

Impact Assessment Toolkit



for Cross-Border Cooperation



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2011

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Foreword

The Centre for Cross Border Studies and the Euro Institut are pleased to present here our **Impact Assessment Toolkit for Cross-Border Cooperation in Ireland.**

This Toolkit is the product of one of five research projects based in the Centre for Cross Border Studies in Armagh that are funded by the EU INTERREG IVA Programme (managed by the Special EU Programmes Body) under the Ireland/Northern Ireland Cross-Border Cooperation Observatory (INICCO).

Cross-Border Impact Assessment is intended to be a practical method to assist people planning cross-border programmes and projects. Many of the core problems of the Cross-Border Territory do not respect jurisdictional boundaries. The Toolkit will help to determine, first of all, whether a cross-border approach is the appropriate level of intervention, and if so, to identify the 'added value' of cross-border cooperation. This means that a cross-border approach will be more efficient and/or effective than action taken in one or both jurisdictions separately. Crucially, however, it will also support the identification of the added value that has come about as a result of the cooperation process itself: for instance, the benefits derived from developing new cross-border relationships and new ways of working that contribute to the cohesion and sustainability of the Cross-Border Territory.

This Toolkit is particularly timely in light of the European Commission's increasing focus on 'Territorial Cooperation' and 'Territorial Cohesion'. The Toolkit will be an aid to meeting the criteria of European Territorial Cooperation (ETC) programmes and developing stronger projects that can contribute to significant social, economic and environmental change. Of course, development of a Cross-Border Impact Assessment Toolkit for use in the island of Ireland must also take into account the imperative for cross-border cooperation enshrined in the 1998 Belfast/Good Friday Agreement.

The Toolkit offers an integrated, place-based approach. The Cross-Border Territory (which we are defining as Northern Ireland and the six Border Counties of Ireland) is characterised by many complex and strongly embedded issues. Just as many of the core problems of the region are multi-faceted, actions taken to address a core problem – whether social, economic or environmental – are likely to result in a combination of social, economic and environmental impacts. This Toolkit will assist in ensuring that the most significant of these impacts are captured and valued.

Cross-Border Impact Assessment can help to fill the logical gap between the strategic objectives of regional programmes such as PEACE and INTERREG, and the sectoral and thematic actions of funded projects.



Conceptual Context



Cross-Border Impact Assessment assists programme and project planners in thinking through the consequences of proposals. The Toolkit will be a guide through this process, helping to clarify and define the cross-border policy challenge under consideration and to analyse the case for intervention.

Key Benefits of the Toolkit





Section One sets out the policy context for cross-border cooperation in respect of both the European Union and the particular circumstances of the island of Ireland after the 1998 Agreement. It goes on to discuss the use of Impact Assessment in a cross-border context and to explain in detail what is meant by the added value of cross-border cooperation.

Section Two of the Toolkit is set out in six sections that correspond to the Six Key Analytical Steps for Cross-Border Impact Assessment. To help you in undertaking your Cross-Border Impact Assessment, each of these sections is colour-coded.

1. IDENTIFYING THE PROBLEMS OF THE CROSS-BORDER TERRITORY
2. DEFINING GENERAL AND SPECIFIC OBJECTIVES
3. IDENTIFYING AND CHOOSING CROSS-BORDER POLICY APPROACHES AND INSTRUMENTS/ACTIONS
4. IDENTIFYING EXPECTED IMPACTS
5. CHOOSING AND DEVELOPING APPROPRIATE INDICATORS
6. DESIGNING AN APPROPRIATE MONITORING AND EVALUATION FRAMEWORK

At the start of each step, there will be a short overview to explain what that stage of the Cross-Border Impact Assessment means and the methodology that will be used. You will be given directions about how to apply the methodology to your proposed programme/project. For example:

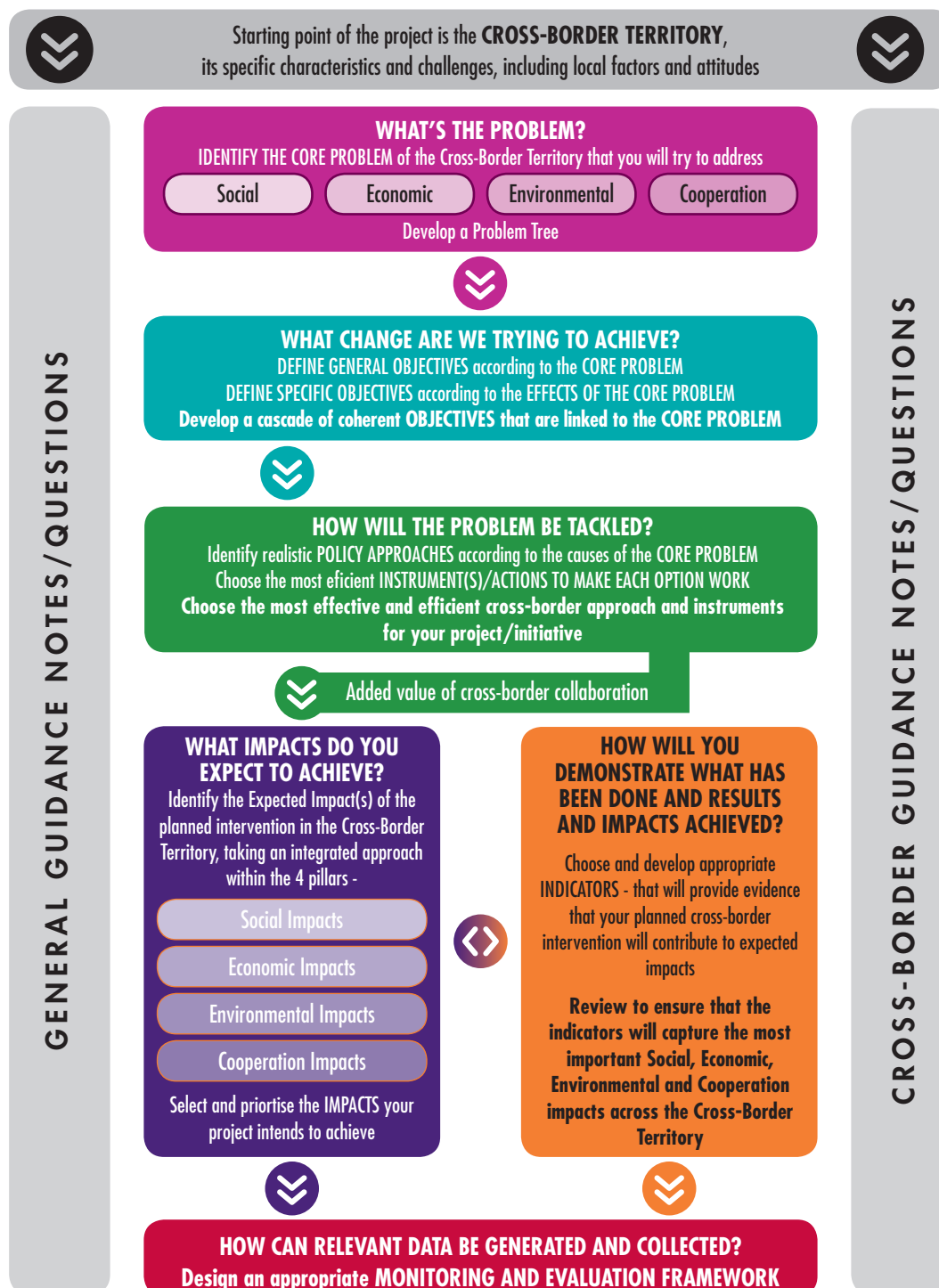
These instructions will be supported by a number of **GUIDING QUESTIONS**. These questions should help you clarify your project's focus and rationale. Some of these questions will be 'generic' questions that could be used in any impact assessment. Other questions will be specifically focused on identifying and measuring the added value of cross-border cooperation.

We then provide an **EXAMPLE** based on a *hypothetical project* addressing FUEL POVERTY that will illustrate the process, building on each of the previous sections.

The six steps are illustrated in the following graphic, a larger version of which is presented on page 22.



The Key Analytical Steps in Cross-Border Impact Assessment





Section Three will offer three case studies, applying the Cross-Border Impact Assessment methodology to real life projects funded under the INTERREG IVA Programme.

In the Appendices 1 and 2 we present a summary of the Core Problems, Strengths and Opportunities of the Cross-Border Territory, which have been drawn from key policy and operational documents, including the INTERREG IVA and PEACE III Operational Programmes.

Appendix 3 offers an example of a hypothetical cross-border funding programme, drawing on existing analyses of the Irish Cross-Border Territory. It demonstrates that the Cross-Border Impact Assessment method can be as usefully applied at strategic programme level as at operational project level.

Appendix 4 is a reference to the Core Indicators for the European Regional Development Fund and Cohesion Fund and Appendix 5 provides additional references for further reading.

The Toolkit will be accompanied by a training programme delivered jointly by the Centre for Cross Border Studies and the Euro Institut.

We would like to take this opportunity to thank the members of the project Advisory Group who have shared their time and expertise: Dr Kenneth Bush, INCORE International Conflict Research Institute; Mr Brian O Caoindealbain, Co-operation Ireland; Mr John Driscoll, International Centre for Local and Regional Development; Ms Teresa Lennon, Special EU Programmes Body; Mrs Celeste McCallion, Northern Ireland Statistics and Research Agency; Mr Adrian McNamee, Victims Commission NI; Mr Owen Metcalfe, Institute of Public Health in Ireland; Ms Colette Nulty, Pobal; Mr Andy Pollak, Centre for Cross Border Studies; Mr Joe Shiels, Centre for Cross Border Studies.

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Section 1

Introduction

Setting the Context for Cross-Border Impact Assessment

While this Impact Assessment Toolkit has been developed specifically for use in the Irish “Cross-border Territory” (defined as those parts of the island of Ireland that are designated as the eligible area under the EU Peace and INTERREG programmes¹) i.e. Northern Ireland and the six Southern border counties: Donegal, Sligo, Leitrim, Cavan, Monaghan and Louth. It is intended that the Cross-Border Impact Assessment methodology used here can be easily adapted to other cross-border territories.

Cross-border cooperation in the context of the island of Ireland has been evolving, deepening and widening as a result of two primary policy imperatives:

- 1) EU Territorial Cohesion Policy, EU Territorial Cooperation and other Structural Funding, in particular the Peace Programmes; and
- 2) The commitment to Cross-border Cooperation that is integral to the Belfast/ Good Friday Agreement.

This cooperation is being implemented through a range of cross-border structures and relationships and supported with resources from the EU, the UK and Irish Governments, the NI Assembly, local authorities on both sides of the border and a wide range of social partners.

European Cohesion Policy

“Cohesion policy is the EU’s main instrument for pursuing harmonious development across the Union. It is based on a broad vision, which encompasses not just the economic development of lagging regions and support for vulnerable social groups, but also environmental sustainability and respect for territorial and cultural features of different parts of the EU. This breadth of vision is reflected in the variety of programmes, projects and partners that are supported under the policy.”

Investing in Europe’s Future: Fifth report on economic, social and territorial cohesion, November 2010

1. The eligible region is largely rural in nature, is situated on the periphery and has areas of low population density. In 2009, the population of Northern Ireland was 1,788,900, [The Northern Ireland Statistics and Research Agency (NISRA) <http://www.nisra.gov.uk/demography/default.asp3.htm>] In 2006, the population of the Border Region of Ireland was 467,327, [INTERREG IVA Cross-border Programme for Territorial Cooperation 2007-2013 Northern Ireland, Border Region of Ireland and Western Scotland Operational Programme]



Throughout the European Union, Cross-border Cooperation is of increasing importance, given impetus by the increasing emphasis on convergence of the European Regions and institutionalised within the framework of the European Cohesion Policy.

The objective of European Cohesion Policy is to strengthen economic, social and territorial cohesion by reducing disparities between the levels of development of regions and countries of the European Union. To reduce these disparities, the concept of the current financial framework (2007-2013) has prioritised competitiveness and employment. The latest financial shock waves that have affected the European member states and their economies, make cohesion even more important. The European Union has to face unprecedented challenges at this time of crisis.

"Europe faces a moment of transformation. The crisis has wiped out years of economic and social progress and exposed structural weaknesses in Europe's economy. In the meantime, the world is moving fast and long-term challenges – globalisation, pressure on resources [climate change], ageing – intensify. The EU must now take charge of its future. Europe can succeed if it acts collectively, as a Union. We need a strategy to help us come out stronger from the crisis and turn the EU into a smart, sustainable and inclusive economy delivering high levels of employment, productivity and social cohesion.²"

Extracts from Council Regulation (EC) No 1083/2006 of 11 July 2006

Article 158 of the Treaty provides that, in order to strengthen its economic and social cohesion, the Community is to aim at reducing disparities between the levels of development of the various regions and the backwardness of the least favoured regions or islands, including rural areas. ...

Cohesion policy should contribute to increasing growth, competitiveness and employment by incorporating the Community's priorities for sustainable development ...

Economic, social and territorial disparities at both regional and national level have increased in the enlarged European Union. Actions for convergence, competitiveness and employment should therefore be increased throughout the Community.

The increase in the number of the Community's land and sea borders and the extension of its territory mean that the value added of cross-border, transnational and interregional cooperation in the community should be increased.

Official Journal of the European Union, 31.7.2006

However it can also be observed that not every Member State and area of the Union is affected in the same way, or has experienced the same level of crisis. Furthermore there are diverse strategies to tackle the enormous emerging challenges

2. European Commission, Europe 2020 Strategy.
Three priorities should be the heart of Europe 2020:
 - Smart growth – developing an economy based on knowledge and innovation.
 - Sustainable growth – promoting a more resource efficient, greener and more competitive economy.
 - Inclusive growth



within the multi-level governance system of the European Union. Solutions appropriate to the needs of each member state or region need to be found. The challenge is to create coherent *policy approaches* within the framework of the European Union that strengthen the economic, social and territorial cohesion while respecting diversity – at European Level, the level of the Member States, and the regional and local levels.

When we talk about Cross-border Cooperation, we also talk about certain regions and territories. These regions could be also described as *functional territories*. This means that there are similar characteristics and challenges on both sides of jurisdictional boundaries. Moreover there are issues that do not respect administrative boundaries and may require a co-ordinated response from several regions or countries, while others need to be addressed at the local cross-border level. For the cohesion of a certain territory, it is of particular importance to bring together local and regional stakeholders as well as politicians who are willing to foster and promote cross-border cooperation. The increasing realisation of potential *mutual benefits* and *the common added value* of cooperating across the border is a process that can be seen in the whole European Union, for example through the increasing number of cooperation initiatives across European borders. The potential importance of Cross-border Cooperation is demonstrated by the fact that 32 per cent of European citizens live in border regions.³

“Viewing cohesion from a territorial angle calls attention to themes such as sustainable development and access to services. Also underlining that many issues do not respect administrative boundaries and may require a coordinated response from several regions or countries, while others need to be addressed at a local or neighbourhood level. Building on the experience of the European Territorial Cooperation objective we can now look at the ways to further improve the cooperation between regions within the Union and with the neighbouring regions outside.

“An integrated place-based approach pursued by Cohesion Policy is ideally suited to respond to complex and strongly embedded issues, such as regional development, but in order to maximise synergies better coordination with sectoral policies is necessary. Territorial cohesion also stresses the added value of partnership with a strong local dimension, which ensures that policies are designed and implemented with local knowledge. ”

(DG Regio)

Particularly for less competitive and developed regions, cross-border cooperation offers opportunities to strengthen their position by developing certain activities together. This saves *resources* through *using synergy effects* and *shares experience* for better solutions, which ensure that policies are designed and implemented with *local knowledge*. Especially in difficult economic times, it could help to strengthen the cohesion of a territory and tap new financial resources – such as European funding through the INTERREG programme – while other (national) resources are

3. Joachim Beck, “Lessons from an Institute for Cross-Border Cooperation on the Franco-German Border”, *Journal of Cross Border Studies in Ireland*, No. 3, Spring 2008.



perhaps decreasing. Territorial cohesion can also benefit relatively 'rich' regions – for example through the exploitation of new markets in emerging, 'less developed' regions or nations.

This Toolkit is particularly timely in light of the European Commission's increasing interest in investigating territorial impacts of sectoral and structural policies.⁴ The shape of Cohesion Policy both before and after 2013 will be increasingly orientated towards a *visible* European added value.

The European Commission and the DG Regio have identified two closely linked elements of Cohesion Policy. The first is the need for a more strategic approach. This means a stronger *integration* of the actions that are taken in strategic frameworks to avoid a fragmentation of the funding. The second element – supporting the need for a strategic approach – is the need to optimise its implementation.

The Territorial Cohesion Policy is supported by the EU development programmes under the European Territorial Cooperation Objective (INTERREG IV and PEACE III Programmes). The Cross-border Impact Assessment Toolkit presented here, therefore, has been developed within the broader context of European Cohesion Policy.

The Belfast/Good Friday Agreement

Development of a Cross-border Impact Assessment Toolkit for use in the context of the island of Ireland, must, however, also take into account the imperatives set out in the 1998 Belfast/Good Friday Agreement.⁵ Under Strand Two of the Agreement, the North/South Ministerial Council (NSMC) was established to bring together those with executive responsibilities in Northern Ireland and the Irish Government, *"to develop consultation, cooperation and action within the island of Ireland – including through implementation on an all-island and cross-border basis – on matters of mutual interest within the competence of the Administrations, North and South. The two administrations are pledged to use their best endeavours to reach agreement on the adoption of common policies, in areas where there is a mutual cross-border and all-island benefit, and which are within the competence of both administrations."*

Arising from the Agreement, work programmes for six 'Areas for Cooperation' have been agreed and are discussed at sectoral meetings of the North/South Ministerial Council (NSMC), but implemented separately in each jurisdiction:

- *Agriculture*: Common Agricultural Policy issues, animal and plant health, agricultural research and rural development.
- *Education*: Education for children with special needs, educational under-achievement, teacher qualifications and school, youth and teacher exchanges.

4. Accord: European Commission, Fifth progress report on economic and social cohesion – Growing Regions, growing Europe, page 6, *"Some contributions however urge the Commission to develop a definition of territorial cohesion and **indicators** for better understanding this concept."* (solutions of public consultation), 2008

5. The Agreement (1998), <http://www.nio.gov.uk/agreement.pdf>



- *Environment*: Environmental protection, pollution, water-quality management and waste management.
- *Health*: Accident and emergency planning, cooperation on high-technology equipment, cancer research and health promotion.
- *Tourism*: The promotion of the island of Ireland as a tourist destination for overseas visitors via the establishment of a new company, known as Tourism Ireland.
- *Transport*: Cooperation on strategic transport planning including road and rail infrastructure and public transport services and road and rail safety.

In addition to these, six further “implementation bodies” span the border. Policies in these areas are agreed at North/South Ministerial Council level and administered directly by cross-border bodies.

- Waterways Ireland (management of specific and chiefly recreational inland waterways)
- Food Safety Promotion Board (food safety awareness)
- Special European Union Programmes Body (management and oversight of EU programmes and common chapters of the Irish National Development Plan and the Northern Ireland Structural Funds Plan.)
- InterTradeIreland (trade and business development)
- The North/South Language Body (promotion of the Irish and Ulster Scots languages)
- Foyle, Carlingford and Irish Lights Commission (management and development of Lough Foyle and Carlingford Lough, the two sea loughs that mark the beginning and end of the Ireland / Northern Ireland border, and coastal lights).

The NSMC is also required to consider the European Union dimension of relevant matters, including the implementation of EU policies and programmes and proposals under consideration in the EU framework.

For Cross-border Cooperation to make a significant impact in achieving cohesion within the Cross-border Territory and within the island of Ireland, it is crucial to have a critical number of cross-border projects – or in other words “*enough to make a difference*” in the Cross-border Territory. Furthermore, it is essential that the projects have a certain *quality* and an *effective contribution* in form of a mutual benefit.



Using Impact Assessment in a Cross-border Context

Cross-border Impact Assessment is a method that can assist in **planning** cross-border programmes, projects and policies by setting out a set of logical steps to be followed that will help to ensure that proposed projects, programmes or policies are both internally coherent and that the proposed project, programme or policy is effectively addressing a core problem or problems of the Cross-border Territory.

Although planning for the monitoring and evaluation of the proposed initiative is part of the Cross-border Impact Assessment process, *Cross-border Impact Assessment is not the same as evaluation*. An ex-ante evaluation may take place prior to the commencement of a project or programme to establish a baseline against which progress can be measured. Evaluation can also take place during the life of a programme or project and at the end of the programme/project cycle. While self-evaluation is one approach, evaluation is usually done by an external evaluator. Cross-border Impact Assessment, on the other hand, is a primarily internal process; part of ensuring that there is ownership by the actors involved in design and implementation.

CROSS-BORDER IMPACT ASSESSMENT

Ex-ante

Planning Tool

Integrated

Internal approach/ownership

Improved project quality



EVALUATION

Ex-ante /ex-post

Monitoring

**External approach /
accountability**

"Impact assessments are a basic component of best practice in policy making, and form a sound basis on which to review existing policy. They are essential tools to employ when considering the effect of a range of different proposals. To be effective, the process of impact assessment should begin right at the start of your policy project."

*Effective Policy Making Workbook 4: A Practical Guide to Impact Assessment, Policy Innovation Unit
Office of the First Minister and Deputy First Minister (OFMDFM)*

Ideally, a Cross-border Impact Assessment should assist programme and project sponsors in thinking through the consequences of their proposals. This Toolkit will guide you through this process, initially helping you to understand and define the cross-border challenges and to analyse the case for intervention.

Separately, the UK, Northern Ireland and Irish governments have experience in developing and using impact assessments in a number of key areas including health, environment, equality, regulation, and poverty. More recently, efforts have been made within the EU PEACE Programme to promote peace and conflict impact assessment using the *Aid for Peace* approach.

Since 2003 the European Commission has been publishing impact assessments for EU legislative proposals, and in 2006 established an Impact Assessment Board



within the Commission with a mandate to improve the quality of European Impact Assessments and advise Commission departments on them. The EU issued updated and revised guidelines for impact assessment in 2009.⁶ These *Guidelines*, which cover social, economic and environmental impacts, have informed the structure of this Toolkit. Cross-border Impact Assessment provides a valuable mechanism to make clear connections between the cross-border actions undertaken and the achievement of objectives and targets.

In the past, many people with responsibility for delivering cross-border programmes and projects have found it relatively easy to demonstrate *what they have done*. Success has been judged on the basis of activities that have been measured through the use of output and results indicators. Demonstrating impact – the **change** that has taken place as a result of these activities – is more problematic.

IMPACTS ARE

... changes that have a causal - or at least a plausible - link to a project/programme

... a change of circumstances as a consequence of an intervention; it can be intended or unintended, positive or negative.

... there from the first moment of intervention and they continue to occur all the time.

... rather the result of social interaction than a straight-forward intervention

... the result of complex interactions and thus, a complex matter to deal with!

Heike Höffler, GTZ Kenya, Impact Monitoring in Value Chain Promotion, 2005

There is a growing consensus that the effective evaluation of the impacts of an intervention or group of interventions is not possible during the lifetime of the programme or project. It is increasingly accepted that it can be difficult to attribute changes to the actions of a particular project or programme in the context of a myriad of social, economic, environmental and other factors that may be acting to different degrees and in different ways. It is also increasingly recognised that not only is the *attribution* of impacts a problem, but that impacts are particularly hard to *measure*, and may not even be *identified* until long after the project or programme has come to an end.

Conventional approaches to impact analysis using a logical framework (e.g. output leading to results leading to impacts) have also been criticised because impacts of regional development projects / programmes are the product of internal as well as external factors and their interrelations. It is difficult to identify clear, obvious relationships. Impact chains emerge in a dense set of actors which can exert influence on its various elements and are mutually influenced by them. It can also be difficult to isolate the effects of a project or programme.⁷

6. European Commission (2009), Impact Assessment Guidelines SEC(2009) 92.

7. Hummelbrunner, Richard, Wolf Huber, Roland Arbter. *Process Monitoring of Impacts: Towards a new approach to monitor the implementation of Structural Fund Programmes*.

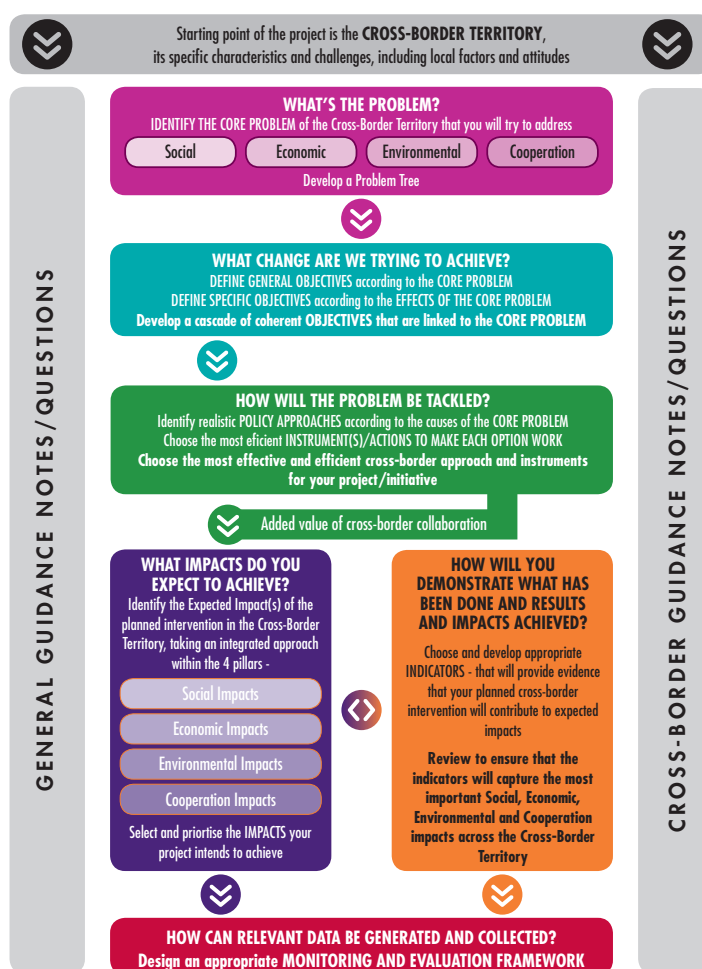


*"Besides, it is very tempting to claim observable impacts, regardless whether the project/programme under question has actually contributed to their achievement. This is particularly tempting in the case of higher-level objectives, where contributions of single factors are easy to claim – but difficult to (dis)prove (i.e. the contribution of a training measure to increase employment in a given territory). Or in the case of long impact chains, where causes and effects are rather distant from each other, either in time or in functional relations."*⁸

For these reasons, the Cross-border Impact Assessment process, which can help to clarify and define the Intervention Logic of the proposed project or programme, is of particular value. The relative strength and consistency of the Intervention Logic will determine to what extent the project/programme will be more or less likely to contribute to the desired change. It will reflect the extent to which project/programme objectives are consistent with the desired change.

This graphic – a larger version of which appears on page 22 – illustrates the method that is used in this toolkit to plan cross-border programmes and projects with a clear and coherent Intervention Logic. It will be explained in detail in Section 2.

The Key Analytical Steps in Cross-Border Impact Assessment



8. Hummelbrunner, Richard, Wolf Huber, Roland Arbter. *Process Monitoring of Impacts: Towards a new approach to monitor the implementation of Structural Fund Programmes*.



1. What is the baseline or starting point? Is the nature and extent of the problem known?
2. What change is intended? Are the objectives clear?
3. Are the actions undertaken likely to lead to the desired or intended change?
4. How can the internal logic of the intervention be verified?

“The core task is to identify the likely connections between inputs, outputs, results and impacts and to check during implementation whether these links remain valid and actually take place.”

Process Monitoring of Impacts: Towards a new approach to monitor the implementation of Structural Fund Programmes

By providing a coherent Intervention Logic, Cross-border Impact Assessment as a planning tool supports monitoring and evaluation approaches that are increasingly being adapted for monitoring projects or programmes in EU regional / structural programmes such as:

- *Impact-oriented Monitoring*, in which a clear distinction is made between those components for which a project is directly responsible (activities, outputs) and results or impacts, which take place because use is made of these outputs, for which causal or plausible connections can be identified;
- *Outcome Mapping*, that places emphasis on those outcomes which are decisive factors for the achievement of results and can be directly influenced by a project, such as the quality of activities, organisational procedures, changes in the behaviour of partners or target groups; and, more recently,
- *Process Monitoring of Impacts*, a blend of these two approaches in which the focus is placed on immediate results, which are directly connected to the use of outputs.⁹

A recent INTERACT paper on Process Monitoring of Impacts notes that the Draft Structural Fund Regulations foresee a clear focus of Monitoring and Evaluation towards impact and strategic goals, and particularly for Territorial Cooperation programmes it is suggested that more emphasis should be put on process aspects. The paper argues that impact achievement is a doubtful measure for the effectiveness of a programme, because it is due to many other factors and the influence of programme actors is relatively small. Thus, what programme actors can (and should) be made accountable for are not impacts, but the tasks for which they are responsible – and carrying out these tasks in a manner that effectively influences the behaviour of other actors in the desired direction and therefore makes it more likely that impacts will be achieved.¹⁰

9. Hummelbrunner, Richard, Wolf Huber, Roland Arbter. *Process Monitoring of Impacts: Towards a new approach to monitor the implementation of Structural Fund Programmes*.
10. Hummelbrunner, Richard, *Process Monitoring of Impacts: Proposal for a new approach to monitor the implementation of 'Territorial Cooperation' programmes*.



“European Territorial Cooperation programmes contribute to the overall economic social/societal and territorial cohesion of the EU by supporting cohesion of respective programme areas and by working together with common assets and/or challenges. Through this programmes create: integrated physical space, services and communities; accelerated development; cost effective solutions; etc. As cooperation is a relationship, maturity of cooperation needs to be taken into account as well.”

Verifying programme’s internal logic, INTERACT seminar, 13.04.2011

European Territorial Cooperation programmes such as INTERREG and PEACE and other regional development programmes start from broadly formulated strategic objectives. At the operational level, a myriad of diverse cross-border projects are embedded in sectoral and thematic priorities and programmes. Because there is a logical gap between the two levels of action, the challenge is to bring these two dimensions together; to cascade down from the strategic programme aims to the operational level and to identify the added value of a cross-border approach.

Conceptual Context



This Cross-border Impact Assessment Toolkit will, on the one hand, assist on the strategic level to develop a more precise and focused conceptual framework based on a territorial approach. On the other hand, it can be used to assist at the operational level to increase the quality of projects based on the needs and inter-relations of the social, economic, environmental and administrative challenges of the eligible region.

This Toolkit is not intended to replace the sectoral Impact Assessment processes – many of which are statutory obligations – that are required by many programmes in both jurisdictions. What this Toolkit offers is an opportunity for an integrated reflection on proposed interventions which have territorial impacts in the Cross-border Territory. This Toolkit offers a specific methodological approach that is based on logical steps leading to a broader policy reflection and ultimately a stronger programme or project. Existing methods of analysis, such as cost-benefit analysis, strategic environmental impact assessment and macro-economic modelling may be appropriate, depending on the size of the proposed intervention.



