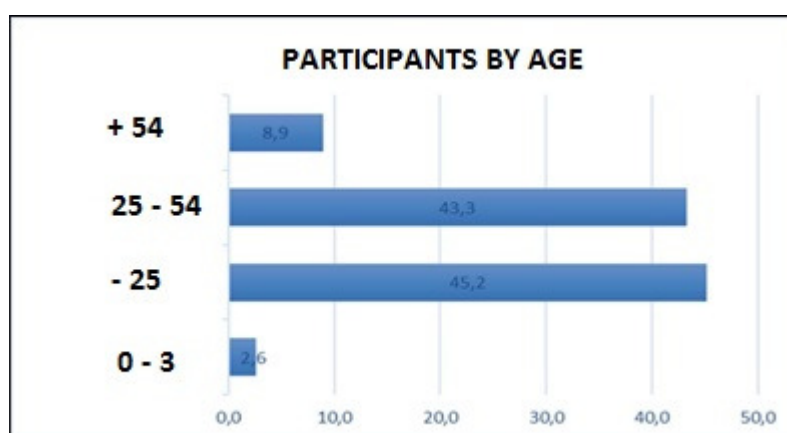
9i)	49.840.694,00	4.469.773,33	8,90%
9iv)	23.464.630,00	1.353.953,28	5,77%
<b>TOTAL ASSE 2</b>	<b>73.305.324,00</b>	<b>5.823.726,61</b>	<b>7,94%</b>
<b>AXIS 3</b>			
10i)	16.699.728,00	3.518.864,21	21,07%
10ii)	22.266.306,00	7.433.661,01	33,39%
10iii)	22.266.306,00	5.723.825,16	25,71%
10iv)	11.133.154,00	0	0%
<b>TOTAL ASSE 3</b>	<b>72.365.494,00</b>	<b>16.676.350,38</b>	<b>23,04%</b>
<b>AXIS 4</b>			
11i)	13.638.112,00	2.624.750,47	19,25%
<b>AXIS TA</b>			
	11.295.344,00	5.468.136,11	45,85%
<b>TOTAL OP</b>	<b>289.624.168,00</b>	<b>49.666.529,70</b>	<b>17,15%</b>

### 3.2 State of implementation of OP

At 31.12.2018 the total participants involved by the OP were 18,939 of which 53.0% were men and 47.0% were women through the activation of 2,109 operations admitted to financing.

Compared to the age of the participants, the table defines the overall picture, in which the role of Axis 3, which involved a large number of students, certainly plays a role.

**Figure 2.** Participants for age



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The Operational Program shows a level of progress in terms of achievement that is quite diversified, as is physiological where there is intervention in different sectors with non-homogeneous organizational and reaction times. The table below tries to provide a summary view of the progress of the out-put indicators envisaged for the individual Investment Priorities. The table intends to provide an overall view starting from the value of the output indicators provided for the individual Priorities, however considering the overall implementation framework of the corresponding actions.

he judgment criterion adopted for a graphical summary representation of the indicators was the following:


Icon	Percentage of achievement compared to the target	Judgment
	Over 34%	State of advanced realization
	Between 15% and 34%	State of positive realization
	Under 15%	State of realization below the average but with favorable forecasts
		State of realization with critical situation

he criterion adopted considers the incremental value of the indicator, therefore destined to increase as the implementation action progresses, takes into account the implementation chronology and estimates that, as is customary in the programming cycles, in the last years there is an acceleration in the progress of the indicators. It therefore has a mere representative value aimed at immediately highlighting areas of attention and potential criticality.

The judgment considers that the Program's implementation process is still long, up to 2023, and takes into consideration not only the value achieved at 31.12.2018, but obviously also the presence or absence of interventions already planned and not yet implemented. This last circumstance can therefore justify because priorities with similar achievement percentages then have different "outlooks".

In assessing the state of implementation of the output indicators, their relevance has obviously been considered in the framework of the implementation effectiveness reserve set forth in art. 20 of Reg. (EU) n. 1303/2013 ("Performance Framework"). In the following table, therefore, for each indicator the co-participation in the recognition mechanism of the effectiveness reserve has been indicated (column on the right with the abbreviation "PF").

