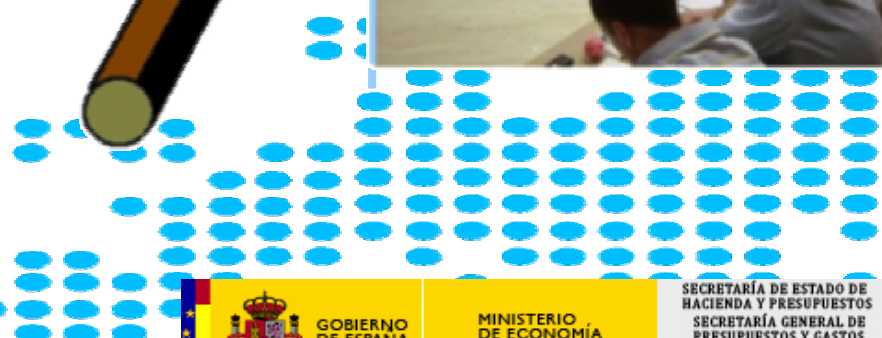


Methodological Guide to the Monitoring and Evaluation of the Communication Plans of the ERDF, Cohesion Fund and ESF 2007-2013 Operational Programmes



Unión Europea

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1. INTRODUCTION

The challenge of visibility and awareness of European citizens regarding the benefits of the community regional policy, joint financed by the Structural Funds and the Cohesion Fund, has been constituted as a priority challenge for the European Commission in this new period of programming.

The requirements of current regulations concerning this establish, amongst others, "the need to highlight the role played by the Community and to guarantee the transparency of the aid from the Funds" (Article 69 of Regulation 1083/2006) and includes the obligation "of the results to be assessed of the measures of information and advertising with regard to the degree of visibility and awareness of the operative programs, and the role played by the Community" (article 4.2.c of Regulation (CE) 1828/2006).

The European Commission has not provided specific guidelines concerning the assessment methodology to be applied, therefore, each member state is unable to establish the development and practical application of the principles to be followed in this area, establishing them in accordance with the planned communication strategy and under their own responsibility. Given the need to express this assessment process in a co-ordinated, coherent manner, the need was seen for the Sub directorate General of Administration of the European Regional Development Fund and the Sub directorate General of the Cohesion Fund and of European Territorial Cooperation of the Directorate General of the Community Funds of the Ministry of Economy and Tax Office, and the Administrative Unit of the European Social Fund of the Ministry of Employment and Immigration (as Management Authorities of the FEDER Operative Programs, Cohesion Fund and ESF, respectively), through those responsible for communication, to jointly draw up this "General Guide of Monitoring and Assessment of the Communication Plans of the FEDER Operative Programs, Cohesion Fund and ESF 2007-2013", which defines a methodological proposal for starting up the joint process of monitoring and assessing the different Communication Plans.

As happened with the preparation of the Communication Plans, for which a common strategy of communication was designed and set out in the different Communication Plans, this methodological guide will be the object of discussion in the Spanish Group of Heads of

Information and Advertising (GERIP) to make it a joint reference framework when assessing the Communication Plans of the FEDER, ESF OP and Cohesion Fund.

Therefore, the principal objectives of this methodological assessment Guide are::

- to identify the main mechanisms necessary for ensuring the monitoring of compliance with the information and advertising actions, in order to guarantee the necessary mechanisms for assessing the Plans, and
- to establish the necessary directives for assessing the information and advertising actions contemplated in the different Communication Plans.

2. DESCRIPTION OF THE ASSESSMENT PROCESS.

That the fundamental reference framework of this methodological guide is constituted by Council General Regulation 1083/2006 and by Regulation (CE) 1828/2006, which, in chapter II section I, establishes the applicable provisions concerning information and advertising.

Regulation 1083/2006, in its article 69, establishes the requirement that “the member state and the management authority of the operative program will report the operations and programs which are the object of joint financing and will provide information thereon... in accordance with the applicable provisions of the OP”.

Although there are no specific directives from the Commission, it has distributed some rough methodological Sheets for evaluating the information and advertising actions in the new programming period 2007-2013, and the website of the European Commission (http://ec.europa.eu/regional_policy/country/commu/index_es.htm) presents documents and working reports of the Commission, particular examples of communication actions and other elements in this area so that they might be constituted as a reference for the member countries.

Furthermore, within the GERIP (Spanish Group Responsible for Information and Advertising), for all Operative Programs of the different Funds, in the GRECO-AGE (Group Responsible for Communication of the Bodies of the General State Administration), also taken part in by certain

Local Entities, for the Operative Programs of the FEDER and Cohesion Fund and in all the different existing regional communication networks, documentation is prepared and actions are carried out to monitor and assess the FEDER and ESF regional communication actions 2007-2013.

2.1 OBJECTIVES

The procedure for assessing the Communication Plans has been set up in accordance with current regulations and the methodological guidelines in the area, based on:

- The objectives of the Communication Plans, that is, the visibility of the Operative Programs and citizens awareness concerning the role which Europe plays through the application of the Cohesion Policy in improving their quality of life.
- The scope thereof on the target groups of the communication actions, or the beneficiaries, the potential beneficiaries and the general public.
- The principle of proportionality (article 4.3 of Regulation (CE) 1828/2006).

2.2 ROLES AND RESPONSIBILITIES

In accordance with Commission Regulations 1083/2006 and 1828/2006 and according to the national agreements between the Management Authorities and the Intermediate Bodies of the regional and multiregional Operative Programs, the main actors involved in assessing the Communication Plans are:

- **1 - European Commission:** it generally has the attributes of:
 - Deeming the Communication Plans of the different FEDER, ESF and Cohesion Fund Operative Programs accepted.
 - Revising the results of the assessments of the Communication Plans in order to include them in the annual report of 2010 and 2013.