Cross-Border Impact Assessment is a combination of procedures, methods and tools by which a policy, programme or project may be judged as to its potential effects and the distribution of those effects. Impact Assessment is a tool for systematic and transparent assessment to inform and enhance the decision-making process. It aims to maximise potential positive impacts and minimise potential negative impacts of a proposal.¹¹

In doing a Cross-border Impact Assessment, you will have to answer a number of questions:

- What is the problem to be addressed?
- How has the problem been identified?
- What are the main causes of the problem? (The objectives and policy approach/approaches should address some or all of these causes.)
- What are the main effects of the problem? (The proposed intervention should expect to impact on some or all of these effects.)
- Is a cross-border project / programme / policy the appropriate level of intervention?
- If so, what objectives should it set to address the problem?
- What are the main policy approaches for reaching these objectives?
- Have the appropriate policy instruments / actions been chosen?
- Are the right people / organisations involved? Do they have the appropriate resources and competencies to implement the chosen policy approach and instruments?
- What are the likely economic, social and environmental impacts of those policy approaches and instruments?
- What are the expected 'value added' impacts of a cross-border approach?
- How will future monitoring and evaluation be organised?

In Section Two of this Toolkit, we will provide a detailed Step by Step process that will assist you in carrying out a Cross-border Impact Assessment of your cross-border programme or project.

11. Adapted from the Gothenburg Consensus of 1999 on Health Impact Assessment. Institute of Public Health (2009) *Health Impact Assessment Guidance*, Owen Metcalfe, Claire Higgins and Teresa Lavin.



A Few Words about Proportionality...

A Cross-border Impact Assessment should provide decision-makers with solid evidence on the impacts and advantages and disadvantages of a range of policy approaches, but it should also avoid unnecessary effort that would not lead to further insights or alter the conclusions or their robustness. The concept of “**proportionate level of analysis**” for a Cross-border Impact Assessment relates to the appropriate level of detail of analysis which is necessary for the different steps of Cross-border Impact Assessment.

“The ‘proportionate level of analysis’ is not only about the depth and scope of the analysis or the drafting of the IA report. It refers to the whole IA process - data collection efforts and stakeholder consultation, the level of ambition of the objectives, options and delivery mechanisms, the type of impacts to be examined, and the arrangements for monitoring and evaluation.”

EU Commission Impact Assessment Guidelines

As will be discussed further in Step 3, proportionality involves consideration of a number of questions:

- Are the right actors involved?
- Do the actors have the required competency (i.e. skills and appropriate remit) to undertake the intervention?
- Is a cross-border approach the appropriate level of intervention?
- Are there administrative barriers that must be addressed before commencing / during the life of the intervention?
- What is the expected quality of the cooperation process? How is it expected to evolve?

A key element of proportionality is the ‘added value’ that cross-border cooperation brings to the intervention. This is discussed in detail in the following section.

The ‘Added Value’ of Cross-border Cooperation

It is important to decide whether or not a *cross-border* approach to addressing a particular problem or problems of the Cross-border Territory would bring ‘added value’ beyond what could be accomplished by responses that were delivered independently by actors on one or both sides of the border. At each stage of the Cross-border Impact Assessment process, consideration should be given to whether there are additional benefits to be gained through cross-border cooperation.

It may be that a cross-border approach makes it possible to address specific problems associated with the border or issues of a cross-border nature that could not or would not have been effectively addressed within one or both jurisdictions separately.



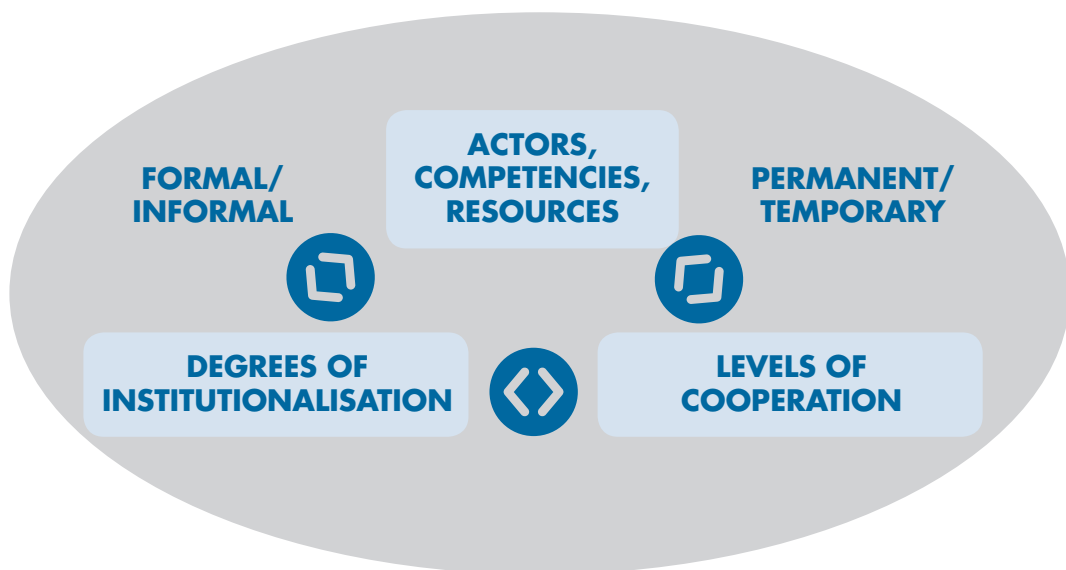
Working on a collaborative, cross-border basis should result in synergies at the level of the Cross-border Territory that demonstrate an outlook that goes beyond local, regional or even national interests. The programme/project objectives should be better achieved at the level of the Cross-border Territory than if the jurisdictions acted separately. Is the Cross-border Territory the most appropriate level of intervention?

The proposed activities should have a greater effect at the level of the Cross-border Territory than would be the case if the jurisdictions acted separately. ***These effects might be directly related to the specific objectives of the programme/project, or could be additional benefits (expected or unexpected) arising specifically from the process of cooperation.*** Cooperation and partnership based on mutual exchange of experiences should produce real interaction which promotes the achievement of shared objectives and lead to a final result that differs qualitatively from the sum of the several activities undertaken at the level of the two jurisdictions.

The specific added value of territorial cooperation programmes is mainly related to the creation of networks of cooperation set up to achieve a common objective.

Study on Indicators for Monitoring Transnational and Interregional Cooperation Programmes, INTERACT Programme Secretariat

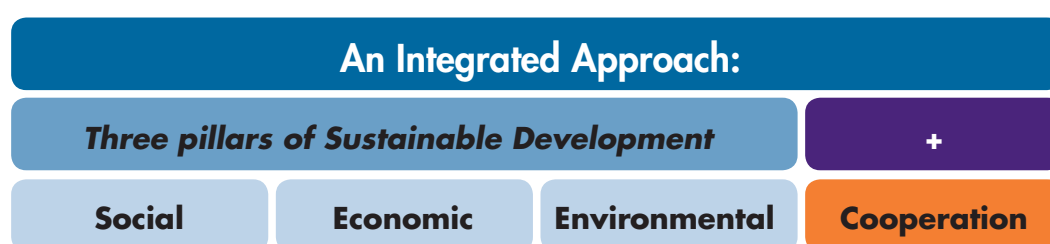
Dimensions of cross-border cooperation ("fourth pillar")



Social, economic or environmental impacts could be achieved that are improved or additional to those that could be achieved by single jurisdiction approaches. For example, people or organisations may now have relationships with each other that would not have developed otherwise. The programme/project may involve new ways of working or more intensive collaboration than would otherwise be the case. There might be greater cross-border mobility of people for a wide variety of social, cultural or economic reasons.



In particular, a cross-border approach has the potential – not only to enhance impacts that might be achieved by separate (or even ‘back to back’) responses – but to have **additional** impacts that are specific to the process of cooperation and collaboration. In this Toolkit, we have described these as the ‘Fourth Pillar’. In order to achieve the intended objectives of the programme or project, it might be necessary for example, to make administrative, legislative or regulatory changes. New structures may be required. These might be temporary or permanent; formal or informal. There may be new monitoring and reporting arrangements or harmonised regulations or shared enforcement procedures. Shared data bases or agreement on harmonised legislation might be required. Existing policies might be co-ordinated or harmonised or new shared policies developed in the framework of strategic objectives for the Cross-border Territory.



It is also important to consider the long-term impact – sustainability – of the proposed intervention. That is:

- the potential of the proposed activities to result in continued, sustained cooperation, in complementary activities or in permanent benefits at the level of the Cross-border Territory and to contribute on a long-term basis to the development of cross-border cooperation;
- the extent to which the experience gained by the implementation of past and recent activities ensures a long term sustainability with a real cross-border added value;
- the potential of the proposed activities to generate other future initiatives which aim to promote cross-border mobility of people, to encourage cross-border circulation of goods and services and to encourage dialogue.
- Is the Cross-border Territory the **appropriate level** for intervention?
- Is a cross-border approach more effective than an intervention within a single jurisdiction or parallel interventions?
 - At each stage of the Cross-border Impact Assessment process, consideration should be given to whether there are additional benefits to be gained through cross-border cooperation.
- Will the impacts achieved be **improved or additional** to those that could be achieved by a single jurisdictional approach?



Cross-border Guiding Questions

Do the programme/project objectives, methodology and nature of the cooperation among actors demonstrate an outlook that goes beyond local, regional or even national interests to develop synergies at the level of the Cross-border Territory?

- Will the proposed activities have a greater effect at the level of the Cross-border Territory than within the jurisdictions acting separately?
- Can the objectives be better achieved at the level of the Cross-border Territory than within the jurisdictions acting separately?

Will cooperation and partnership based on mutual exchange of experiences lead to a final result that differs qualitatively from the sum of the several activities undertaken at the level of the two jurisdictions?

Degrees of Institutionalisation

It is important to be clear about the possible degrees of institutionalisation and to capture the cooperation impacts that are realised over the course of the intervention.

- Project-level cooperation
- Exchanges of information and experience
- Networks
- Joint development and management
- Integrated management
- Joint operations (development, financing, implementation, staffing)
- Fully-integrated transnational programme management systems
- Single regulatory bodies
- Legislation and regulation
- Single data monitoring and recording systems



- Will cooperation and partnership produce real interaction which promotes the achievement of shared objectives?
- Will the project promote dialogue? (Between what actors, at what level?)
- Will cooperation and partnership on the project contribute to peace and reconciliation and/or contribute to avoiding political, ethnic or violent conflict?
- Will the project facilitate the exchange of experience (formal or informal? between who?)
- Will the project identify or facilitate the transfer of good practices? (What? By whom to whom?)
- Will the project result in new cooperation between participants who would normally compete?

Are specific problems associated with the border or issues of a cross-border nature being addressed (that would not have been otherwise)?

Are there social, economic or environmental impacts that will be achieved that are improved or additional to those that could be achieved by single jurisdiction approaches?

Has the project required/involved new ways of working?

There are administrative, regulatory or legislative impacts that may not be anticipated before the project is underway, but may be developed as the project progresses. It is important, however, that new and enhanced relationships, structures and procedures are documented and evaluated.

Likewise, there may be new projects not originally planned that arise / follow on from planned cooperation. It is important that these outcomes are captured in the evaluation process.

Are there new relationships between actors in one jurisdiction or both that would not have been developed without the catalyst of the cross-border project?

- Will cross-border cooperation bring together actors who would not otherwise work together? (Who?)
- What is the nature of this engagement? Are there new cross-border relationships between colleagues or sectors?



It is important to ensure that the project will engage all the appropriate actors on both sides of the border at the appropriate level:

- **National, regional, local authorities**
- **Elected representatives**
- **Private Sector**
- **Vulnerable Groups**
- **Experts**
- **Community representatives / voluntary organisations**

Does the programme/project require that a new structure be set up? Is this structure

- Informal or formal?
- Temporary or permanent?
- What is the status of the structure in relation to the two jurisdictions?

Does the programme/project require that new regulatory, monitoring, reporting or enforcement procedures be established?

- Are these temporary (i.e. for the life of the programme/project) or permanent?
- What is the status of this procedure in relation to the two jurisdictions? Does it have a statutory remit? Are the procedures harmonised but carried out separately in each jurisdiction or has a single, unified procedure been adopted for the Cross-border Territory?

Will the programme/project result in changes to the way of thinking on local problems (through thinking in terms of the Cross-border Territory)?

Will the programme/project contribute to creativity and innovation in the Cross-border Territory?

Will the programme/project contribute to better international visibility of participants or the Cross-border Territory?

Will the programme / project contribute to the co-ordination, harmonisation or integration of policies in the Cross-border Territory?



Levels of Cooperation (1= least developed)

6. **Implementation:** Joint implementation of actions, efficient joint management, fulfilment of requirements by each partner.
5. **Decision:** Binding commitment of partners, partnership agreements.
4. **Strategy/Planning:** Defining joint objectives and developing concrete actions.
3. **Coordination/Representation:** Creating a joint partnership structure, first allocation of functions and roles.
2. **Information:** Developing (targeted) exchange of information, building basic cooperation structures and trust, shaping cooperation ideas.
1. **Meeting:** Getting to know each other, learning about motivation, interests, needs, skills, expectations, cultural and structural aspects.

Joachim Beck, Technical Project Management Handbook, INTERACT 2004

Impact Indicators for Cross-border Cooperation

Below are some examples of indicators that could demonstrate change as a result of cross-border cooperation. These indicators could be adapted as appropriate to a programme or project, and you may wish to add others. **Remember – indicators need to be supported by evidence of the nature of the changes brought about through cooperation:**

- Degrees of Institutionalisation;
- Actors, Competencies and Resources; and
- Levels of Cooperation.

You may find that there are impacts that are not planned or anticipated at the start of your project – be sure that your monitoring and evaluation framework is flexible enough to capture these.

- New or developed relationships between actors on both sides (e.g., the range and intensity of participation by actors from different sectors and/or different levels)
- Systematic use of project results
- Formulation of joint recommendations
- Establishment of high-level strategic consultation between ministers and regional participants



- Changes to legislation or regulations (co-ordination or harmonisation)
- Co-ordination or joint enforcement of laws or regulations
- Cohesion of regional policy
- Co-ordination of policy in a given space
- Synergies with mainstream programmes
- Cross-border mobility of people for economic, social, cultural reasons
- Cross-border circulation of products
- Cross-border dialogue
- Shared services

Remember – indicators need to be supported by evidence of the nature of the changes brought about through cooperation.



Pobal is one of the primary support mechanisms and advocates for reconciliation and cross-border peacebuilding initiatives in Ireland. Pobal's **Cross-border Peace and Reconciliation Framework: A Practical Tool for Cross-border Peacebuilding**, sets out the practical steps for groups and organisations that wish to engage and build relationships on a cross-border basis and form cross-border partnerships. The framework details five inter-related levels in the building and development of cross-border, cross-community peacebuilding:

LEVEL 0: Explore the potential of Cross-border Work

- To open doors to new opportunities, to renew relationships and build new ones;
- To build awareness of the interconnectedness and interdependence of communities on both sides of the border;
- To acknowledge and deal with the past conflict.

LEVEL 1: Develop Cross-border Relationships

- To identify the mutual benefits for cross-border contact, collaboration and cooperation;
- To raise awareness of the other's identity, values and beliefs;
- To begin to break down some of the fears, prejudice and perceptions about cross-border work.

LEVEL 2: Joint Cross-border Actions and Cooperation

- To develop solutions to address common issues and concerns and develop shared interests;
- To encourage the sharing and learning of good practice through the establishment of joint projects and activities;
- To strengthen the foundations for increased cross-border communication, networking and cooperation;
- To provide opportunities for wider societal engagement and participation in cross-border work;
- To further reduce fears and resistance to cross-border contacts and relationships within a wider section of society.

LEVEL 3: Address Core Conflict Issues

- To understand the role and impact of the border and its relevance to the conflict;



- To acknowledge the legacies and losses which have occurred as a result of the conflict at an individual, community and wider society level;
- To address the social and economic issues that affect the region as a result of the conflict.

LEVEL 4: Sustainable and Strategic Cross-border Development

- To ensure there are sustainable solutions for cross-border issues and that a prosperous and peaceful society will exist;
- To strengthen institutional capacity in terms of peacebuilding, reconciliation and cross-border work;
- To proactively influence the development of policies and structures which support cross-border work.

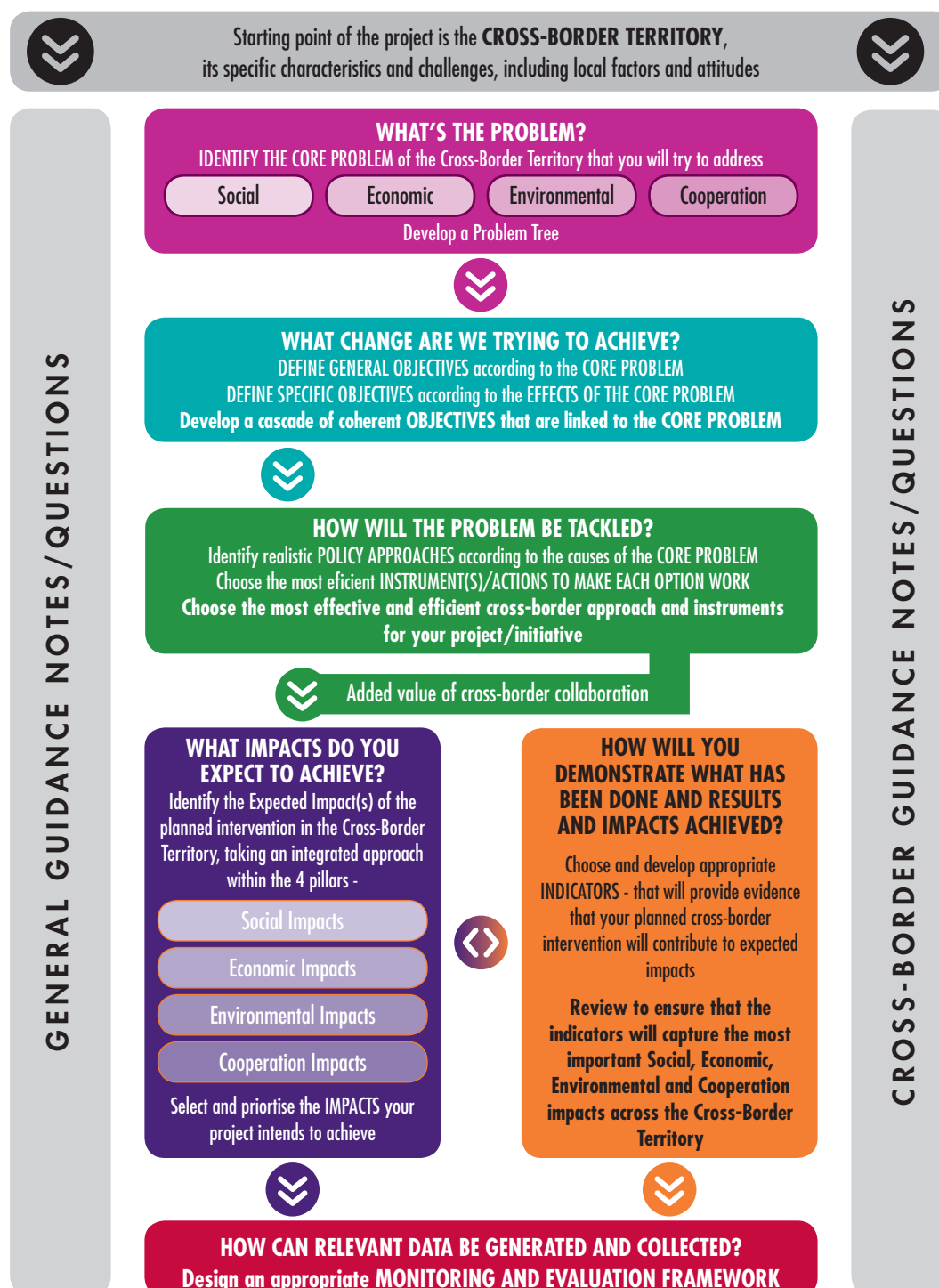
“Working cross-border brings considerable added value to the overall process of peacebuilding and reconciliation. It provides an opportunity to address a range of problems and challenges that are a direct legacy of the conflict such as the breakdown of relationships and trust, social and economic decline, and the isolation and marginalisation of communities in border areas.”

Cross-border Peace and Reconciliation Framework:
A Practical Tool for Cross-border Peacebuilding, www.pobal.ie



Section 2

Key Analytical Steps in Cross-Border Impact Assessment





Section 2: Step One

Identifying the Problems of the Cross-Border Territory

What's the PROBLEM?

Social

Economic

Environmental

Cooperation

Identify the Core Problem of the Cross-Border Territory that you will try to address.

INTRODUCTION

- What is the issue or problem that may require action?
- What are the underlying drivers of the problem?
- Who is affected, in what ways, and to what extent?
- What are the negative effects that result?



DEVELOP A PROBLEM TREE

DEFINING THE PROBLEM

"A good definition of the problem and a clear understanding of what causes it are preconditions for setting objectives and identifying options to address the problem."

EU Commission Impact Assessment Guidelines

The new Territorial Cohesion policy of the EU is linked to a more strategic approach by cross-border or transnational programmes and funded projects. What does a more strategic approach mean? A more strategic approach will involve cost effective interventions that address the most significant weaknesses of the Cross-Border Territory. A 'problem' in the sense of cross-border cooperation includes also an unused (or underused) potential that could be best realised on a cross-border basis through cooperation. For example, maximising the value of resources or experience through sharing, networking or coordination. A more strategic approach requires a clear understanding of the nature and scale of the problem: how is it evolving, and who is most affected by it? Cross-Border Impact Assessment is an essential part of the decision-



making process: the first step of which is to identify *what needs to change and what are the main causes of the problem?*

REMEMBER: A 'problem' in the sense of cross-border cooperation includes also an unused (or underused) potential which could be best realised on a cross-border basis through cooperation. For example, maximising the value of resources or experience through sharing, networking or coordination.

The problems of the Cross-Border Territory are multi-dimensional. The first practical challenge is how to structure the different dimensions and components of a problem. It is necessary to establish the '**drivers**' – or causes – behind the problem. This will help you to tackle causes rather than symptoms (see example below). It is important here to note that the 'causes' of a problem are not necessarily what sustains a problem. For example, civil and human rights abuses may have been an important factor (one of many) in 'causing' or triggering a violent conflict, but after a few years (once such violence becomes institutionalised) it may be perpetuated by the interests of the black marketeers.

A good problem definition should:

- describe the nature of the problem in clear terms
- support the description with clear evidence and set out clearly the scale of the problem
- set out clearly who is most affected by the problem
- identify clearly the drivers or underlying causes of the problem
- describe how the problem has developed over time
- identify a clear baseline
- identify clearly assumptions made, risks and uncertainty involved
- describe why the problem needs action at cross-border level.¹
- ***Describe how the problem is likely to develop in the future without new cross-border action.***

Guiding questions:

- What relevant local/ or national research was considered in support of the need for your project? (e.g. SWOT analysis of the INTERREG Operational Programme as a starting point – then specific research about the problem)

1. Adapted from EU Impact Assessment Guidelines.



- You should identify the actors, sectors and social groups that are primarily affected.
- Why it is a problem?
- How could existing strengths be built upon? **What could cross-border cooperation add?**
- What particular factors led to the problem?
- What is the gap between what exists now and what is needed?
- Why is the existing or evolving situation not sustainable?
- **Why does it make sense to address the problem through cross-border cooperation?**

"Another layer or series of problems, therefore, exist in Northern Ireland and the Border Region. While the region faces core economic and social problems that are generally faced across all other Member States (e.g., need to increase Research, Technological Development and Innovation (RTDI), promote value added industry, encourage new businesses and address unemployment and inactivity) a number of problems 'specific' to Northern Ireland and the Border Region remain. These include segregation, racism, increased polarisation, mutual distrust, marginalisation and lack of community cohesion which together have created a complex and multi-faceted series of issues that need to be addressed.

"These 'specific' problems remain significant barriers to economic and social progress and peace and reconciliation and demonstrate areas of 'market failure.' Both the 'core' and 'specific' problems, therefore, need to be addressed through complementary initiatives to facilitate greater normalisation in economic and social activity, and achieve a peaceful and stable society ... these 'specific' problems exist across a number of interlinking levels that include:

- The direct effects of the conflict (e.g. continued need to support victims and survivors);
- The key underlying issues which preceded and contributed to the conflict and were also exacerbated by the conflict and remain evident in Northern Ireland and the Border Region (e.g. sectarianism, isolation, marginalisation, mistrust, lack of citizenship and participation in civil networks); and
- The new challenges for integration and cohesion within the context of increasing ethnic diversity in Northern Ireland and the Border Region."

PEACE III Operational Programme

Using the Problem Tree

The Problem Tree is one method that can be used to identify the core problem (or problems) This method allows you to think in an integrated manner and to ensure that



the project proposed is addressing the underlying **causes** of the problem and that the chosen interventions are likely to have the intended *impacts* – alleviating or eliminating the negative **effects** of the problem.

REMEMBER: You may have two starting points in developing your Problem Tree, depending on the characteristics of the needs of the Cross-Border Territory. Are you addressing a weakness or an unrealised potential that could lead to an opportunity? In cooperating for territorial cohesion, you may be drawing upon the strengths of one area or sector of the Cross-Border Territory to address the weaknesses of another.

The Problem Tree

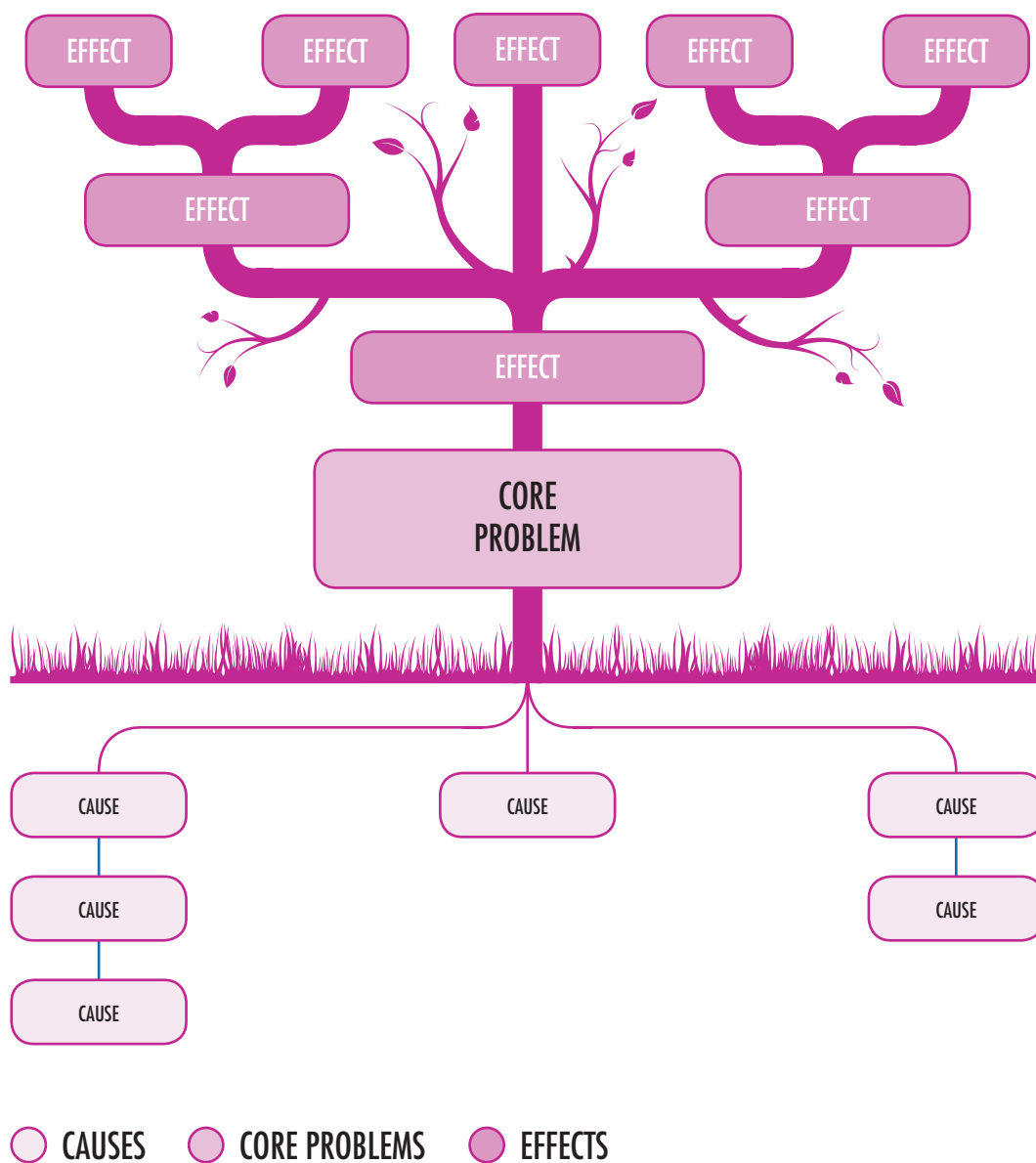
- helps to better understand and structure the problem. Out of a large number of different dimensions we
 1. identify the core problem(s)
 2. clarify the main **causes** of these
 3. describe the negative **effects** on the Cross-Border Territory
- allows us to focus the further analytical work (what are the main problems that should be addressed)
- allows us to describe **objectives**, which are *directly linked* with the problem
- allows us to develop **policy approaches** and **instruments/actions** that are likely to solve or reduce the problem (working on the causes identified!)

In Appendix One and Appendix Two you will find lists of the Social, Economic, Environmental and Cooperation Weaknesses of the Cross-Border Territory and the Strengths and Opportunities that have been identified in different programmes and government policy documents. Go through these lists.

- **Is the problem (or problems) that you are most concerned with in the list? Are there additional problems that you want to add?**
- **Are you addressing a weakness or an unrealised potential that could lead to an opportunity?**
- **Think about what are the causes of the problem that most concerns you.**
- **Think about the negative effects of the problem and what sort of intervention can most effectively bring about positive changes.**



The Problem Tree method:





HYPOTHETICAL EXAMPLE: FUEL POVERTY

PROBLEM IDENTIFICATION

Fuel Poverty is a significant problem in the Cross-Border Territory. In particular, there are significant public health costs associated with fuel poverty.² Fuel poverty rates in Northern Ireland are among the highest in the developed world. Newry and Mourne, a border district, has the highest proportion of households at risk of fuel poverty in Northern Ireland. Levels of fuel poverty appear to be increasing in both Ireland and Northern Ireland in recent years, with gains in energy efficiency and incomes negated by rising fuel prices. Economic downturn may exert a significant effect with unemployed, 'working poor' and renting families significantly at risk of fuel poverty.³ Single parent households and other households with vulnerable individuals such as elderly people, people with disabilities and young children are also at particular risk of fuel poverty.