Overall, the representation shows a leopard-spot trend, consistent with the mid-planning implementation dynamic, with limited Priority cases in critical conditions, on which we refer to the qualitative considerations conducted in the single board in the extended version of the report.



















Axis 1					
Priority	Code	Indicator	%		PF
8i	CO01	the unemployed, including the long-term unemployed	43		yes

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8ii	CO01	the unemployed, including the long-term unemployed	10		yes
8iv	CO01	the unemployed, including the long-term unemployed	0		yes
	CO05	Workers, including self-employed workers	0		
8v	CO05	Workers, including self-employed workers	0		
8vii	CO22	number of projects intended for public administrations or public services at national, regional or local level	50		
<b>Axis 2</b>					
Priority	Code	Indicator	%		PF
9i	CO16	Participants with disabilities	34		yes
	CO17	Other disadvantaged persons	18		yes
	CO20	Number of projects implemented completely or partially by the social partners or by non-governmental organizations	15		
	SPE01	Very disadvantaged or disadvantaged worker at risk of poverty	4		
9iv	CO16	Participants with disabilities	0		yes
	CO21	Numero di progetti dedicati alla partecipazione sostenibile e al progresso delle donne nel mondo del lavoro	0		
	CO22	Number of projects dedicated to sustainable participation and progress of women in the world of work	25		
	SPE02	Children between 0 and 3 years old	35		
	SPE03	People over 75 years old	0		
<b>Axis 3</b>					
Priority	Code	Indicator	%		PF
10i	CO09	Holders of a primary education diploma (ISCED 1) or lower secondary education (ISCED 2)	100		yes
	CO22	number of projects intended for public administrations or public services at national, regional or local level	0		
10ii	CO10	holders of an upper secondary education diploma (ISCED 3) or a post-secondary education diploma (ISCED 4)	0		
	CO11	holders of a tertiary education diploma (ISCED 5 to 8)	50		yes










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	CO22	number of projects intended for public administrations or public services at national, regional or local level	0		
10iii	CO05	Workers, including self-employed workers	183		yes
	CO09	Holders of a primary education diploma (ISCED 1) or lower secondary education (ISCED 2)	29		yes
	CO11	holders of a tertiary education diploma (ISCED 5 to 8)	281		yes
	CO22	number of projects intended for public administrations or public services at national, regional or local level	33		
10iv	CO09	Holders of a primary education diploma (ISCED 1) or lower secondary education (ISCED 2)	0		yes
	CO22	number of projects intended for public administrations or public services at national, regional or local level	0		
<b>Axis 4</b>					
<b>Priority</b>	<b>Code</b>	<b>Indicator</b>	<b>%</b>		<b>PF</b>
11i	CO22	number of projects intended for public administrations or public services at national, regional or local level	57		yes
<b>Asse AT</b>					
	<b>Code</b>	<b>Indicator</b>	<b>%</b>		
	CO22	number of projects intended for public administrations or public services at national, regional or local level	42		

The situation shown in the table shows a state of differentiated progress, with limited critical conditions (corresponding to population levels of the indicator equal to zero and no action in progress referred to it) and overall a preponderance of advanced or positive implementation situations.

In particular, it is worth noting that the indicators connected to the “Framework of reference for the verification of the effectiveness of the implementation” stand at high judgment levels, without marking critical situations. Moreover, this condition is in line with the concrete achievement of the Performance Framework objectives by the ESF OP of the Basilicata Region pursuant to art. 21 of Reg. (EU) n. 1303/2013 and constitutes an encouraging premise also for the achievement, with respect to the same indicators, of the final targets envisaged.

### 3.3 Verification of the effectiveness of the implementation

The Program has achieved the objectives of the verification of the effectiveness of the implementation envisaged by art. 21 of EC Regulation n. 1303/2013. As shown in the following table, for the Axes 1, 3 and 4

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the OP has seen the achievement by all the indicators of the minimum target value of 85%. For Axis 2, even with a degree of achievement of the financial indicator of 76.09%, the target values are reached, given that all output indicators have exceeded 85%.