2 - Management Authority (General State Administration): the management authorities of the FEDER, the General Sub directorate of Administration of the FEDER, that of the Cohesion Fund, the General Sub directorate of Cohesion Funds and European Territorial Cooperation, both of the Directorate General of Community Funds of the Ministry of Economy and Tax Office and of the ESF, the Management Unit of the ESFAU of the Ministry of Employment and Immigration, through the people responsible for information and advertising, are attributed the following responsibilities and functions in accordance with their respective competences of the European funds and depending on the joint presidency of the GERIP and the GRECO-GSA:

- To define a common working framework concerning Assessment for the Communication Plans of the FEDER, Cohesion Fund and ESF 2007-2013.
- To generally coordinate the Assessment process by calling the meetings of the GERIP and the GRECO-GSA, as the case may be, whenever considered appropriate.
- To take part in the Consulting Group of strategic monitoring and assessment to present the developments concerning the communication assessment.
- To monitor the system of monitoring and assessment indicators of the communication defined for 2007-2013, by applying the instructions and mechanisms which have to be applied by the bodies involved in quantifying these indicators and coordinating the quantification of the said indicators in the case of the Intermediate Bodies of the GSA.
- To pass on the quantification of their own indicators in Funds 2007 and ESF 2007.
- To start up the assessments of the Communication Plans of the Multiregional Operative Programs and the FEDER Cohesion Operative Program in accordance with the steps of this guide and to take part, as far as is necessary, in assessing the Communication Plans of the FEDER Regional Operative Programs.
- In the annual and final performance reports to include the information gathered in article 4.2. Of Regulation (CE) 1828/2006.

- To inform the Monitoring Committee concerning the Communication Plan, its modifications and the developments achieved.

3 - The intermediate bodies responsible for the regional Communication Plans of the application of the FEDER and European Social Fund, represented in the GERIP through those responsible for information and advertising

- To take part through the GERIP in the process of defining the common working framework concerning assessment of the communication for the FEDER, Cohesion Fund and ESF OP 2007-2013,
- To start up the assessments of the Communication Plans of the Regional Operative Programs in 2010 and 2013 in accordance with these steps agreed herein, for their future inclusion in the corresponding annual reports.
- To pass over the quantification of its own monitoring and assessment indicators to Funds 2007 and ESF 2007, by instrumenting the instructions and mechanisms which have to be applied by the regional bodies and coordinating the quantification of the assessment indicators of the actions of the Intermediate Bodies of the regional administration.
- To monitor the development of the Communication Plan in the area of their competences, to cooperate in the information to be sent to the corresponding Monitoring Committee.
- To cooperate in the area of their competences in the information to be included in the annual and final performance reports as established in article 4.2. of Regulation (CE) 1828/2006.

4 - Rest of Intermediate Bodies and/or managers or participants in the regional and multiregional Operative Programs:

- To ensure the compilation of the necessary information and documentation for it to be available for the evaluators.

- To compile the pertinent information for completing the information and advertising assessment indicators.
- To send the quantification of their own indicators of the Communication Plan to the Funds 2007 and ESF 2007 application
- To take part in the suitable development of the Communication Plan Assessment work
- If so required, to take part in discussion groups or in the process of identifying good practices.

All of the decisions and results concerning evaluation of Communication will be passed on for information to the Consultative Committee of Strategic Monitoring and Assessment, thus integrating them in the overall assessment process

5 – Assessment team

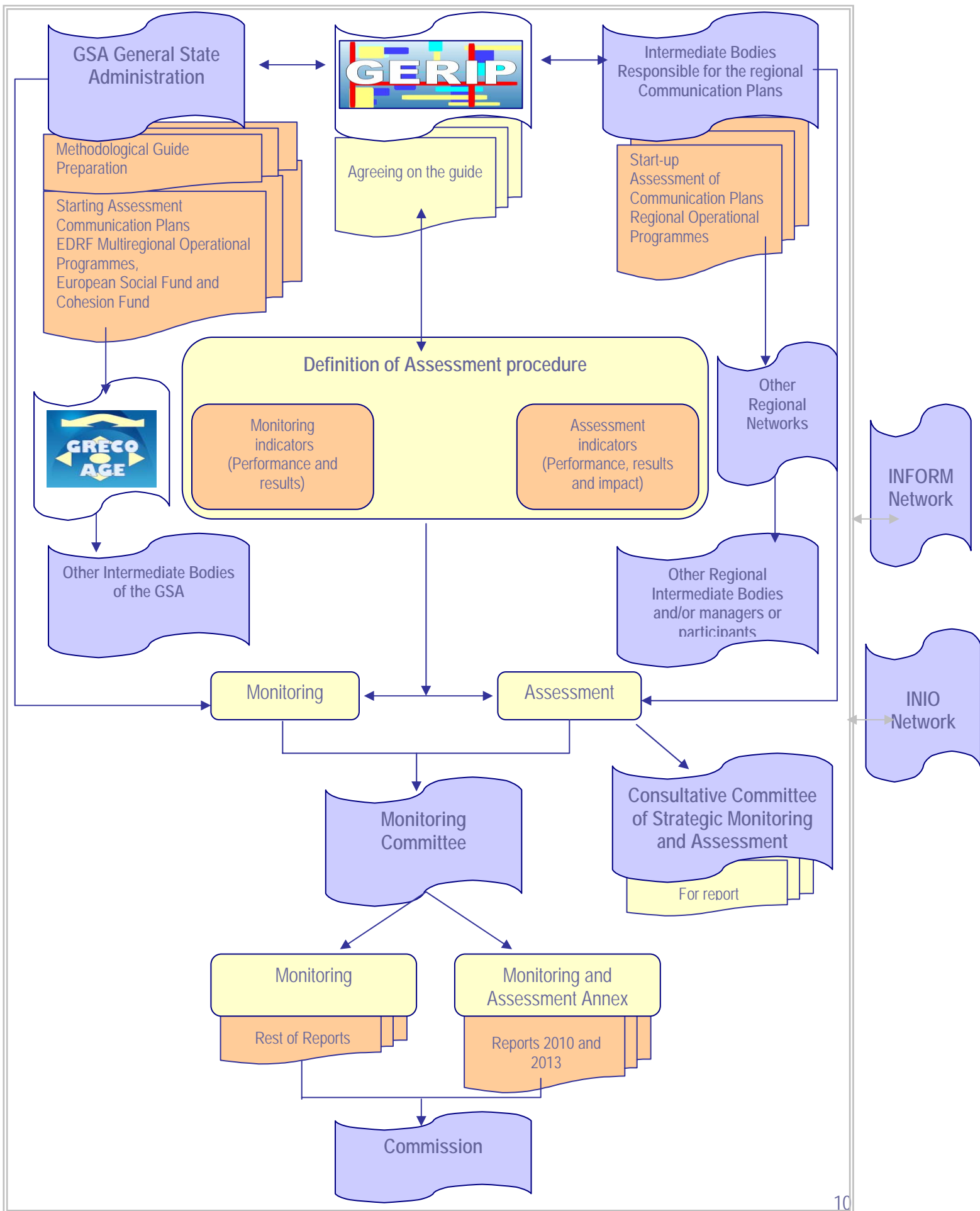
To carry out the assessments so that they might be included in the corresponding annual report of the Operative Programs for assessment and approval by the corresponding Monitoring Committee, the opinion may be requested of an external specialised team or one may even be contracted there for charged to technical assistance, depending on the financial and human resources.