At present, the biggest driver of increases in fuel poverty is the cost of domestic heating. For every 1% increase in domestic energy costs, it is estimated that an additional 2,800 households become fuel poor.⁴ Being in fuel poverty is the product of three factors: These are:

1. The energy efficiency of the house the family lives in, which determines how expensive it will be to heat;
2. The cost of heating fuel;
3. The family's income, which determines how much a 10% spend on heating would be.⁵

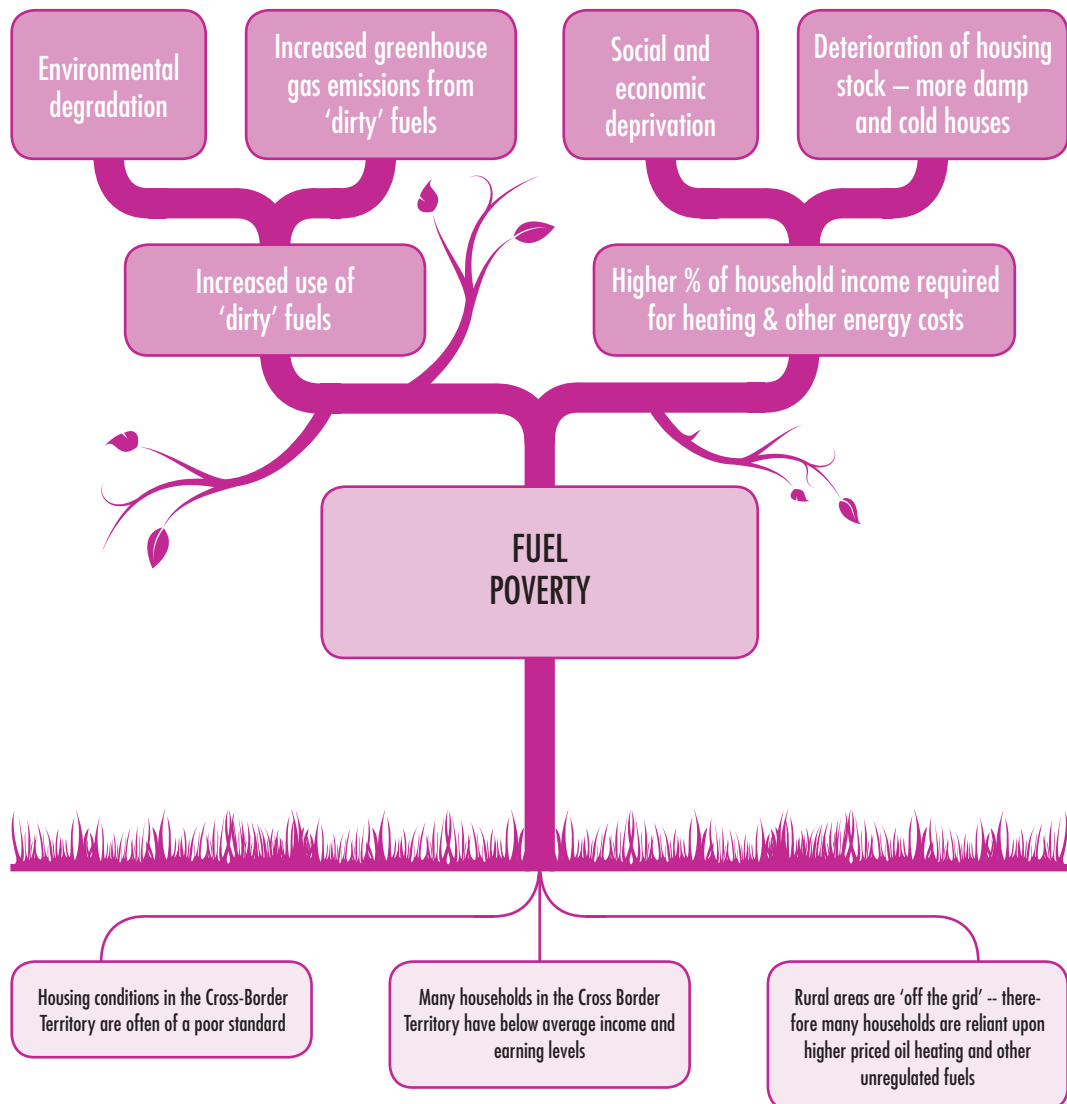
Fuel poverty has significant impacts on health and wellbeing, particularly of vulnerable groups. While the majority of research has focused on effects amongst senior citizens, the consequences for adults in fuel poor households are multiple debts, the forgoing of other essential needs, ill health and mental stress due to the difficulties of paying bills. For infants and children living in fuel poor households, the effects are primarily related to physical health, which may impact on overall wellbeing and educational achievement. Amongst adolescents, the effects are mainly on mental health.⁶

A cost benefit analysis for the Northern Ireland Fuel Poverty Strategy, *Warm Homes*, estimated that when the health effects for children, adults and seniors are taken into account, almost half of the *Warm Homes* investment could be recovered from improvements to health and wellbeing. Additional savings in carbon offsetting are estimated to return another 100% of the initial investment in energy efficiency over the lifetime of the efficiency measures.⁷

2. Christine Liddell, *The Impact of Fuel Poverty on Children*, Policy Briefing, Save the Children
3. *Annual Update on Fuel Poverty and Health*, Public Health Policy Centre, December 2008.
4. Liddell, cited above.
5. Liddell, cited above.
6. Liddell, cited above.
7. Liddell, cited above.



The Problem Tree method:



○ CAUSES ○ CORE PROBLEMS ○ EFFECTS



Section 2: Step Two

Defining General and Specific Objectives

What CHANGE are you trying to achieve?

Social

Economic

Environmental

Cooperation

*GENERAL OBJECTIVES relate to the Core Problem.
SPECIFIC OBJECTIVES correspond to the Effects.*

INTRODUCTION

Based on the results of the Problem Tree (central problem/s and negative effects),

- Identify 1 or 2 General Objectives for the central problem(s) identified.
- Define Specific Objectives for each General Objective according to the negative effects **OR** the missed opportunities related to the core problem.
- Prioritise and select the specific objectives your project will work to achieve.



DEVELOP A CASCADE OF COHERENT OBJECTIVES THAT ARE LINKED TO THE CORE PROBLEM

REMEMBER: The objectives should reflect the level of ambition of your proposed cross-border intervention.

At the outset of the Cross-border Impact Assessment process it is important to determine the General Objectives, or aims of the policy approach and instruments that will follow. The General Objectives define what the programme or project intends to achieve; they should, therefore, clarify the intended impacts on the chosen intervention(s). Defining the General Objectives is a critical step in the Cross-Border Impact Assessment process, effectively setting the terms of reference. A General Objective should be simple – it should answer the question: what is the social, economic or environmental **change** that you are planning to achieve? Setting the right objectives will ensure that



the intended intervention is stronger, because it will be clearly addressing identified needs of the Cross-border Territory.

Setting objectives is a key step that will provide a direct and coherent link between the core problem that has been identified and the actions that will be taken to address it. Without clear objectives, it will be impossible to evaluate the extent to which the action has generated its intended effects.

Objectives provide the only effective criteria for assessing the success or failure of the proposed policy approaches. Without clear objectives it is also impossible to monitor implementation of the policy approaches or to evaluate whether it has produced the desired effects.

The objectives you set constitute the link between the problem description and the policy approaches that you will identify, assess and compare. You cannot identify policy approaches without having a clear idea of the objectives, but equally you cannot lay down detailed objectives without taking into account the specificities of various policy approaches. You may find it necessary to revise or refine your objectives. Clearly defined objectives will assist in deciding whether the chosen policy approaches and instruments/actions are effective, efficient and coherent.

To develop a coherent set of objectives, you should distinguish between General Objectives and Specific Objectives. These should relate directly to the core problem, its effects and the change(s) you are trying to achieve.

REMEMBER

Is the INTERVENTION LOGIC coherent?

- **Do the General Objectives flow from the Core Problem?**
- **Do the Specific Objectives relate directly to the Effects that need to be changed?**

General Objectives relate to the CORE PROBLEM you are addressing.

Specific Objectives correspond to the EFFECTS you intend to achieve.

Be sure that your objectives are *directly related* and *proportionate* to the problem and its root causes.

Without clear objectives you cannot monitor and evaluate whether your policy is on track. While all objectives may not be quantifiable, you might find it helpful to use the SMART criteria to test the robustness of the objectives identified.



SMART Objectives should be:

Specific: Objectives should be precise and concrete enough not to be open to varying interpretations. They must be understood similarly by all.

Measurable: Objectives should define a desired future state in measurable terms, so that it is possible to verify whether the objective has been achieved or not. Such objectives are either quantified or based on a combination of description and scoring scales.

Achievable: If objectives and target levels are to influence behaviour, those who are responsible for them must be able to achieve them.

Realistic: Objectives and target levels should be ambitious – setting an objective that only reflects the current level of achievement is not useful – but they should also be realistic so that those responsible see them as meaningful.

Time-dependent: Objectives and target levels remain vague if they are not related to a fixed date or time period.

This in turn will allow you to monitor progress and evaluate the extent to which you have achieved your objectives. The indicators used to monitor and evaluate the programme or project should provide evidence whether and to what extent the General and Specific Objectives have been achieved.

GUIDING QUESTIONS:

- Is there a direct link between the proposed objectives and the objectives of the funding programme / regional development strategies?
- Are the objectives in line with priorities and needs identified by macro-socio-economic analysis?
- How have the objectives of thematic/sectoral projects and programmes been determined?
- Are objectives clearly addressing identified regional needs?
- Do they meet the challenges?
- Are they coherent?
- Is there a clear geographical approach (eg. all-island or Border Region?)
- What is the added value of cross-border cooperation?



HYPOTHETICAL EXAMPLE: FUEL POVERTY

DEFINING GENERAL OBJECTIVES

Save the Children have recommended in their draft *Fuel Poverty Children's Charter* that cross-border initiatives should be built which reflect the significant impacts of fuel poverty on the young throughout the island of Ireland.

The report, *Understanding Electricity and Gas Prices*, published in 2008, demonstrates that Ireland is above the EU average with regard to domestic electricity and gas prices (approximately 20% and 17% above average).¹

GENERAL OBJECTIVE:

To contribute to the reduction of fuel poverty in the Cross-Border Territory

DEFINING SPECIFIC OBJECTIVES

A review of the Warm Homes scheme by the Northern Ireland Audit Office in 2008 recommended that the scheme should ensure that energy efficient adaptations are sufficient to lift households out of fuel poverty.²

The extent of fuel poverty in working poor households is driven by the very poor energy efficiency in houses they occupy.³

SPECIFIC OBJECTIVES:

- **To contribute to reducing levels of fuel poverty in the Cross Border Territory (i.e. the proportion of households affected) to the EU average level.**
- **To contribute to improving the health and wellbeing of people living in the Cross Border Territory through reducing the number of households in fuel poverty.**
- **To reduce the proportion of household incomes required to pay for heating costs.**
- **To increase awareness of sustainable energy issues and fuel poverty in the Cross Border Territory.**
- **To reduce fossil fuel emissions by households in the Cross Border Territory.**
- **To develop and consolidate cross-border relationships among local authorities and community/voluntary organisations working on fuel poverty issues and with companies and other agencies with an interest in sustainable energy.**

1. *Annual Update on Fuel Poverty and Health*, cited above.

2. Northern Ireland Audit Office. *Warm Homes: Tackling Fuel Poverty*. Belfast, 2008.

3. *Annual Update on Fuel Poverty and Health*, cited above.



Section 2: Step Three

Identifying and Choosing Cross-Border Policy Approaches and Instruments/Actions

How will the problem be tackled?

Identify realistic policy approaches – according to the causes of the core problem

Choose the most efficient instrument(s)/actions to make each option work

INTRODUCTION

- Consider what general policy approaches might be an effective cross-border intervention addressing the causes of the core problem.
- Reflect on whether a cross-border intervention is appropriate.
- Test the proportionality of different policy instruments/ actions.



CHOOSE THE MOST EFFECTIVE AND EFFICIENT CROSS-BORDER APPROACH AND INSTRUMENTS FOR YOUR PROJECT / INITIATIVE

REMEMBER

Is the INTERVENTION LOGIC coherent?

- **Do the policy approaches address the *causes* of the core problem?**
- **Is a cross-border intervention appropriate?**
- **Do the policy instruments/actions operationalise the chosen policy approach?**
- **What is the added value of a cross-border policy approach/action?**

Once you have defined the objectives, the next step in Cross-Border Impact Assessment is to establish which policy approaches and related delivery mechanisms most likely to achieve those objectives.



It can be very difficult to demonstrate that actions of an individual project have had the impact intended, so it is very important that there is the strongest possible relationship between the **causes** of the problem you want to address and the policy approaches and instruments/actions you choose to address it.

Policy approaches should be clearly related both to the causes of the problem and to the objectives and be proportionate. Think about the constraints that may make your chosen policy approach less effective or efficient. Choosing an appropriate policy approach will depend not only on the problem you are seeking to address, but upon a number of other factors, such as the resources available and the competencies / remits of the actors involved.

What do we mean by a policy approach?

A wide range of policy approaches might be used to address a core problem of the Cross-Border Territory. For example,

- Building capacity / developing human resources – e.g. education and training programmes;
- Creating or developing infrastructure;
- Research and innovation;
- Providing information (statistics, monitoring, exchange of good practices);
- Financial supports and incentives (e.g. grants to businesses or community projects, social welfare payments).

Why develop different policy approaches?

- Cross-border cooperation suffers often from a rather operational attitude (**are we doing things right?**);
- Strategic objectives of programmes are implemented by single-project approaches (lack of coherence);
- Integrated development of the Cross-Border Territory needs integrated policy approaches;
- Reflection on different policy approaches allows a better articulation of the cross-border needs (**are we doing the right things?**);
- To inform political decision-makers about the alternatives available and the cost/benefits of different policy approaches for the Cross-Border Territory.



Policy Instruments/Actions

Depending on the circumstances, one or several policy approaches could be appropriate. Of course, some policy approaches may be more or less effective than others to tackle specific causes of the core problem. Reflection on different policy approaches allows a better articulation of the needs of the Cross-Border Territory – **are we doing the right things?** Being clear about what policy approach is appropriate will make it easier to choose the **policy instruments/actions** that can most effectively implement the change intended.

Policy instruments/actions are simply the **specific actions or interventions** that will be used to operationalise or implement the chosen policy approach. For example, if it has been decided that the problem of high unemployment is to be addressed through the policy approach of job creation, there is more than one possible option of how this might be done. Central government might, for instance decide to create additional posts within the public sector that could have additional benefits by improving public service delivery. Alternatively, regional or local authorities could offer incentives such as tax breaks or grants to business and the community sector to provide new jobs. Communities might take the initiative and develop proposals for schemes that provide employment while achieving broader community objectives such as area regeneration.

The general criteria for evaluating possible policy approaches and instruments/actions that should be taken into account at the outset are:

- **Effectiveness:** The extent to which options achieve the objectives of the proposal;
- **Efficiency:** The extent to which objectives can be achieved for a given level of resources/at least cost (cost-effectiveness); and
- **Coherence:** The extent to which options are coherent with the overarching objectives and the extent to which they are likely to limit trade-offs across the economic, social, and environmental domains.

“The first step will be to focus on the performance of the option, in terms of its effectiveness, efficiency and coherence with the defined policy objectives. You should start by ranking the option on the basis of the effectiveness criteria and so identify the option that scores best on effectiveness i.e. meets the defined objectives best. In the second step you should consider the efficiency of the various options, and look at the costs that are associated with implementation of the policy options. In many cases this may show trade-offs that are relevant for the political choices. For instance, you may find that the most effective option also implies higher costs or that a less effective option generates many positive side effects. How you weigh these efficiency aspects against the effectiveness aspects will determine the overall ranking of the options.”

European Commission Impact Assessment Guidelines



AN EXAMPLE OF POLICY APPROACHES AND INSTRUMENTS/ACTIONS

IDENTIFIED PROBLEM	POLICY APPROACH	POLICY INSTRUMENTS/ACTIONS	PROPORTIONALITY
High unemployment	Measures to up-skill workforce Job creation Supports to the unemployed	Training programmes Incentives to business Welfare benefits	Appropriate level of intervention • Administrative/Legal barriers Right actors involved • Competencies • Resources Quality of Cooperation • Degrees of Institutionalisation • Levels of Cooperation

Proportionality

A 'proportional' intervention means that there is a balance or correspondence between the magnitude of the problem to be addressed and the amount of resources required to have a reasonable chance to successfully address that problem. There are three interlinked elements to determining whether the proposed intervention is proportional:

1. Ensuring that a cross-border approach is the **appropriate level** of intervention and taking into account the administrative and legal barriers that might prevent or constrain the effectiveness of the intervention.
2. Ensuring that the right **actors** are involved and whether or not they have the necessary **competencies** and sufficient **resources**; and
3. Determining the **quality of cooperation**: does the cross-border integration (level of cross-border cooperation and degree of institutionalisation) reflect the expected investment of time, material and human resources – both in terms of delivery of the intervention and its impacts?

Appropriate Levels of Intervention

Your starting point when considering what policy approaches and instruments/actions to choose to address a problem in the Cross-Border Territory must be to consider whether or not a cross-border approach is required to achieve the objectives of the proposed action; and if so, why?

There can be a wide range of legal, regulatory and administrative barriers to be overcome to deliver a cross-border programme or project. If possible, these should be identified in advance and a means of overcoming them incorporated into the design of the proposal. Others, however, may only be identified as problems arise. In either case, the process of overcoming these sorts of barriers may result in what we call here 'cooperation impacts': for example, new relationships and cooperative structures may be established, protocols for cross-border working developed or regulations and



legislation harmonised. The Cross-Border Impact Assessment process should attempt to identify the potential barriers that might affect the implementation of the programme or project and consider whether it is likely – given the competencies of the actors involved – that these can be overcome. If for instance, there is a need to harmonise legislation at the level of the Member States, then a policy approach that involves only local authorities or community activists will not be successful.

REMEMBER: A 'proportional' intervention means that there is a balance or correspondence between the magnitude of the problem to be addressed and the amount of resources required to have a reasonable chance to successfully address that problem.

GUIDING QUESTIONS:

- Is the cross-border action as simple as possible, and coherent with satisfactory achievement of the objective?
- Does the cross-border policy approach go beyond what is necessary to achieve the objective satisfactorily?
- Could actors working on a single jurisdiction basis achieve the objective(s) satisfactorily on their own?
- Can the objectives be better achieved by collaborative cross-border action?
- Does the problem being addressed have cross-border aspects which cannot be dealt with satisfactorily by action in one jurisdiction? (e.g. environmental threats that do not recognise administrative boundaries)
- Would actions in one jurisdiction alone, or the lack of cross-border action, exacerbate existing inequalities within the Cross-Border Territory (or create them)?
- Would cross-border action produce clear benefits compared with action in a single jurisdiction by reason of its scale?
- Would cross-border action produce clear benefits compared with action in a single jurisdiction by reason of its effectiveness?
- What legal, regulatory or administrative barriers need to be overcome to successfully implement the proposed cross-border programme or project?
- Do the actors involved have the necessary competencies to address / overcome these barriers?



- How will the process of overcoming these barriers to cross-border cooperation be integrated into the programme/project design, including monitoring and evaluation of 'cooperation impacts'?

Actors, Competencies and Resources

In choosing the policy approach and instruments/actions, one should also consider who the actors are that need to be involved. It may be that individuals or organisations with particular skills or resources are needed to deliver the proposed project. It may be appropriate also to involve the intended beneficiaries (or their representatives) from the earliest stages of planning and development of the proposal.

GUIDING QUESTIONS:

- Are all the necessary stakeholders such as the various public bodies or agencies and community and voluntary groups involved to ensure that there is 'ownership' of the outcomes of the intervention?
- Will stakeholders be partners with responsibility for management and delivery of the project or involved in an advisory or consultative role?
- Is there a good balance of partners and beneficiaries from both jurisdictions?
- Are partners and beneficiaries sufficiently representative – e.g. of sectors, communities and social groups?
- Do the partners involved have the appropriate competencies – both in terms of skills and organisational remit – to implement the proposed programme or project?
- What material and human resources are needed to successfully implement the chosen policy approach and instruments/actions? Are sufficient resources available to achieve the objectives? Are these resources in balance with the magnitude of the problem to be addressed?

Quality of Cooperation

Consider the extent to which cross-border cooperation has been or will be integrated and/or institutionalised. To what extent has the programme or project been structured on a shared and collaborative cross-border basis? Is there a tendency to working 'back-to-back', or is the project fully integrated in its design, management and implementation? Is the Cross-Border Territory being treated as a cohesive entity?

In order to achieve the intended objectives of the programme or project, it might be necessary to make administrative, legislative or regulatory changes. New structures may be required. These might be temporary or permanent; formal or informal. There may be new monitoring and reporting arrangements or harmonised regulations or shared enforcement procedures. Shared data bases or agreement on harmonised legislation might be required. Existing policies might be co-ordinated or harmonised or



new shared policies developed in the framework of strategic objectives for the Cross-Border Territory.

You should also consider the potential of the proposed activities to result in continued, sustained cooperation. Are there long-term or permanent benefits at the level of the Cross-Border Territory?

GUIDING QUESTIONS:

Does the programme/project require that a new structure be set up? Is this structure

- Informal or formal?
- Temporary or permanent?
- What is the status of the structure in relation to the two jurisdictions?

To what extent is the cooperation process institutionalised; such as in the form of joint working groups, integrated bodies, formal or informal exchanges or networks?

Does the programme/project require that new regulatory, monitoring, reporting or enforcement procedures be established?

- Are these temporary (i.e. for the life of the programme/project) or permanent?
- What is the status of this procedure in relation to the two jurisdictions? Does it have a statutory remit?
- Are the procedures harmonised but carried out separately in each jurisdiction or has a single, unified procedure been adopted for the Cross-Border Territory?

Will the programme / project contribute to the co-ordination, harmonisation or integration of policies in the Cross-Border Territory?

HYPOTHETICAL EXAMPLE: FUEL POVERTY

IDENTIFYING AND CHOOSING CROSS BORDER POLICY APPROACHES

Tackling fuel poverty requires a specific strategy, distinct from what is needed to tackle income poverty. Fuel poverty is more amenable to solution than is income poverty. "As cost-benefit analyses indicate, the cost of bringing even the poorest standard of home to an acceptable level of energy efficiency is small relative to the lifetime savings made to the wellbeing of children and their families."¹

1. Liddell, cited above.



IDENTIFIED PROBLEM	POLICY APPROACHES
FUEL POVERTY	Measures to improve energy efficiency of residences Measures to reduce cost of heating fuel Measures to address low incomes and earning levels

IDENTIFYING AND CHOOSING APPROPRIATE POLICY INSTRUMENTS/ACTIONS

The policy approach with the most direct and effective impact on fuel poverty and which can be targeted most effectively to those households that are most at risk is to take measures to improve energy efficiency of households. Measures to address the cost of heating fuel and measures to address low incomes and earning levels are beyond the scope of the project proposers (local authorities and voluntary organisations).

IDENTIFIED PROBLEM	POLICY APPROACH	POLICY INSTRUMENTS/ACTIONS
FUEL POVERTY	Measures to improve energy efficiency of residences	Upgrade/Retrofit Houses
	Measures to reduce cost of heating fuel	Tax Rebates Subsidies Regulation Non-fossil sourced fuel
	Measures to address low incomes and earning levels	Welfare benefits/ Grants

Having decided that the chosen policy approach will be to undertake measures that will **improve the energy efficiency** of residences, there are a number of options in respect of the types of energy efficiency measures that could be taken.

Because it is not certain what energy efficiency measures are most appropriate, in terms of effectiveness and efficiency in the context of housing, climate and social conditions in the Cross-Border Territory, it is proposed that: **PHASE 1** of the project will be a pilot scheme – incorporating an action research project – to test out a range of energy efficiency measures in a stratified sample of 200+ households. **PHASE 2** of the project will involve rolling out a practical retrofitting scheme for targeted households based on the findings of the research findings from Phase 1.

IDENTIFIED PROBLEM	POLICY APPROACH	POLICY INSTRUMENTS/ACTIONS	PROPORTIONALITY
FUEL POVERTY	Measures to improve energy efficiency of residences	Upgrade/Retrofit Houses	Appropriate level of intervention • Administrative/Legal barriers Right actors involved • Competencies • Resources Quality of Cooperation • Degrees of Institutionalisation • Levels of Cooperation



Proportionality

The project Steering Group will comprise representatives from the Centre for Cross Border Studies, local authorities and community/voluntary organisations and the private sector involved with expertise in fuel poverty issues.

This hypothetical project will be led and co-ordinated by the Centre for Cross Border Studies. The project research staff will be based in the CCBS office in Armagh. CCBS have extensive experience in research on cross-border issues and have well-established relationships with local authorities and community/voluntary organisations on both sides of the border.

Participating local authorities will be represented primarily by their respective Energy Officers who will bring technical expertise on energy efficiency measures and take responsibility for co-ordination of the sub-contracting to suppliers and fitters of the installation of the energy efficiency measures in households.

Community/voluntary organisations with a track record of work on fuel poverty issues will bring their expertise, particularly in facilitating the participation of households in the target areas. Households most at risk of fuel poverty may be the most difficult to engage and therefore in-depth work will be required in the early stages of the action research project to ensure that an appropriate sample of households is identified and to ensure their continued cooperation after the installation of the selected energy efficiency measure in their home.

Private contractors who are involved in retrofitting houses for energy efficiency will be represented by their trade association.

Addressing the problem of fuel poverty in the Cross-Border Territory through a collaborative cross-border project will

- help to develop and consolidate relationships across sectors in both jurisdictions. It will require the sharing of expertise among professionals and organisations (local authorities, research bodies, voluntary sector, private contractors).
- help to identify barriers to SMEs based in one jurisdiction who are involved in selling and installing energy efficiency technology marketing and working in the other jurisdiction.

The project will be directed by a cross-border steering group comprising representatives of local authorities, private contractors and community/voluntary organisations from both sides of the border.



Section 2: Step Four

Identifying Expected Impacts

What Impacts do you expect to achieve?

Identify the expected impact(s) of the planned intervention on the Cross-Border Territory, taking an integrated approach across the four pillars.

**Social
Impacts**

**Economic
Impacts**

**Environmental
Impacts**

**Cooperation
Impacts**

INTRODUCTION

- Identify the likely impacts in all four pillars (direct/indirect, intended/non-intended).
- Identify possible positive/negative side effects or interdependencies that may occur across more than one pillar.
- Think about whether the proposed intervention is proportionate to the intended impacts.
- Consider whether the impacts can be quantified.



SELECT AND PRIORITISE THE IMPACTS YOUR PROJECT INTENDS TO ACHIEVE

REMEMBER: Depending on the analysis of the potential positive and negative impacts and the proportionality of the intervention required to achieve them, you may need to review your objectives.

The first step is to identify those impacts that are likely to occur as a consequence of implementing the policy approach. Some of those will be explicitly intended and are the objectives of the programme or project. Cross-Border Impact Assessment should go beyond the immediate and desired aspects (the direct effects) and take account of indirect effects such as side-effects, knock-on effects in other segments of the economy and crowding out or other offsetting effects in the relevant sector(s).



It is particularly important that you try to anticipate what impacts might come about as a result of the proposed interventions that are not specifically related to the objectives of the programme or project. Impacts can arise under any or all of the 'four pillars' irrespective of whether the planned objectives of the intervention are primarily categorised under only one pillar. The integrated approach will ensure that you capture the additional expected and unexpected impacts of cross-border cooperation and the cooperation process itself.

REMEMBER

Is the INTERVENTION LOGIC coherent?

- What changes do you anticipate as a result of the planned policy instruments/actions?
- Will there be social, economic and environmental impacts?
- Will the cross-border intervention bring added value to these impacts?
- What cooperation impacts will result from the process of cooperation?

You should always try to identify who will be affected by the impacts and whether the impacts will be positive or negative on different social and economic groups. It may be necessary to change its design, or to introduce measures to mitigate the negative impacts. There may be distributional effects within a given group (e.g. between SMEs and larger companies or between low-income and higher-income households). Finally, the impacts may differ between geographical areas or the two jurisdictions.

IMPACTS ARE

... changes that have a causal – or at least a plausible – link to a project/programme

... a change of circumstances as a consequence of an intervention, it can be intended or unintended, positive or negative.

... there from the first moment of intervention and they continue to occur all the time.

... rather the result of social interaction than a straight-forward intervention

... the result of complex interactions and thus, a complex matter to deal with!

Heike Höffler, GTZ Kenya, Impact Monitoring in Value Chain Promotion, 2005

The assessment of impacts in this step is generally qualitative. In this approach, you should identify the areas in which the proposed action is intended to produce benefits,



as well as consider the areas where the planned intervention may lead to unintended negative impacts. You should also reflect again on the Intervention Logic: Is there a coherent logical chain linking the core problem to the objectives, the policy approach and instruments/actions? Which impacts can be plausibly attributed to the project?

It is worth remembering that a project that is intended to have a positive impact for the region as a whole can also have negative impacts. For example, a project to build a new road may have a positive impact for transport businesses and the tourist industry but have detrimental environmental impacts and negative impacts on the incomes or the quality of life for other people.

While it is important to be aware of and to capture impacts across all four pillars where these exist, it is also important to **be selective**: choose the impacts that are most significant and for which it will be possible – through identifying appropriate indicators and gathering supporting evidence – to demonstrate to what extent the programme or project has achieved its objectives.

Social Impacts

Social impacts include changes that occur in relationships, social attitudes and behaviours, and the capacity of individuals or groups to participate in social, economic, political or cultural life.

Social impacts include impacts on:

- equality between different groups of people
- civil and human rights
- health and wellbeing
- employability, education and mobility of workers
- poverty and social exclusion
- human security
- access to jobs and services

GUIDING QUESTIONS:

- Will there be impacts on the social inclusion / exclusion of particular groups?
- Does it lead directly or indirectly to greater equality or inequality of groups or individuals (e.g. sex, racial or ethnic origin, religion or belief, disability, age, and sexual orientation)
- Will specific groups of individuals, firms or other organisations or localities be affected more than others?



- What are the likely impacts on employment and labour markets?
- Will access of workers or job-seekers to vocational or continuous training be affected?
- Will access to the labour market or transitions into/out of the labour market training be affected?
- Will the proposal facilitate or restrict restructuring, adaptation to change and the use of technological innovations in the workplace?
- Will the proposal have an impact on the preservation of cultural heritage, cultural diversity or citizens' access to cultural resources?
- Will the proposal have an impact on the health or safety of individuals/ populations, including life expectancy, mortality and morbidity, through impacts on the socio-economic environment (working environment, income, education, occupation, nutrition)?
- Are all actors and stakeholders treated on an equal footing, with due respect for their diversity? Will the proposal impact on cultural and linguistic diversity?
- Will the proposal make the public better informed about a particular issue? Does it affect the public's access to information?

Economic Impacts

Economic impacts include changes that occur in:

- business practices and productivity
- markets and competition
- trade and investment
- infrastructure (e.g. transport, IT)
- research and innovation
- income and employment levels

GUIDING QUESTIONS:

Will there be impacts on:

- economic growth and employment?
- markets, competition and trade and investment flows?



- small and medium businesses?
- productivity? Does it promote greater productivity/resource efficiency?
- cross-border investment flows (including relocation of economic activity)?
- access to finance?
- consumers and households? Will it lead to greater or lesser consumer choice, higher or lower prices?
- quality and availability of the goods/services?
- specific regions or sectors?
- the movement of goods, services, capital and workers ? (cross-border or within either jurisdiction)

Will the proposed intervention:

- reduce barriers for suppliers and service providers?
- stimulate research and development?
- facilitate the introduction and dissemination of new production methods, technologies and products?

Environmental Impacts

Environmental impacts include impacts on:

- climate
- energy production and use
- air, water and soil quality and resources
- biodiversity, flora, fauna
- rural and urban landscapes and streetscapes
- land use
- renewable and non-renewable resources
- waste production, generation and recycling



GUIDING QUESTIONS:

Will the proposed intervention affect:

- the emission of greenhouse gases or ozone-depleting substances or other harmful pollutants into the atmosphere?
- the use of renewable resources?
- the scenic value of protected landscape?
- the quality of urban streetscapes and environments?
- the quality or availability of soil or soil erosion rates?
- the quality or quantity of freshwater and groundwater, or waters in coastal and marine areas?
- waste production or how waste is treated, disposed of or recycled?

Will the proposed intervention:

- lead to more sustainable production and consumption?
- reduce biological diversity or promote conservation?
- reduce or increase use of non-renewable resources?
- reduce or increase use of renewable resources?
- promote or restrict environmentally un/friendly goods and services?
- increase or decrease the demand for transport (passenger or freight)?
- increase/decrease energy and fuel needs/consumption?
- contribute to the region's ability to adapt to climate change?