**Table 1.** Performance framework indicators

AXES	INDICATOR		Intermediate target for 2018	Level achieved	%
1	COO 1	the unemployed, including the long-term unemployed	984	2.598	264,02
	F1	Financial progress	20.262.338,00	19.073.566,13	94,13
2	CO16	Participants with disabilities	228	215	94,30
	CO17	Other disadvantaged persons	175	150	85,71
	CO2 0	Number of projects implemented completely or partially by the social partners or by non-governmental organizations	4	4	100,00
	CO2 2	number of projects intended for public administrations or public services at national, regional or local level	1	1	100,00
	F1	Financial progress	7.654.043,00	5.823.726,61	76,09
	S P E0 1	Very disadvantaged or disadvantaged worker at risk of poverty	78	72	92,31
	S P E0 2	Children between 0 and 3 years old	298	498	167,11
3	COO 5	Workers, including self-employed workers	1.250	4.587	366,96
	COO 9	Holders of a primary education diploma (ISCED 1) or lower secondary education (ISCED 2)	1.035	8.080,00	780,68
	CO11	holders of a tertiary education diploma (ISCED 5 to 8)	1.126	2.374,00	210,83
	F1	Financial progress	11.714.427	16.676.350,38	142,36
4	CO2 2	number of projects intended for public administrations or public services at national, regional or local level	2	8	400,00
	F1	Financial progress	1.363.811,00	2.624.750,47	192,46

### 3.4 Results of OP

The methodology adopted for the population of the result indicators considered both the indicators that coincide with those present in the set of indicators of the Territorial Indicators Database for the ISTAT development policies that those that coincide with the common result indicators foreseen by the Annex I of Regulation 1304/2013. For the latter, a survey was carried out for each individual indicator at the level of

the respective reference priority in order to detect the condition of the participants at the end of participation in the intervention or 6 months from the conclusion of the same. In some specific cases it was found necessary to carry out ad hoc surveys.

The colors shown in correspondence with each indicator in the following table indicate the following cases in terms of progress:

- green: the value measured on transactions concluded at 31.12.2018 is higher than the target value identified in the OP;
- yellow: the value measured on the transactions concluded at 31.12.2018 is higher than the base line but below the target value identified in the OP;
- red: the value measured on transactions concluded at 31.12.2018 is lower than the baseline;
- white: refers to the cases in which there are no transactions for the reference priority in the monitoring system.

AXIS 1		
CR06	Participants who have a job, even self-employed, within the six months following the end of their participation in the intervention	Green
CR06	Participants who have a job, even self-employed, within the six months following the end of their participation in the intervention	Green
CR06	Participants who have a job, even self-employed, within the six months following the end of their participation in the intervention	White
CR07	Participants who enjoy a better situation on the labor market within the six months following the end of their participation in the intervention	White
8vii2	Degree of satisfaction of the users of the employment centers	Green
AXIS 2		
CR05	Disadvantaged participants involved in the search for a job, in an education / training course, in the acquisition of a qualification, in an occupation, even autonomous, at the time of the conclusion of their participation in the intervention	Green
9i	People at risk of poverty or social exclusion	Red
7	Percentage of elderly people treated in home assistance, social assistance compared to the total elderly population	Red
9iv	Rate of children between 0 and 3 years recipients of measures relating to childcare services	Yellow
AXIS 3		
CR03	Participants who obtain a qualification at the end of their participation in the intervention	Green

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10i	Abandonment rate at the end of the first two years of upper secondary schools	
CR06	Participants who have a job, even self-employed, within the six months following the end of their participation in the intervention	
CR07	Participants who enjoy a better situation on the labor market within the six months following the end of their participation in the intervention	
10iii	Adults participating in lifelong learning - Population aged 25-64 attending a course of study or professional training	
10iv	Number of graduates (total) in the technical and vocational education courses on the total number of graduates	
<b>AXIS 4</b>		
8	Availability of databases in open format (opendata)	
9	Percentage of Municipalities with fully interactive services (start-up and completion by telematic channel of the entire process relating to the requested service)	
<b>AXIS AT</b>		
5	Improvement of the implementation times of the OP: decrease of the average time between the publication of a call for tenders and the publication of the ranking	

### 3.5 The recommendations

The following is a summary of the main recommendations deriving from the examination of each priority axis, in terms of physical, financial and result implementation, for each Investment Priority.