Whoever does the assessment will hand over their assessment report at the end of the work to the team responsible for contracting.

6 - Monitoring Committee.

The following will be presented in the heart of the Monitoring Committees of the Operative Program corresponding to a Communication Plan:

- The developments in the Communication Plan.
- The communication measures put into practice in the corresponding period, indicating the means of communication that have been used in the case of Advertising actions for which they might have been used.
- Examples of good practices concerning information and advertising.



2.3 ASSESSMENT PROCEDURE

The assessment procedure was designed in two large phases:

- Preparation of the monitoring and assessment indicators for them to be included and quantified in the Communication Plans, which have to be deemed accepted by the European Commission.
 - Preparation and distribution of the instructions to the bodies involved in developing the actions contained in the Communication Plans to assure their fulfilment.
 - Quantification of the indicators included in the Communication Plans and passed on to the Funds 2007 (FEDER and Cohesion Fund) and ESF 2007 (ESF) databases.
- Establishment of the methodology and assessment criteria to be applied.

It must also be said that

- It has been decided that the instructions contained in this guide will be applicable to the two assessments of 2010 and 2013, although the conclusions and recommendations will be adapted to the intermediate and final condition of the assessments in the corresponding manner. In other words, the assessment of the Communication Plans carried out in 2013 will start from the results and recommendations of the assessment made in 2010.

2.3.1 PURPOSE.

The assessment of the communication aspects focuses on the Communication Plans prepared and finally “accepted” by the European Commission, or if there should have been modifications thereto, the last current Communication Plan. The evaluations will therefore be intended to analyse the performance and results and impacts achieved by the **Communication Plans**, there being a different assessment report for each of them.

2.3.2 REGULARITY

Community Regulations establish the need to make two assessments of the communication aspects, one in 2010 and the other at the end of the period¹. The result of these assessments must be a chapter of the annual performance report of 2010 and the final report. Therefore the people responsible for communication in Spain have decided to carry out two assessments of the Communication Plans, one in 2010 and another in 2013, which must be available before September of these years for sending to the Commission.

Therefore this assessment process must be started bearing in mind the indicated times, without prejudice to the monitoring and information compiling actions, the information and advertising actions associated with the Plans, which must be maintained constantly throughout the programming period.

The assessment of 2010 will analyse the measures and actions carried out between January 1, 2007 and March 31, 2010 and referring to 2013, those carried out from April 1, 2010 to the end of the programming period. In any case, this last assessment will always bear in mind the conclusions and recommendations of the previous one.

2.3.3 ASSESSMENT TOOLS AND TECHNIQUES

2.3.3.1 System of indicators

The designing of monitoring and assessment indicators is a fundamental exercise for assessing the development and results achieved by a Program or Strategy. In this way, in accordance with the work line maintained by the GERIP, **the monitoring and assessment indicators have been prepared and quantified according to different directives to be included in the Communication Plans of the FEDER, Cohesion Fund and ESF 2007-2013 OP.**

These indicators, which are the same for all of the Communication Plans, are those shown in Table 1 and are characterised by their:

¹ To these effects, as appears in the Communication Plans, the end is understood as December 31, 2013

- **Design:** the monitoring and assessment evaluations have been standardised in their definition, (see ANNEXE 2), in accordance with:
 - The information and advertising activities included in each of the Communication Plans accepted by the Commission.
 - The area of action of the Communication Plans (the assessment is not related to the Operative Program and/or Fund).
- **Type :** the indicators are divided into:
 - Performance indicators to know the number and type of information and advertising actions carried out in practice.
 - Result indicators for assessing the direct effects in the short term of the information and advertising actions contained in the Plans.

The estimation of the values to be achieved by each of the indicators has also been agreed as follows:

- It is done in 2013, for it is the reference of the Communication Plans and bearing in mind that the character of the communication actions means that its effects on the targets require a longer time to be observed.
 - The activities carried out by those responsible for the Communication Plans and the beneficiary and/or manager Intermediate Bodies of the Operative programs referred to are considered.
- **Proportionality:** the monitoring and assessment indicators of the information and advertising actions which are carried out in the different Communication Plans and which appear therein are proportional on the basis of:
 - The estimated quantification of the indicators.
 - The complementary qualitative analysis made by the independent assessors of the Communication Plans.

Tabla 1. Indicadores de seguimiento y evaluación de realización y resultado de los Planes de Comunicación de los PO FEDER y FSE 2007-2013.