Cooperation Impacts

While it is to be expected that cross-border cooperation will enhance many of the social, economic and environmental impacts beyond what would be the case if the jurisdictions acted separately, here we are focused on those impacts (expected or unexpected) arising specifically from the **process of cooperation**.

- Project-level cooperation
- Exchanges of information and experience (formal and informal)



- Networks (formal and informal)
- Joint development and management
- Integrated management
- Joint operations (development, financing, implementation, staffing)
- Fully-integrated transnational programme management systems
- Single regulatory bodies
- Legislation and regulation
- Single data monitoring and recording systems

GUIDING QUESTIONS:

Will the proposed intervention affect:

- the cross-border provision of services, referrals across borders and cooperation in border regions?
- public institutions and administrations, for example in regard to their responsibilities?
- the involvement of stakeholders in issues of governance?

Will the proposed intervention require the creation of new or restructuring of existing public authorities (e.g. temporary or permanent working groups, advisory bodies, joint management bodies)?

Will the proposed intervention lead to:

- the creation or harmonisation of regulations, legislation and/or shared enforcement within the Cross-border Territory?
- new protocols or voluntary agreements for the management delivery of public services?
- new management processes and procedures (e.g. meetings, structuring and coordinating networks of actors)
- the creation of new organisations for public tasks (institution-building)
- new or developed relationships between actors on both sides (e.g., the range and intensity of participation by actors from different sectors and/or different levels)
- systematic use of project results



- formulation of joint recommendations
- establishment of high-level strategic consultation between ministers and regional participants
- changes to legislation or regulations (co-ordination or harmonisation)
- co-ordination or joint enforcement of laws or regulations
- cohesion of regional policy
- co-ordination of policy in a given space
- synergies with mainstream programmes
- cross-border mobility of people for economic, social, cultural reasons
- cross-border circulation of products
- cross-border dialogue
- shared services across jurisdictions

Will the proposed activities:

- result in continued, sustained cooperation in complementary activities or in permanent benefits at the level of the Cross-Border Territory?
- contribute on a long-term basis to the development of cross-border cooperation?
- ensure a long term sustainability with a real cross-border added value?
- generate other future initiatives which aim to promote cross-border mobility of people,
- encourage cross-border circulation of goods and services or encourage dialogue?

You should consider the many possible social, economic, environmental and cooperation impacts that could come about from the proposed intervention.

Select the impacts that are most relevant to your overall objectives and explain why they are the most relevant.

For the impacts selected,

- **Consider whether the impact is qualitative or quantitative. If it is qualitative explain why quantification is not possible or proportionate.**
- **Consider both intended and unintended impacts.**



- **Identify direct and indirect impacts and how they occur.**
- **Consider the risks and uncertainties.**
- **Identify who is affected by these impacts and in what way. To whom will it make a difference?**

HYPOTHETICAL EXAMPLE: FUEL POVERTY

IDENTIFYING EXPECTED IMPACTS

The practical economic and environmental impacts of Phase 1 of the project will be limited because of the restricted scale of the research element of the pilot, which will test only one energy efficiency measure in each household. These impacts will be measurable and verifiable. While participating households and, to some extent, their local communities will benefit from improved health and wellbeing and increased awareness of fuel poverty and environmental issues related to the use of fossil fuels, the evidence of these impacts will be mainly qualitative and based on the subjective judgments self-reported by participating households and from activities related to the dissemination of the research findings.

Similarly, the increase in cross-border business— directly and indirectly related to the project – will be anecdotal, based on self-reporting by the participating SMEs.

EXPECTED IMPACTS			
Social	Economic	Environmental	Cooperation
Improved health & wellbeing of members of participating households	Border region households benefit from increased competitiveness of SMEs	Reduction in fossil fuel use by Border region households	Joint decision-making by participating local authorities
Improved understanding of conditions of fuel poverty in the Cross-Border Territory	Reduced fuel costs for participating households	Reduction in toxic fuel emissions by Border region households	Sharing of expertise among professionals and organisations (local authorities, research body, voluntary sector, private contractors)
Improved knowledge about effectiveness of energy efficiency measures in the context of the Cross-Border Territory	Savings as a result of lower demand on health and social services through reduction in fuel poverty		Addressing fuel poverty is mainstreamed in regional and national energy policies
Increased awareness of environmental benefits of energy efficiency measures	Increased cross-border mobility of SMEs in sustainable energy sector		
	Increased innovation capability within SME sector		
	Border region households have increased options of appropriate energy efficiency measures that match their needs		



Section 2: Step Five

Developing Appropriate Indicators

How will you demonstrate what has been done and results and impacts achieved?

Choose and develop appropriate indicators that will provide evidence that your planned cross-border intervention will contribute to expected impacts.

INTRODUCTION

- Define a chain of indicators that capture the intervention logic of your proposal – outputs – results – impacts
- Set realistic and proportionate targets for your indicators.
- Be sure to define indicators that capture the added value of cross-border cooperation across all four pillars.



REVIEW TO ENSURE THAT THE INDICATORS WILL CAPTURE THE MOST IMPORTANT SOCIAL, ECONOMIC, ENVIRONMENTAL AND COOPERATION IMPACTS ACROSS THE CROSS-BORDER TERRITORY

What is an indicator?

"An indicator can be defined as the measurement of an objective to be met, a resource mobilised, an effect obtained, a gauge of quality or a context variable. An indicator should be made up by a definition, a value and a measurement unit."

Territorial Cooperation Project Management Handbook (DRAFT), INTERACT.

Indicators are measurable or tangible signs that something has been done (outputs) or that something has been achieved (results and impacts). Indicators can be either *qualitative* or *quantitative*. Neither is more or less valid, but quantitative indicators make it easier to compare the efficiency and effectiveness of the intervention with others aiming for similar objectives. Projects funded under EU programmes will be required to choose some indicators from a defined list (see Appendix 4). This is necessary to ensure that Member States and the Commission can determine how, individually and collectively, the different funded projects are contributing to achieving the programme's objectives. Data from a number of projects can be aggregated and



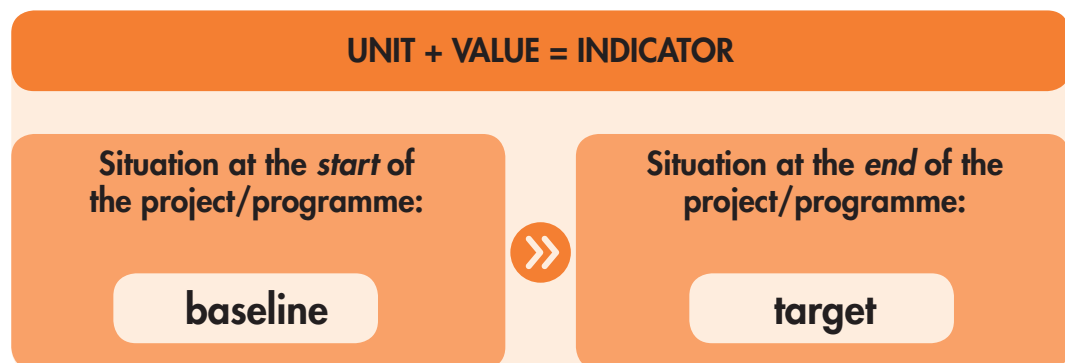
compared. A project's indicator system must be able to establish clear links to the relevant programme priority under which the project has applied.

What is the point of indicators?

"The indicator targets set for a project define its level of ambition and achieving each of these targets will mean meeting one of the success criteria for the project. Indicators should therefore allow project managers to monitor progress throughout implementation and warn them of the need for corrective action. They will also allow the project manager to say at the end of the project whether the original objectives have been achieved.

INTERACT <http://www.interact-eu.net/>

European Territorial Cooperation programmes use both programme and project level indicators. INTERACT suggests that although indicators "should be, by definition, quantitative", in some cases qualitative indicators could be beneficial. INTERACT's perspective favours the setting of indicator targets, to define a programme's or project's level of ambition. "Achieving each of these targets will require achieving one of the success criteria for the programme/project. Indicators should therefore allow monitoring of progress throughout implementation and warn us of the need for corrective action."¹ The figure below illustrates this approach:



The information collected should be the same if collected by different people, without being open to their subjective opinions:

*"Objective Verifiable Indicators (OVIs) describe the project's [and programme's] objectives in operationally measurable terms (quantity, quality, target group(s), time, and place). The specification of OVIs acts as a check on the viability of objectives and forms the basis of the project [and Programme] monitoring system. OVIs should be measurable in a consistent way and at an acceptable cost."*²

Quantitative data refers to numbers (quantities). The data can be from a wide range of sources such as the results of surveys, numerical datasets or project records. Analysis usually takes the form of identifying patterns or trends and answers questions such as: How many? How often? Where? When?

1. Interact <http://www.interact-eu.net>

2. Study on Indicators for Monitoring Transnational and Interregional Cooperation Programmes, INTERACT



REMEMBER

Is the INTERVENTION LOGIC coherent?

- Do your indicators capture the most important Social, Economic, Environmental and Cooperation impacts?
- Check back: are your indicators consistent with the General and Specific Objectives?
- Can these indicators be quantified? If not, what qualitative evidence can demonstrate that change has taken place?
- How will the *quality* of cross-border cooperation be captured?

Qualitative data more usually refers to experience, opinions or judgements of individuals or groups. It is information that cannot be measured or quantified. For example, qualitative data could be derived using techniques such as case studies, observation, interviews and focus groups. The data may be analysed by asking questions such as: Why? What? How?

The underlying strategy, or *Intervention Logic* for the European Territorial Cooperation (ETC) programmes is the narrative description of the project at each level. **It is essential to have coherence between the Intervention Logic and the Programme and Project indicators.**

The core task is to identify the likely connections between inputs, outputs, results and impacts and to check during implementation whether these links remain valid and actually take place."

Process Monitoring of Impacts: Towards a new approach to monitor the implementation of Structural Fund Programmes

INTERACT have provided the following definitions for the different types of indicators:

"Outputs are the products of the activities funded e.g. number of reports written, number of seminars held, kilometres of riverbed cleaned, number of innovation centres opened. They tell us what has actually been produced for the money given to the project.

"Results are the immediate advantages of carrying out these activities e.g. number of regional policy changes, number of members of target group given additional training, percentage reduction of certain pollutants in a river system, number of new business start-ups. They tell us about the benefit of funding the outputs.

"Impacts are the sustainable long-term benefits of an activity e.g. improved regional situation because of more effective policies, fall in number of long-term unemployed,



*increase in biodiversity, increased regional GDP. They relate to the project's objectives and tell us whether the short-term benefits (the results) have actually caused the desired improvements."*³

Outputs and Results can usually be quantified. Impacts are more likely to be qualitative, although it may be possible to identify quantitative Impact Indicators.

Indicators must serve a clear purpose, i.e. measuring to what extent a programme or project has been properly implemented and its objectives achieved.

In designing your monitoring and information system, it is important to be clear about who needs what information, and when.

Another important factor in choosing your indicators is the ease with which data can be collected; collecting data should not be more costly than the value of the information they provide.

Do not try to measure everything – focus on a small number of results that reflect your objectives and the most important outputs that will deliver these results. The system of indicators should be manageable and useable.

There is a growing consensus that result indicators are the most useful for monitoring transnational and interregional cooperation. Result indicators relate to the direct and immediate effect brought about by a programme or project on its direct beneficiaries. Impact indicators refer to the consequences of the programme beyond the immediate effects on its direct beneficiaries. Therefore their quantification occurs after a certain lapse of time – often possible only long after the termination of the programme or project. An EU working paper on Monitoring and Evaluation makes the point that,

*"In many cases it may improve the effectiveness of the indicator system to concentrate the limited resources on the establishment of reliable, measurable result indicators of good quality rather than to create impact indicators of questionable value. Such result indicators are a necessary building block for a subsequent development of impact indicators. Both indicator types need a **sound explanatory model** as their basis. A collection of data without a model explaining the causal chain is not useful, as the establishment and explanation of values would remain an unsolved mystery."*⁴

The quality of an indicator system depends directly on the clear understanding of the intervention logic of the programme or project – that is, the link between objectives, policy approaches and instruments.

3. Territorial Cooperation Project Management Handbook (DRAFT) INTERACT.

4. Indicative Guidelines on Evaluation Methods: Monitoring and Evaluation Indicators. The New Programming Period 2007-2013, European Commission.



The European Commission's *Impact Assessment Guidelines*⁵ suggest that indicators should fulfil the so-called **RACER** criteria –

Relevant = closely linked to the objectives to be reached

- Are the indicators clearly linked to both EU and project objectives?
- Is the information to be collected really necessary? How will it be useful? Who will use it?
- Do the indicators capture the qualitative/intangible dimensions of cross-border cooperation?

Accepted = by staff, stakeholders, and other users

- Will all stakeholders understand and accept the rationale for collecting this information?
- Will all stakeholders agree with meaning attributed to the indicator?

Credible = accessible to non-experts, unambiguous and easy to interpret

- Will the indicator provide information that will be understood in the same way by all potential users and considered objective and reliable?
- Are the data and data collection method transparent and reproducible?

Easy = feasible to monitor and collect data at reasonable cost

- Is the expense and effort required to collect, record and analyse the data proportional to the size of the project and the significance of the information collected?
- Is data easily available? Is it technically feasible to collect and record?

Robust = not easily manipulated

- Have the parameters of the indicator been clearly defined?
- Does it avoid double counting?
- Is the data available of sufficient quality?
- Are units of measurement consistent?
- Is the data reliable and accurate?

5. European Commission. 2005. *Impact assessment guidelines*. SEC2005 (791), European Commission, Brussels.



The table below gives an example of the different types of indicators, related to the chain of impact.

OUTPUTS The products your project delivers	RESULTS The changes, benefits, short to medium-term effects	IMPACTS The higher level or longer-term effects / changes
Training course	Participants who completed course/ Participants achieving accredited qualification	Increased capacity within the target group on the subject
Enterprise units constructed	New jobs created New businesses established	Enhanced economic infrastructure

General Objectives correspond with Impact indicators

Specific Objectives correspond with Result indicators

Policy Instruments/Actions correspond with Output indicators

GUIDING QUESTIONS

The following checklist from INTERACT provides a helpful list of questions that will guide you through the process of defining indicators for your programme/project. However, it is important to keep in mind their advice: ***“Be open to changing the indicators in the project preparation phase and consider that some indicators may also require adjustment during the implementation phase.”***

INTERACT CHECKLIST FOR DEFINING INDICATORS⁶

Links to project aim and objectives:	<ul style="list-style-type: none"> • Are envisaged outputs/results related to project objectives? • Is there a logical flow between objectives/activities and results?
Links to the programme:	<ul style="list-style-type: none"> • What are the programme's key priority indicators? To which of these indicators will the project contribute? • Will the project make a direct contribution to the programme indicators?
Nature of outcomes envisaged:	<ul style="list-style-type: none"> • What should be achieved by the end of the project? / What are the success criteria? • Are all major project milestones reflected in the indicator system? • What type of outputs is the project going to deliver – soft (e.g. network establishment) or hard (on the ground implementation work)? • Can you provide quantitative or qualitative measurements for your targets? If the indicators are qualitative have you secured a methodology to assess the progress made? • What kind of outputs / results are reflected in the indicator system – local, regional, national, international? • Are spin-off results anticipated? Are they reflected in the indicators?
Target groups:	<ul style="list-style-type: none"> • Do the selected indicators identify specific target groups? • Are there indicators measuring involvement / degree of influence of the project?

6. Territorial Cooperation Project Management Handbook (DRAFT) INTERACT



HYPOTHETICAL EXAMPLE: FUEL POVERTY

DEVELOPING APPROPRIATE INDICATORS

	Expected Impact	Indicator
Social	<p>Improved health & wellbeing of members of participating households</p> <p>Improved understanding of conditions of fuel poverty in the Cross-Border Territory</p> <p>Improved knowledge about effectiveness of energy efficiency measures in the context of the Cross-Border Territory</p> <p>Increased awareness of environmental benefits of energy efficiency measures</p>	<p>Participating households reporting improved health and wellbeing of household members</p> <p>Number and type of information dissemination activities.</p> <p>Number of participants from target groups in dissemination activities</p>
Economic	<p>Border region households benefit from increased competitiveness of SMEs</p> <p>Reduced fuel costs for participating households</p> <p>Savings as a result of lower demand on health and social services through reduction in fuel poverty</p> <p>Increased cross-border mobility of SMEs in sustainable energy sector</p> <p>Increased innovation capability within SME sector</p> <p>Border region households have increased options of appropriate energy efficiency measures that match their needs</p>	<p>% reduction in heating fuel bills of participating households</p> <p>Participating households reporting decreased visits to health and social services</p> <p>% increase in cross border business for participating SMEs (directly and indirectly related to the project)</p>
Environmental	<p>Reduction in fossil fuel use by Border region households</p> <p>Reduction in toxic fuel emissions by Border region households</p>	<p>% reduction in fossil fuel emissions by participating households after installation of energy efficiency measures</p>



Cooperation	<p>Joint decision-making by participating local authorities</p> <p>Sharing of expertise among professionals and organisations (local authorities, research body, voluntary sector, private contractors)</p> <p>Addressing fuel poverty is mainstreamed in regional and national energy policies</p>	<p>Increase in number of households applying for grants</p> <p>Research findings disseminated</p> <p>Number of participating local authorities</p> <p>Number of/frequency of joint decisions relative to relevant decisions made separately by one jurisdiction</p> <p>Type and number of contacts related to the project between staff of local authorities, research body, voluntary sector, private contractors</p> <p>Type and number of contacts not directly related to the project between staff of local authorities, research body, voluntary sector, private contractors that would not have happened otherwise</p> <p>Findings and recommendations from project are reflected in regional and national policies and applied in practice.</p> <p>Other border region local authorities apply learning from the project.</p>
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Section 2: Step Six

Designing an Appropriate Monitoring and Evaluation Framework

How can relevant data be generated and collected?

INTRODUCTION

- Identify what kind of data is needed to report on the defined indicators.
- Identify who has responsibility to generate and/or collect the data.
- Decide who is responsible for analysing the data.
- Decide the frequency and format of data collection and reporting.



DESIGN AN APPROPRIATE MONITORING & EVALUATION FRAMEWORK

Monitoring and evaluation enable you to assess the quality and impact of your work against your action plans and your strategic plan. It is essential that a Monitoring and Evaluation Framework is in place from the *inception* of the programme or project. The Monitoring and Evaluation Framework should set out a system for ensuring that the appropriate data, related to agreed indicators, is collected and reported upon. In designing your Monitoring and Evaluation Framework, think in terms of providing **evidence** that will demonstrate the **effectiveness, efficiency** and **impacts** of your project or programme.

- **Efficiency:** Are the results and impacts appropriate in relation to what you are putting into the programme/project (staff time, equipment, financial and other resources)? *Are the inputs proportionate?*
- **Effectiveness:** to what *extent* has the programme or project achieved its objectives?
- **Impact:** Has the programme or project *made a difference* to the problem?



WHAT HAS BEEN DONE?



WHAT HAS CHANGED?

To be of value, evidence must be seen to be *credible, reliable and objective*.

Recognising the above, it is important to emphasise that evidence is not just about data or statistics, it is also about experience, judgement and expertise. Some of the most relevant and valuable information available will come from the front line of service delivery: for example, from customer surveys or from delivery partners highlighting what works and what doesn't work. Therefore, stakeholder consultation and engagement of delivery bodies is an essential part of the evidence gathering process.

Monitoring and evaluation arrangements, together with indicators, provide valuable information. They allow programme and project stakeholders to answer critical questions about the extent to which the intervention is achieving its objectives and why or why not this has been the case. The Impact Assessment, therefore, should outline what these arrangements will be and define core indicators for the specific objectives.

Policy makers need to be able to check if implementation is 'on track', and the extent to which the policy is achieving its objectives. When a policy is not achieving its objectives, they also need to know if this is the result of problems with the design of the policy, or of poor implementation e.g. was the problem analysis accurate? Were the objectives relevant and attainable? Was implementation entrusted to parties capable of understanding the policy and willing to apply it? Is poor implementation the result of weak administrative capacity?

It is important to understand both the relationship between and the difference between Monitoring and Evaluation.

Monitoring and evaluation are invaluable internal management tools. If you don't assess how well you are doing against targets and indicators, you may go on using resources to no useful end, without changing the situation you have identified as a problem at all. Monitoring and evaluation enable you to make that assessment.

Civicus Monitoring and Evaluation Toolkit

Monitoring is an internal function that involves the systematic collection, reporting and analysis of information gathered over the course of the programme or project. It allows those with responsibility for implementing the programme or project to account for its progress in respect of agreed targets and indicators. Monitoring is essential for accountability of those implementing the programme or project to stakeholders such as funding bodies or others concerned with its governance. It is based on targets set and activities planned during the planning phases of work. It helps to keep the work on track, and can let management know when things are going wrong. A good monitoring system is essential to meaningful evaluation.

Monitoring involves:

- Setting up systems to collect information relating to the indicators;
- Collecting and recording the information;



- Analysing the information;
- Using the information to inform day-to-day management.

Evaluation is the process through which the intervention objectives can be compared to the actual project results and impacts. It should take into account both the internal factors (inputs, management etc.) and external factors that may have helped or hindered the achievement of the objectives. Evaluations can be either *formative* (taking place during the life of a project or organisation, with the intention of improving the strategy or way of functioning of the project or organisation) or *summative* (drawing learnings from a completed project or an organisation that is no longer functioning). It is generally good practice to have a combination of both types of evaluation. Depending on the type and size of a programme or project, a range of evaluation methodologies including internal evaluation methods such as self-evaluation and participatory evaluation may be appropriate. However, for larger programmes and projects evaluation should be carried out by an external expert evaluator or evaluation team.

Evaluation involves:

- Looking at what the project or organisation intended to achieve – what difference did it want to make? What impact did it want to make?
- Assessing its progress towards what it wanted to achieve, its impact targets.
- Looking at the strategy of the project or organisation. Did it have a strategy? Was it effective in following its strategy? Did the strategy work? If not, why not?
- Looking at how it worked. Was there an efficient use of resources? What were the opportunity costs of the way it chose to work? How sustainable is the way in which the project or organisation works? What are the implications for the various stakeholders in the way the organisation works?

Both qualitative and quantitative data are essential to allow for comprehensive monitoring and evaluation. Neither is more or less valid.

Monitoring is concerned with tracking the progress of implementation and processes (especially inputs and outputs) to ensure that agreed targets are met.

Evaluation is concerned with tracing causes to outcomes.

K Ezemenari et al, Impact Evaluation: A Note on Concepts and Methods

Monitoring is an internalised process of team communication, continuously undertaken while implementing,

Whereas

Evaluation is an act of implementation to reflect past activities (but drawing from information from monitoring).

Heike Höffler, Impact Monitoring in Value Chain Promotion



REMEMBER: If you have an external evaluator, it is important to be clear about who is responsible for collecting data and how this will be done.

GUIDING QUESTIONS:

- To what extent do monitoring/evaluation structures already exist? Does new capacity need to be put in place?
- Is the baseline situation sufficiently well-known or will further data collection be necessary once the proposal has been adopted?
- What information needs to be collected to provide evidence in support of the selected indicators?
- What kind of data – qualitative or quantitative?
- How and when will information be collected?
- Who will take responsibility for gathering information / evidence?
- If the data you need is to be paid for, have you ensured that these costs have been included in your budget?
- Is the existing data available in a format that allows for capturing the cross-border impacts of the project? If not, what proportionate alternative means will be used to collect data?
- How will the data be analysed?
- How and when will the data be reported?
- For what purpose will the monitoring data and evaluation findings be used?
- Who are the key actors who will provide and use such information?

REMEMBER: Important information may not be readily available. You may need to be proactive and initiate your own ways of addressing information gaps. Think creatively about how you can capture the most relevant project-related impacts. Stakeholders can be an important source of information.

Prepare a template for your Monitoring and Evaluation Framework that includes indicators defined in Step 5. What data sources will be used to provide evidence of whether the indicators have been achieved? Who will have responsibility for data collection and analysis? You may also find it helpful to include a timetable for these tasks.



HYPOTHETICAL EXAMPLE: FUEL POVERTY – DESIGNING AN APPROPRIATE MONITORING AND EVALUATION FRAMEWORK

Outputs	Results	Data Collection	Analysis
Number of community outreach events Number of 1-1 benefit take up advice sessions 200+ households retro-fitted	200+ households participating in action research (breakdown by target group)	Voluntary organisations Local Authorities Project staff Evaluator	CCBS

Expected SOCIAL Impacts	SOCIAL Impact Indicators	Evidence
Improved health & wellbeing of members of participating households Improved understanding of conditions of fuel poverty in the Cross-Border Territory Improved knowledge about effectiveness of energy efficiency measures in the context of the Cross-Border Territory Increased awareness of environmental benefits of energy efficiency measures	Participating households reporting improved health and wellbeing of household members Number and type of information dissemination activities. Number of participants from target groups in dissemination activities	Project monitoring data Survey of participating households Media reports, articles in journals, seminars and conferences
Expected ECONOMIC Impacts	ECONOMIC Impact Indicators	Evidence
Border region households benefit from increased competitiveness of SMEs Reduced fuel costs for participating households Savings as a result of lower demand on health and social services through reduction in fuel poverty	% Reduction in heating fuel bills of participating households Participating households reporting decreased visits to health and social services % increase in cross-border business for participating SMEs (directly and indirectly related to the project)	Project monitoring data Survey of participating households Survey of participating SMEs



Expected ECONOMIC Impacts	ECONOMIC Impact Indicators	Evidence
Increased cross-border mobility of SMEs in sustainable energy sector		
Increased innovation capability within SME sector		
Border Region households have increased options of appropriate energy efficiency measures that match their needs		
Expected ENVIRONMENTAL Impacts	ENVIRONMENTAL Impact Indicators	Evidence
Reduction in fossil fuel use by Border Region households	% Reduction in fossil fuel emissions by participating households after installation of energy efficiency measures	Interviews with stakeholders
Reduction in toxic fuel emissions by Border Region households		Project monitoring data
Expected COOPERATION Impacts	COOPERATION Impact Indicators	Evidence
Joint decision-making by participating local authorities	Increase in number of households applying for grants	Project monitoring data
Sharing of expertise among professionals and organisations (local authorities, research body, voluntary sector, private contractors)	Research findings disseminated	Interviews with stakeholders
Addressing fuel poverty is mainstreamed in regional and national energy policies	Number of participating local authorities	Minutes and other project records
	Number of /frequency of joint decisions relative to relevant decisions made separately by one jurisdiction	Review of relevant policies
	Type and number of contacts related to the project between staff of local authorities, research body, voluntary sector, private contractors	
	Type and number of contacts not directly related to the project between staff of local authorities, research body, voluntary sector, private contractors that would not have happened otherwise	
	Findings and recommendations from project are reflected in regional and national policies and applied in practice.	
	Other Border Region local authorities apply learning from the project.	



Section 3

Case Studies

CASE STUDY 1: ConneXions

ConneXions is a three-year project running from 1st October 2010 until 30th September 2013. The project partners are both well-established voluntary organisations: the Cedar Foundation (Northern Ireland) and the National Learning Network (Ireland).

It is a two-tiered project that will 1) establish four cross border social network infrastructures for people with disabilities (Newry/Dundalk and Letterkenny/Derry) and 2) establish a Strategic Forum to address the barriers to social inclusion faced by people with disabilities living in the Border Region. Action research arising from the development of the social networking infrastructure will inform the development and agenda of the Strategic Forum. This will prioritise issues for change and build social capital between people with disabilities and public service commissioners. Through the Strategic Forum, joint plans, strategies and actions for the delivery of public services that will better support social networking for people with disabilities in the Border Region will be developed and implemented. Cedar's social network platform for service users will be used to support virtual and actual social networking for the target group for the duration of the programme.

PROBLEM IDENTIFICATION

Many disabled people are socially isolated because of a lack of opportunity for emotional, social and peer support, a problem which is further exacerbated in rural communities. In addition, many disabled people opt out of traditional services as they do not consider these meet their needs. Evidence also shows that even those that do successfully participate in an existing service are not guaranteed sustained inclusion. The majority of inclusive services for disabled people are time-bound and outcome-oriented; longer term support is not currently offered within such programmes and many disabled people find that they cannot sustain their inclusive outcome once they have left a service.

The Cedar Foundation (NI) and the National Learning Network (Ireland) have a wealth of experience in delivering services to people with disabilities in the two jurisdictions. Evidence from this service delivery, consultations with service users, evaluations of services and learning from research has clearly established the need for a social network infrastructure to sustain the long term social and economic inclusion of people with disabilities.



This proposal is built upon two key pieces of research / evaluation commissioned by the Cedar Foundation:

- 1) *Taking Control of My Life: A Review of Service Outcomes for Trainees of the Cedar Foundation's Training and Brain Injury Services* (Professor Roy McConkey, University of Ulster, 2008); and
- 2) *Evaluation of Training and Brain Injury Services* (Quasitum, 2007).

Both pieces of research/evaluation were planned and implemented in partnership with Cedar's User Forum and involved a consultation with a comprehensive sample of service users. The User Forum's facilitator was a member of the research steering group. The findings and recommendations of both reports therefore, focus on the opinions and needs expressed by disabled people. Professor McConkey's research found that while service users rated Cedar's Training and Brain Injury services highly, they felt that there was an ongoing need for support after their time with Cedar. In particular, there was a need for support in respect of information and advice, networks of support, social networking and advocacy and emotional well-being. (Identified needs for individual training and access to employment are being addressed by other Cedar projects.) The research concluded that in order "to take control of their lives," disabled people were dependent on wider, long term support services. "This challenges a fundamental presumption of current provision, namely that vocational training and employment support are discrete activities, that, *per se*, will result in paid employment." Thus alternative means of long term support are required for those people who do not achieve paid employment or for those people whose employment outcome breaks down. Similarly, the evaluation by Quasitum found that "the process of moving people with a disability closer to the labour market requires a longer term perspective ... all the more necessary given the increasing numbers of trainees presenting with more complex needs."

The needs identified are also supported by the report by OFMDFM's Promoting Social Inclusion Working Group on Disability. The report recognises that "people with a disability are a socially and economically disadvantaged group within our community who are at greater risk of exclusion and have unique needs which must be addressed by Departments and other agencies in a sensitive and structured way." The report found that

- "A strategic approach should be declared and adapted by transport providers, which should be developed by consultation with disabled customers and employees";
- "Account must be taken of the specific issues relating to rurality and relevant Agencies/Departments must ensure consultation that takes account of the views of disabled people within rural communities;
- "There is a lack of an inter-departmental approach to promote participation of people with disabilities in physical activity and sport."