#### AXIS 1 – CREATE AND MAINTAIN EMPLOYMENT

The evidences, returned by the analysis conducted, about the weakness of the audience of the recipients involved in the "extracurricular traineeships finalized to the insertion/reintegration to work for the beneficiaries of the COPES program and the workers who escaped from the platform of the mobility in derogation" in terms of placement in the Labour Market, suggest to focus the programming action on interventions that could favor the entry into the Labour Market of this type of recipients. Furthermore, it is recommended to combine as much as possible the planning and activation of the actions of the OP with the analysis of the dynamics of the sectors of the regional economy, in order to converge towards those with a greater prospect of growth and for which it is more marked the job application. It is considered appropriate to consider the possibility of providing for evaluation activities aimed at measuring the employment results in the medium term and the effectiveness of the measures activated on Priority 8i. As part of Priority 8ii, it is considered useful to provide for a strengthening of the measures aimed at strengthening the specialized services for the integration of NEET. With regard to the implementation delay registered for Priority 8v it is recommended to define an implementation plan with defined times in order to recover this slowdown, while considering the evolution of production dynamics within the regional context. Considering the role of the Employment Centers as access points to services and active labor policies within the regional network of employment services, it is considered useful to activate an ad hoc

survey aimed at detecting the level of satisfaction of the services provided by the Employment Centers, in accordance with the methodological note of the result indicator adopted at the 8th priority.

## **AXIS 2 – STRENGTHEN AND INNOVATE THE ACTIVE INCLUSION IN THE COMPANY**

With reference to this axis, it is appropriate to suggest, in correspondence with Priorities 9i and 9iv for the such as the level of certified expenditure is rather limited, the definition of an executive action plan that allows to speed up the expenditure and recover the accrued delay. It is considered useful to consider the activation of specific evaluation activities aimed at measuring: the increase of the employability of the recipients and the incidence of the measures adopted on the growth of the social abilities of individuals, the reduction of the conditions of poverty and problems of the families concerned, the impact of the measures adopted on the territories and on the social conditions of the target audience.

## **AXIS 3 – DEVELOPING RIGHTS AND QUALITY OF LEARNING AND SUPPORTING INTELLIGENT INNOVATION IN KEY SECTORS**

Analysis of progress of the Investment Priorities relating to Axis 3 recalls the opportunity for certain in-depth evaluations capable of strengthening the cognitive framework for the benefit of the regional programmer.

For example, while confirming the usefulness of the information assets deriving from the questioning of the Basil system, the evidence suggests that attention should be focused on the criticality concerning the failure to identify individuals in the condition of self-employment and / or subjects who have found work outside the region: for this purpose it is suggested to carry out an ad hoc survey aimed at detecting the employment status of the total number of recipients of the interventions activated. It is also considered appropriate to evaluate the possibility of conducting evaluative surveys aimed at detecting the effects of continuous training interventions on employment maintenance as well as the difference with respect to the results generated by continuous training operations between employees and professionals. It is also useful to verify the employment impact of higher education interventions also with reference to the processes of intellectual emigration. Last but not least, it is recommended to focus attention on areas essentially attributable to Specific Objective 10.3 that are not covered by the currently planned and activated interventions, as well as on action to plan interventions capable of guaranteeing timely advancement of the Intervention Priority 10.iv.

## **AXIS 4 – STRENGTHEN THE INSTITUTIONAL AND ADMINISTRATIVE CAPACITY**

The indication, resulting from the analysis conducted, provides for the adjustment of the target value of the result indicator identified in correspondence with this priority axis and relating to databases in open format, in line with the criterion defined in the methodological note prepared by Agid, which provides that the value of the indicator is calculated as a percentage ratio between open datasets on the total datasets.

## AXIS TECHNICAL ASSISTANCE

The suggestion that emerges concerns the activation of evaluation activities concerning:

- effectiveness of the Communication Plan, in particular of the information and publicity interventions envisaged therein on public opinion;
- effects of technical assistance actions on the partnership's participation in the different phases of the OP;
- effects deriving from the interventions supported within this priority axis both on the organizational procedures and on the execution times within the Administration.

At a general level, it is recommended, where resources still emerge that are not the object of planning or commitment, to ensure a rapid exercise of the planning action in order to reach a formal commitment to financial resources that are still "free" at the date 31.12.2018 through appropriate administrative measures.