TYPES OF ACTIVITIES	PERFORMANCE INDICATORS	<u>RESULTS INDICATORS</u>
1. PUBLIC ACTS AND ACTIVITIES	<u>(NO.) EVENTS CARRIED OUT</u>	(NO.) ATTENDING
2. MEDIA DISSEMINATION	<u>(NO.) ACTS OF DISSEMINATION</u>	
3. PUBLICATIONS MADE	<u>(NO.) EXTERNAL PUBLICATIONS</u>	(%) DISTRIBUTED/EDITED PUBLICATIONS
		(NO.) DISTRIBUTION POINTS
4. INFORMATION TO WEB SITES	<u>(NO.) WEB PAGES</u>	(NO.) VISITS
5. INFORMATION THROUGH ANY KIND OF SUPPORT	<u>(NO.) ADVERTISING SUPPORTS</u>	
6. INSTRUCTIONS ISSUED TO THE PARTICIPANTS OF THE OPERATIVE PROGRAMS	<u>(NO.) DISTRIBUTED INTERNAL DOCUMENTATION</u>	(%) BODY IS COVERED
7. INFORMATION AND ADVERTISING NETWORKS	<u>(NO.) NETWORKS</u>	(NO.) MEETINGS
		(NO.) ATTENDING

In addition to these performance indicators and results, in the assessment, impact indicators have been designed which allow the more long-term effects or consequences of the information and advertising actions to be measured and whether these effects can be attributed to the said interventions.

In selecting the indicators, consideration was given to the clarity in their definition, the simplicity in their application and the representativeness with regard to the objectives of the assessment itself. Therefore, these indicators are intended to collect (in actions aimed more directly at the

information) the degree of transparency required for achieving the selection of the best possible actions to be joint financed through the cohesion policy.

In this sense, with regard to the actions of the different groups involved in applying the funds in each Operative Program, three impact indicators are considered:

- ✓ The degree of awareness of the obligations in the programming, management, monitoring, control, assessment and information and advertising; unit of measure: percentage (%).
- ✓ Degree of satisfaction, indicating the assessment of the beneficiaries/Intermediate Bodies and/or managers or participants with the information provided; unit of measure: percentage (%)
- ✓ Rate of utility of the actions; unit of measure: percentage (%)

Therefore, when the assessor team has to reply to the last two indicators, it will open questions 3 and 14 of the questionnaire in Annexe 4 the following questions:

	1	2	3	4
The information presented has served to adapt and/or update your knowledge on the Funds and/or their application.				
The presented contents are of practical utility				
The session/event is a suitable tool for informing/training on the Funds				
The duration of the session/event and the number of participants was suitable for meeting the foreseen objectives				
The session/event has met my expectations				

where the degree of agreement with the different statements is on a scale from 1 to 4, with the following extremes: 1= minimal agreement 4= maximum agreement.

In any case, the assessment will have to be made by distinguishing for each of the different types of acts (management, control, assessment and/or communication of the European Funds) and, if the interviewee has attended several events of some of the different types, they must make an average assessment of them.

With regard to the awareness that citizens have of the funds from the European Union and the role that this plays in improving their quality of life, two indicators are added:

- ✓ Degree of awareness of the different Structural Funds and the Cohesion Fund; unit of measure: percentage (%)
- ✓ Degree of awareness of the role played by the European Union; unit of measure: percentage (%)

Impact Indicator	Unit of Measure
Degree of awareness of the obligations.	Percentage (%)
Satisfaction rate.	Percentage (%)
Rate of utility of the actions.	Percentage (%)
Degree of awareness of the different Funds	Percentage (%)
Degree of awareness of the role played by the European Union	Percentage (%)

2.3.3.2 Documentary analysis

The documentary analysis will allow an examination to be made of the reference framework concerning the actions with regard to Information and Advertising. It will therefore include the revision of any relevant or key documents. The documents described will serve as a reference framework, highlighting the following:

- Regulation 1828/2006, Chapter II Section I
- Communication Plans of the FEDER, ESF and FC Operative Programs 2007-2013,
- Documentation issued by the INFORM and INIO communication networks of the European Commission
- Documentation issued by the GERIP, the GRECO-GSA and the rest of the regional communication networks

- Monitoring information: Annual performance reports, Minutes of the Monitoring Committees and
- Procedure and/or specific manuals concerning information and advertising.

The documentary analysis will generally be carried out at the beginning of the assessment process of the Communication Plans as it provides basic information on the context, strategy, objectives and measures to be carried out, and on the achievements planned concerning Information and Advertising.

2.3.3.3 Interviews

The independent assessor team entrusted with the assessments shall carry out interviews either directly or carried out through surveys. These interviews are an important tool for obtaining quantitative information and will allow this information to be crossed with that obtained from the assessment indicators and a greater depth analysis to be made of the direct and indirect effects of the Information and Advertising measures started up.

With respect to criteria of equilibrium concerning representativeness and quality, the Management Authority, the Intermediate Bodies, regional heads of file and other intermediate bodies will be interviewed as fund beneficiaries and/or managers in order to obtain not only quantitative information but also more qualitative related not only to the measures of communication carried out, but also to the repercussion of information on improving the management of the Funds, on furthering in the consideration of the principle of equal opportunities and/or the checking and control actions, etc.

- ***Interviews with those responsible for the Communication Plans***
 - Suggested questionnaire in ANNEX 3
 - Personalised interviews
- ***Interviews with the Management Bodies and/or Beneficiaries***
 - Suggested questionnaire in ANNEX 4
 - Massive sending of e-mails from the contacts provided by whoever is responsible for the Communication Plan

- Use of the questions received and, if the results should require more detailed analysis, complementing with personal interviews.

- *Interviews with citizens*

The objectives of the survey are to reply to what is demanded by the regulations, in the sense of giving transparency to the actions joint financed through the different Operative Programs for which the different Communication Plans have been prepared and to consider whether the general public is aware of the role that the European Union plays in improving their quality of life. Likewise, with the survey it is intended to assess the last two designed impact indicators.

- Suggested questionnaire in ANNEX 5
- The survey will be by telephone, applying the CATI (Computer Assisted Telephone Interviewing) system
- The sample is presented in ANNEX 6

2.3.3.4 Discussion Groups

The discussion groups are intended to give specific results with regard to the causes of needs or problems and their possible solutions and, if necessary, to propose a modification of the Information and Advertising strategy:

They may be participated in by the different kinds of agents involved in the management and development of the actions concerning information and advertising, making use there for of the different networks established to this effect.

The holding of the following round tables is proposed:

- Sensitisation and awareness of the Citizens: channels, instruments, objectives covered, main obstacles, successes.
- Accessibility and quality in training and information provided concerning Information and Advertising to potential beneficiaries.