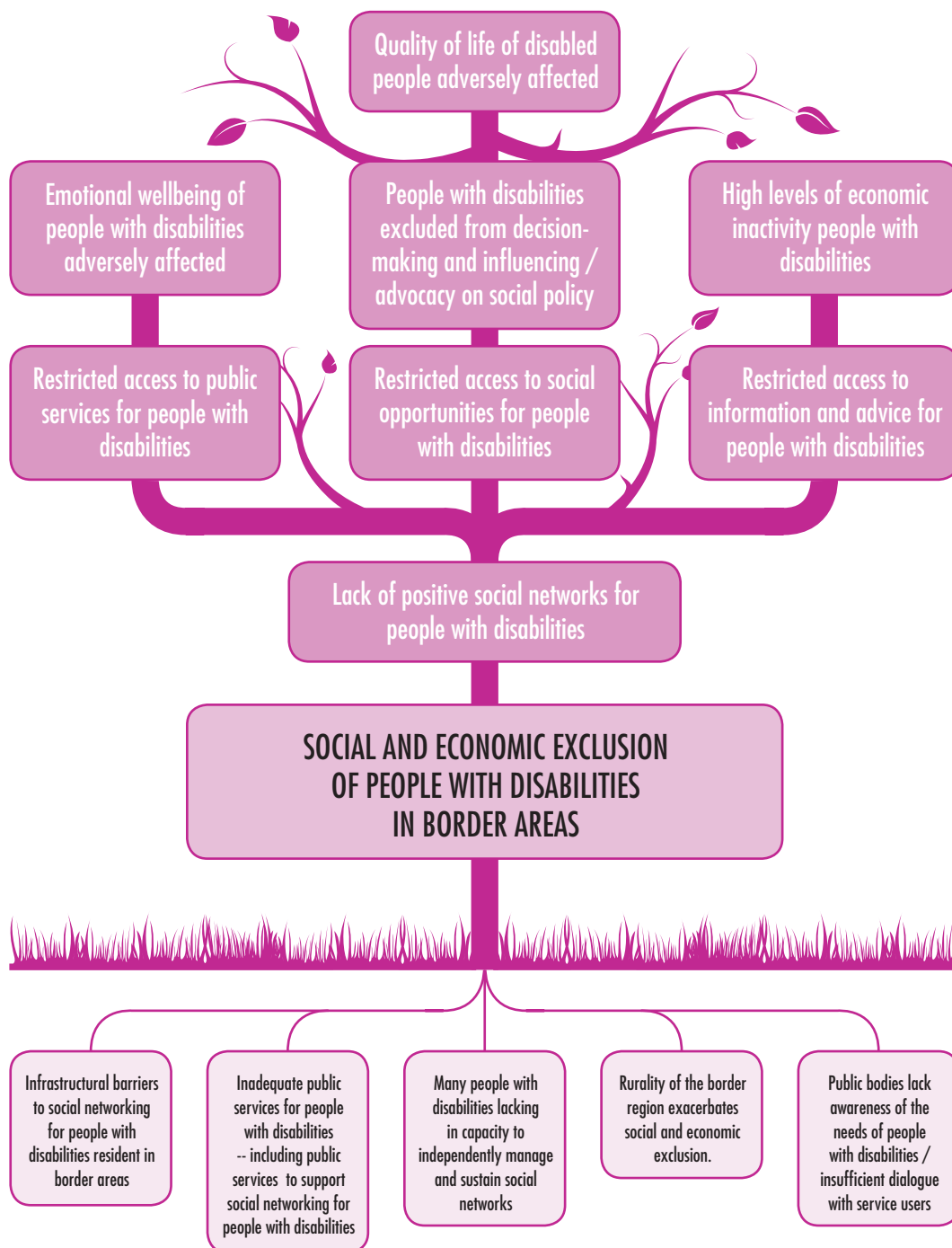


- The need for “facilitating participation in lifelong learning, arts, sports and cultural activity”;
- The need for removal of “barriers to participation in civic life and under-representation in public office and public bodies”; and
- The need for removal of economic barriers, “poor self-confidence, attitudes to disabled people, low levels of awareness amongst employers.

Similarly, a 2006 report, *Disability and Social Inclusion in Ireland* by Gannon and Nolan noted that, “Those with chronic illness or disability that hampered them severely in their daily lives were much less likely than others to be a member of a club or association, to talk to their neighbours most days, to meet friends or relatives most days, or to have an afternoon or evening out for entertainment in the last fortnight.”

The success of the proposed social network infrastructure requires a foundation of accessible delivery of a range of public services. In turn, accessible public services are dependent upon the removal of systemic barriers. Furthermore, because rurality exacerbates their social and economic isolation, priority needs to be given to disabled people living in rural border areas.

It is necessary to effect change within the public sector infrastructure to achieve significant social and economic inclusion of people with disabilities. The capacity of the community to support the social and economic inclusion of disabled people is dependent upon public services.



○ CAUSES ● CORE PROBLEMS ● EFFECTS



DEFINING OBJECTIVES

GENERAL OBJECTIVES:

To empower people with disabilities through a community development approach based on the principles of equality, capacity building, social justice and active citizenship.

To alleviate the social and economic exclusion of people with disabilities resident in the border area.

To prioritise issues for change and build social capital between people with disabilities and public sector commissioners.

SPECIFIC OBJECTIVES:

To support people with disabilities resident in the Border Region to establish independently managed and sustainable social networks that will provide unique opportunities for on-going, long-term peer support for disabled people by disabled people.

To facilitate dialogue and build social capital between people with disabilities and public service commissioners that will inform and influence innovative, 'joined-up' public services – including public services to support social networking – for people with disabilities resident in the border area.

To reduce infrastructural barriers to social networking by disabled people resident in border areas through joint action between public sector organisations (including joint cross-border action).

To develop a model of good practice that can be replicated in other border regions in the EU and beyond.

IDENTIFYING AND CHOOSING CROSS-BORDER POLICY APPROACHES

IDENTIFIED PROBLEM	CAUSES	POLICY APPROACHES
SOCIAL AND ECONOMIC EXCLUSION OF PEOPLE WITH DISABILITIES	Infrastructural barriers to social networking for disabled people resident in border areas	Cross-border social networks run by disabled people for disabled people
	Inadequate public services for people with disabilities – including public services to support social networking for people with disabilities	Action research to inform policy and practice Strategic Forum involving key public sector organisations to explore and address infrastructural barriers to social networking
	Many people with disabilities lacking in opportunities to develop capacity to independently manage and sustain social networks	Capacity-building training – personal development, empowerment, confidence building, self-advocacy, committee and governance skills



The project partners, the Cedar Foundation and the National Learning Network are already involved in the delivery of programmes that support the integration of people with disabilities into the labour market. This project is therefore intended specifically to address their social exclusion resulting from restricted opportunities for social networking because of infrastructural barriers as well as the need for capacity building among people with disabilities to independently manage and sustain social networks.

ConneXions will specifically target those people with disabilities locked out of community engagement and will seek to reduce isolation, both geographical and emotional, through encouraging peer support and the establishment of a user-led network that will offer advice, support, social and economic opportunities.

Policy Instruments/Actions

Four social networks will be established: two in the North-east (Newry/Mourne and Louth) and two in the North-west (Letterkenny/Derry). The social networks will be 'seeded' and supported by systems established by the project, including through the ConneXions website. The social networks will be developed as action research projects that will inform the work of the Strategic Forum.

A cross-border Strategic Forum, including also Momentum Scotland, will involve key public sector bodies responsible for transport, lifelong learning, arts, sport, cultural activity, employment and equality. The action research projects and the project evaluation will contribute to the work of the Strategic Forum, and should in turn inform the development of public sector policy and practice in both jurisdictions to remove systemic barriers to the social and economic inclusion of people with disabilities.

It is intended that the project will develop a model of good practice that can be replicated in other INTERREG regions and beyond by the end of the project.

Capacity-building training will be provided for 40 people with disabilities who will act as drivers for the establishment of social networks in the target areas. People with disabilities will be equipped with the skills to manage their own social networks and sustain activities independently and to engage with public commissioners by the end of the project. The training programme will include personal development, empowerment, confidence building, self advocacy, committee and governance skills.



IDENTIFYING AND CHOOSING APPROPRIATE POLICY INSTRUMENTS/ACTIONS

IDENTIFIED PROBLEM	POLICY APPROACH	POLICY INSTRUMENTS/ACTIONS	PROPORTIONALITY
SOCIAL AND ECONOMIC EXCLUSION OF PEOPLE WITH DISABILITIES	<p>Cross-border social networks run by disabled people for disabled people</p> <p>Action research to inform policy and practice</p> <p>Strategic Forum involving key public sector organisations, to explore and address infrastructural barriers to social networking</p> <p>Capacity-building training – personal development, empowerment, confidence building, self-advocacy, committee and governance skills</p>	<p>Action Research</p> <p>Social Networks (virtual and actual)</p> <p>Strategic Forum</p> <p>Training Programme</p>	<p>Appropriate level of intervention</p> <ul style="list-style-type: none"> • Administrative/Legal barriers <p>Right actors involved</p> <ul style="list-style-type: none"> • Competencies • Resources <p>Quality of Co-operation</p> <ul style="list-style-type: none"> • Degrees of Institutionalisation • Levels of Cooperation

Proportionality

Actors, Competencies, Resources

The Cedar Foundation was established in 1941 and is a leading voluntary organisation that delivers services to approximately 1400 disabled people throughout Northern Ireland annually. These services are provided in four areas: Training Services; Brain Injury Services; Children's and Young People's Services and Living Options.

The National Learning Network is Ireland's largest non-Governmental training organisation with centres in almost every county in Ireland. Each year, 5,000 people learn and study through their centres, including many who may otherwise find it difficult to gain employment and to develop the skills to move forward with their careers. NLN offers over 40 different vocational programmes which carry nationally and internationally recognised certification and are designed to lead directly to jobs or progression to further education. It also provides Continuous Professional Development courses, assessment services for children, adolescents and adults with specific learning difficulties, and a Disability Support Service for VEC colleges in Dublin.

The two organisations have a long track record of working together as partners and both have significant experience in project management as well as well-developed relationships with key public service providers.

The Cedar Foundation's User Forum and National Learning Network's National Representative Council have been fully involved in the development of the project proposal and project participants are represented on the project Steering Group



and the Strategic Forum, ensuring that service users will have a central role in project implementation, monitoring and evaluation. Cedar was a member of the NI Executive's Promoting Social Inclusion Working Group on Disability, and both Cedar and NLN have an extensive network of key public sector partners and many have already committed to participation in the Strategic Forum.

The Cedar Foundation and National Learning Network both use a number of tools for evaluation and quality management. One tool, currently used by Cedar and which will be used by the project will be ServQual, a questionnaire based on a service quality framework which measures the gap between customer expectations and experiences. The project will also complete the Community Star (Triangle Consulting 2009-11) scale with project participants; this scale measures distance travelled by participants in relation to community participation. All processes will be scoped within a quality management system for which Cedar holds ISO 9001:2008 registration.

The social networks and Strategic Forum will work on a cross-border basis to tackle barriers to the social and economic exclusion of disabled people from rural areas. This model has never before been used in Ireland.

Members of the Strategic Forum will identify any legal or administrative barriers to implementation of any proposals for solutions based on shared services and cooperate on overcoming these barriers. The innovative nature of the programme, involving action research, allows public sector commissioners to make a joint response to issues affecting inclusion.

Quality of cross-border cooperation

The ConneXions project has been jointly designed and developed by the Cedar Foundation and National Learning Network. The proposal has been shaped by on-going consultation with their respective user representative bodies and a range of public sector representatives from both sides of the border such as FAS and DEL. The project will be delivered by a network of part-time Social Network Facilitators based in each target locality. The Facilitators will work in cross-border pairs and work with each other on a cross-border basis to establish and support the social networking infrastructure. The project Steering Group and the Strategic Forum will both operate on a cross-border basis.

Cross-border collaboration is seen as critical as a means of sharing experiences and identifying common issues, challenges and 'joined-up' solutions that transcend national boundaries. Promoting effective network development for people with disabilities will inform and influence innovative service development with commissioners in each jurisdiction.

The project will offer opportunities for shared solutions to common issues and problems that affect people with disabilities on both sides of the border, including long-term unemployment and low levels of qualifications; deficiencies in the transport infrastructure; and deficiencies in the technological infrastructure.

The ConneXions project will therefore support strategic cross-border cooperation and by ensuring the social and economic inclusion of people with disabilities, it will contribute to the development of a more prosperous and sustainable region.



Reconciliation of communities where division has been exacerbated by the conflict will be supported by cross-border networks and increased cross-border mobility.

The Border Region experiences lower levels of economic and social development than the national averages for either the UK or Ireland. This is exacerbated for disabled people living in rural border communities. Furthermore, the border has distorted and disrupted networks and movement and this has impacted on the development of transport and communication linkages in border areas. Separate and differing policy approaches adopted in areas such as health, education and economic development have also limited opportunities and relationships and make it more difficult to address common problems. The activities of the Strategic Forum will underpin the social network infrastructure and will contribute to the improved accessibility and attractiveness of border communities through strategic, cross-border cooperation.

The project will provide opportunities through the Strategic Forum to enhance the complementarity of public policy in areas such as health, education and transport. Exploration of the potential for joint planning / public service provision is expected to result in economies of scale and opportunities to enhance the efficiency and effectiveness of public service provision in the Border Region. It also provides opportunities to strategically share knowledge, skills and best practice.

Through collaboration, the project partners (Cedar and NLN), will develop, deliver and sustain a new way of supporting disabled people to become socially and economically included and remain included in their communities. The development of the social networking infrastructure will create a new and unique model of practice that provides a long term, sustainable and mainstreamed cross-border service for disabled people by disabled people.

The Strategic Forum will unite public sector bodies on a cross-border basis, bringing them together to examine and respond to issues raised by the action research. The Forum will consider innovative joint solutions that will involve improvements to the public sector infrastructure and increase accessibility of services for disabled people living in the Border Region.

The ConneXions project will deliver cross-border partnership, joint working and linkages at three levels — the voluntary sector organisations, the social networks and the Strategic Forum. The outputs from each of these will be on a cross-border basis, i.e. the project will involve delivery of a new model of practice; action research will be conducted and social networks will operate on a cross-border, joint basis; and the Strategic Forum will consider solutions to the issues raised that require joined-up thinking and are likely to lead to joined-up delivery of public services.

The project will also deliver improved access to services and facilities for disabled people by: deploying the expertise of Cedar and NLN in making communities accessible; increasing the inclusion and visibility of disabled people in their local communities through the activities of the social networks, thereby increasing disability awareness; and improving the public service infrastructure to make it more accessible to disabled people through the work of the Strategic Forum.

Better value for money will be secured through joint working, effective targeting of available resources and economies of scale.



IDENTIFYING EXPECTED IMPACTS

EXPECTED IMPACTS			
Social	Economic	Environmental	Cooperation
Increased personal capacity of people with disabilities	Economies of scale through development of shared cross-border services	Improved accessibility and attractiveness of border area communities	Improved collaboration between public sector organisations in the two jurisdictions
Increased social inclusion and enhanced economic well-being of people with disabilities	Enhanced efficiency and effectiveness of public services	Enhanced sustainability of target communities	Improved policy and practice – Joint plans and ‘joined up’ solutions and innovative service development
Increased cross-border mobility by disabled people/ Risk of economic isolation of people with disabilities in rural border communities minimised	Synergies leading to a more diverse economy – a new consumer base and enhanced potential for disabled people to contribute to the local economy		Improved evidence bases and quality of information to assist policy making
Risk of social isolation of people with disabilities in rural border communities minimised			Increased and enhanced ‘connectedness’ between disabled people and public sector commissioners
Enhanced health and social well-being of participants / Improved quality of life for people with disabilities			
Improved public services for disabled people and improved access to those services			
Increased awareness and understanding of disability in local communities / Increased accessibility of local communities			
Sustainable community-based activities for people with disabilities			



DEVELOPING APPROPRIATE INDICATORS

Outputs	Results	Expected SOCIAL Impacts	SOCIAL Impact Indicators
Capacity-building training completed by 40 people	People with disabilities equipped with the skills to manage their own social networks and sustain activities independently (by the end of the project)	Increased personal capacity of people with disabilities	Participants taking on new leadership roles within project and in wider community
3 Action Research Reports & Recommendations		Increased social inclusion and enhanced economic well-being of people with disabilities	Participants reporting improved social inclusion / better engagement within their communities (target 90%)
Formative & Summative Evaluation Reports	Participants using ICT for or to support social networking (target 80%)	Risk of social isolation of people with disabilities in rural border communities minimised	Number of cross-border trips by project participants (as part of project and additional to project activities)
Four social networks established		Increased cross-border mobility by disabled people/ Risk of economic isolation of people with disabilities in rural border communities minimised	Participants reporting enhanced health and social well-being / Improved quality of life
Strategic Forum established	People with disabilities equipped with the skills to engage with public commissioners (by the end of the project)	Enhanced health and social well-being of participants / Improved quality of life for people with disabilities	Changes made on basis of recommendations from Strategic Forum
ConneXions website to support social networks		Improved public services for disabled people and improved access to those services	Participation by project in community activities (e.g. Dundalk Social Inclusion Week)
A Model of Good Practice for Peer Support by disabled people developed		Increased awareness and understanding of disability in local communities / Increased accessibility of local communities	Number of project participants trained in disability awareness
		Sustainable community-based activities for people with disabilities	Number of disability awareness training sessions delivered by project participants
			Project participants reporting increased opportunities for involvement in community-based activities



Outputs	Results	Expected ECONOMIC Impacts	ECONOMIC Impact Indicators
	Consideration of research reports and recommendations by Strategic Forum	Economies of scale through development of shared cross-border services	Recommendations of Strategic Forum implemented by public and service delivery bodies
	Joint action between public sector organisations (within each jurisdiction and cross-border) to remove systemic barriers to social and economic inclusion of people with disabilities	Enhanced efficiency and effectiveness of public services	Additional education, training and employment opportunities available
		Synergies leading to a more diverse economy – a new consumer base and enhanced potential for disabled people to contribute to the local economy	
		Expected ENVIRONMENTAL Impacts	ENVIRONMENTAL Impact Indicators
		Improved accessibility and attractiveness of border area communities	Participation by project in community activities
		Enhanced sustainability of target communities	Recommendations of Strategic Forum implemented by public and service delivery bodies
	A model of good practice documented and disseminated	Expected COOPERATION Impacts	COOPERATION Impact Indicators
		Improved collaboration between public sector organisations in the two jurisdictions	A multi-disciplinary Action Plan developed by Strategic Forum
		Improved policy and practice – Joint plans and ‘joined up’ solutions and innovative service development	
		Improved evidence bases and quality of information to assist policy making	
		Increased and enhanced ‘connectedness’ between disabled people and public sector commissioners	



DESIGNING AN APPROPRIATE MONITORING AND EVALUATION FRAMEWORK

Outputs	Results	Data Collection	Analysis
<p>Capacity-building training completed by 40 people</p> <p>3 Action Research Reports & Recommendations</p> <p>Formative & Summative Evaluation Reports</p> <p>Four social networks established</p> <p>Strategic Forum established</p> <p>Connexions website to support social networks</p> <p>A Model of Good Practice for Peer Support by disabled people developed</p>	<p>People with disabilities equipped with the skills to manage their own social networks and sustain activities independently (by the end of the project)</p> <p>Participants using ICT for or to support social networking (target 80%)</p> <p>People with disabilities equipped with the skills to engage with public commissioners (by the end of the project)</p> <p>Consideration of research reports and recommendations by Strategic Forum</p> <p>Joint action between public sector organisations (within each jurisdiction and cross-border) to remove systemic barriers to social and economic inclusion of people with disabilities</p> <p>A model of good practice documented and disseminated</p>	Project Staff	Project Manager/ Evaluator

Expected SOCIAL Impacts	SOCIAL Impact Indicators	Evidence
<p>Increased personal capacity of people with disabilities</p> <p>Increased social inclusion and enhanced economic well-being of people with disabilities</p> <p>Risk of social isolation of people with disabilities in rural border communities minimised</p> <p>Increased cross-border mobility by disabled people/ Risk of economic isolation of people with disabilities in rural border communities minimised</p> <p>Enhanced health and social well-being of participants / Improved quality of life for people with disabilities</p> <p>Improved public services for disabled people and improved access to those services</p> <p>Increased awareness and understanding of disability in local communities / Increased accessibility of local communities</p> <p>Sustainable community-based activities for people with disabilities</p>	<p>Participants taking on new leadership roles within project and in wider community</p> <p>Participants reporting improved social inclusion / better engagement within their communities (target 90%)</p> <p>Number of cross-border trips by project participants (as part of project and additional to project activities)</p> <p>Participants reporting enhanced health and social well-being / Improved quality of life</p> <p>Changes made on basis of recommendations from Strategic Forum</p> <p>Participation by project in community activities (e.g. Dundalk Social Inclusion Week)</p> <p>Number of project participants trained in disability awareness</p> <p>Number of disability awareness training sessions delivered by project participants</p> <p>Project participants reporting increased opportunities for involvement in community-based activities</p>	<p>Outcomes Star— Personal attributions by participants</p> <p>Diversity of people involved in committees, Strategic Forum etc.</p> <p>SERV QUAL Questionnaire</p> <p>Log of cross-border activities as part of project</p> <p>Survey of participants' mobilities (external to project)</p> <p>Interviews with key stakeholders (e.g. Strategic Forum members + other public officials)</p> <p>Press releases/press monitoring</p> <p>Project monitoring data</p>



Expected ECONOMIC Impacts	ECONOMIC Impact Indicators	Evidence
Economies of scale through development of shared cross-border services Enhanced efficiency and effectiveness of public services Synergies leading to a more diverse economy – a new consumer base and enhanced potential for disabled people to contribute to the local economy	Recommendations of Strategic Forum implemented by public and service delivery bodies Additional education, training and employment opportunities available	Interviews with key stakeholders (e.g. Strategic Forum members + other public officials) SERV QUAL questionnaire Employers Forum on Disability
Expected ENVIRONMENTAL Impacts	ENVIRONMENTAL Impact Indicators	Evidence
Improved accessibility and attractiveness of border area communities Enhanced sustainability of target communities	Participation by project in community activities Recommendations of Strategic Forum implemented by public and service delivery bodies	Interviews with key stakeholders (e.g. Strategic Forum members + other public officials) SERV QUAL questionnaire
Expected COOPERATION Impacts	COOPERATION Impact Indicators	Evidence
Improved collaboration between public sector organisations in the two jurisdictions Improved policy and practice – Joint plans and ‘joined up’ solutions and innovative service development Improved evidence bases and quality of information to assist policy making Increased and enhanced ‘connectedness’ between disabled people and public sector commissioners	A multi-disciplinary Action Plan developed by Strategic Forum Recommendations of research and Strategic Forum disseminated Increased participation in service users’ forums and public consultations	Action Plan published Interviews with key stakeholders (e.g. Strategic Forum members + other public officials) SERV QUAL questionnaire Interviews with key stakeholders (e.g. Strategic Forum members + other public officials) Project monitoring data

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CASE STUDY 2: The Innovation Factory (iFactory)

The Innovation Factor (iFactory) commenced in October 2009 and will be completed in September 2013. The Innovation Factory has been developed on the foundations of a range of pilot schemes – in particular, the Western Innovation Network (WIN) programme and the Cross Border BIC (CBBIC) programme. The Lead partner is North West Regional College. With the partnership of the FE Colleges, Institutes of Technology, County Enterprise Boards, WestBIC and NORIBIC, the project has complete geographical coverage throughout the region.

The overall aim of the project is to increase innovation capability and capacity in small and micro businesses. This sector comprises the largest part of the economy in the region, but often suffers from having the least support targeted towards it and being the least able to avail of such support for financial, logistical or simply timeliness reasons.

The project seeks to engage support for small and micro-businesses that often fall outside the remit of the existing network of small business support. Many of the companies assisted will be located in socially disadvantaged (TSN) areas both in urban and rural locations. The project has been devised and will be managed and delivered to ensure co-ordination amongst the business support agencies and organisations and the education providers in the cross-border region.

There is a gap for innovation support within the wider small business sector; assistance is widely available for businesses at start-up phase, but little assistance is available to those businesses that do not yet qualify for client status of government support agencies that supports them to compete in the open marketplace. This programme has been developed in response to the gap in provision of innovation support services targeted at the micro business sector.

The project partners have identified demand for support from a population of the private sector (in the main elements of the micro-business sector which do not normally receive state support bodies). The innovation stimulation support provided by the Innovation Factory programme will be targeted at new and existing business with potential to grow domestically and internationally. This support will be targeted at any business seeking and requiring it and that will include sectors such as creative industries, financial and customer services, energy efficiency, marine science and the food and drink sectors. The programme will seek to assist and signpost those individuals who are considering a move to self-employment.

PROBLEM IDENTIFICATION

Northern Ireland is an SME economy, with over 89,000 businesses with 10 employees or less. These micro-businesses are acknowledged as being core to NI future economy growth. The opportunity to transfer knowledge to businesses at this level is therefore critical.¹ However, the small business sector is still underperforming relative to its potential, and not only in Northern Ireland: "Analysis has already shown that the

1. BDO – Evaluation of NI Innovating Region of Europe Programme, 2007



level of entrepreneurship is too low and the growth of larger companies is slow. Both problems need to be tackled. ... The answers will not be static and should be flexible in the face of new challenges and environments.”² New programmes and initiatives need to be found to stimulate this extremely important contributor to the regional economy.

Northern Ireland in general lags considerably behind the UK and other major industrial economies with regard to innovation and R&D spend. Expenditure by the 10 largest R&D spenders accounted for 86% of total R&D expenditure in NI in 2003. Considering that this includes the two universities, if innovation is measured in terms of R&D spend, then Northern Ireland needs considerable movement by businesses to grasp the implications of innovation. Although the Republic of Ireland fares better in the innovation league tables than the North, most of this activity is recognised as ‘clustered’ around major population centres such as Dublin, Galway, Limerick/Shannon and Cork. Much of the Border Region falls considerably below these areas in innovation activity. Having a predominantly small business economy, the Border Region suffers from the two main aspects of a slow economy – a lack of large, technology-based FDI and an under-resourced small business sector that finds difficulty in embracing innovation for growth.

Extensive research has been undertaken to ensure that the programme fits with regional strategies, company demands and INTERREG IV principles, all concentrated on the need to develop the micro-business sector and ensure a coordinated cross-border approach to delivery. The research has demonstrated a demand for the programme from the private sector; a strategic and coordinated cross-border approach in the delivery of the programme; and a strategic fit of the programme in terms of delivering to meet regional, national and European economic (in particular SME) development targets and priorities.

The Innovation Factory programme is in line with the strategic priorities of the key stakeholders in the INTERREG programme area. The key strategic objectives identified will be supported and embedded through the programme management and delivery. An analysis of the priority areas and/or strategic gaps in the region has identified common themes, all of which will be directly targeted through the delivery of this Innovation Factory Programme:

- Need for support and promotion of the indigenous SME sector
- Emphasis on innovation adoption by the SME and micro-business sector to realize growth and development
- Need for greater inter-county and inter-agency relationships and improved co-ordination and integration in programme delivery. To work towards a regional approach in terms of the delivery of economic development programmes and initiatives
- Need for higher levels of R&D

2. BMW - A Framework for Regional Innovation Development - Entrepreneurship & SMEs

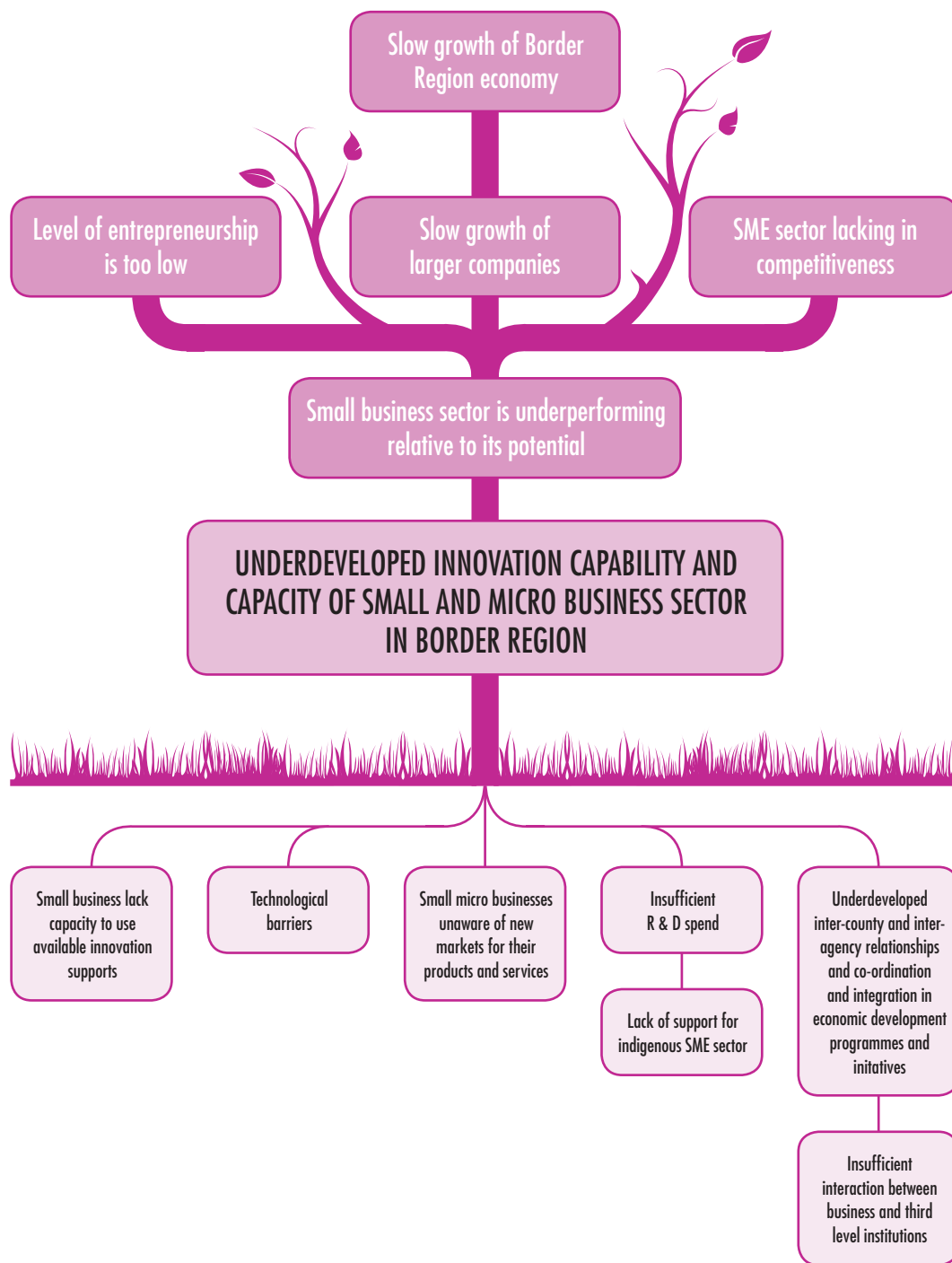


- Need for higher degree of interaction between business and third level institutions

There is a demand for innovation support for the small and micro business sector throughout the region. There is a requisite that such support should be cross-border in nature, should meet the specific needs of the businesses, focus on innovation and be delivered in a timely and convenient manner.

An extensive analysis was undertaken of the strategic and corporate plans of the state agencies, economic development bodies and the various agencies which contribute to the economic development of the region and its constituent SME sector. A subsequent strategic fit of the objectives and impact of this programme with the key priorities and goals of regional, national and European strategy, including some of the key aims of the Lisbon agenda was undertaken. An analysis of the potential benefits and impact which a regional Innovation support programme can have on the small and micro businesses within a region and, by implication, on the regional economic development effort, has also been undertaken.

The encouragement of innovation is vital if productivity increases are to be achieved and sustained. Creating an environment where innovation can flourish and the best use made of the latest IT are key objectives of the Lisbon agenda.



○ CAUSES ● CORE PROBLEMS ● EFFECTS



DEFINING OBJECTIVES

GENERAL OBJECTIVES:

- To improve the competitiveness and growth potential of the small and micro business sector through integration of innovation in enterprise and business development as an integral and key component of the business process.

SPECIFIC OBJECTIVES:

- To develop and prove the Innovation Continuum® model for innovation support delivery into the target sector
- To assist and support business owner/managers and entrepreneurs to understand, embrace and embed innovation into their business from product to process, and to make the innovation ethos *de rigour* as a method of business development and growth

IDENTIFYING AND CHOOSING CROSS BORDER POLICY APPROACHES

The Innovation Continuum® model that has been developed by the iFactory partners is intended to address and overcome the limitations of other small business support programmes that are 'developed in isolation' rather than a bespoke programme tailored to the needs of the individual business. These programmes include those that offer a 'one-off intervention' approach, which requires a business owner to respond to programme marketing and which may not match the business' specific needs. Similarly, classroom-based support to businesses with 'chalk and talk' support, delivered on a 'workshop' basis, require business owners to attend single location venues for non-specific support at fixed times. These may include elements that are not useful or relevant to the business while other needs are overlooked. Many programmes in the past have been 'interventionist' in nature; i.e., there has often been only a single interaction with the client company – a training seminar, an overseas visit, advice on a single topic – without substantial follow up and support to ensure implementation of lessons learned.

The iFactory's integrated approach to provision of innovation support at technical and business level offers one single programme with a unique entry point, a unique contact point through an assigned Innovation Agent, and a bespoke tailored support package with iterative innovation action plan based upon the needs of the client and the outcomes from each intervention. Ongoing programme delivery is predicated on outcomes of previous interventions in an integrated manner, with services delivered on a one-to-one basis to accommodate the needs of the client. Where they can be sourced by the Innovation Agent, the client will be directed to external sources of support from existing partners or government agencies.

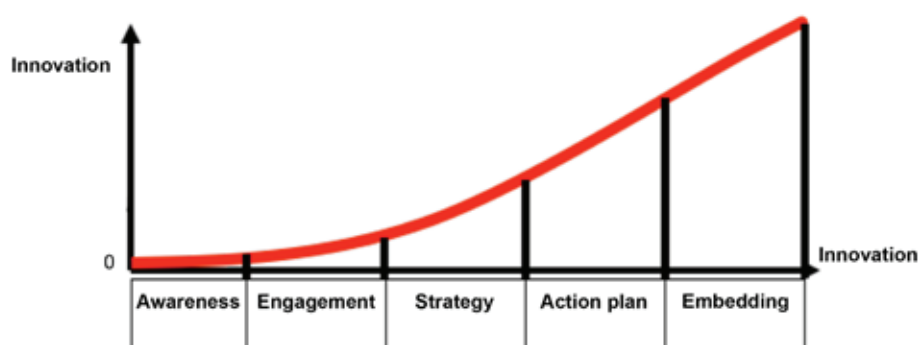


IDENTIFIED PROBLEM	CAUSES	POLICY APPROACHES
UNDERDEVELOPED INNOVATION CAPABILITY AND CAPACITY OF SMALL AND MICRO BUSINESS SECTOR IN BORDER REGION	<p>Small businesses lack capacity to use available innovation supports</p> <p>Technological barriers</p> <p>Small and micro businesses unaware of new markets for their products and services</p> <p>Insufficient R&D spend</p> <p>Lack of support for indigenous SME sector</p> <p>Underdeveloped inter-county and inter-agency relationships and co-ordination and integration in economic development programmes and initiatives</p> <p>Insufficient interaction between business and third level institutions</p>	<p>Individual business support programme</p> <p>Classroom-based business support programme</p> <p>Integrated innovation support programme</p>

IDENTIFYING AND CHOOSING APPROPRIATE POLICY INSTRUMENTS

The 'Innovation Continuum[®]' model, is a process that promotes innovation in its widest sense – not only R&D, but also best practice, systemic innovation and innovation support. SMEs can be introduced to innovation through workshops and seminars, innovation toolkits, innovation support programmes and innovation networks, each SME being fitted into this continuum at the appropriate position. This approach requires considerable integration across projects within the Innovation Factory's suite of programmes.

The Innovation Continuum[®]





A combination of characteristics uniquely define the Innovation Factory approach:

- Triple helix approach with private, public and academic delivery partnership
- Utilisation of third level academics as technical mentors
- Delivery of innovation into small and micro business sector at an early stage
- Personalized innovation action plan
- Innovation Agent exclusively assigned to client
- Bespoke innovation development programme matching agreed needs
- Programme delivered at client's convenience
- Access to wider range of partners' support programmes
- World class speakers sharing best practice through i-Learning© programme
- Opportunity to integrate into Europe-wide network of Innovation Centres
- Integrated approach to innovation development
- INSPIRIA© – The Innovation Factory's unique Innovation Portal
- Sharing of best practice across the region, including Scotland
- Cross-border steering group includes potential mainstream funders from both sides of the border

The unique approach taken by the Innovation Factory lies in its integrated and seamless delivery of support to the small business. The Innovation Factory concept utilizes Innovation Agents that are assigned to specific companies for the duration of the programme. These Agents will develop a rapport with the business owner and an understanding of the company's innovation development needs. Once engaged with the programme, at a unique entry point, the owner is guided to only that support that is relevant to his/her business innovation development needs. Thus a bespoke programme of innovation support is created, unique to the requirements of that business.

The Innovation Factory will assist small and micro-business owners to migrate along the continuum with the support of Innovation Agents and to become self-sustaining in ensuring that their business continues to be innovative throughout all aspects of the business process. The approach taken by The Innovation Factory supports the entrepreneur in an integrated and seamless manner, both internally and externally. Many small business owners complain of 'programme fatigue', trying to be sold support that they don't need.

The team of Innovation Agents will be assigned to specific businesses for the duration of the programme. The uniquely assigned Innovation Agent will work with the entrepreneur to develop an Innovation Action Plan. This Action Plan will identify the key areas of innovation deficit within the business and create a bespoke portfolio of development support to address those needs. The Innovation Agent will drive the innovation solutions to the entrepreneur on the basis of the agreed plan. These solutions may come from within the portfolio of The Innovation Factory or may be



complementary services available outside of the Factory. Uniquely, however, the Innovation Agent will remove from the entrepreneur the necessity to be aware of or to understand the range of support available. He/she will act as a broker to identify, assess and measure each support opportunity in relation to the entrepreneur's specific identified and agreed needs.

Thus, the entrepreneur is guided by an expert in innovation support, is directed only towards that support that is relevant to his/her needs at the time and is shielded from the intrusion of many different support 'sellers'. However, importantly, the very support from the Innovation Agent that helps guide, direct and shield the client actually serves to promote integrated development by sourcing innovation and business development support for the client from across a wide range of support agencies. This naturally creates and increases synergies among the support organizations and provides a more integrated approach to delivering support services to best meet the needs of the client.

Innovation Audit & Action Plan: The first step is an innovation audit and assessment of the business and the owner and development of an agreed Action Plan. The iFactory identifies, facilitates and provides the participating business with access to suitable support. This support will be delivered both from within the iFactory, by qualified and experienced consultants, and from outside by referral to existing provision from state agencies or other bodies such as County Enterprise Boards and Local Enterprise Agencies. But, as opposed to 'single intervention' approaches normally espoused by support organisations, the lessons learned from such interventions will be translated and transformed into a revised Action Plan for the business, thus ensuring that not only is the business owner exposed to the correct assistance, but that assistance then becomes a formative part of his/her existing business Innovation Action Plan. The Innovation Agent will work with and mentor the business owner throughout the lifetime of the programme participation. After each intervention, whether internal or external, the Innovation Agent will review and revise the Action Plan with the business owner and plan the next relevant stage of the innovation process. Support interventions will be made at the convenience of the client where practicable. This approach will increase the value and amount of participation from the client.

INSPIRIA® – online tool: However, the Innovation Agents will share their knowledge, understanding and expectations of their client businesses through the Innovation Factory's own online collaboration tool - INSPIRIA®. In this way, it will be possible to identify potential collaborative possibilities where the clients can work or learn together. This web-based support tool will maintain a presence online for small businesses to access relevant information, to participate in online forums and to encourage potential special interest groups among the participants.

Specialist Technical & Innovation Mentoring: The iFactory will use experts from its academic partners to provide specialist Technical Mentor support to enable clients to overcome technological barriers to growth, access specialist innovation mentors from BIC and CEB associates to provide tailored innovation support through the Core Innovation Mentoring function, **R&D research facilities** to identify new markets for client products and services and provide exposure to best practice via the i-Learning series of seminars, **best practice visits** and through the Inno-Conference.



I-Learning seminars and Inno-Conference: The i-Learning seminar series will culminate in world-class speakers on topics of common interest identified among the clients. The Inno-Conference will take this a stage further, with workshops, discussion forums and exhibitions of innovation case studies. The Inno-Conference will bring together, in an informal and fun manner, leading exponents of innovation from across the world. The partner organisations in the Innovation Factory also themselves have a wide range of technologies and support vehicles that the clients will be directed towards. This exposure of small business to innovation support at such a broad level will lead to potential research and development synergies, supporting a more diverse economy.

IDENTIFIED PROBLEM	POLICY APPROACH	POLICY INSTRUMENTS/ ACTIONS	PROPORTIONALITY
UNDERDEVELOPMENT OF SMALL AND MICRO BUSINESS SECTOR	To provide an integrated and seamless support mechanism to assist the target sector in understanding, assessing, implementing and embedding innovation into their business products, processes and services	Innovation Audit & Action Plan INSPIRIA© – a web-based support tool Specialist Technical & Innovation Mentoring R&D research facilities to identify new markets for client products and services Best practice visits i-Learning seminars Inno-Conference	Appropriate level of intervention <ul style="list-style-type: none"> • Administrative/Legal barriers Right actors involved <ul style="list-style-type: none"> • Competencies • Resources Quality of Co-operation <ul style="list-style-type: none"> • Degrees of Institutionalisation • Levels of Cooperation

Proportionality

Appropriate Level of Intervention

The programme will be managed and delivered on a cross-border, dual jurisdiction basis. This will require, and will encompass, coordination amongst the various strategic partners within the programme, including the third level institutions and the development agencies.

The Innovation Factory Programme offers direct support to various micro and small business enterprises and will deliver this support throughout the region directly via the promoters and/or through the regionally appointed strategic and operational support team best placed to intervene in their respective areas throughout the region. Many of the targeted sub-regions have suffered from the decline of traditional industry and the large scale closure and downsizing and relocation of Multi-National Corporations (MNCs). The future of the border economy and its resultant impact on the social infrastructure of the region has been identified by many experts as the indigenous small business sector.

In the recent past project partners piloted Europe's first ever Cross-border Business Innovation Centre and have since progressed to attract programmes and initiatives in excess of £10m in value to the cross-border regional economy of the North West of Ireland. The adoption of a regional/cross-border approach by the promoters in



the delivery of its programmes and services was driven by European as well as local developments and was prophetic in delivering to meet Lisbon targets well in advance of their announcement: "Promoting intra-European cooperation as well as encouraging reforms on a national level is key to breaking down barriers to innovation.... Member States should better co-ordinate efforts to improve framework conditions for innovation."

Actors, Competencies and Resources

The promoters are drawing directly on their experience in having delivered previous successful innovation support programmes to the micro business and SME sectors, the vast majority of which were targeted within the INTERREG cross-border region.

The Innovation Factory has been developed from experience gained from design, development, delivery and management of several innovation projects and programmes that have been delivered over the last five years. These projects have been developed with, and often managed by strategic partner, NORIBIC. One core cornerstone of the Innovation Factory is the Western Innovation Network (WIN) programme, which formed Northern Ireland's Innovating Region of Europe programme. This pilot innovation programme was devised, developed and managed by NORIBIC. The BMW pilot IRE programme was written by WestBIC. The successful pilot Western Innovation Network Programme delivered innovation support based on the Innovation Continuum© model to 672 companies in counties Derry, Tyrone and Fermanagh.

In the past, NORIBIC has worked with the Federation of Small Businesses and is currently working with IBEC/CBI on developing sector specific business development programmes. It has a signed Memorandum of Understanding with Momentum, the NI Software Industry representative group. NORIBIC is also an active member of the Northern Ireland Chamber of Commerce and the Londonderry Chamber of Commerce. In the South, WestBIC has worked closely with the Chambers of Commerce in its area – their Director has twice held the post of President of Galway Chamber of Commerce.

This programme builds on other pilots such, as the Cross-Border BIC (CBBIC) programme that created a cross-border partnership which will act as the steering group for this project. The CBBIC also developed projects that addressed cluster development, collaboration applications across business sectors and broadband infrastructure and pioneered the role of third level further education and institutes of technology in the opening up and provision of academic support to small and micro businesses.

The Innovation Factory programme will be responsible to the management committee of the Cross Border BIC. This management committee consists of representatives from academia, public sector and private business. The CBBIC was established in 2002 as a pilot of cross-border collaboration in innovation support services provision between EU BICs (Business Innovation Centres) on either side of the border. The management committee represents FE Colleges and Universities in Northern Ireland, Institutes of Technology in the Republic of Ireland, Government agencies (Invest NI and Enterprise Ireland) and business through the Chair and Deputy Chair of the North West Science and Technology Partnership. In addition, the CEOs of the two BICs in the region (NORIBIC and WestBIC) and a representative from InterTradeIreland are also on the management committee. It is agreed that the County Enterprise Boards will also join the management committee.



Both Invest Northern Ireland and Enterprise Ireland have been established purely to promote and facilitate economic development within their respective jurisdictions. They have developed strong relationships with industry on an individual basis and at representative levels. The County Enterprise Boards work closely with small businesses and their representative bodies as part of their statutory duties.

The project promoters have experience in in-depth developing and deploying technical infrastructure to support large scale support programmes. The Innovation Factory project brings together a partnership based on the principles of the proven triple helix model of public, private and academic partnerships to address these issues and to deliver a coherent, integrated and effective support mechanism to address the innovation deficit among the target sector.

Each partner brings to the table knowledge, expertise, process, quality and experience that will enable the entrepreneur to short circuit his/her learning curve in developing an innovative business. In addition, the partners bring to the table a portfolio of additional support activities that can be made available to the client and access to a range of wider national and international networks, such as the 170+ EU Business Innovation Centre Network.

The third level colleges liaise closely with industry bodies in developing their curricula and additional support activities as well as providing support on an individual company basis. Both WestBIC and NORIBIC work closely with the colleges on either side of the border and this will lead again to potential development of the triple helix approach to innovation support.

iFactory uses experts from its academic partners to provide specialist Technical Mentor support to enable clients overcome technological barriers to growth, access specialist innovation mentors from BIC and CEB associates to provide tailored innovation support.

Quality of Cross-Border Cooperation

The Innovation Factory steering group will act as a cross-fertilisation medium for contacts, ideas and collaborations within and beyond the iFactory confines.

The Innovation Factory is being developed and delivered on a truly cross-border basis, utilising Europe's first Cross-Border Business and Innovation Centre (CBBIC) developed between the two EU BICs of NORIBIC and WESTBIC. It has been developed from best practice obtained from pilot projects delivered by the partners on a cross-border basis, implemented by the steering group derived from the trans-border managing committee of the CBBIC and staffed by those partners across the region on both sides of the border.

The Innovation Factory programme will be delivered along a cross-border basis, with participants drawn from across the region and expertise provided from the partners according to the needs of the participant regardless of location.

In devising both the initial pilot programmes, and this subsequent variation, the promoters consulted with their colleagues and partners in the Cross-Border Business Innovation Centre which contains representatives from the key agencies. CBBIC has,



since its inception, supported strategic cross-border cooperation for a more prosperous and sustainable region.

Building on this ethos, the promoters have reached out across the cross-border region to other bodies to help with the delivery, promotion and co-ordination of the Innovation Factory programme. Organisations including Invest NI, Enterprise Ireland, County Enterprise Boards, Institutes of Technology and Regional FE Colleges have all been consulted in the preparation of the programme and they will, through their strategic membership of the CBBIC, be central to the management and delivery of the programme.

The unique character of the Innovation Factory is that it will take an overview across the region from an innovation perspective. The use of Innovation Agents to work with companies on an ongoing basis will allow the collation of an in-depth knowledge, not only of the individual company, but also of the key business sectors and the region as a whole. The Innovation Agents will monitor the types of businesses, their activities and support requirements and examine these to identify potential joint business opportunities. The agents will collate basic facts on business sectors such as the number of companies, levels of skills and expertise available, knowledge of trading in international markets and resources and equipment available in the region. The pooling and analysis of this information will highlight key sectoral strengths and opportunities for improvement and will influence and inform the design of the i-Learning seminar series. Information will also be shared with key stakeholders and policy makers such as InterTradelreland and may be used to inform the support available for networks. This approach will allow businesses to capitalize on the shared opportunities of the region.

There exists the potential to develop from the Innovation Factory programme Collaborative Innovative Networks – CoINs. A CoIN has been defined as “a cyberteam of self-motivated people with a collective vision, enabled by the Web to collaborate in achieving a common goal by sharing ideas, information, and work.” Members of a CoIN collaborate and share knowledge directly with each other, rather than through hierarchies. They come together with a shared vision because they are intrinsically motivated to do so and seek to collaborate in some way to advance an idea. These networks are built around businesses that embrace innovation and wish to learn, experience, research, develop, collaborate and work together. The Innovation Agents will monitor the client base and identify potential CoINs for possible further development in regional networking programmes. INSPIRIA© will help facilitate embryonic groups through its forum-based application online. The use of the INSPIRIA portal to support the Innovation Factory provides an online platform for programme participants and delivery personnel to share and discuss opportunities for innovation. This approach will help create synergies and encourage businesses to capitalize on the shared opportunities of the region.

IDENTIFYING EXPECTED IMPACTS

The ultimate impact of the project will be the improvement in capability, sustainability and growth potential of the Micro and SME sector within the targeted geographic area.

While it is expected and intended that the primary impacts of the project will be economic, there will also be significant related social impacts arising from the programme activities intended to develop capacity and awareness among small



business owners and managers. The delivery mechanisms of the project will result in cooperation impacts related to the strengthening of relationships between the stakeholders of the 'triple helix partnership' and sharing of expertise between them. A solid 'product' of the project will be a tried and tested, and independently evaluated Innovation Continuum© model that can then be adopted by government agencies as a new modus for innovation support activities.

EXPECTED IMPACTS			
Social	Economic	Environmental	Cooperation
<p>Enhanced personal effectiveness and skills for business owners / managers</p> <p>Small business sector recognises and understands the role that innovation can play in business growth and development in a competitive environment</p> <p>Strengthened links between business and the FE sector / updated skills and access to new equipment, technologies and software for business / improved curriculum and skills for lecturers</p>	<p>New markets for client products and services</p> <p>Improved business performance by participating enterprises</p> <p>Improved capability, sustainability and growth of the Micro and SME sector within the targeted geographic area.</p> <p>Small and micro businesses become more competitive through increased efficiency</p> <p>A more varied, competitive and sustainable economic base for the region.</p>	Not Applicable	<p>Creation of synergies and identification of common solutions to business issues</p> <p>Synergies, business linkages and knowledge sharing among the client base, the delivery partners and the steering group members, e.g. Collaborative Innovation Networks (COINs) that can go forward for further support</p> <p>Co-operation in policy development</p> <p>Triple helix partnership developed according to European best practice principles that will be adept and flexible at developing, delivering and managing innovative support solutions to small business needs.</p> <p>Improved interaction of industry/academia and the public sector. This will help to support business linkage and knowledge sharing.</p>

DEVELOPING APPROPRIATE INDICATORS

Outputs	Results	Expected SOCIAL Impacts	SOCIAL Impact Indicators
<p>1 collaborative innovation network platform / A web-based support tool for small businesses</p> <p>6 iLearning seminars delivered (target 200 businesses attending)</p> <p>1 innovation conference (target 200 businesses attending)</p>	<p>40 business case studies on web-based support network</p> <p>Assisted businesses developing new products (Target 5%)</p> <p>Assisted businesses developing new processes (Target 15%)</p> <p>Assisted businesses will implement innovation improvements in product, service and/or business processes (Target 80%)</p>	<p>Enhanced personal effectiveness and skills for business owners / managers</p> <p>Small business sector recognises and understands the role that innovation can play in business growth and development in a competitive environment</p> <p>Strengthened links between business and the FE sector / updated skills and access to new equipment, technologies and software for business / improved curriculum</p>	<p>Participants reporting positive impacts such as new approaches to marketing or progression to further education or training</p> <p>Participating businesses that progress to seek support from other agencies.</p> <p>Business mentoring integrated into services offered by FE institutions</p>



<p>140 businesses assisted (analysed by new/existing and type of activity developing new and innovative products and processes, improving sales and marketing skills)</p> <p>Specialist Technical Mentor support for 84 businesses</p> <p>Specialist Innovation Mentoring</p> <p>Research & Development Support</p>	<p>Innovation action plans developed through the intervention of Innovation Agents (Target 100%)</p> <p>Assisted businesses explore new export markets (Target 10%)</p> <p>Assisted businesses participating in research and development support element of project (Target 60%)</p>	<p>Expected ECONOMIC Impacts</p> <p>New markets for client products and services</p> <p>Improved business performance by participating enterprises</p> <p>Improved capability, sustainability and growth of the Micro and SME sector within the targeted geographic area.</p> <p>Small and micro businesses become more competitive through increased efficiency</p> <p>A more varied, competitive and sustainable economic base for the region.</p>	<p>ECONOMIC Impact Indicators</p> <p>10% of businesses assisted reporting a 10% increase in turnover after 2 years of receiving support</p> <p>8.5% of businesses assisted reporting a 10% increase in turnover in export markets 2 years after receiving support</p> <p>10% of businesses assisted will be referred to Enterprise Ireland or Invest NI for further assistance (split by NI/Rol)</p> <p>£1million additional investment attracted after two years</p> <p>Sectoral breakdown of participating businesses reporting improved competitiveness and sustainability</p>
		<p>Expected ENVIRONMENTAL Impacts</p> <p>Not Applicable</p>	<p>ENVIRONMENTAL Impact Indicators</p> <p>Not Applicable</p>
		<p>Expected COOPERATION Impacts</p> <p>Creation of synergies and identification of common solutions to business issues</p> <p>Synergies, business linkages and knowledge sharing among the client base, the delivery partners and the steering group members, e.g. Collaborative Innovation Networks that can go forward for further support</p> <p>Co-operation in policy development</p> <p>Triple helix partnership developed according to European best practice principles that will be adept and flexible at developing, delivering and managing innovative support solutions to small business needs.</p> <p>Improved interaction of industry/academia and the public sector. This will help to support business linkage and knowledge sharing.</p>	<p>COOPERATION Impact Indicators</p> <p>Post-programme mainstreaming of Innovation Continuum© model</p> <p>Conversations between businesses using INSPIRIA©</p> <p>Case Study Interviews on INSPIRIA©</p> <p>I-Learning seminars sharing best practice</p> <p>Business mentoring integrated into services offered by FE institutions</p> <p>Increased use by business of Technical Support e.g. prototype development</p> <p>Number of referrals to other programmes and FE courses</p>



DESIGNING AN APPROPRIATE MONITORING AND EVALUATION FRAMEWORK

Outputs	Results
1 collaborative innovation network platform / A web-based support tool for small businesses 6 iLearning seminars delivered (target 200 businesses attending) 1 innovation conference (target 200 businesses attending) 140 businesses assisted (analysed by new/existing and type of activity developing new and innovative products and processes, improving sales and marketing skills) Specialist Technical Mentor support for 84 businesses Specialist Innovation Mentoring Research & Development Support	40 business case studies on web-based support network Assisted businesses developing new products (Target 5%) Assisted businesses developing new processes (Target 15%) Assisted businesses will implement innovation improvements in product, service and/or business processes (Target 80%) Innovation action plans developed through the intervention of Innovation Agents (Target 100%) Assisted businesses explore new export markets (Target 10%) Assisted businesses participating in research and development support element of project (Target 60%) New and innovative products and business processes.

Expected SOCIAL Impacts	SOCIAL Impact Indicators	Evidence
Enhanced personal effectiveness and skills for business owners / managers Small business sector recognises and understands the role that innovation can play in business growth and development in a competitive environment Strengthened links between business and the FE sector / updated skills and access to new equipment, technologies and software for business / improved curriculum and skills for lecturers	Participants reporting positive impacts such as new approaches to marketing or progression to further education or training Participating businesses that progress to seek support from other agencies. Business mentoring integrated into services offered by FE institutions	Case study interviews Project monitoring data: 'Distance Travelled' benchmarking at inception of programme, mid-term evaluation and final report on each company after 1 year's engagement (follow-up 1 year after end of programme for companies in 1st phase – not possible for later participants)
Expected ECONOMIC Impacts	ECONOMIC Impact Indicators	Evidence
New markets for client products and services Improved business performance by participating enterprises	10% of businesses assisted reporting a 10% increase in turnover after 2 years of receiving support	Case study interviews Project monitoring data: 'Distance Travelled' benchmarking at inception of programme,



Improved capability, sustainability and growth of the Micro and SME sector within the targeted geographic area.	8.5% of businesses assisted report a 10% increase in turnover in export markets 2 years after receiving support	Mid-term evaluation and final report on each company after 1 year's engagement (follow-up 1 year after end of programme for companies in 1st phase – not possible for later participants)
Small and micro businesses become more competitive through increased efficiency	10% of businesses assisted will be referred to Enterprise Ireland or Invest NI for further assistance (split by NI/Rol)	
A more varied, competitive and sustainable economic base for the region.	£1million additional investment attracted after two years	
	Sectoral breakdown of participating businesses reporting improved competitiveness and sustainability	
Expected ENVIRONMENTAL Impacts	ENVIRONMENTAL Impact Indicators	Evidence
	Not Applicable	
Expected COOPERATION Impacts	COOPERATION Impact Indicators	Evidence
Creation of synergies and identification of common solutions to business issues	Post-programme mainstreaming of Innovation Continuum© model	Case study interviews
Synergies, business linkages and knowledge sharing among the client base, the delivery partners and the steering group members, e.g. Collaborative Innovation Networks that can go forward for further support	Conversations between businesses using INSPIRIA®	Project monitoring data
Co-operation in policy development	Case Study Interviews on INSPIRIA®	Number of Technical Support Contracts issued
Triple helix partnership developed according to European best practice principles that will be adept and flexible at developing, delivering and managing innovative support solutions to small business needs.	I-Learning seminars sharing best practice	
Improved interaction of industry/academia and the public sector. This will help to support business linkage and knowledge sharing.	Business mentoring integrated into services offered by FE institutions	
	Increased use by business of Technical Support e.g. prototype development	
	Number of referrals to other programmes and FE courses	

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CASE STUDY 3: Controlling Priority Invasive Species and Restoring Native Biodiversity

This project aims to control invasive plants, such as the giant hogweed, which are taking over river banks, limiting their use for angling and recreation, destroying ecosystems, and causing health problems for those who come into contact with the aggressive plants. Problems with invasive riparian weed species in Ireland have been increasing since the 1970s. The overall aim of the project is to demonstrate that a prioritised suite of Invasive Alien Species (IAS) plants – Giant hogweed, Himalayan balsam, *Rhododendron ponticum* and Japanese knotweed – can be controlled or eradicated strategically on a catchment scale. These four species are particularly significant in threatening biodiversity in Ireland and western Scotland. All four were originally introduced as ornamentals and now threaten the riverside (and broader) habitat due to their ability to rapidly and effectively exploit these habitats, achieving immense population sizes in a single growing season.

The overall objective is to contribute to the halting of biodiversity loss in Ireland, Western Scotland and Northern Ireland by preventing further impacts on native biodiversity from high impact riparian invasive species through development and demonstration of effective control methods, a programme of stakeholder engagement and awareness-raising, and policy development and dissemination.

This will be achieved by developing best control techniques in cross-border collaboration with Inland Fisheries Ireland in Ireland and the Rivers and Fisheries Trusts of Scotland. The project has been developed to address the key environmental priority of biodiversity and also meets the objectives of the water priority, responding to the requirements of the Water Framework Directive, the River Basin Management Plans required by this Directive, and the Habitats Directive. It aims to contribute to sustainable development in the cross-border regions by promoting low-carbon tourism and green infrastructure and will improve health by removing invasive non-native plants from publicly accessible areas.

The project will control 'invasive species' in river catchments in border regions of Ireland and Scotland. The project is focused on the River Faughan in Co. Derry/Londonderry, the Newry Canal/Clanrye River, and the Rive Dee/River Glyde in Co. Louth, alongside twelve catchments within Scotland: Ayrshire (River Garnock, Irvine, Ayr and Girvan); Argyll (The Awe); Galloway (Water of App, River Luce, River Bladnoch, Water of Fleet, Kirkcudbrightshire Dee, River Urr); Tweed (River Tweed).

The project will develop new approaches to controlling invasive species and restoring river catchments. By combining the latest scientific research with action on the ground, and by engaging with local communities to train people in how to identify and control invasive plants, further environmental, economic and social damage can be prevented.

The project runs from 1st September 2010 until 31st December 2014 and is part financed by the European Union's European Regional Development Fund through the INTERREG IVA Cross-border Programme, managed by the Special EU Programmes Body.



PROBLEM IDENTIFICATION

Invasive species are the second biggest cause of biodiversity loss worldwide. Their economic impact in Europe has been estimated at over €12 billion per year, and they cost around £7.5 million to control each year in waterways in Britain alone. These species are plants that have been introduced to a place where they do not naturally occur. They can be bigger, faster growing or more aggressive than native plants, therefore upsetting the balance of the ecosystem. They may also have fewer natural predators to control numbers, meaning that native plants are often unable to compete and the invasive species quickly take over. As well as damaging natural biodiversity, invasive species can cause serious problems for local communities. They take over river banks, preventing their use for angling and recreation.

The impacts from Invasive Alien Species (IAS) are growing across Ireland and Scotland and available evidence suggests that climate change will exacerbate the problem. Introduced species and genetic material have a major impact on biodiversity. When non-native species become invasive they can transform ecosystems, and threaten native and endangered species. Terrestrial and aquatic habitats can be negatively affected, resulting in grave damage to conservation and economic interests, such as agriculture, forestry, tourism and civil infrastructure.

In all three regions, manufacturing industries are in decline; therefore diversification of the economy including development of tourism and ecotourism is crucial in all three regions. The quality of the environment will be a key factor in generating income and employment from increased tourism and recreational opportunities. A key factor in the success of ecotourism is a natural, functional and aesthetically pleasing environment. The Atlantic regions of Ireland and Scotland are famed for their wild landscapes whose ecosystems and habitats support a number of ecotourism activities. One of the most economically important activities in these areas is sport fishing for wild brown trout, sea trout and salmon. The success of the sport fishery industry is, to a large extent, dependent on the health of the wider environment and specifically the abundance of the target angling species which, in turn, are both reliant on the health of the rivers and lochs/loughs that support them.

In recent years the encroachment of invasive non-native species threatens to alter these aquatic habitats and ecosystems as well as the aesthetic value of the landscapes. The dense coverage produced by these weeds further threatens to impede the safe and free access of anglers (and others) to the river bank and the ability to fish without obstruction to casting or landing fish. The amenity value of the region's riverbanks for use by local people as well as the tourism industry is also detrimentally affected. For example, angling is a social activity that costs relatively little and provides a challenging and healthy activity (outlet) to enthusiasts in general but specifically to those who may be financially compromised (particularly in these recessionary times). It is also a sport that attracts (and distracts from other less worthwhile pursuits) those of the younger generation, particularly during the long summer months. The unavailability of this resource (because of the presence of invasive species) does represent a serious loss to the public at large, but even more so to those that are socially disadvantaged.