2.3.4 ASSESSMENT CRITERIA.

The assessment criteria are all of the key units which are to be analysed in evaluating the Communication Plans.

In defining them, consideration was given firstly to **the criterion of proportionality**, that is, the existence of correspondence between the actions gathered in the different Operative Programs and the amount of European funds intended for their joint financing and the communication actions which are going to be assessed, and the belonging of each region to one or another of the Objectives (Convergence and Competitiveness).

Likewise, the criterion of **belonging of the communication strategy** defined in each of the Communication Plans with respect to the directives in this respect. In this sense, the suitability will be assessed of the Communication strategy with respect to existing documentation on this subject from the INFORM and INIO communication networks of the European Commission.

Furthermore, **the validity and internal consistency of the Communication Plans**, checking whether there is coherence between the objectives of the Communication Plan and whether the communication measures started up suitably reply to these objectives.

Assess the **assignment and suitability of the resources** on this subject.

Assess the **consideration of the principle of equal opportunities**.

2.3.5 PREPARATION OF THE ASSESSMENT REPORT DOCUMENT

This section defines the structure to which the reports finally sent by the assessor teams should adapt in assessing the different Communication Plans, the description of the content to be developed in each of them, specifying the work for collecting and treating information and the assessment criteria to be made.

It will generally be proposed that the final assessment reports of the Communication Plans are structured in eight chapters relative to the methodology used and the consideration of the information and advertising in the programming and management along with the achievements obtained, the success cases identified and the conclusions and recommendations reached. (APPENDIX 1)

2.3.5.1 Methodology used

- *Technical design of the assessment*

The reason, the time scope, the agents involved and their responsibilities will be indicated, as well as the calendar and the structure in accordance with the instructions of this guide.

- *Methods and techniques used*

The specifications of this guide will be followed.

- Assessment of the above, indicating the conditioners and/or limits found in developing the work.

2.3.5.2 Analysis of the communication strategy programming

Consideration will be given to the criteria established in the guide in the sense of assessing the pertinence of the strategy and the validity and internal consistency of the Communication Plans.

2.3.5.3 Analysis of the Application of the information and advertising measures

- *Developments in carrying out the information and advertising measures*

En este apartado se estudiarán exclusivamente las medidas y actuaciones en materia de información y publicidad. El objetivo es conocer los avances y su relación con lo previsto en el Plan de Comunicación.

El equipo evaluador deberá indicar la adecuación del presupuesto gastado con relación al especificado en el Plan de Comunicación.

- *Integration of information and advertising activities in annual performance reports*

For the programming period 2007-2013 in accordance with article 4.2 of Regulation (CE) 1828/2006, the annual performance reports must include a section on information and advertising, which includes some examples of measures carried out in the period, the developments in the publication of the list of beneficiaries and the content of any important

modification of the communication plan.

In this sense, this section must check the following aspects:

- Compliance with this community requirement.
 - The inclusion of good practices, in accordance with the criteria established in this guide for their identification.
- *The repercussion of the monitoring systems on the quality of the performance of the measures*

The awareness of the processes of starting up and applying the Operative Program and its Communication Plan may help to identify success factors or hindrances, the consideration of which is decisive in understanding the performance levels achieved, and the results and overall impacts. The effectiveness of the information and advertising actions is often explained not only by the greater or lesser will of the Communication Plan, but also by the quality of the process of introducing or carrying it out.

With this purpose, it is proposed to seek and analyse information concerning the following aspects:

- Existence of instructions to the bodies entrusted with dealing with in carrying out the actions of management, monitoring, control, assessment and information and advertising.
- Quality of the established procedures.
- Availability of specific Manuals of management, monitoring, control, assessment and information and advertising by the Management Authorities, Intermediate Bodies and beneficiaries, and the preparation of instructions, guidelines in order to facilitate the information and transparency.
- Assignment and suitability of the resources set aside for communication aspects.
- Computer support: availability and organisation of computer applications which assure the quality of the monitoring and performance.
- Analysis of the structure and operation of the GERIP, GRECO-GSA and the rest of the regional networks.

- Communication and coordination with other bodies: fluid information flows with the Monitoring Committees, Consulting Committee of Strategic Monitoring and Assessment.

This analysis of the quality of the performance and the monitoring and assessment systems must be carried out through the fieldwork and particularly personal interviews, the main tool for collecting information.

2.3.5.4 Verification of the inclusion of the information and advertising in the verification and control actions of the FEDER Funds, Cohesion Fund and ESF

The intention in this section is to assess whether the Information and Advertising has been followed in both the verification and control. It is therefore proposed to make an examination of the following aspects:

- The inclusion in the operation control procedures of the application of the I+A obligations in preparing calls, contracting, etc.
- Integration and completion of questions concerning compliance with Information and Advertising in the check-lists used to fulfil article 13 of the Regulation 1083/2006

2.3.5.5 Inclusion of the principle of Equal Opportunities in the information and advertising measures

The form in which the objectives of the quality are reflected and the references to women, the type of information handled thereon or the languages and channels used for information and advertising actions, may provide an equality strategy, and have a clear influence on the construction and nurturing of a more equal culture.

In this sense, in order to comply with the principle of equal opportunities in the information and advertising measures included in the different Communication Plans, and the Management Authority, the Intermediate Bodies, regional heads of file represented in the GERIP and the remaining actors involved contribute through their actions herein to:

- Showing public opinion the contribution of the European Social Fund to equal opportunities between men and women.
- Bear in mind that the needs of women are stressed in accessing the different informative contents.
- Provide information to women on the possibility of taking part as beneficiaries in the programs.

2.3.5.6 Impact analysis.

Through the defined impact indicators, the assessor teams must draw the achievements and challenges that the information and advertising activities have called.

2.3.5.7 Conclusions and Recommendations: proposal of measures to be adopted.

From the analysed quantitative and qualitative information, the report will conclude with the formulation of the conclusions and proposals of measures to be adopted in the coming years to achieve maximum efficiency in the Communication Plans. If deficiencies are observed in the planning or performance of the Communication Plans, the opportune recommendations for improvement must be made.