All four species are extremely detrimental to the ecology of riparian corridors. The massive plants out-shade, outgrow and out-compete smaller native species, which



can result in their exclusion from the infested habitat. Seasonal die back of three of these invasive species in winter (Rhododendron is a shrub) leaves extensive areas of riverbank bare, reflecting the removal of the indigenous herbaceous flora that normally binds the bankside soil, and more susceptible to erosion during winter rains and spring floods. As such, these plants represent a significant threat to the native riparian habitat, acting to negatively alter the riparian ecology as a whole.

In some cases public, animal and plant health may also be threatened. For example, Giant Hogweed contains toxic sap that, upon human contact (particularly in direct sunlight and in damp conditions), results in the development of painful blisters. Giant Hogweed is one of the main causes of phytophotodermatitis in the United Kingdom and United States. Giant Hogweed is considered to be a serious and significant danger to public health.

There is a requirement under international and national legislation to tackle invasive species. The Convention on Biological Diversity (CBD), to which the Irish and UK Governments are contracting parties, requires them:

- as far as is possible and appropriate, 'to prevent the introduction of, control or eradicate those alien species which threaten ecosystems, habitats or species';
- develop or maintain necessary legislation and/or other regulatory provisions for the protection of threatened species or populations;
- where a significant adverse effect on biological diversity has been determined....regulate or manage the relevant process and categories of activities; and
- 'promote and encourage understanding of the importance of, and the measures required for, the conservation of biological diversity, as well as its propagation through media, and the inclusions of these topics in education programmes...'.

Since the publication of the European Strategy, the increasing impacts of invasive species in the aquatic environment are also of growing concern in the context of the Water Framework Directive (WFD). The WFD requires member states to achieve at least good status by 2015, aiming at maintaining high status and preventing any deterioration in existing status of water bodies. The overall status of each water body is judged using both ecological classification and chemical classification systems. Biological status includes the structure and functioning of aquatic ecosystems by considering phytoplankton, macrophytes, benthic invertebrates and fish, all of which can be impacted by invasive species.



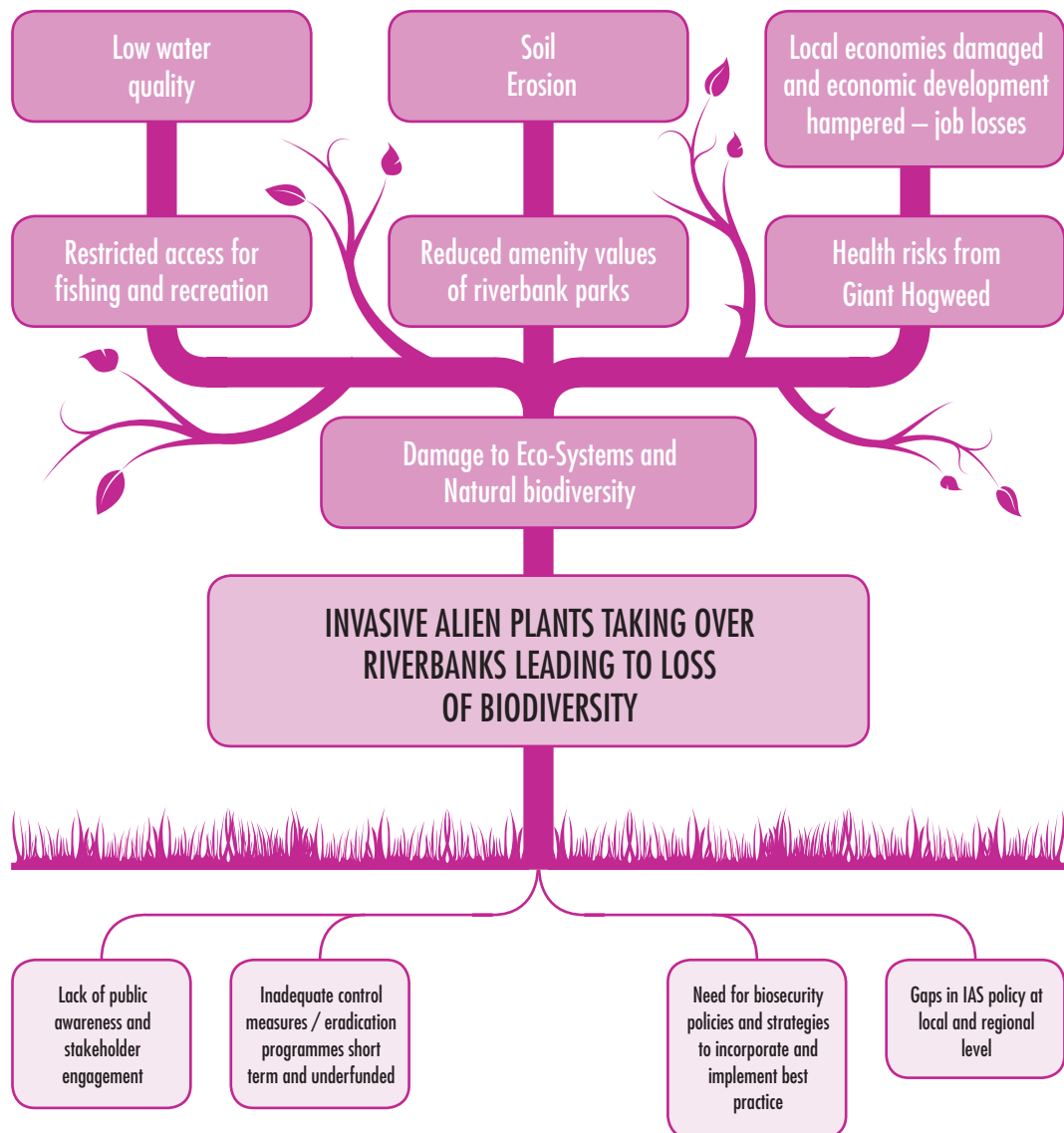
The need to tackle the issues concerning invasive species in Ireland was also highlighted in the 2006 report, *Invasive species in Ireland* by Quercus, Queen's University Belfast, to the Environment & Heritage Service and National Parks & Wildlife Service. This report recommended ten key actions to reduce the risks of invasions, help control and manage new and established invasive species, monitor impacts, raise public awareness, improve legislation and address international obligations. These key recommendations were subsequently taken forward in 2007-2009 by the all-island Invasive Species Ireland project. The all-island Invasive Species Ireland project (www.invasivespeciesireland.com) carried out an extensive programme of national research and stakeholder engagement in Ireland. One of the major needs identified was to put plans into action, and make a concerted effort to carry out large-scale control and eradication of damaging non-native species.

Similarly, RAFTS has evaluated the situation in Scotland following the principles outlined in the Invasive Non-Native Species Framework Strategy for Great Britain (DEFRA, Welsh Assembly and Scottish Executive 2007) i.e. raising awareness and increased vigilance; a greater sense of shared responsibility and a framework of mitigation and control methods. RAFTS considers that Biosecurity plans are paramount to protecting the integrity of Scotland's biodiversity and habitats.

Because of the extreme invasiveness of these four species it is necessary that urgent and coordinated action to control their proliferation and spread is implemented. Effective control must be carried out at the catchment scale, reflecting the capacity of each of these aggressive invasives to systematically infest river corridors. The potential for success using this approach has been demonstrated by previous best practice. The River Tweed experience (ref: *The long-term control of Giant Hogweed and Japanese Knotweed: A case study of the Tweed and practical steps to establishing and delivering a successful, long-term control strategy*) and River Mulkear study (reported by Joe Caffrey, CFB, in various publications) showed that it is essential to take the viewpoint of the whole river catchment.

The catchments selected for this project have been identified because of the impacts of these invasive species on both the biodiversity of the river systems and on the amenity value of the rivers and waterways.

The project proposed here is based on the needs identified by this extensive process of stakeholder engagement, intergovernmental consultation and research collaboration. This bottom-up approach also responds to national needs, particularly the commitment under the CBD to halt the loss of biodiversity by 2010.



○ CAUSES ● CORE PROBLEMS ● EFFECTS



DEFINING OBJECTIVES

GENERAL OBJECTIVES:

To contribute to the halting of biodiversity loss in Ireland, western Scotland and Northern Ireland by preventing further impacts on native biodiversity from high impact riparian invasive species through development and demonstration of effective control methods, a programme of stakeholder engagement and awareness-raising, and policy development and dissemination.

SPECIFIC OBJECTIVES:

A strategic and co-ordinated programme of action to assess, control or prevent the spread of new invasions and eradicate populations of existing non-native plant species (IAS) in selected catchments in Ireland, Northern Ireland and Western Scotland:

- a) Survey, control and attempt eradication of four high impact riparian invasive species, using management best practice, in three demonstration catchments in the border regions of Ireland and twelve catchments in western Scotland and the Tweed catchment in eastern Scotland;
- b) Prevent new invasions, reinvasion and further spread of the four high impact riparian invasive species by implementing biosecurity measures in all catchments;
- c) Demonstrate restoration of critical ecosystem services such as soil nutrient cycling and soil carbon sequestration, following clearance of invasive non-native species;
- d) Carry out a cost benefit analysis of invasive species management in the project area.

IDENTIFYING AND CHOOSING CROSS-BORDER POLICY APPROACHES

The project is new and innovative in the combination of activities it plans to deliver. The project will demonstrate eradication and control methods for IAS in tandem with remediation of natural communities. It involves concrete conservation actions coupled with an inclusive stakeholder engagement programme aimed at preventing reinvasion. It takes a multidisciplinary and integrated approach to tackling IAS with activities focused at the environmental, economic and social dimensions of the problem. The project integrates practical management, stakeholder engagement, economic analysis and scientific research to inform policy.

This is also the first large scale project to attempt to eradicate and control IAS on a catchment scale. It builds on the platform provided by earlier research in Ireland and Scotland while being innovative in its approach and involving Northern Irish, Irish and



Scottish partners working together to share, develop and transfer knowledge and best practice amongst themselves and a wide range of stakeholders.

The project will develop both local and national level capacity for the prevention, control and eradication of IAS through the training of local stakeholders in control techniques, surveillance, detection and reporting and monitoring of the target species populations. This will be essential to the continued sustainability of the project's activities.

Since earlier research carried out by project partners on giant hogweed control in the River Mulkear catchment, a great deal more information has become available regarding the specific factors that favour the growth and spread of these invasive species. Additionally, more work has been conducted that elucidate control methodologies and pathways, much of this in Scotland. These added elements will steer the project. The previous work in Ireland was conducted over a 4 year term and terminated due to a lack of funding. This was insufficient to permit adequate assessment to be made of the success of the treatments and to ensure that no further sources of spread remained. The proposed project will also provide scope for detailed investigations into the factors that provide these species with such a competitive advantage over our indigenous species, as well as ensuring that the treated banksides are re-colonised with suitable native plant species. To date, very little research has been conducted on the control and eradication of Japanese knotweed in river catchments.

The project will further test and develop good management practice for the control and eradication of IAS riparian plant species in 15 catchments in Ireland, Northern Ireland and western Scotland. This will include the efficacy and cost effectiveness of differing control strategies and the development and testing of local detection, surveillance and monitoring protocols.

Two gaps in infrastructure have been identified that will be addressed by the project, namely, physical infrastructure in the form of green infrastructure and the policy infrastructure.

Green Infrastructure is a network of high quality green spaces and other environmental features. It should be designed and managed as a multifunctional resource capable of delivering a wide range of environmental and quality of life benefits for local communities. Green Infrastructure includes parks, open spaces, playing fields, woodlands, allotments and private gardens. Green Infrastructure can provide many social, economic and environmental benefits close to where people live and work including:

- Places for outdoor relaxation and play
- Space and habitat for wildlife with access to nature for people
- Climate change adaptation - for example flood alleviation and cooling urban heat islands.
- Environmental education



- Local food production - in allotments, gardens and through agriculture
- Improved health and well-being – lowering stress levels and providing opportunities for exercise

River corridors are important components of green infrastructure. Not only do they provide ecosystem goods and services – e.g. flood control and fish spawning grounds – but they also have aesthetic and recreational value. The project aims to restore healthy and functioning river banks along with access to the river for anglers, bird watchers, walkers, etc.

In recent years policy relating to IAS and biodiversity has been developed at a national level. However there are gaps at a local and regional level. Some Local Biodiversity Action Plans address IAS but many are unable to do so on a catchment scale. The development of biosecurity plans will address this gap in the policy infrastructure.

In addition to contributing to the development of more effective control measures that can be applied elsewhere in similar circumstances, the project will also go beyond the usual environmental focus of much IAS control to deliver social and economic benefits through engagement with marginalized communities in the project area and development of green infrastructure and ecosystem services. The project is also taking an innovative approach by integrating the outputs of the activities into the development of Biosecurity Plans through knowledge exchange between the partners and sharing of best practice.

IDENTIFIED PROBLEM	CAUSES	POLICY APPROACHES
INVASIVE ALIEN PLANTS TAKING OVER RIVERBANKS LEADING TO LOSS OF BIODIVERSITY	<p>Lack of public awareness and stakeholder engagement</p> <p>Inadequate control measures / eradication programmes short term and underfunded</p> <p>Need for biosecurity policies and strategies to incorporate and implement best practice</p> <p>Gaps in IAS policy at local and regional level</p>	<p>Awareness-raising / capacity building / stakeholder engagement</p> <p>Development and demonstration of effective control methods</p> <p>Policy development / development of local biosecurity plans</p> <p>Research</p> <p>Cost-benefit analysis</p>

IDENTIFYING AND CHOOSING APPROPRIATE POLICY INSTRUMENTS

The project will develop local capacity and skill sets through training and engagement activities and this, along with a clear commitment to disseminate and promote good practice and lessons from the project by a range of activities and measures, will ensure an identifiable and clear project legacy to allow actions and objectives to be continued beyond the current proposal.



The project's objectives and activities cover the three key elements of the CBD, Invasive Species Ireland and GB IAS Strategy: namely prevention, control and management and capacity building. This ensures that the project will support the delivery of these and other policy objectives; most notably those of the Water Framework Directive where invasive non-native species management and control are recognised in current draft River Basin Management Plans for each River Basin District. They will also contribute to achieving the objectives of the Irish National Biodiversity Plan and the Northern Irish Biodiversity Strategy.

A major gap in knowledge in Ireland, Northern Ireland and Scotland is the lack of quantitative estimates of the economic impacts of IAS and benefits of investing in prevention and control programmes. This project offers a unique opportunity to carry out a cost benefit analysis of IAS management in the different catchments, in particular quantifying benefits gained from removal of IAS as opposed to undertaking no preventative or management actions.

A number of key activities will be undertaken to achieve the four specific objectives outlined above.

Objective 1: Survey, control and attempted eradication of four high impact riparian invasive species, using management best practice, in three demonstration catchments in the border regions of Ireland and twelve catchments in western Scotland and the Tweed catchment in eastern Scotland.

- Determine or confirm distribution of target species in all catchments, generate distribution maps and make public (within 2 years)
- Training of local project implementers
- Implement a five-year control programme in all catchments
- Monitor and evaluate the efficacy and impact of control programmes in all catchments
- Demonstrate restoration of riparian plant biodiversity by plant community analysis in selected catchments over the five years of the project.
- Develop, update and make publicly available Best Practice Guidelines and case studies for invasive species control and restoration of biodiversity based on the evaluation of the control measures implemented through the project.

Objective 2: Prevent new invasions, reinvasion and further spread of the four high impact riparian invasive species by implementing biosecurity measures in all catchments

- Engage key stakeholders in an education and awareness programme with events taking place over the lifetime of the project. This awareness programme would include, but not be limited to, activities which:



- Raise awareness of the impacts of IAS and how invasions can be prevented and managed with targeted materials produced for different stakeholder groups.
 - Raise awareness of the benefits of IAS management: in particular the improved amenity value and recreational opportunities of the river corridor resources.
 - Promote the restored river corridors as a central part of green infrastructure in the area highlighting the role of such infrastructure in improved health and well-being in local communities.
 - Promote and highlight the provision of increased tourism opportunities, particularly for low-carbon tourism and sustainable eco-tourism activities which rely upon the quality of the environment for their maintenance and development e.g. angling, walking, bird watching.
 - Encourage and stimulate collaboration with relevant other organisations e.g. biodiversity officers, community groups and associations to use the project as an educational tool to help the public better understand the value of native biodiversity, as part of a broad outreach programme; and
 - Disseminate and promote the use of management best practice and project case studies to build capacity in IAS management in the project area and beyond.
- Develop biosecurity plans for the three Irish catchments using the experiences of the RAFTS Invasive Species and Biosecurity Programme.
 - Pilot and demonstrate local surveillance, detection, reporting and rapid response mechanisms in selected catchments. This would include capacity development at the local level.
 - Production and delivery of an annual project communications plan. This would be integrated with and support the awareness raising and stakeholder engagement programme.

Objective 3: Demonstrate restoration of critical ecosystem services such as soil nutrient cycling and soil carbon sequestration, two services considered to be key supporting services, following clearance of invasive non-native riparian plants.

- Measurement of total soil carbon and nitrogen concentration
- Measurement of soil nitrogen mineralization rates

Objective 4: Carry out a cost benefit analysis of IAS management in the project area

- Measurement of the costs of different options for managing IAS
- Measurement of the benefits of different options for managing IAS
- Production of a cost benefit analysis and policy recommendations on management options for targeting IAS



IDENTIFIED PROBLEM	POLICY APPROACH	POLICY INSTRUMENTS/ ACTIONS	PROPORTIONALITY
INVASIVE ALIEN PLANTS TAKING OVER RIVERBANKS LEADING TO LOSS OF BIODIVERSITY	<p>Lack of public awareness and stakeholder engagement</p> <p>Inadequate control measures / eradication programmes short term and underfunded</p> <p>Need for biosecurity policies and strategies to incorporate and implement best practice</p> <p>Gaps in IAS policy at local and regional level</p>	<p>Awareness-raising / capacity building / stakeholder engagement</p> <p>Development and demonstration of effective control methods</p> <p>Policy development / development of local biosecurity plans</p> <p>Research</p> <p>Cost-benefit analysis</p>	<p>Appropriate level of intervention</p> <ul style="list-style-type: none"> • Administrative/Legal barriers <p>Right actors involved</p> <ul style="list-style-type: none"> • Competencies • Resources <p>Quality of Co-operation</p> <ul style="list-style-type: none"> • Degrees of Institutionalisation • Levels of Cooperation

Proportionality

Appropriate Level of Intervention

In Ireland, practical management of introduced species is challenging because of the cross-border implications of controlling introductions and spread. The National Biodiversity Plan published in 2002 is the main means by which Ireland is meeting its obligations under the CBD and EU Strategy. The National Biodiversity Plan requires Ireland to prepare strategies, *in consultation with Northern Ireland*, to control introduced species and to prevent, or minimise, future (accidental or deliberate) introduction of alien species, which might threaten biodiversity. The strategies prepared as part of this proposal will contribute to meeting that requirement.

The needs identified here are shared across the border areas of Northern Ireland, Republic of Ireland and western Scotland. These areas need to develop a joint response to the problems caused at local and national levels by Invasive Alien Species in riparian habitats. These problems relate to (1) impacts on biodiversity, (2) economic impacts and (3) impacts on human health. The requirement to develop a joint response is based on the sharing of best practice between western Scotland, where there is an ongoing catchment-scale project aimed at eradicating Invasive Alien Species and a biosecurity programme to prevent their re-introduction, and the border regions of Ireland where there are similar problems of Invasive Alien Species that have not yet been tackled at the catchment scale. The beneficiaries of this co-operation are the users of the rivers and the public who will regain access to green infrastructure.

The need to tackle the issues concerning invasive species in Ireland was highlighted in the 2006 report, *Invasive species in Ireland* by Quercus, Queen's University Belfast, to the Environment & Heritage Service and National Parks & Wildlife Service. This report recommended that barriers to a rapid and decisive response to new invasions should be minimized by high level cross-jurisdictional and inter-departmental support for and funding of contingency plans. Further, it recommended that the two jurisdictions should continue to work through international mechanisms to improve the regulatory and policy framework for dealing with invasive non-native species and that a cross-border



specialist group should establish a dedicated agency to lead on invasive species issues.

Actors, Competencies and Resources

The partnership consists of two academic partners, one state agency and five Fisheries groups. The lead partner is Queen's University Belfast. Project partners are: Rivers and Fisheries Trusts Scotland (RAFTS); Ayrshire Rivers Trust; Galloway Fisheries Trust; Argyll Fisheries Trust; Tweed Forum; Inland Fisheries Ireland (IFI); and School of Environmental Sciences, University of Ulster.

The partnership combines unrivalled experience and expertise on the ecology, management and policy implications of invasive species in riparian environments, as these issues relate specifically to cross-border regions of Ireland. Specific strengths include:

- The core project team responsible for the 'Invasive Species in Ireland' project which can 'hit the ground running', while ensuring that synergy between the projects is maximised.
- Leading Irish invasive species authorities with extensive expertise on the impacts and control of aquatic invasive species.
- Experience of policy development, preparation of guidance relating to invasive species management and dissemination of such guidance.
- Experience in developing GIS databases and mapping of invasive species in Ireland.
- Experience in managing and delivering large multi-disciplinary projects and the management of such project teams.
- A demonstrated track record in the delivery of major regional and/or national projects within timescale and budget.

The Irish elements of partnership initially became established as a group working towards the aims and delivery of Invasive Species Ireland. They have worked together on various projects for the last five years. Recently, Dr Dario Fornara, a plant community ecologist with interests in ecosystem services who was working at the University of Ulster has become involved. Invasive Species Ireland has liaised closely with the GB non-native Species Secretariat, as have RAFTS.

Queen's University Belfast has considerable experience in delivering and leading on EU-funded projects. The School of Biological Sciences has been involved in a wide range of EU projects and has both experience and infrastructure to support this project. Facilities in the School of Biological Sciences include all laboratory infrastructure required for this project. Purpose-built fully equipped laboratories in the Ecology and Evolutionary Biology research cluster include dedicated labs for processing field samples, preparation of samples for stable isotope analysis, and data analyses.



Several controlled temperature rooms are available, and there are large walk-in freezers for sample storage. The majority of the necessary field equipment is also held by the School. Within the partnership, QUB Biology has taken the lead on two previous projects involving the Inland Fisheries Ireland, the all-island Invasive Species Ireland project and the EPA-funded STRIVE Aquatic Invasive Species in Ireland project.

Christine Maggs (lead in QUB) was previously responsible for co-ordination of horizontal activities concerning genetics for two EU projects: PALMARIA (5 partners) and ALIENS (6 partners), and co-ordinator of two work packages in each project. She is a partner in UK Marine Aliens project co-ordinated by Scottish Association of Marine Science. Recently she delivered on a NERC-funded Knowledge Transfer Partnership with RPS Consultants on a NS-SHARE project concerned with implementation of the Water Framework Directive in Ireland.

The CIRB partnership will engage many more organizations at a local level through a partnership approach guided by the principles of participation, openness, shared ownership, representation and mutual respect. The project steering group comprises local authorities, public authorities and other interests and the implementation of the project will take place in partnership with these organizations and through excellent engagement of local social and economic actors in the project area. The Steering Group will meet annually and feed into and approve the annual work plan. They will also receive progress reports including a summary of all procurement and contracted services.

The Management Committee comprises of the QUB project manager and the team leaders for QUB, IFI, UU and RAFTS. The Management Committee is responsible for overseeing the progress of the project and the timely achievement of the deliverables and will meet quarterly. There will also be close liaison with the All-island Invasive Species Group.

The Northern Ireland and Ireland partners will be jointly financed by the ERDF. The Scottish partners, RAFTS have funding from additional partners including Esmée Fairbairn Foundation and Scottish Natural Heritage.

Quality of cross-border cooperation

The proposal has been jointly developed by the project partners but builds on a three year programme of joint work between QUB and IFI which has delivered several projects and has involved stakeholders in the Border Region such as local authorities, environmental NGOs and community groups. The approach taken to managing invasive species in Ireland is an all-island one and there has been a track record of collaboration which identified the need for this project.

The Northern Ireland and Republic of Ireland partners will be undertaking joint delivery of objectives 1 and 2 of the project. As such this will involve joint meetings, exchanges of staff and bringing partners together for site visits, workshops and on the ground delivery of the activities. This team will work together to jointly deliver the objectives and staff will spend time in all three catchments in Ireland and at the partner organizations. In particular the QUB technical staff will work in collaboration with the



IFI staff. Staff from the Northern Ireland and Ireland partners will also engage with the staff based in Scotland and this will enable linkage to and knowledge transfer with a wide range of projects.

The project partners will be exploring any potential collaboration opportunities with the 'Geo-environmental Survey of the North of Ireland' and DOLMANT. The project team have established working relationships with many of the EBR and ICBAN member councils, some of which are represented on the project Steering Group; this will allow for the identification of synergies between projects and opportunities for collaboration. The project team have established links with the two other major invasive species projects on the island of Ireland, namely, Invasive Species Ireland (ISI) and CAISIE (Controlling aquatic invasive species and restoring native biodiversity) and a wide range of smaller scale projects being undertaken across the project area. Synergies and opportunities for collaborative working with ISI and CAISIE will be identified and the websites of all the projects will also be linked.

EXPECTED IMPACTS			
Social	Economic	Environmental	Cooperation
Increased access to safe places for outdoor recreation and play – improved health and well-being / Enhanced quality of life	Enhanced provision of ecosystem goods and services (fisheries and amenity value of rivers and riverbanks) supporting sustainable tourism	Increased biodiversity among native plants in 15 demonstration catchment areas	Development of Biosecurity Plans through knowledge exchange between the partners and sharing of best practice
Increased public awareness and support for the prevention and control of IAS	Development of the unique natural assets and natural resources of the region to support sustainable development.	Regeneration of riverbanks / better management and conservation of river catchments	Evidence base for development of an all-island IAS strategy and implementation of EU Strategy on Invasive Alien Species
Elimination of major human health hazard (Giant Hogweed)	Encouraging entrepreneurship, in particular the development of SMEs, tourism, culture and programme trade; harnessing the potential for sustainable economic development.	Improved environment and public access in areas currently impacted by IAS	National strategies linked to coordinated local action on IAS
	Reduced likelihood of future economically damaging invasions	Restoration of critical ecosystem services such as soil nutrient cycling and soil carbon sequestration, following clearance of invasive non-native species demonstrated	
	Economic benefits of IAS management demonstrated	Biosecurity measures implemented in all catchments	
		New invasions, reinvasion and further spread of the four high impact riparian invasive species prevented	



DEVELOPING APPROPRIATE INDICATORS

Outputs	Results	Expected SOCIAL Impacts	SOCIAL Impact Indicators
<p>1 environmental management project</p> <p>Biosecurity measures implemented in all catchment areas and two biosecurity plans developed (1 each in NI and Rol)</p> <p>Biodiversity plans for each participating Scottish Fishery Trust area</p> <p>15 demonstration catchment areas surveyed, controlled and eradication attempted</p> <p>Awareness programmes delivered through:</p> <ul style="list-style-type: none"> 3 training and awareness events with 60 participants (20 at each) 4 annual events with 400 attendees (100 at each) 20 local meetings with 400 attendees (20 at each) <p>Cost benefit analysis of project carried out.</p> <p>2 technical reports and 2 non-technical reports; of which 1 each on results</p> <p>1 each on cost-benefit analysis</p> <p>Data in relation to carbon and nitrogen concentration in soil collected and analysed (results of demonstration sites)</p> <p>Best Practice Guidelines and Case Studies for invasive species control and restoration of biodiversity developed, updated and made publicly available</p>	<p>Increased capacity, knowledge base and management to implement cost effective measures for the control and eradication of IAS</p> <p>4 invasive plant species (as identified in UK/Ireland response to Water Framework Directive) removed or substantially reduced in the 15 demonstration catchment areas</p> <p>Economic benefits of IAS management quantified – major knowledge gap addressed</p> <p>Removal of major human health hazard (Giant Hogweed) from selected river corridors and adjacent land</p> <p>Better opportunities for developing sustainable low-carbon tourist industry (e.g. publicly accessible sites for fishing, walking, bird watching) based on pristine environments on the island of Ireland and in western Scotland</p>	<p>Increased access to safe places for outdoor recreation and play – improved health and well-being / Enhanced quality of life</p> <p>Increased public awareness and support for the prevention and control of IAS</p> <p>Elimination of major human health hazard (Giant Hogweed)</p>	<p>Actions and objectives continued beyond project</p> <p>Involvement of local population in project events and activities (breakdown by target group)</p> <p>Public events and initiatives outside the project that incorporate IAS information</p> <p>Area of riverbanks previously colonised by IAS cleared</p>
		Expected ECONOMIC Impacts	ECONOMIC Impact Indicators
		<p>Enhanced provision of ecosystem goods and services (fisheries and amenity value of rivers and riverbanks) supporting sustainable tourism</p> <p>Development of the unique natural assets and natural resources of the region to support sustainable development. Encouraging entrepreneurship, in particular the development of SMEs, tourism, culture and programme trade; harnessing the potential for sustainable economic development.</p> <p>Reduced likelihood of future economically damaging invasions</p> <p>Economic benefits of IAS management demonstrated</p>	<p>Increased tourism as a result of enhanced access and attractiveness of riparian areas</p> <p>12 part-time jobs in river management for duration of project</p> <p>Local / public authorities prioritise and increase expenditure for management and eradication of IAS</p>
		Expected ENVIRONMENTAL Impacts	ENVIRONMENTAL Impact Indicators
		<p>Increased biodiversity among native plants in 15 demonstration catchment areas</p> <p>Regeneration of riverbanks / better management and conservation of river catchments</p>	<p>Contribution by project to targets for Local Biodiversity Action Plans</p> <p>Area of riverbanks previously colonised by IAS cleared / Reduction of areas colonised by IAS</p>



<p>Baseline distribution maps of the target IAS in the project area</p> <p>Inputs to the Irish National Invasive Species Database and GB IAS Central Data Repository.</p>		Expected ENVIRONMENTAL Impacts	ENVIRONMENTAL Impact Indicators
		Improved environment and public access in areas currently impacted by IAS	Programme actions contribute to meeting objectives of River Basin Management Plans
		Restoration of critical ecosystem services such as soil nutrient cycling and soil carbon sequestration, following clearance of invasive non-native species demonstrated	Biosecurity measures implemented in all catchments
		New invasions, reinvasion and further spread of the four high impact riparian invasive species prevented	Biodiversity change measured by range of indices
		Expected COOPERATION Impacts	COOPERATION Impact Indicators
		Development of Biosecurity Plans through knowledge exchange between the partners and sharing of best practice	Increased number of fishing stands available in project areas
		Strengthened evidence base for development of IAS strategies in both jurisdictions and implementation of EU Strategy on Invasive Alien Species	Research findings and recommendations are reflected in biodiversity plans and strategies (Outside project time frame)
		National strategies linked to coordinated local action on IAS	Key stakeholders involved in bio-security surveillance networks (breakdown by sector)
		Key stakeholder engagement and collaborative working on IAS prevention and management	Biodiversity plans and surveillance programmes implemented in Irish catchment areas
		Project contributes to implementation of local biodiversity plans	Invasive Species strategies harmonised / Biodiversity plans implemented