- In the 2010 report, conclusions must be made on the adaptation and pertinent of the communication strategy, on the quality of the performance and monitoring and a description of the situation on the date on which the assessment report is closed, and an estimate must be made of the expectations of fulfilling the performed planning. The opportune recommendations will be made on the basis of these results.
- In the 2013 report, the previous assessment must be made of the development of the Plan and the results achieved, from the conclusions and recommendations of the 2010 report.

2.3.5.8 Definition of good practices

For it to serve as a guide not only for assessors but also for the Management Authority and/or Intermediate Bodies and/or beneficiaries in pursuing their actions and for it to serve as a reference when comparing different actions, there follow the criteria which will allow us to approach the “good practices” in communication. Therefore all actions replying to any of these criteria may be considered as such to all effects

1. One of the innovative resources in the presentation, organisation and/or development
2. Adaptation of the contents to the pursued objectives
3. Inclusion of equal opportunities criteria
4. Adaptation to the general objective of disseminating the funds
5. High degree of coverage of the communication action target population
6. Evidence of a high degree of quality
7. Use of new information technologies.

It must also be said that whenever good practices have to be highlighted, and particularly to be presented in the Monitoring Committees and/or reflected in the corresponding annual reports and in the documentation in which the assessors must necessarily be presented in the years 2010 and 2013, a report must be drawn up which, on the one hand, includes the identification of the good practice based on the criteria established in this section a and also a brief description of it, supporting the elements which justify and those on which the selection is based. Each action considered “good practice” must have the corresponding report.

3. APPENDICES

APPENDIX 1 - Index of the Assessment of Communication Plans report.

1. Assessment methodology
 - 1.1 Technical design of the assessment
 - 1.2 Methods and techniques used
 - 1.3 Assessment of the above
2. Analysis of the communication strategy programming
3. Analysis of the application of the information and advertising measures
 - 3.1 Developments in carrying out the measures
 - 3.2 Integration of information and advertising activities in annual performance reports
 - 3.3 The repercussion of the monitoring systems on the quality of the performance of the measures
4. Verification of the inclusion of the information and advertising in the verification and control actions of the FEDER Funds, Cohesion Fund and ESF
5. Inclusion of the principle of Equal Opportunities in the information and advertising measures
6. Impact analysis: achievements and challenges of Information and Advertising activities
7. Conclusions and Recommendations: proposal of measures to be adopted
8. Good practices

APPENDIX 2 - METHODOLOGICAL NOTE ON THE MONITORING AND ASSESSMENT PERFORMANCE INDICATORS

1. Public acts and activities

The number of launch events of the Operative Programs for which the Communication Plan is made, the important informative annual events, events around Europe Day and any other event contemplated for developing the measures of the Plan or transmitting information on community policy in Spain must be included.

2. Media dissemination

This caption includes different kinds of dissemination actions carried out in the media (TV commercials, press advertisements, radio spots, Internet "banners", press notes in teletypes...) used individually or as part of an advertising campaign for informing on the Operative Program or any of its specific actions, or the European regional policy amongst the citizens.

3. Publications mad

All kinds of publications are included (on paper or electronics support: books, leaflets, magazines, CD, DVD, videos...) aimed at citizens in order to inform on the Operative Program or any of its specific actions, and any related to European regional policy.

4. Information to web sites

This includes the main website used for transmitting information on the OP or any specific actions, and that related to European regional policy. In the case of the Regional Programs, those are only accounted relative to the management authority/authorities and that/those of the regional Intermediate Bodies responsible for managing the Funds in the different regional Administrations

5. Information through any kind of support

The different supports are included (posters, signs, boards, displays, stands and/or hoarding) that are used for advertising, in order to present the Operative Program or any of its specific actions amongst citizens.

6. Instructions issued to the participants in the operative programs

All of the documentation is included which is distributed from the management authorities and/or Intermediate Bodies to the Management Bodies of the Operative Programs and/or potential beneficiaries of the European Funds applied through the different Operative Programs (methodological guides, instructions, reports....).

It is a question of guaranteeing the transparency of the actions in order to achieve the greatest possible excellence in the actions to be joint financed with European funds and to facilitate compliance with community regulations

7. Information and advertising networks

The Communication networks are included which are established for starting up and carrying out the communication strategy set out in the different Communication Plans

In the line of special sensitisation towards the establishment of community networks allowing the exchange of good practices to be guaranteed and experiences to be exchanged in information and advertising

In any case, it must be said that the proposed indicators have been designed in full respect of the criterion of proportionality and coherence with the actions included in the different Operative Programs. Likewise it was a question of guaranteeing transparency in the actions to achieve the best possible actions to joint finance with the European funds and to make citizens aware of the role which the European Union plays in increasing their quality of life, by enhancing the role that specific actions of the Operative Programs might have in this. Therefore great consideration has been given, wherever necessary, to the more novel and/or outstanding actions in the programming period 2007-2013, such as those related to R&Di, those relative to Jeremi, to the new Fund for the Ultra Peripheral Regions....

APPENDIX 3 - LIST OF QUESTIONS AND/OR CHECKS FOR THE MANAGEMENT AUTHORITIES AND/OR INTERMEDIATE BODIES RESPONSIBLE FOR THE COMMUNICATION PLANS IN THE DIFFERENT REGIONAL ADMINISTRATIONS

QUESTIONNAIRE	ANSWER
Have you prepared a Communication Plan for the OP.?	YES NO (IF PERTINENT, CLARIFY)
Have you informed beneficiaries that they will form part of a public list if they receive community help?	YES NO (IF PERTINENT, CLARIFY)
Have you carried out any OP launch activity?	YES NO (IF PERTINENT, CLARIFY)
Have you carried out annual activities to present the achievements and developments of the OP?	YES NO (IF PERTINENT, CLARIFY)
Have you carried out the annual raising of the EU flag in the week of the ninth of May?	YES NO (IF PERTINENT, CLARIFY)
Have you carried out the electronic publication of the list of beneficiaries?	YES NO (IF PERTINENT, CLARIFY)
Have you reported the content of the OP through the website?	YES NO (IF PERTINENT, CLARIFY)
Have you published material disseminating the OPs?	YES NO (IF PERTINENT, CLARIFY)

Have you reported the responsibilities that the beneficiaries acquire in terms of management, monitoring, control, assessment and information and advertising?	YES NO (IF PERTINENT, CLARIFY)
Have you provided those interested with the contact data of the administrative units they can address to request any kind of information concerning the OP?	YES NO (IF PERTINENT, CLARIFY)
Have you provided information on the regulations, the management procedures and updates?	YES NO (IF PERTINENT, CLARIFY)
Have you distributed specific instructions and/or a manual of communication requirements among the intermediate bodies and/or beneficiaries of the operations?	YES NO (IF PERTINENT, CLARIFY)
Do you make a graphic compilation of the informative and advertising actions carried out?	YES NO (IF PERTINENT, CLARIFY)
Have you used the motto agreed in the Communication Plan for the communication material you have put into practice?	YES NO (IF PERTINENT, CLARIFY)
Have you organised any meeting, course or seminar to report the management of the OP and its results?	YES NO (IF PERTINENT, CLARIFY)
Have you started up any advertising action to show the achievements of the OP or generally of the regional policy in Spain?	YES NO (IF PERTINENT, CLARIFY)
Have you correctly applied the technical demands for the information and advertising measures included in the Regulations?	YES NO (IF PERTINENT, CLARIFY)
Have you taken part in any communication network related to the European Funds?	YES NO (IF PERTINENT, CLARIFY)

Do you monitor the developments of the Communication Plan and set them out in the reports sent to the Monitoring Committee?	YES NO (IF PERTINENT, CLARIFY)
Do you contribute to disseminating the good practices of the projects in the OPs for which the Communication Plan has been drawn up?	YES NO (IF PERTINENT, CLARIFY)
Do you complete communication indicators (performance and/or result) as a consequence of your participation in the OP? Indicate which.	YES NO (IF PERTINENT, CLARIFY)

APPENDIX 4 - LIST OF QUESTIONS AND/OR CHECKS FOR MANAGEMENT BODIES AND/OR BENEFICIARIES

QUESTIONNAIRE	ANSWER
Do you know Communication Plan of the OP in which you are taking part?	YES NO (IF PERTINENT, CLARIFY)
Have you received specific instructions and/or a monitoring manual of the Communication Plans?	YES NO (IF PERTINENT, CLARIFY)
Have you taken part in any meeting or training session regarding the communication requirements in the new programming period?	YES NO (IF PERTINENT, CLARIFY)
Does your Body form part of any communication network related to the European Funds?	YES NO (IF PERTINENT, CLARIFY)
If you are not a beneficiary, have you distributed specific instructions and/or a manual of communication requirements to them?	YES NO (IF PERTINENT, CLARIFY)
Have you correctly applied the technical characteristics required in regulations for information and advertising measures?	YES NO (IF PERTINENT, CLARIFY)
Have you used the slogan agreed in the Communication Plan for the communication material put into practice?	YES NO (IF PERTINENT, CLARIFY)
In the call and/or resolution of the aids, covenants, etc. have you mentioned the participation of the FEDER/ESF?	YES NO (IF PERTINENT, CLARIFY)
In the conditions and administrative clauses, have you provided information concerning the selection criteria of the projects, the procedures for examining applications and their times?	YES NO (IF PERTINENT, CLARIFY)
Have you used any electronic procedure to disseminate the different calls within the framework of the OP?	YES NO (IF PERTINENT, CLARIFY)

<p>If you are not a beneficiary, have you informed them of the obligations which they generally acquire concerning information and advertising, and specifically that they will form part of a list of beneficiaries that will be published by the Management Authority?</p>	<p>YES NO (IF PERTINENT, CLARIFY)</p>
<p>Have you sent press notes and/or published in the news through the media in relation to the OP and/or the role played by the EU?</p>	<p>YES NO (IF PERTINENT, CLARIFY)</p>
<p>Do you compile and file the communication material of the actions you manage?</p>	<p>YES NO (IF PERTINENT, CLARIFY)</p>
<p>Have you taken part in any meeting and/or course where you have been informed of the procedures of management, control, assessment and/or communication of the European Funds?</p>	<p>YES NO (IF PERTINENT, CLARIFY)</p>
<p>Have you started up any advertising action to present what has been achieved in actions joint financed with European funds?</p>	<p>YES NO (IF PERTINENT, CLARIFY)</p>
<p>Have you organised any meeting, seminar, event, fair and/or gathering to report your participation in the OP and/or generally on European regional policy in Spain?</p>	<p>YES NO (IF PERTINENT, CLARIFY)</p>
<p>What are the main problems you find when meeting the communication requirements in developing your operations?</p> <p>a. Community emblem</p> <p>b. Motto of the Fund indicated in the Communication Plan</p> <p>c. Communicate the European joint financing</p> <p>d. List of beneficiaries, the names of the operations and the amount of public funds assigned thereto</p> <p>e. Content of the specific tools (hoarding, posters, etc.)</p> <p>f. Others (specify)</p>	<p>YES NO (IF PERTINENT, CLARIFY)</p>

APPENDIX 5 - LIST OF QUESTIONS AND/OR CHECKS ADDRESSED TO THE GENERAL PUBLIC

1. Do you know that your autonomous community receives money from the European Union to contribute to its economic and social progress?
 - Yes
 - No

2. Have you heard of...
 - European Regional Development Fund "FEDER"?
 - Yes
 - No
 - European Social Fund "ESF"?
 - Yes
 - No
 - Cohesion Fund
 - Yes
 - No

If both answers are negative, the survey ends

3. ¿Do you know projects or investments which have been done with European financing in your autonomous community relative to (multiple reply)

	YES	NO
Infrastructures (roads, trains....) and facilities (schools, hospitals...) (ERDF)		
Environment (water, purifiers, desalinating plants) (ERDF)		
Research, Development and Innovation and Information Society (ERDF and ESF)		
Help to companies (ERDF and ESF)		
Training and Employment (ESF)		
Help for reducing social inequalities and the difference between men and women (ERDF and ESF)		
Help to fight against exclusion and/or the disabled (ESF)		

4. How did you find out about this kind of action...? (multiple reply)

	YES	NO
Have you seen hoardings on the roads / boards in training centres?		
Have you seen signs, posters in the street?		
Have you seen/heard advertisements in the press, radio, television...?		
Through leaflets?		
Through Internet?		
Through other people?		
Have you taken part in any training course financed by the European Union?		