DESIGNING AN APPROPRIATE MONITORING AND EVALUATION FRAMEWORK

Outputs	Results	Data Collection	Analysis
<p>1 environmental management project</p> <p>Biosecurity measures implemented in all catchment areas and two biosecurity plans developed (1 each in NI and RoI)</p> <p>Biodiversity plans for each participating Scottish Fishery Trust area</p> <p>15 demonstration catchment areas surveyed, controlled and eradication attempted</p> <p>Awareness programmes delivered through:</p> <p>3 training and awareness events with 60 participants (20 at each)</p> <p>4 annual events with 400 attendees (100 at each)</p> <p>20 local meetings with 400 attendees (20 at each)</p> <p>Cost benefit analysis of project carried out.</p> <p>2 technical reports and 2 non-technical reports; of which 1 each on results 1 each on cost-benefit analysis</p> <p>Data in relation to carbon and nitrogen concentration in soil collected and analysed (results of demonstration sites)</p> <p>Best Practice Guidelines and Case Studies for invasive species control and restoration of biodiversity developed, updated and made publicly available</p> <p>Baseline distribution maps of the target IAS in the project area</p> <p>Inputs to the Irish National Invasive Species Database and GB IAS Central Data Repository.</p>	<p>Increased capacity, knowledge base and management to implement cost effective measures for the control and eradication of IAS</p> <p>4 invasive plant species (as identified in UK/Ireland response to Water Framework Directive) removed or substantially reduced in the 15 demonstration catchment areas</p> <p>Economic benefits of IAS management quantified – major knowledge gap addressed</p> <p>Removal of major human health hazard (Giant Hogweed) from selected river corridors and adjacent land</p> <p>Better opportunities for developing sustainable low-carbon tourist industry (e.g. publicly accessible sites for fishing, walking, bird watching) based on pristine environments on the island of Ireland and in western Scotland</p>	Programme Manager	Programme Manager

Expected SOCIAL Impacts	SOCIAL Impact Indicators	Evidence
<p>Increased access to safe places for outdoor recreation and play – improved health and well-being / Enhanced quality of life</p> <p>Increased public awareness and support for the prevention and control of IAS</p> <p>Elimination of major human health hazard (Giant Hogweed)</p>	<p>Actions and objectives continued beyond project</p> <p>Involvement of local population in project events and activities (breakdown by target group)</p> <p>Public events and initiatives outside the project that incorporate IAS information</p> <p>Area of riverbanks previously colonised by IAS cleared</p>	<p>Questionnaires during cost-benefit analysis and/or awareness programmes</p> <p>Internal evaluation and project monitoring data.</p>



Expected ECONOMIC Impacts	ECONOMIC Impact Indicators	Evidence
<p>Enhanced provision of ecosystem goods and services (fisheries and amenity value of rivers and riverbanks) supporting sustainable tourism</p> <p>Development of the unique natural assets and natural resources of the region to support sustainable development. Encouraging entrepreneurship, in particular the development of SMEs, tourism, culture and programme trade; harnessing the potential for sustainable economic development.</p> <p>Reduced likelihood of future economically damaging invasions</p> <p>Economic benefits of IAS management demonstrated</p>	<p>Increased tourism as a result of enhanced access and attractiveness of riparian areas</p> <p>12 part-time jobs in river management for duration of project</p> <p>Local / public authorities prioritise and increase expenditure for management and eradication of IAS</p>	<p>Public statistical sources (measurable data may not be available at local area level)</p>
Expected ENVIRONMENTAL Impacts	ENVIRONMENTAL Impact Indicators	Evidence
<p>Increased biodiversity among native plants in 15 demonstration catchment areas</p> <p>Regeneration of riverbanks/ better management and conservation of river catchments</p> <p>Improved environment and public access in areas currently impacted by IAS</p> <p>Restoration of critical ecosystem services such as soil nutrient cycling and soil carbon sequestration, following clearance of invasive non-native species demonstrated</p> <p>New invasions, reinvasion and further spread of the four high impact riparian invasive species prevented</p>	<p>Contribution by project to targets for Local Biodiversity Action Plans</p> <p>Area of riverbanks previously colonised by IAS cleared / Reduction of areas colonised by IAS</p> <p>Programme actions contribute to meeting objectives of River Basin Management Plans</p> <p>Biosecurity measures implemented in all catchments</p> <p>Biodiversity change measured by range of indices</p> <p>Increased number of fishing stands available in project areas</p>	<p>Internal evaluation and project monitoring data.</p> <p>Monitoring and evaluation network across area regenerated against baseline; distribution of IAS; removal and decline</p>
Expected COOPERATION Impacts	COOPERATION Impact Indicators	Evidence
<p>Development of Biosecurity Plans through knowledge exchange between the partners and sharing of best practice</p> <p>Strengthened evidence base for development of IAS strategies in both jurisdictions and implementation of EU Strategy on Invasive Alien Species</p> <p>National strategies linked to coordinated local action on IAS</p> <p>Key stakeholder engagement and collaborative working on IAS prevention and management</p> <p>Project contributes to implementation of local biodiversity plans</p>	<p>Research findings and recommendations are reflected in biodiversity plans and strategies (Outside project time frame)</p> <p>Key stakeholders involved in biosecurity surveillance networks (breakdown by sector)</p>	<p>Internal evaluation and project monitoring data.</p> <p>Project recommendations referred to Invasive Species Ireland for action</p>

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Appendix 1

Core Problems of the Cross-Border Territory

This summary of the Core Problems of the Cross-Border Territory has been compiled from a number of policy and operational documents. (See sources below.)

REMEMBER:

A 'problem' in the sense of cross-border cooperation includes also an unused (or underused) potential which could be best realised on a cross-border basis through cooperation. For example, maximising the value of resources or experience through sharing, networking or coordination.

CORE SOCIAL PROBLEMS OF THE CROSS-BORDER TERRITORY

Labour Force Characteristics

- A significant proportion of the regional workforce is unqualified or poorly qualified and labour mobility is limited.
- Lower levels of earnings and income than the national averages (UK and Ireland). High percentage of part-time jobs.
- Shortage of highly skilled personnel in many sectors.
- Lower levels of on-job training. Weak tradition of up-skilling of workers.
- Relatively high youth and long-term unemployment
- Relatively high economic inactivity. (Significantly higher numbers of people in receipt of incapacity benefit in Northern Ireland).
- Relatively poor educational performance
- Lower levels of the population trained to third level education compared to the national averages (UK and Ireland).
- High proportion of working age people with no qualifications.

Inequalities, Poverty & Social Exclusion

High levels of long term unemployment and lower levels of earnings and income contribute towards marginalisation and social exclusion. Problems of isolation, lack of participation and integration, and economic and social linkages.

- Unemployment in Northern Ireland remains significantly higher for Catholics than Protestants.
- Significant number of victims and survivors of the conflict and displaced persons continue to experience acute problems. Many displaced persons are concentrated in the Border Region.
- Gender differentials in the labour market



- Women tend to work part time, have lower status and are in lower value added jobs.
- Women in Northern Ireland have lower economic activity rates and are underrepresented in key employment areas (self-employment, manufacturing, management and administration).
- A higher proportion of men than women are long term unemployed.
- Men have higher rates of unemployment and are obtaining a smaller share of new employment being created, being underrepresented in many growth sectors.
- Marked sub-regional disparities in terms of relative deprivation.
- Poor urban structure combined with a dispersed rural population and significant rural poverty. Areas with lowest urbanisation rates experience large and persistent population decline.
- Concentrations of significant deprivation and lack of opportunities in certain areas, both urban and rural. Northern Ireland is one of the most deprived areas of the UK.
- High levels of economic inactivity. High proportion of household income from benefits. High levels of social welfare expenditure.
- Continuing 'brain drain' from Northern Ireland and the Border Region of Ireland.
- A higher percentage of absenteeism from post-primary schools in the CAWT¹ Ireland sub-region compared to the Ireland average.
- Young people in deprived areas continue to be twice as likely to leave school with fewer than 5 GCSEs and are less likely to go on to higher education than young people not living in deprived areas.
- Young people leaving care are 10 times more likely to have no qualifications than children not in care.
- Both the CAWT Ireland and the CAWT Northern Ireland sub-regions have a higher percentage of children where the head of the household has lower educational achievement than the respective national Ireland and Northern Ireland averages.
- A higher percentage of children in the CAWT Northern Ireland area live in a family with a lower income than the Northern Ireland average.
 - The percentage of children living in lone parent households is higher in Northern Ireland (23%) than in the Ireland (14%). In Derry nearly a third of children (31 %) live in lone parent households.

Health Inequalities

Inequalities in health are linked to a range of socio-economic factors including e.g., geography, gender, age, and membership of marginalised groups.

- There are fundamental differences in primary care provision between Northern Ireland and the Ireland.
- There is a greater provision of general practitioners and dentists in Northern Ireland.
- Ireland has yet to achieve national coverage for breast screening.

1. The CAWT territory embraces the whole of the land boundary between the Republic of Ireland and Northern Ireland, accounts for twenty five percent of the total area of Ireland and has a population of 1.25 million.



- There are variations in life expectancy at birth at council level in the CAWT Northern Ireland region.
- The DSDR² for men is significantly higher than the DSDR for women for each of the CAWT³ sub-regions and for CAWT as a whole.
- Deaths from ischaemic heart disease for 'all persons' remains significantly more common in the CAWT region compared to the non-CAWT region.
- There is a statistically significant higher rate of deaths from external causes (accidents and suicide) for all persons between the CAWT region and the non-CAWT region.
 - Deaths from all external causes for men and 'all persons' are significantly more common in the CAWT region compared to the non-CAWT region.
 - Deaths from external causes among 20-44 year olds are significantly more common than for the same age group in the non-CAWT region.
 - The DSDR for deaths from road traffic accidents for women is 62% higher in the CAWT region and 51% higher for men compared to the non-CAWT region.
 - The single biggest contributor to PYLL⁴ is external causes
 - The trend in suicide rates for people under 20 years has been higher in the CAWT region than the rest of Ireland since 1997

Community Relations

- Significant number of sectarian and racially motivated crimes in Northern Ireland.
- Northern Ireland is a divided society and significant segregation exists in terms of residential patterns and interface areas
- A lack of shared spaces and shared services inhibits the potential for economic development. This includes services such as community health centres, job centres, public housing, education and public transport.
- Impact of conflict on cross-border economic and social linkages resulting in lack of participation and integration, leading to isolation and exclusion in some areas of Northern Ireland and the Border Region.
- Due to the history of division in Northern Ireland and the Border Region, many sections of society have not yet developed the capacity to deal with diversity and difference

2. Directly Standardised Death Rates
3. The CAWT territory embraces the whole of the land boundary between the Republic of Ireland and Northern Ireland, accounts for twenty five percent of the total area of Ireland and has a population of 1.25 million.
4. Potential Years of Life Lost: The number of years of life "lost" from a death, when a person dies "prematurely" - defined as dying before age 75. A death at age 25, for example, has lost 50 potential years of life



CORE ECONOMIC PROBLEMS OF THE CROSS-BORDER TERRITORY

National economic problems impacting on the Cross-Border Territory

- National Debt as a percentage of GDP rising.
- Exports falling.
- Social welfare claimants rising.
- Climate change will impact negatively on patterns of economic activity.

Structurally unbalanced economy

- Productivity (as measured by GVA per employee) is below EU15 or national levels (Ireland and UK) in both Northern Ireland and the Border Region. GNP falling.
- A combination of relatively lower levels of Foreign Direct Investment (FDI) related activities, and lower 'value-add' within the Border economy.
Dependence on agriculture and other low value-added indigenous industry leading to lower than average earnings. Compared to the rest of Ireland and the UK, the region relies more heavily on manual and lower skilled employment.
- A relatively large agriculture sector characterised by small farm size and declining farm incomes.
- The regional economy is over-reliant on low value-adding and declining sectors.
 - Declining manufacturing and retail sectors.
 - Seafood industry in decline. Irish Border region accounts for about one-fifth of the total employment in the Irish seafood industry.
 - Over-reliance on construction; the volume of production in building and construction falling rapidly.
- Relatively small private sector and overdependence on the public sector (Northern Ireland).
- Knowledge intensive sector is relatively weak.
- Under-development in Science, Technology and Innovation at both business and academic levels.
 - Small regional businesses with little tendency to innovate.
 - Relatively low investment in Research, Technological Development and Innovation (RTDI).
 - Applied research activity within the Higher Education Institutions in the region fractured and largely un-coordinated.
- The tourism sector's performance remains low compared to Ireland and the rest of the UK; *also variations within the Region*
 - Northern Ireland lower levels of performance and tourism than Irish Border Region
 - High seasonality of the tourist sector.
 - Low levels of tourism expenditure per visitor.
 - Visitor numbers falling.
- Relatively low investment in human resource development.
- The region is characterised by considerable diversity; pronounced differences in terms of enterprise activity. Levels of enterprise and entrepreneurship in Northern Ireland are below the UK average.



- Business formation rates are relatively low.
- High industrial and domestic energy costs.
- Underdeveloped programme business networking between Northern Ireland and Ireland.

Infrastructural deficits

Peripheral geographical location and largely rural nature leads to problems of remoteness and accessibility. Significant infrastructural deficits continue to have an impact on competitiveness, regional development and the general quality of life – especially in transport, environmental services and housing.

- The deficiencies in surface transport infrastructure and connectivity to the European economic heartland.
- Housing affordability problems, especially in urban areas.
- Northern Ireland has suffered from underinvestment in its public transport.
- Lack of adequate broadband infrastructure (Ireland) and low rates of broadband penetration (Northern Ireland).
- Under-developed cross-border networks preventing maximum take-up of strategic opportunities for growth and new investment in enterprise.
- Distortion of networks and movement due to land and maritime borders has impacted on economic and social linkages, e.g. limited transport and infrastructure and restricted operation of the labour market.
- Low utilisation of renewable energy and recycling undermines sustainable development.

CORE ENVIRONMENTAL PROBLEMS OF THE CROSS-BORDER TERRITORY

The environment in the Region has been coming under increasing pressure in recent years from

- the growth in population
- the general acceleration of economic development
- specific factors such as changed agricultural practices and the development of industry, particularly the agri-food business
- lack of strategic land management.
- Low utilisation of renewable energy and recycling in Northern Ireland and Ireland compared to EU 25 and EU 15.
- Diminished landscapes. Low woodland cover. A lack of species-rich grassland.
- Deterioration in the quality of rivers and lakes due to excessive inputs of nutrients.
 - There is a widespread problem of nutrient enrichment of water bodies, particularly of Lough Neagh and Lough Erne.
 - Several rivers have been identified for urgent action to improve their chemical and biological quality.
 - Action is required both to reduce eutrophication from diffuse agricultural sources and to improve effluent quality from certain sewage treatment works.



- Inadequate management of solid waste.
 - Need to reduce solid waste. Low levels of waste reduction and recycling
 - Over reliance on landfill for the disposal of domestic and commercial waste.
- Problems with the quality of certain drinking water supplies.
- Lands contaminated by industrial processes and waste disposal.
- Degradation of the urban environment; Environmental pollution.
- The countryside, coastal and marine areas, and their flora and fauna at risk; need to protect and maintain environmentally sensitive areas.
- Some of the region's most important environmental assets are located in the more remote and economically disadvantaged areas.

CORE COOPERATION PROBLEMS OF THE CROSS-BORDER TERRITORY

- Separate and differing policy approaches have been adopted in areas such as health, education and the economy
 - detrimental effect on the economic and social conditions of the cross border area,
 - constraints on the development of programme partnership and activity, including civic networks
 - more difficult to address common problems on a programme basis.
- Under-developed cross-border networks.
- Distortion of networks and movement due to land and maritime borders which has impacted on economic and social linkages.
- Lack of integration in energy systems.
- Currency and tax differentials.
- Cross border currency volatility.
- Limited mobility and support for cross border workers, students etc.
- Lack of contact on a cross-community basis. This includes services such as community health centres, job centres, public housing, education and public transport.
- Inconsistent approach to implementation and institutionalisation of EU Directives.
- Difficulties adopting European practices as a result of its peripherality and lack of critical mass (e.g. environmental Directives).

Statistical Information and Indicators

- Statistical databases are often not comparable / compatible between jurisdictions. Data doesn't always exist at appropriate levels of analysis.
- Lack of a socio-economic scale for the island of Ireland. A comparable scale would allow any combined All-Ireland indicators to be interrogated to identify inequalities.
- Lack of an All-Ireland deprivation measure: Both Northern Ireland and Ireland have deprivation measures. However, these are population specific and are not directly comparable.



- Differences in indicators and definitions, e.g.:
 - school attendance information and transport related questions on surveys and the census.
 - variation in the age groups for routinely collected data.
 - primary care data on morbidity and chronic illness: a similar system to Quality and Outcomes Framework (QOF) data in Northern Ireland does not exist in the Ireland.
- Life style information: There are methodological difficulties in the Health and Lifestyle Survey (Northern Ireland) with the Survey of Lifestyles Attitudes and Nutrition (Ireland).
- Timeliness of data: Some data available in one jurisdiction is not available in the other jurisdiction for the same year.

Weak Political Institutions

- Potential for suspensions of the devolved institutions, political stalemate and instability will impact on community relations and economic growth.
- Limited decommissioning of Loyalist paramilitary weapons and threat of Republican dissident groups

SOURCES

The European Sustainable Competitiveness Programme for Northern Ireland 2007-2013

Peace III operational Programme/Peace II operational Programme

INTERREG IVA Programme/ INTERREG IIIA Programme

National Development Plan 2007-2013 National Investment Priorities (Ireland)

Statistical Yearbook of Ireland, October 2010 – CSO

Regional Competitiveness Agendas - Border 2009 (Ireland)

Evaluation of the Peace and Reconciliation Impact of the Cross Border Measures 5.3 and 5.4 of the Peace II Programme 2000-2006



Appendix 2

Strengths and opportunities of the Cross-Border Territory

(Source: INTERREG IVA Operational Programmes – 'SWOT analysis')

STRENGTHS

- Sustained population growth in Northern Ireland and the Border Region since the early 1990s
- Increasing productivity in Northern Ireland and the Border Region
- Strong growth in employment in Northern Ireland and the Border Region and declining unemployment. Both areas are now below the EU15 average for unemployment levels
- 100% broadband availability in Northern Ireland
- High quality natural landscapes and environment in Northern Ireland and the Border Region and endowment of natural resources
- A strong natural renewable energy resource
- Relatively high levels of enterprise and entrepreneurship in Ireland
- Strong cultural linkages between Northern Ireland and the Border Region
- Tourism sector growing in Northern Ireland and the Border Region
- Political progress towards establishing a power-sharing government
- Good Relations Policies (A Shared Future and Racial Equality Strategy) in place
- General decline in the number of deaths and incidents connected with the security situation in Northern Ireland
- In 2005, both Protestants and Catholics were more positive about relations between the two communities than they were in 2000
- Consistently high proportion of both Catholics and Protestants in Northern Ireland prefer to work in a mixed workplace
- Increasing numbers of students attending third level education in Northern Ireland and the Border Region
- Increasing levels of cross-border activity
- Sustained population growth in Northern Ireland and the Border Region since the early 1990s

OPPORTUNITIES

- Continued strong economic growth in Ireland and sustained growth in the UK
- Increasing numbers of students attending third level education and growth in female participation rate in the labour market in the Border Region
- Developing tourism economy in Northern Ireland and potential to build on the strengths of tourism in the Border Region
- Sharing best practice and creating synergies on a programme basis
- Development of the unique natural assets and natural resources of the region to support sustainable development, including the promotion of renewable energies



- Building on programme linkages, capacity and skills resource base established under INTERREG Programmes and potential to work together to address common economic, social and environmental problems
- Stability arising from continued developments in the peace process encouraging economic development (e.g. attracting inward investment) and improved cross-community and programme linkages
- A power-sharing government established (Northern Ireland)
- Stability arising from continued developments in the peace process encouraging economic development (e.g. attracting inward investment) and improved cross-community and cross-border linkages
- Building on cross-community and cross-border linkages, and utilising capacity and skills resource base established under the PEACE I and II Programmes
- Increasing number of residents stating that they would prefer to live in a mixed religion neighbourhood
- Joint delivery of Programmes, sharing best practice and creating synergies on a cross-border basis
- Implementation of Good Relations Policies (A Shared Future and Racial Equality Strategy)



Appendix 3

Applying the Integrated Approach to a Cross-Border Programme

We present here a hypothetical Cross-Border Programme, drawing on existing socioeconomic analyses of the Irish Cross-Border Territory. The Core Problems section is derived primarily from the Operational Programmes of the EU INTERREG IVA and PEACE III Programmes (see Appendix 1). The following sections, which illustrate the Key Analytical Steps of Cross-Border Impact Assessment, are based on an analysis of existing cross-border cooperation that is being implemented both under the auspices of European Territorial Cooperation programmes and under the auspices of the North South Ministerial Council. They demonstrate that the Cross-Border Impact Assessment method can be as usefully applied at strategic programme level as at operational project level.

General Objectives			
Cooperation for a peaceful, prosperous and sustainable Cross-Border Territory Cooperation to reduce the isolation and peripherality of the Cross-Border Territory Cooperation for better quality of life for people living in the Cross-Border Territory			
Specific Objectives			
SOCIAL	ECONOMIC	ENVIRONMENTAL	COOPERATION
To support social inclusion and social cohesion within the CB Territory and the island of Ireland through developing new and existing cross-border and cross-community relationships across all sectors and sections of society	Improved labour force capacity (appropriate skills mix and better integration/equality for excluded groups)	Increased use of renewable energy and recycling	Improved ability to share information through harmonisation of data and information and communication systems
To support social inclusion and social cohesion within the Cross-Border Territory and the island of Ireland through reducing inequalities and barriers	Creation of higher value-added jobs	Decreased environmental degradation and pollution	More efficient and sustainable use of resources through co-ordination and shared facilities and
Reduction in spatial and social segregation within communities in the Cross-Border Territory	Reduction in unemployment and underemployment	Improved management, protection and conservation of environmental assets	
Improved capacity and social integration of disadvantaged individuals and groups		Improved/increased awareness of environmental assets and issues	
Improved quality of services and service delivery			
Improved access to services and facilities			



REMEMBER

These lists are not exhaustive. The problem you are addressing in your programme/project may require additional policy approaches. In any case, you will need to ensure that the policy approach and instrument/actions that you are proposing are not general, but specific to the identified problem and target groups.



Policy Approaches

Addressing human resource needs through collaborative training, capacity building and skills development; professional development

Collaborative advice, mentoring and support programmes

Support for shared infrastructure development

Support for development of shared facilities

Co-operation and co-ordination of data and information systems.

Knowledge sharing

Joint monitoring and enforcement / development of common indicators

Promote cross-border cooperation in research

Promote cross-border cooperation in policy development

Support to cross-border networks and partnerships (business, public sector, civic society and cross-sectoral)

Supports to business in new and emerging/ priority sectors

Supports to business to facilitate cross-border operation and trade

Social and economic supports to victims, displaced persons and others adversely affected by the conflict

Instruments/Actions

Collaborative education and training programmes / projects

Dialogue and mediation projects

Collaborative local economic initiatives, including support for the social economy

Networking and conference events

Networking seminars and workshops

Exchange of information, expertise and best practice

Joint strategies and policies

Joint working groups, systems and regulatory bodies

Co-operative research

Co-operative programmes

Exchange of information, expertise and best practice in cross-border cooperation

Alignment of policies and approaches

Harmonisation of legislation and regulation

Joint enforcement of common legislation and regulation

Shared development of facilities and infrastructure

Shared marketing and communication

Health and other social programmes and services targeted at individuals and groups most adversely affected by the conflict



REMEMBER

Your proposed programme/project may have other expected (and unexpected) impacts. You need to carefully consider what these might be and what indicators (quantitative and qualitative) might best demonstrate whether or now - and to what extent - the policy approach has resulted in the expected impact. You will need to be specific about who will benefit (or possibly be adversely affected) and in what way and to what extent. Indicators should provide demonstrable *evidence* of the impacts that you expect to achieve.

Expected SOCIAL Impacts	
More sharing of expertise	
New and enhanced cross-border relationships/ CB relationships between colleagues built – possible new projects etc.	
Skills and knowledge enhanced / Enhanced employability of workers	
CB relationships between colleagues built – possible new projects etc	
Increased stakeholder/government interaction on a cross-border / all-island basis	
Increased involvement of rural and marginalised/ disadvantaged communities in decisions	
Increased cross-border mobility	
Improved community relations and improved North/South relationships	
Improved outcomes for disadvantaged and excluded groups/ Integration of marginalised and disadvantaged groups in labour market	
New and stronger cross-border / cross-sectoral relationships	
Improved understanding of how cultures, systems and structures shape identities / Increased cross cultural understanding and respect for diversity	



Indicators	Involvement of relevant actors
Number of cross-border /all-island contacts between public sector agencies	• National, regional, local authorities
Number of new cross-border /all-island projects initiated between public sector bodies	• Elected representatives
Number of new cross-border /all-island projects initiated between other stakeholders	• Politicians
Number of adults achieving vocational and 3rd level qualifications.	• Private Sector
% Increase in number of cross-border workers	• Vulnerable Groups
Number of adults expressing willingness to engage in cross-border cultural exchanges	• Experts
	• Others



Indicators
Number of people resident in one jurisdiction employed in the other jurisdiction
Number of enterprises created
Number of new jobs created
Number of cross-border public services established or enhanced
Number of assisted businesses reporting increased cross-border trade
% Increase in cross-border trade
% Increase in exports by enterprises in cross-border territory
Programme networks still in existence after 2 years
New products/facilities still in existence after 2 years
Cost savings through shared services and elimination of duplication.
Increased inward investment in Cross-Border Territory
Number of new cross-border cooperative projects between business and academia



Expected ECONOMIC Impacts
Enhanced cross-border mobility of workers
New technologies /innovative solutions to common problems developed
Viable business initiatives/projects able to expand and develop
Economic regeneration of disadvantaged cross-border regions
Economies of scale
Additional / new services available on island
Greater efficiencies – less waste/ saving of resources
Enhancement of facilities and services
Increased cross-border trade
Knowledge and technology transfer between business and academia to support innovation and increase capability
Businesses more competitive in global markets
New opportunities and markets
New products, processes and services developed
Enhanced understanding of the dynamics and potential of closer North/South economic cooperation
Mutually shared competitiveness and productivity benefits
Viable business initiatives/projects able to expand and develop through access to equity funding and leverage of new/additional equity investment
Enhanced company productivity and performance



Indicators
Urban and rural areas that were previously derelict, segregated, under-used, threatening and/or unwelcoming regenerated % decrease in harmful emissions Increased air and water quality — reduction in harmful pollutants



Expected ENVIRONMENTAL Impacts
Greater efficiencies — less waste; saving of resources More sustainable development of resources Improved monitoring and enforcement of environmental legislation and regulation Improved environmental quality Enhanced environmental awareness and improved conservation



Expected COOPERATION Impacts	
Harmonisation of policies & practices	
New /improved work processes & service delivery	
A better regulatory fit between Ireland and Northern Ireland.	
Equivalent data systems and the ability to exchange information electronically	
Better quality information: e.g. harmonisation of official trade statistics; analysis of trade and economic trends	
Collaborative action for spatial planning and infrastructure co-ordination	
Higher quality and better informed decisions by business, public sector and civil society actors	
Cross-border area-based strategies developed	
Elimination of duplication	
Strengthened institutional capacity for cross-border working	
Reduced bureaucracy	
Free movement of goods and services across jurisdictional boundaries	
Improved access to information on financial and legal questions of operating cross-border: e.g. taxation, employment law, currency, or regulation; sectoral market intelligence reports; trade and business data	



Indicators	Levels of Cooperation (from Pobal)
Solutions to Programme problems addressed through joint action	Level 0: Explore the potential of Cross-Border Work Explore new opportunities, establish/develop relationships; Learn about motivation, interests, needs, skills, expectations, cultural and structural aspects.
Mainstreaming of innovative programme and projects funded	LEVEL 1: Develop Cross-Border Relationships Identify the mutual benefits for cross-border contact, collaboration and cooperation; Develop (targeted) exchange of information, building basic cooperation structures and trust, shaping cooperation ideas.
Improved evidence base and quality of comparable information to assist spatial planning and policy making	LEVEL 2: Joint Cross-Border Actions and Cooperation Develop solutions to address common issues and concerns and develop shared interests; Encourage the sharing and learning of good practice through the establishment of joint projects and activities; Create a joint partnership structure with initial allocation of functions and roles; Strengthen the foundations for increased cross-border communication, networking and cooperation.
Co-ordinated/collaborative responses to common problems	LEVEL 3: Address Core Problems Joint strategy/planning: defining joint objectives and developing concrete actions; Joint implementation of actions, efficient joint management.
Protocols to facilitate cross-border movement of goods and services	LEVEL 4: Unified Cross-Border Structures and Policies Harmonisation of legal and regulatory frameworks; Single enforcement bodies; Harmonisation of policies; Shared services and resources.
Shared databases and information systems	LEVEL 5: Sustainable and Strategic Cross-Border Development Sustainable solutions for cross-border issues; Strengthened institutional capacity for cross-border work; Proactively influence the development of policies and structures which support cross-border work.
Number of public officials working with cross-border colleagues and aware of operational environment in the other jurisdiction.	
Policies and regulations harmonised between jurisdictions	



Appendix 4

Core Indicators for ERDF and Cohesion Fund

“CONVERGENCE” AND “COMPETITIVENESS AND EMPLOYMENT” OBJECTIVES

Programme level

Jobs created (gross direct jobs created, full time equivalents) for men/women

Thematic fields

Research and technological development

Number of RTD projects

Number of cooperation projects enterprises – research institutions

Research jobs created (preferably 5 years after project start)

Direct investment aid to SMEs

Number of projects, of which:

number of start-ups supported (first two years after start-up)

Jobs created (gross, full time equivalent)

Investment induced (million €)

Information Society

Number of projects

Number of additional population covered by broadband access

Transport

Number of projects

km of new roads, of which

km of reconstructed roads

km of new railroads

km of reconstructed railroads

Value for timesavings in Euro / year stemming from new and reconstructed roads for passengers and freight

Value for timesavings in Euro / year stemming from new and reconstructed railroads for passengers and freight

Additional population served with improved urban transport

Renewable energy

Number of projects

Additional capacity of renewable energy production (MWh)

Environment

Additional population served by water projects

Additional population served by waste water projects

Number of waste projects

Number of projects on improvement of air quality

Area rehabilitated (km²)

Climate change

Reduction in greenhouse emissions (CO₂ and equivalents, kt)



Prevention of risks

- Number of projects
- Number of people benefiting from flood protection measures
- Number of people benefiting from forest fire protection and other protection measures

Tourism

- Number of projects
- Number of jobs created

Education

- Number of projects
- Number of benefitting students

Health

- Number of projects

Urban issues

Physical and environmental regeneration

- Number of projects ensuring sustainability and improving the attractiveness of towns and cities

Competitiveness

- Number of projects seeking to promote businesses, entrepreneurship, new technology

Social inclusion

- Number of projects offering services to promote equal opportunities and social inclusion for minorities and young people

COOPERATION OBJECTIVE

- Cross-border cooperation and Transnational cooperation

Degree of cooperation

- Number of projects respecting **two** of the following criteria: joint development, joint implementation, joint staffing, joint financing
- Number of projects respecting **three** of the following criteria: joint development, joint implementation, joint staffing, joint financing
- Number of projects respecting four of the following criteria: joint development, joint implementation, joint staffing, joint financing

Cross-border cooperation

- Number of projects
 - encouraging the development of cross-border trade
 - developing joint use of infrastructure
 - developing collaboration in the field of public services
 - reducing isolation through improved access to transport, ICT networks and services
 - encouraging and improving the joint protection and management of the environment
- Number of people participating in joint education or training activities
- Number of people getting employment on the other side of the border as a result of CBC project



Transnational cooperation

Number of projects

- on water management

- improving accessibility

- on risk prevention

- developing RTD and innovation networks

Inter-regional cooperation

Number of projects



Appendix 5

Further Reading

Civicus Monitoring and Evaluation Toolkit,
<http://www.civicus.org/new/media/Monitoring%20and%20Evaluation.pdf>

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