5. How do you consider the role played by the European Funds (FEDER, ESF and Cohesion Fund) in the development of your region

- a. Irrelevant
- b. Positive
- c. Highly beneficial
- d. Absolutely critical

6. Does the motto and/or mottos "Here the one that appears in the Communication Plan" seem to you to adequately reflect the role played by the European Union through the FEDER, ESF and/or Cohesion Fund, in the greater economic and social development of Spain and/or specifically of your region?

- Yes
- No

APPENDIX 6 – SAMPLE DESIGN OF THE CITIZENS' SURVEY

The group to be investigated will be the over 15s residing in the Autonomous Community or City to which the assessed Communication Plan corresponds. In the case of Communication Plans for several regions, they will be those who live in the whole of the country.

The reference period of the results corresponds to the time when each of the two assessments is carried out (2010 and 2013) for which this monitoring and assessment guide is drawn up.

It has been designed to efficiently allow the objectives of the survey to be reached, considering layering by autonomous communities. The size of the total theoretical sample was 16,000 units. To proceed to allocate the units in each of the different Autonomous Communities and Cities and in order to respect **the principle of proportionality**, two independent groups were established depending on whether they belonged to the Convergence Objective (pure Convergence and Phasing-out) or to the Objective of Competitiveness (pure Competitiveness and Phasing-in). To decide the size of the sample, in each group the amount of the European funds to be received in the programming period 2007-2013 was conciliated along with the population residing in the Autonomous Communities and Cities included in each group. Finally, the sizes were 9,000 and 7,000 units respectively.

The allocation was done in both groups through a criterion of commitment between the uniform allocation and the proportional. Therefore, in the first group, 650 units were initially allocated for each of the Autonomous Communities and/or Cities and the remaining units were shared out in proportion to the number of people of 15 years or more in each of them, according to the population data obtained from the revision of the municipal register 2008. A similar procedure was carried out in the second group but with an initial allocation of 450 units.

The following table shows the sizes of the samples along with an estimate of the sample error and the semiamplitude of the confidence interval for a confidence level of 95%, considering the estimate of proportions in the worst-case ($P=Q=0,5$). In preparing these data, the simple random sampling selection hypothesis in each Autonomous Community was considered. It is therefore an

orientative estimation of the areas to which this research is finally subject. The sample errors for the total were obtained by using formulae for layered sampling.

UNITS IN THE THEORETICAL SAMPLE AND SAMPLING ERROR ESTIMATES

		SAMPLING ERROR (p=q=0,5)	MARGIN OF ERROR
	UNITS IN THE SAMPLE	in percentage	confidence 95%
TOTAL	16,000	0.49	0.98
ANDALUSIA	2,479	1.00	2.01
ARAGON	544	2.14	4.29
ASTURIAS (PRINCIPALITY OF)	908	1.66	3.32
BALEARIC ISLANDS	524	2.18	4.37
THE CANARY ISLANDS	594	2.05	4.10
CANTABRIA	491	2.26	4.51
CASTILLA Y LEON	634	1.50	3.00
CASTILLA LA MANCHA	1,111	1.99	3.97
CATALONIA	961	1.61	3.23
THE COMMUNITY OF VALENCIA	799	1.77	3.54
EXTREMADURA	900	1.67	3.33
GALICIA	1,307	1.38	2.77
MADRID (COMMUNITY OF)	885	1.68	3.36
MURCIA (REGION OF)	964	1.61	3.22
NAVARRRE (LEGAL COMMUNITY OF)	493	2.25	4.50
BASQUE COUNTRY	603	2.04	4.07
RIOJA (LA)	472	2.30	4.60
CEUTA	666	1.94	3.87
MELILLA	665	1.94	3.88

In each autonomous community the survey will be carried out by telephone interview using the CATI method² and **the sample units** will be selected by applying systematic sampling with random start-up. Measures will be taken to guarantee that the simple random sampling respects the sex and age population observed in the population data used.

² Computer Assisted Telephone Interviewing

Correction estimators are used for layered sampling considering the different Autonomous Communities and Cities as layers. Under these conditions, the final expression of the estimated for the total of a characteristic X is obtained as follows:

$$\hat{X} = \sum_h \frac{N_h}{n_h} x_h$$

Where:

- h* Autonomous Community or City.
- N_h* number of people of 15 years or over in this Autonomous Community or City.
- n_h* number of people of the effective sample of the Autonomous Community or City *h*.
- x_h* total people in the effective sample with a certain characteristic.
- X* belonging to the Autonomous Community or City *h*.

As an estimator for the proportion of a characteristic X we use the correction estimator:

$$\hat{p} = \frac{\sum_h \frac{N_h}{n_h} x_h}{N}$$

where N is the target population of the survey

To determine the precision of the offered estimators, the corresponding sample errors were obtained. The estimator used for obtaining the total error was the typical deviation

$$D(\hat{X}) = \sqrt{V(\hat{X})}$$

where $V(\hat{X})$ the variance of the estimate of \hat{X} for layered sampling

$$V(\hat{X}) = \sum_h \frac{N_h(N_h - n_h)}{n_h} S_h^2$$

where

$$S_h^2 = \frac{1}{n_h - 1} \sum_i (x_{hi} - \bar{x}_h)^2$$

This sampling error allows the confidence interval to be obtained, within which, with a certain probability, is the true value of the estimated characteristic. Therefore the sampling theory determines that in the interval between

$$\left(\hat{X} - 1,96\sqrt{\hat{V}(\hat{X})} , \hat{X} + 1,96\sqrt{\hat{V}(\hat{X})} \right)$$

there is 95% confidence that the true value of the parameter X is there.